



Shift2Rail Joint Undertaking

S2R JU Members' Lump Sum Pilot - Additional changes relevant to S2R JU Members

5 February 2018

7 March 2018

9 April 2018

Specific Lump-Sum rules.

- The rules on contracts for the **purchase** of goods, works or services and on **subcontracting** are **similar to the General MGA** (see Article 10 & 13 - H2020 General MGA); **HOWEVER**:
- The obligations (ensuring the best value for money for purchases, subcontracting may cover only a limited part of the action, etc.) **are NOT considered** to be additional costs eligibility conditions : in case of breach, the S2R JU may reduce the grant instead of rejecting the costs.
- The estimated costs for each subcontract **DO NOT** have to be included in Annex 1 and the total estimated costs of subcontracting per beneficiary are not displayed in Annex 2. Nevertheless, costs of subcontracting **MUST BE** indicated in the “Financial Excel table” and are part of the lump sum.

Proposal's Data Input

- The EC Participant Portal currently doesn't allow yet on-line calculation of lump sum share per beneficiary/WP
- An Excel file has to be used for this purpose
- This Excel file won't be used for "audit", but it is essential to assess how the lump sum shares allow achieving the activities and expected outputs
- A standard worksheet can accommodate projects **with max 10 Beneficiaries and max 20 Work Packages (WPs)**.
- **One sheet per Beneficiary (BEx)** and summary tables produced automatically
- **All third parties have to be included as one single 'third party' per beneficiary**
- The GA **annex IV per** Beneficiary/ Linked Third Party: for reporting period (in principle automatically filled in)

Part B – Technical annex **REMAIN IDENTICAL**

In all parts of the submission (*excellence, impact and implementation*) **make sure they cover the entirety of the Project, hence including the Member's in-kind contributions (IKOP – 55.56%) which is the difference between the Total Project Cost and H2020 co-funding (44.44%).**

The instructions that follow are IDENTICAL to the one already used by the Members in all previous S2R call, they are indicated here again for the avoidance of the doubt

Tables 3.1a: Work package description

For each work package:

Work package number		Lead beneficiary					
Work package title							
Participant number							
Short name of participant							
Person/months per participant:							

- Indicate the Person/months for each individual participant accordingly to your declaration in the budget table in the Excel Financial Table total Units (Units= Person/Months).
- The description of work is based on the total effort/work of the Member to perform its tasks achieve the WP objectives.

Furthermore, please indicate in your Description of the work *that "each participant of this WP is aware that its total estimated efforts needed to achieve the WP objectives and deliverables, exceed its total person/months inserted in the WP description table. The extra effort corresponds to the each participant's in-kind contribution (IKOP) to this WP, in compliance of the Article 2 of Membership Agreement signed between the Shift2Rail Joint Undertaking and each Member"*.

Tables 3.4a and 3.4b

Furthermore, please indicate with an introduction text to the tables 3.4a and 3.4b that ***"all participants of this Action are aware that their total estimated efforts and costs that are needed to achieve the Action's objectives and deliverables exceed their Action's Lump Sum claimed for EU contribution in the "Budget for the proposal" table in section 3 of the proposal administrative forms". The overall extra effort corresponds to the participants' in-kind contribution (IKOP) to this Action, in compliance with the S2R Annual Work Plan 2018 as well as the Article 2 of Membership Agreement signed between the Shift2Rail Joint Undertaking and each Member"***.

- Following proposal evaluation, the **S2R ED may propose to the S2R Governing Board that proposal costs items** which appear unjustified or not, including in case of recommendations from the expert evaluators, are adapted.
- If **cost items are adapted**, the lump sum and the lump sum breakdown are modified accordingly during grant preparation.
- The **final lump sum** is included in the grant agreement as the maximum grant amount. It is calculated by applying the reimbursement rate set out in the H2020 rules to the total estimated eligible costs in the detailed budget table.

- **Extension of deliverables and WP**

Any WP which is not completed, in the reporting period in which it is due, cannot be claimed in that reporting period.

Hence it will be postponed to the following reporting period provided that the WP is finally completed (all deliverables and milestones associated to it are accomplished).

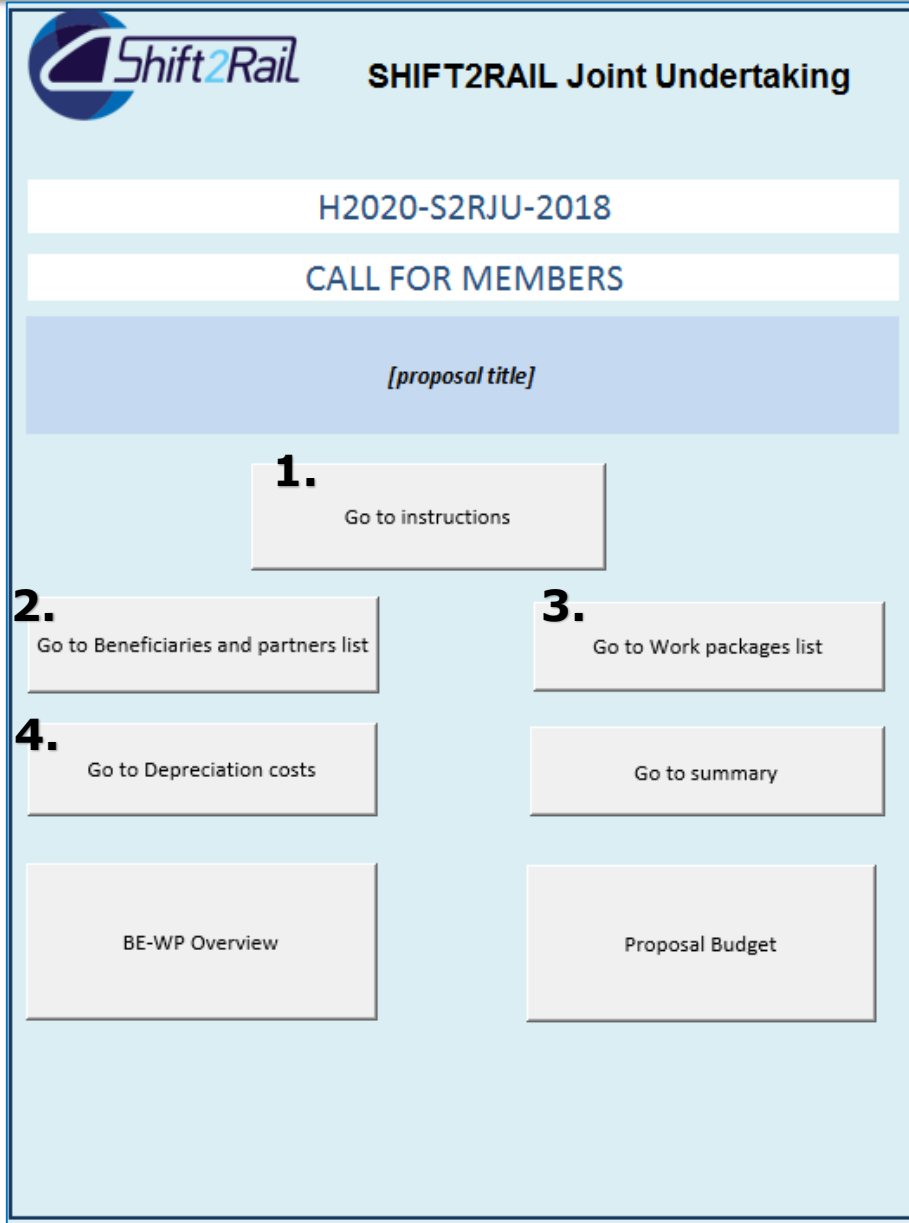
- **Amendment**

In principle, for minor changes such as extension of a deliverable, an amendment is not needed. It will be necessary only in cases of substantial modifications, such as change of nature of one work package

➔ No change compare to ongoing GA !

Suspension and improper implementation of the action

- The rules on **GA suspension** are the same as for the General MGA (Article 49).
- **However:**
 - Partial suspension of the action implemented by beneficiary may have an impact on the lump sum (WP) payment



The screenshot shows the landing page of the SHIFT2RAIL Joint Undertaking. At the top left is the Shift2Rail logo. To its right, the text "SHIFT2RAIL Joint Undertaking" is displayed. Below this, there are three horizontal bars: a white bar with "H2020-S2RJU-2018", a white bar with "CALL FOR MEMBERS", and a light blue bar with the placeholder text "[proposal title]". Below these bars, there are several numbered buttons: "1. Go to instructions" (top center), "2. Go to Beneficiaries and partners list" (middle left), "3. Go to Work packages list" (middle right), "4. Go to Depreciation costs" (bottom left), "Go to summary" (bottom right), "BE-WP Overview" (bottom left, below button 4), and "Proposal Budget" (bottom right, below button 3).

SHIFT2RAIL Joint Undertaking

H2020-S2RJU-2018

CALL FOR MEMBERS

[proposal title]

1.
Go to instructions

2.
Go to Beneficiaries and partners list

3.
Go to Work packages list

4.
Go to Depreciation costs

Go to summary

BE-WP Overview

Proposal Budget

- Landing page of the spreadsheet.
- The data should be introduced in the order shown by the numbers.

List of beneficiaries				linked third(s) party(ies) to beneficiary		
BE NR	BE name	acronym	Country	TP nr	TP name	Country
BE1	DEUTSCHE BAHN AG	DB AG	DE	TP1	DB CARGO AKTIENGESELLSCHAFT	DE
BE2	BOMBARDIER TRANSPORTATION GMBH	BTG	DE	TP2		
BE3	TRAFIKVERKET - TRV	TRV	SE	TP3	KUNGLIGA TEKNISKA HOEGSKOLAN + SICS Swedish ICT AB + LINKOPINGS UNIVERSITET	
BE4	ANSALDO STS S.p.A.	ANSALDO	IT	TP4		
BE5	SLOVENSKE ZELEZNICE DOO	SZ	SI	TP5		
BE6				TP6		
BE7				TP7		
BE8				TP8		
BE9				TP9		
BE10				TP10		

- After reading the instructions, the initial step is to encode the beneficiaries of the project
- All third parties have to be summed in the single 'third party' section for each beneficiary as in example here
- A maximum of 10 beneficiaries can be encoded per spreadsheet, meaning if the project is constituted by more than 10 beneficiaries, multiple spreadsheets are required

List of workpackages		
<i>WP-number</i>	<i>WP-name</i>	<i>WP-description</i>
WP1	Work package 1	Description 1
WP2	Work package 2	Description 2
WP3	Work package 3	Description 3
WP4	Work package 4	Description 4
WP5	Work package 5	Description 5
WP6	Work package 6	Description 6

- The third step consists in adding the names and the detailed descriptions of the Work Packages
- A maximum of 20 WPs can be encoded per spreadsheet, meaning if the project is constituted by more than 20 WPs, multiple spreadsheets are required

BENEFICIARY CALCULATION SHEET								
COST CATEGORY	BENEFICIARY 1: DEUTSCHE RAHN AG		Third party 1: DB CARGO AKTIENGESellschaft			BE+TP TOTAL COSTS		
	UNITS	COST PER UNIT	BE TOTAL COSTS	UNITS	COST PER UNIT		TP TOTAL COSTS	
COSTS WORK PACKAGE 1 Dummy 1								
A. DIRECT PERSONNEL COSTS								
A1: Employees (or equivalent)								
SENIOR SCIENTISTS		0.00	49.7	7,934.29	394,334.21	394,334.21		
JUNIOR SCIENTISTS		0.00			0.00	0.00		
TECHNICAL PERSONNEL		0.00			0.00	0.00		
ADMINISTRATIVE PERSONNEL		0.00			0.00	0.00		
OTHERS (Specify)		0.00			0.00	0.00		
A2: Natural Persons under direct contract								
Specify		0.00			0.00	0.00		
		0.00			0.00	0.00		
A3: Seconded Persons								
Specify		0.00			0.00	0.00		
		0.00			0.00	0.00		
A4: SME Owners without salary								
Specify		0.00			0.00	0.00		
		0.00			0.00	0.00		
A5: Beneficiaries that are natural persons without salary								
Specify		0.00			0.00	0.00		
		0.00			0.00	0.00		
B. OTHER DIRECT COSTS								
B1: Travel								
Reason (specify)		0.00			0.00	0.00		
Reason (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
B2: Depreciation costs * (complete equipment sheet)								
Equipment								
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
Infrastructure								
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
Other assets								
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
B3: Other Goods and Services								
Consumables								
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
Services for Meetings, Seminars								
description (specify) e.g. Catering		0.00			0.00	0.00		
description (specify) e.g. Room rent		0.00			0.00	0.00		
		0.00			0.00	0.00		
Services for Dissemination Activities								
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
Website		0.00			0.00	0.00		
Publication Fees		0.00			0.00	0.00		
Other (shipment, insurance, translation etc)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
B5: Costs of internally invoiced goods and services		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
description (specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
C. DIRECT COSTS OF SUBCONTRACTING								
Subcontract 1 (Specify)		0.00	1	63,410.00	63,410.00	63,410.00		
Subcontract 2 (Specify)		0.00			0.00	0.00		
		0.00			0.00	0.00		
E. COST OF IN-KIND CONTRIBUTION								
E. Used outside the beneficiary's premises								
Personnel costs		0.00			0.00	0.00		
Infrastructure/equipment		0.00			0.00	0.00		
(included in A and B)								
TOTAL DIRECT COSTS BEFORE SUBCONTRACTING (A+B)		0.00			457,744.21	457,744.21		
TOTAL DIRECT COSTS INCLUDING SUBCONTRACTING (A+B+C)		0.00			457,744.21	457,744.21		
F. INDIRECT COSTS (25% of Total Direct Costs Before Subcontracting A+B-E)								
		0.00			114,436.05	114,436.05		
H. TOTAL COSTS (A+B+C+F)								
		0.00			572,180.27	572,180.27		

- In individual tabs per beneficiary : financial data should be encoded per work package.
- With accurate portrait of the costs expected during the elaboration of the project.
- Every cost should be listed in a detailed manner in their respective cost category
- The "SUMMARY" button, automatically brings you to the sum of all the work packages per for the beneficiary and the total costs:
 - Direct Personnel Costs + Other Direct Costs + Direct Cost of Subcontracting + Indirect Costs

3 - Budget for the proposal

			(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)
No	Participant	Country	Direct personnel costs	Other direct costs	Direct costs of subcontracting	Direct costs of providing financial support to third parties	Costs of in kind contributions NOT used on the beneficiary's premises (included in A and	Indirect Costs (=0.25(A+B-E))	Special unit costs covering direct & indirect costs	Total estimated eligible costs (=A+B+C+D+F+G)	Reimbursement rate %	Max.EU contribution	Requested EU Contribution
BE1	Participant1	DE	1.450.398,64	2.922.400,00	303.410,00		-	1.093.199,66		5.769.408,30	100	5.769.408,30	5.769.408,30
BE2	Participant2	DE	815.000,00	2.922.400,00	25.000,00		-	934.350,00		4.696.750,00	100	4.696.750,00	4.696.750,00
BE3	Participant3	SE	1.192.534,21	2.922.400,00	50.000,00		-	1.028.733,55		5.193.667,77	100	5.193.667,77	5.193.667,77
BE4	Participant4	IT	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
BE5	Participant5	SI	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
BE6	Participant6	IT	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
BE7	Participant7	IT	1.298.200,00	2.922.400,00	45.000,00		-	1.055.150,00		5.320.750,00	100	5.320.750,00	5.320.750,00
BE8	Participant8	FR	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
BE9	Participant9	FR	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
BE10	Participant10	ES	798.200,00	2.922.400,00	-		-	930.150,00		4.650.750,00	100	4.650.750,00	4.650.750,00
			9.545.332,85	29.224.000,00	423.410,00	0,00	0,00	9.692.333,21	0,00	48.885.076,06		48.885.076,06	48.885.076,06

- After filling in the Excel table with financial data, the "Proposal budget" tab will be produced automatically. This table **should match exactly** the "Budget for the proposal" table that is included in the template for the Part A of the Proposal (with same amounts).

Financial Table - Input for GAP phase

TOTAL FOR ALL BENEFICIARIES PER WP												
WORK PACKAGES	BENEFICIARY 1: DEUTSCHE BAHN AG	BENEFICIARY 2: BOMBARDIER TRANSPORTAT	BENEFICIARY 3: TRAFIKVERKET - TRV	BENEFICIARY 4: ANSALDO STS S.p.A.	BENEFICIARY 5: SLOVENSKE ZELEZNICE	BENEFICIARY 6:	BENEFICIARY 7:	BENEFICIARY 8:	BENEFICIARY 9:	BENEFICIARY 10:	Totals	Pct
WP 1 Work package 1	572,180.27	399,139.29	88,276.16	76,556.23	0.00	0.00	0.00	0.00	0.00	0.00	1,136,151.94	70.3%
WP 2 Work package 2	132,899.36	0.00	140,439.34	0.00	0.00	0.00	0.00	0.00	0.00	0.00	273,338.70	16.9%
WP 3 Work package 3	0.00	0.00	20,062.76	25,207.54	3,830.82	0.00	0.00	0.00	0.00	0.00	49,101.12	3.0%
WP 4 Work package 4	37,687.88	22,592.79	13,375.18	4,668.06	306.47	0.00	0.00	0.00	0.00	0.00	78,630.37	4.9%
WP 5 Work package 5	37,687.88	22,592.79	13,375.18	4,668.06	306.47	0.00	0.00	0.00	0.00	0.00	78,630.37	4.9%
WP 6 Work package 6	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 7	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 8	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 9	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 10	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 11	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 12	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 14	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 15	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 16	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 17	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 18	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 19	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
WP 20	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0%
Totals:	780,455.38	444,324.87	275,528.61	111,099.89	4,443.75	0.00	0.00	0.00	0.00	0.00	1,615,852.49	100.0%
Pct:	48.3%	27.5%	17.1%	6.9%	0.3%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	

- After filling in the Excel table with financial data, "BE-WP Overview" tab shows totals per beneficiary per work package
- This table **is used as a template for the Annex 2.**

Consolidated Financial Table

- For the TPC and IKOP calculation and accommodating the use of more than 10 beneficiaries, **a tailor made ZIP file** is available in the participant portal.

This file includes:

- ✓ **3 Templates** - identical Financial Excel Tables to be used depending on the number of beneficiaries. Each table includes up to 10 beneficiaries. E.g. project with 15 beneficiaries needs to use two Financial Excel Tables.
- ✓ **A Consolidated Table** - table that consolidates for each project and up to 30 beneficiaries the “Budget for Proposal” and the “BE-WP Overview” including the TPC/IKOP.
- After completion of all financial data in the relevant template(s), you can open the consolidated table – which will be automatically filled in (the excel files should remain open to access the automatically filled in data).
- **The final and completed Excel tables (including the consolidated one) should be zip and uploaded in the Participant Portal.**

IKOP TABLE Example:

WORK PACKAGES	BENEFICIARY 1	BENEFICIARY 2	BENEFICIARY 3	BENEFICIARY 4	Totals
WP 1	1.028.865,27	278.537,50	775.455,27	232.537,50	10.119.026,07
WP 2	365.436,86	232.537,50	232.537,50	232.537,50	7.399.823,07
WP 3	297.003,61	232.537,50	232.537,50	232.537,50	7.040.591,11
WP 4	270.225,38	232.537,50	232.537,50	232.537,50	7.089.188,63
WP 5	270.225,38	232.537,50	232.537,50	232.537,50	7.089.188,63
WP 6	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 7	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 8	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 9	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 10	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 11	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 12	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 13	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 14	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 15	282.126,81	232.537,50	232.537,50	232.537,50	7.025.714,31
WP 16	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 17	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 18	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 19	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
WP 20	232.537,50	232.537,50	232.537,50	232.537,50	6.976.125,00
Totals (A)	5.769.408,30	4.696.750,00	5.193.667,77	4.650.750,00	143.429.281,82
Total Project Cost (B)	12.982.466,92	10.568.744,37	11.686.921,17	10.465.234,02	322.748.158,91
IKOP (C = B - A)	7.213.058,62	5.871.994,37	6.493.253,40	5.814.484,02	179.318.877,09
Expected requested co-financing to maintain the 44.44% (B*44.44%)	5.769.408,30	4.696.750,00	5.193.667,77	4.650.750,00	143.429.281,82

- The TPC and IKOP will be automatically calculated per beneficiary and available in the consolidated Financial Excel Table

For the GAP phase, this IKOP table should be included in the "Resources to be committed" section

AOB

Hot line – support for Excel Financial table:

Info-lumpsum@s2r.europa.eu

Or call Sandro Benidio (0032 2 541 83 94)

Thanks for your attention and contribution!