



# EUROPE'S RAIL INFO DAY CALL 2022-2

**19 October 2022**

**Online Event**



# AGENDA

## Europe's Rail JU Info Day 2022-2

<b>09.00 - 09.15</b>	<b>Opening remarks</b>  <i>Keir Fitch</i> <i>DG MOVE, European Commission</i>  <i>Philippe Froissard</i> <i>DG RTD, European Commission</i>  <i>Carlo M. Borghini</i> <i>Executive Director, Europe's Rail Joint Undertaking</i>
<b>09.15 - 09.30</b>	<b>Presentation of the Call for Proposals 2022-2</b>  <i>Giorgio Travaini</i> <i>Head of Programme, Europe's Rail Joint Undertaking</i>

# AGENDA

## Europe's Rail JU Info Day 2022-2

09.30 - 10.15	Europe's Rail Programme open call Topics
09.30 - 09.45	<b><u>Destination 7</u> - Innovation on new approaches for guided transport modes and <u>Destination 8</u> - Exploratory Research and other activities (10 topics)</b>  <i>Sébastien Denis, Javier Ibáñez de Yrigoyen – Senior Programme Manager, Europe's Rail Joint Undertaking</i>  <i>Manuel Alarcón Espinosa – Programme Manager, Europe's Rail Joint Undertaking</i>
09.45 - 10.15	Q&A
10.15 - 10.30	Coffee break
10.30 - 11.15	Horizon Europe legal and financial guidelines
10.30 – 10.45	<i>Valérie Lorgé</i> <i>Grant and Legal Officer, Europe's Rail Joint Undertaking</i>
10.45 – 11.00	<i>Vincent Declerfayt</i> <i>Head of Corporate Services, Europe's Rail Joint Undertaking</i>
11.00 - 11.15	Q&A

11.15 - 12.30	Networking
11.15 - 12.30	<p><b>Match-making session:</b> Introduced by Miriam de Angelis</p> <p><i>Breakout room 1:</i></p> <ul style="list-style-type: none"> <li>- Conceptual Development of Automated Multi-Modal Mobility-Systems</li> <li>- Technological Development of Maglev-Derived Systems</li> <li>- Hyperloop Industrial Roadmap and Pilots</li> </ul> <p><i>Breakout room 2:</i></p> <ul style="list-style-type: none"> <li>- Standardised Offer/Contract Management for Agile Access to Rail Freight and Multimodal Services in EU</li> <li>- DAC Migration Roadmap Towards Deployment</li> </ul> <p><i>Breakout room 3:</i></p> <ul style="list-style-type: none"> <li>- Building a Community of Scientific Research and Enabling a Network of PhD (Academia Teaming with Industry)</li> </ul> <p><i>Breakout room 4:</i></p> <ul style="list-style-type: none"> <li>- Digitalisation and Automation Enabling New Railway Services for Passengers and Freight</li> <li>- New Railway Station Concept for Green and Socially Inclusive Smart Cities</li> </ul> <p><i>Breakout room 5:</i></p> <ul style="list-style-type: none"> <li>- Bridge Dynamics</li> <li>- European Value Chains for Rail Supply</li> </ul>
12.30 – 12.45	Closing

# EUROPE'S RAIL INFO DAY CALL 2022-2

## OPENING REMARKS

# **EUROPE'S RAIL INFO DAY CALL 2022-2 CALL FOR PROPOSALS 2022-2**

**Carlo M. BORGHINI**

Executive Director



# What is about EU-Rail

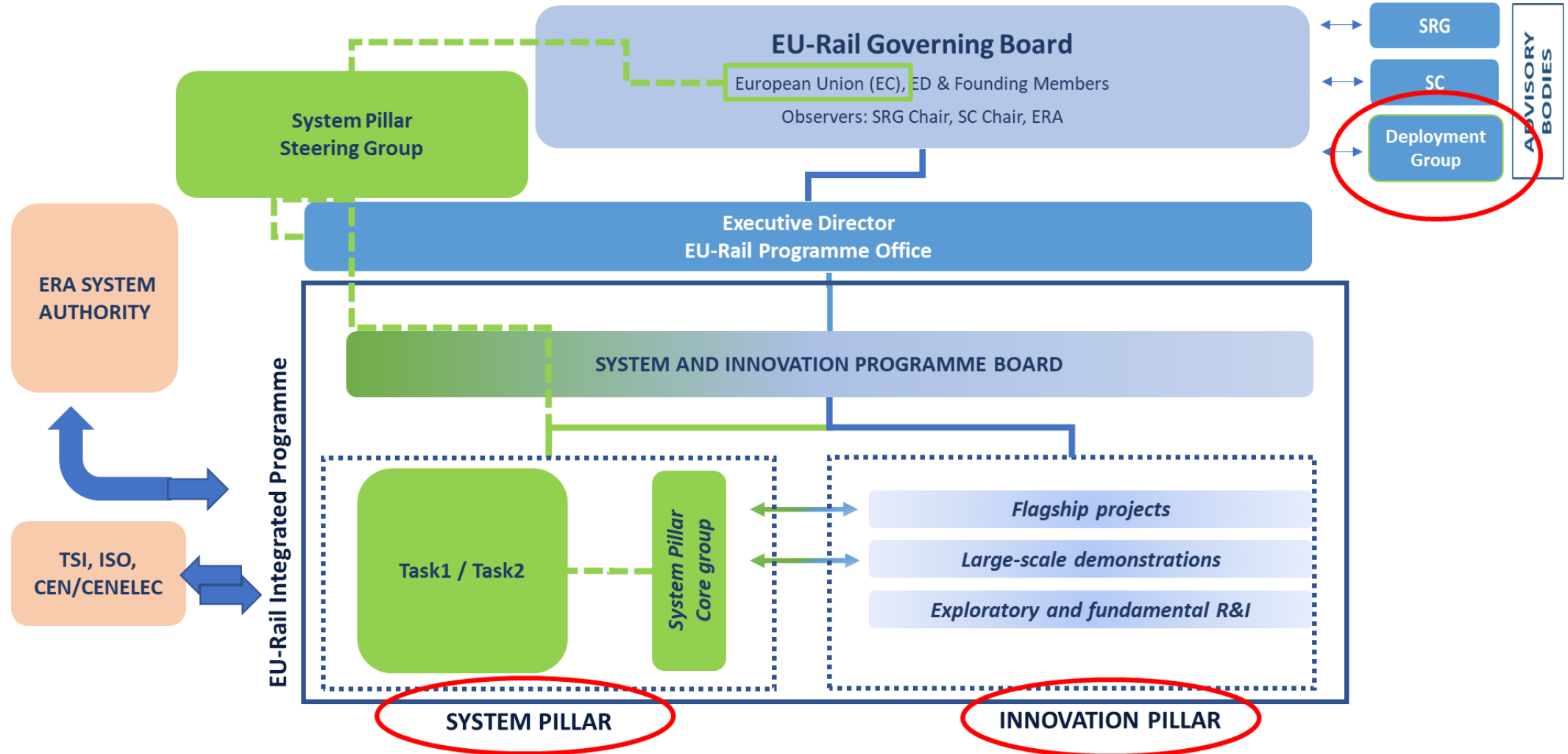
## VISION

**To deliver, via an integrated system approach, a high capacity, flexible, multi-modal, sustainable and reliable integrated European railway network by eliminating barriers to interoperability and providing solutions for full integration, for European citizens and cargo**

## MISSION

**Rail Research and Innovation to make Rail the everyday mobility**

# EU-Rail organisation and its key Programme operational aspects





**THE EU-RAIL CALL 2022-2 IS OPEN TO ALL  
ELIGIBLE ENTITIES IN ACCORDANCE  
WITH HORIZON EUROPE**

**NO ADDITIONAL CONDITIONS**

# **EUROPE'S RAIL INFO DAY CALL 2022-2 CALL FOR PROPOSALS 2022-2**

**Giorgio TRAVAINI**

Head of Programme

Europe's Rail JU



DELIVER AN  
**INTEGRATED  
EUROPEAN RAILWAY  
NETWORK BY DESIGN**



DEVELOP A **UNIFIED  
OPERATIONAL  
CONCEPT AND A  
FUNCTIONAL SYSTEM  
ARCHITECTURE** FOR  
INTEGRATED EUROPEAN  
RAIL TRAFFIC AND  
CCS/AUTOMATION



DELIVER A  
**SUSTAINABLE AND  
RESILIENT RAIL SYSTEM**



DELIVER A  
**COMPETITIVE, GREEN  
RAIL FREIGHT FULLY  
INTEGRATED INTO THE  
LOGISTICS VALUE CHAIN**



DEVELOP A **STRONG  
AND GLOBALLY  
COMPETITIVE  
EUROPEAN RAIL  
INDUSTRY**

# **EUROPE'S RAIL:**

## **ONE INTEGRATED R&I PROGRAMME**

### **SYSTEM PILLAR**

OPERATIONAL  
CONCEPTS

FUNCTIONAL  
SYSTEM  
ARCHITECTURE

***A SINGLE COORDINATING  
BODY FOR THE WHOLE  
SECTOR EVOLUTION***

OPEN  
INTERFACES TO  
OTHER  
TRANSPORT  
MODES AND  
BUSINESSES

SYSTEM  
REQUIREMENT  
SPECIFICATIONS

### **INNOVATION PILLAR**

*TECHNOLOGICAL AND  
OPERATIONAL SOLUTIONS  
FOR SERVICES OF FUTURE*

FLAGSHIP  
PROJECTS

LARGE-SCALE  
DEMONSTRATIONS

EXPLORATORY AND  
FUNDAMENTAL R&I

1

**EUROPEAN RAIL  
TRAFFIC AND  
MOBILITY  
MANAGEMENT**

Manage and improve rail traffic at  
EU level

Adjust rail traffic management in  
function of the mobility demand

2

**DIGITALISATION &  
AUTOMATION IN  
TRAIN OPERATIONS**

ATO implementation

Digital train operations

3

**SUSTAINABLE AND  
DIGITAL ASSETS**

Integrated assets testing &  
life-cycle framework

Zero-emission, silent rail system

4

**COMPETITIVE,  
DIGITAL, GREEN  
RAIL FREIGHT**

New digital customer interaction &  
innovative rail freight services

Multimodal and rail freight  
innovation integration

5

**REGIONAL RAIL  
SERVICES IN LOW  
DENSITY AREAS**

New system approach to regional  
rail services in low density areas

### **DEPLOYMENT GROUP**

FUTURE SOLUTIONS DEPLOYED IN A COORDINATED AND CONSISTENT WAY AT EUROPEAN LEVEL, TAKING INTO ACCOUNT ALTERNATIVE ROLLOUT SCENARIOS, BEHAVIOURAL AND ORGANISATIONAL CHANGES, SYNERGIES WITH OTHER MODES OF TRANSPORT

# EU-Rail expected system impacts from the Programme



- Meeting evolving customer requirements



- Improved performance and capacity



- Reduced costs



- More sustainable and resilient transport



- Harmonised approach to evolution and greater adaptability

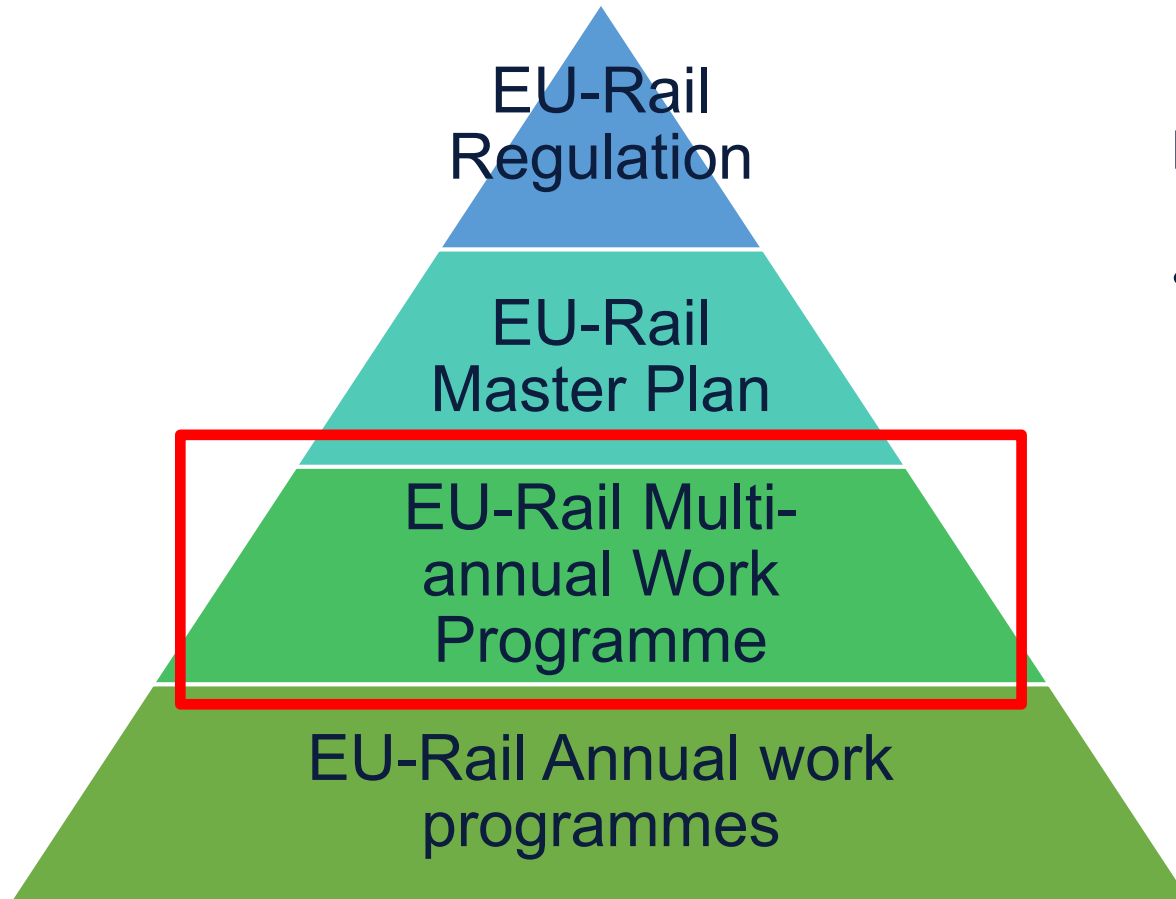


- Reinforced role for rail in European transport and mobility



- Improved EU rail supply industry competitiveness

# Navigating the EU-Rail key documents of a Programme approach



Focus on the

- **MAWP:** It defines how the EU-Rail JU has designed its R&I activities to achieve the general and specific objectives set out in the SBA through an Integrated Programme:
  - *System Pillar (tasks)*
  - *Innovation Pillar*
    - *7 Flagship Areas + TT*
    - *Exploratory and Other activities*
  - *Deployment group*

# EU-Rail Work Programme 2022 2024 Budget

Year 2022	Type of call	Value of the actions	Maximum EU-Rail co-funding	Non-funded activities	Target contributions from Members in case of award	Indicative publication date
Multi-annual Call for Proposals	Open	390.0	234.0	156.0	302.0	Q1
Call for Proposals– Exploratory Research	Open	14.5	12.5	2.0	4.3	Q3
Call for Tenders	Open	15.5	13.7	1.8	0.0	Q1–Q4 & implementation of new and ongoing contracts/framework contracts

# EU-Rail Call 2022-2

DESTINATION Topics	Type of Action	Expected TRL	Expected EU contribution per project (EUR million)	Number of projects expected to be funded
Opening: 13 September 2022; Deadline: 14 December 2022				
HORIZON-ER-JU-2022-FA7-01	RIA	3 to 4	3.0	1
HORIZON-ER-JU-2022-FA7-02	RIA	2 to 3	1.5	1
HORIZON-ER-JU-2022-FA7-03	IA	6	2.3	1
HORIZON-ER-JU-2022-ExplR-01	RIA	-	0.7	1
HORIZON-ER-JU-2022-ExplR-02	IA	6 to 7	1.0	1
HORIZON-ER-JU-2022-ExplR-03	RIA	5	1.3	1
HORIZON-ER-JU-2022-ExplR-04	RIA	1 to 2	2.0	1
HORIZON-ER-JU-2022-ExplR-05	RIA	1 to 3	0.7	1
HORIZON-ER-JU-2022-ExplR-06	RIA	1 to 3	0.7	1
HORIZON-ER-JU-2022-ExplR-07	CSA	-	1.5	1

## Call structure (see also annex VIII of the EU-Rail [Work Programme 2022 2024](#))

- ❖ **Expected outcome:** describes the expected developments within the destination topic and the links with other Destinations.
- ❖ **Scope:** identifies the expected capabilities/enablers that should be developed through R&I activities

# EUROPE'S RAIL INFO DAY CALL 2022-2

## DESTINATION 7

Innovation on new approaches for guided transport modes

**Sébastien DENIS**

Senior Programme Manager

Europe's Rail JU



## DESTINATION 7 – Innovation on new approaches for guided transport modes

### **HORIZON-ER-JU-2022-FA7-01: CONCEPTUAL DEVELOPMENT OF AUTOMATED MULTI-MODAL MOBILITY-SYSTEMS (“MOVING INFRASTRUCTURES”)**

- WS1: Identification of Use Cases, Business Cases / CBA, operational concept
- WS2: “Moving infrastructure” vessel and the operation system
- WS3: “Moving infrastructure” carrier incl. locking system and handling system

### **HORIZON-ER-JU-2022-FA7-02: TECHNOLOGICAL DEVELOPMENT OF MAGLEV DERIVED SYSTEMS**

- WS1: Technical definitions
- WS2: Development of business case analysis, including feasibility studies and use cases

### **HORIZON-ER-JU-2022-FA7-03: HYPERLOOP INDUSTRIAL ROADMAP AND PILOTS**

- WS1: Industrial Roadmap, including business case, in parallel to the regulatory framework run by the European Commission
- WS2: Pave the way to proof of concept

# EUROPE'S RAIL INFO DAY CALL 2022-2

## **DESTINATION 8**

**Exploratory Research and other activities**

**Javier IBÁÑEZ DE YRIGOYEN**

Senior Programme Manager

Europe's Rail JU

## DESTINATION 8 – Exploratory Research and other activities

**HORIZON-ER-JU-2022-EXPLR-01: NEW RAILWAY STATION CONCEPT FOR GREEN AND SOCIALLY INCLUSIVE SMART CITIES**

**HORIZON-ER-JU-2022-EXPLR-02: BRIDGE DYNAMICS**

- WS1: Further development of spectral methods (DER, LIR)
- WS2: Definition of dynamic loading interface between vehicles and bridges...
- ...WS11: Revision of limits of validity of static vehicle / bridge compatibility checks

**HORIZON-ER-JU-2022-EXPLR-04: BUILDING A COMMUNITY OF SCIENTIFIC RESEARCH AND ENABLING A NETWORK OF PHD (ACADEMIA TEAMING WITH INDUSTRY)**

**HORIZON-ER-JU-2022-EXPLR-06: EUROPEAN VALUE CHAINS FOR RAIL SUPPLY**

# EUROPE'S RAIL INFO DAY CALL 2022-2

## **DESTINATION 8**

**Exploratory Research and other activities**

**Manuel ALARCÓN ESPINOSA**

Programme Manager

Europe's Rail JU



# EU-Rail Call 2022-2

## DESTINATION 8 – Exploratory Research and other activities

**HORIZON-ER-JU-2022-EXPLR-03: STANDARDISED OFFER/CONTRACT MANAGEMENT FOR AGILE ACCESS TO RAIL FREIGHT AND MULTIMODAL SERVICES IN EU**

**HORIZON-ER-JU-2022-EXPLR-05: DIGITALISATION AND AUTOMATION ENABLING NEW RAILWAY SERVICES FOR PASSENGERS AND FREIGHT**

**HORIZON-ER-JU-2022-EXPLR-07: DAC MIGRATION ROADMAP TOWARDS DEPLOYMENT**

# EUROPE'S RAIL INFO DAY CALL 2022-2

**Europe's Rail Programme open call Topics**

**Q&A**

# EUROPE'S RAIL INFO DAY CALL 2022-2

## LEGAL AND FINANCIAL GUIDELINES

**Starting at 10:30**

# EUROPE'S RAIL INFO DAY CALL 2022-2

## LEGAL GUIDELINES

**Valérie LORGÉ**

Grant and Legal Officer

Europe's Rail JU



# New features in the Horizon Europe proposal



## NEW FIELDS IN PART A

- Researchers table – needed to follow up researchers careers (HE indicator)
- Role of participating organisation
- Self-declaration on gender equality plan



## FIELDS MOVED FROM PART B TO PART A

- Ethics self-assessment
- Security questionnaire (**NEW!** in all HE proposals)



## NEW IN PART B

- Glossary of terms.
- Consistency on the use of terminology is ensured in all project phases
- Explanations on what exactly should be included in each section.

# Exclusion

- **EDES-DB check: before evaluation, before award and before GA signature**
- **Applicants subject to administrative sanctions or in the following exclusion situations cannot participate:**
  - ✓ bankruptcy,
  - ✓ in breach of social security or tax obligations
  - ✓ grave professional misconduct
  - ✓ fraud, corruption,
  - ✓ significant deficiencies in complying with main obligations under another EU GA/contract
  - ✓ shell company
- **Applicants will also be refused if :**
  - ✓ during award, they misrepresented information required for participating or failed to supply that info
  - ✓ previously involved in the preparation of the call, entailing a distortion of competition (conflict of interest).

# Eligibility – Gender Equality Plan

- Having a gender equality plan is an **eligibility criterion for Public bodies, higher education establishments and Research organisations from Member States and Associated Countries.**
- It must cover:
  - ✓ publication: formal document published on the institution's website and signed by the top management
  - ✓ dedicated resources: commitment of resources and expertise in gender equality to implement the plan
  - ✓ data collection and monitoring
  - ✓ sex/gender disaggregated data on personnel and annual reporting based on indicators
  - ✓ training: awareness raising/training on gender equality and unconscious gender biases for staff
- This eligibility criterion does not apply to other categories of legal entities, such as private for-profit organisations, including SMEs, non-governmental or civil society organisations

# Eligibility – Gender Equality Plan

- A self-declaration will be requested at proposal stage.
- **If the proposal is selected, having a GEP will be necessary before Grant Agreement signature**
- An organisation may not yet have a GEP at proposal submission stage, but it must have a GEP in place at the time of the Grant Agreement signature.
- Support to draft the gender equality plan can be requested at the [European Institute for Gender Equality](#).

# Who is eligible for funding?



## EU COUNTRIES

- Member States (**MS**)
- Overseas Countries and Territories (**OCTs**) linked to MS.



## NON-EU COUNTRIES

- Countries associated to Horizon Europe (**AC**)
- **Low and middle income** countries: See [HE Programme Guide](#).
- Other countries when announced **in the call or exceptionally** if their participation is **essential**



## SPECIFIC CASES

- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO):
  - International European research organisations are eligible for funding.
  - Other IO are not eligible (only exceptionally if participation is essential)

# Associated Countries



- For the purposes of the eligibility conditions, a legal entity based in a third country **officially candidate for association** to Horizon Europe **is eligible**.
- However, the signature of the grant agreement will be subject to the positive conclusion of the association negotiation.
- They will be treated as entities established in an Associated Country, if the Horizon Europe **Association Agreement with the third country concerned applies at the time of signature of the Grant Agreement**.

# Associated Countries



➤ The association agreements with the following countries have now started to produce legal effects (either through provisional application or their entry into force):

1. Albania
2. Armenia
3. Bosnia and Herzegovina
4. Faroe Islands
5. Georgia
6. Iceland
7. Israel
8. Kosovo
9. Moldova
10. Montenegro
11. North Macedonia
12. Norway
13. Serbia
14. Tunisia
15. Turkey
16. Ukraine

# Associated Countries



Until association agreements start producing legal effects either through provisional application or their entry into force, the transitional arrangement set out in the General Annexes to the Horizon Europe Work Programme 2021-2022 is applicable with regard to the following countries, with which association negotiations are being processed or where association is imminent:

1. Morocco
2. United Kingdom

- ***UK** is expected to become an associated country to HE. UK entities can take part in the second call for proposals of Horizon Europe*
- *Legal entities established in **Switzerland** are currently not covered by the transitional arrangement.*
- ***Liechtenstein** does not intend to associate to Horizon Europe*



# Non-associated third countries

- Any legal entity, regardless of its place of establishment, including legal entities from non-associated third countries or international organisations, is **eligible to participate** (whether it is eligible for funding or not), provided that the conditions laid down in the HE Regulation are met, along with any other conditions laid down in the specific call topic.
- **EXCEPTION: entities subject to EU Restrictive Measures**
- Non-associated third country applicants must submit their proposals as '**Associated Partner**'.
- As part of a frequent question, Switzerland is currently a non-associated third country

# Evaluation – award criteria

Same criteria as in H2020

Same three award criteria: ‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of implementation**’.

**But specific EU-Rail sub-criteria - Annex VIII of the EU-RAIL AWP**

Part D of the Horizon Europe Work Programme 2021-2022 General Annexes applies regarding the award criteria, scores and weighting, **with the following additions:**

- Excellence: *quality of the proposed joint activities to achieve the deliverables*
- Impact: *quality and credibility of the action to contribute achieving the EU-Rail Master Plan objectives and the expected impact of the EU-Rail Multi-Annual Work Programme*
- Quality and efficiency of the implementation: *Appropriateness of the project management structure and quality of the proposed coordination*

# Scores and Weighting

- Evaluation scores will be awarded for the criteria
- For full applications, **each criterion** will be scored **out of 5**.
- The **threshold** for individual criteria will be **3**.
- The **overall threshold**, applying to the sum of the three individual scores, will be **10**.
- To determine the **ranking** for IAs, the score for '**Impact**' will be given a **weight of 1.5**. Weighting is only used for the ranking (not to determine if the proposal passed the thresholds)
- Proposals that pass the individual threshold AND the overall threshold will be considered for funding, within the limits of the available call budget.

# Ethics review

## Same criteria as in H2020

For all funded activities, ethics is an **integral part** of research, and **ethical compliance** is essential to achieve research excellence.

An ethics review process is carried out systematically in all HE proposals, based on a **self-assessment** included in the proposal.

Ethical research conduct implies the application of fundamental ethical principles and legislation, including adherence to the highest standards of **research integrity** as described in the **European Code of Conduct for Research Integrity**.

## Adapted following lessons learnt

- Focus mainly on complex/serious cases
- Reduce number of ethics requirements in funded projects.

# Ethics review

- Projects must comply with ethical principles and applicable EU, international and national law.
- Applicants must have completed the ethics self-assessment as part of their application. For more information, see [How to complete your ethics self-assessment.](#)
- Projects involving ethics issues will have to undergo an ethics review to authorise funding and may be made subject to specific ethics requirements.
- These requirements become part of the grant agreement as ethics deliverables, e.g. ethics committee opinions/authorisations required under national or EU law

# Security scrutiny

## New in Horizon Europe

Security issues will be checked **systematically** in all Horizon Europe proposals (in H2020 only proposals submitted to topics flagged as 'security-sensitive' were checked). The checks are based on a **self-assessment** included in the proposal. The focus is on:

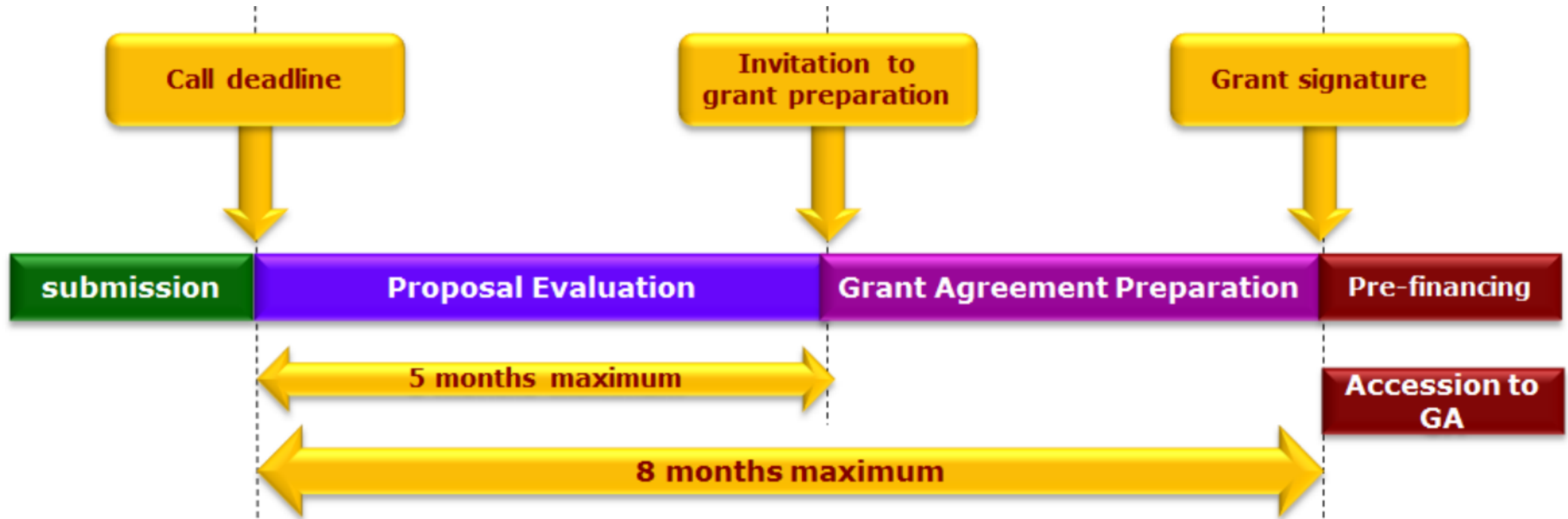
- Whether the proposal uses or generates **EU classified information**
- Potential of **misuse** of results (that could be channeled into crime or terrorism)
- Whether activities involve information or materials subject to **national security restrictions**

The checks based on the self-assessment may trigger an in-depth security scrutiny.

# Time to Grant

information on the outcome of the evaluation: around 5 months from the deadline for submission

indicative date for the signing of grant agreements: around 8 months from the deadline for submission



# what does the HE grant agreement look like?



## e-GRANT

- The HE grant agreement and its management are **fully electronic**: from the signature of the grant until its end, all actions and communications will flow via the F&T Portal



## CORPORATE STRUCTURE

- The HE grant agreement is based on a **Commission-wide model** (so-called '**Corporate Model Grant Agreement**')



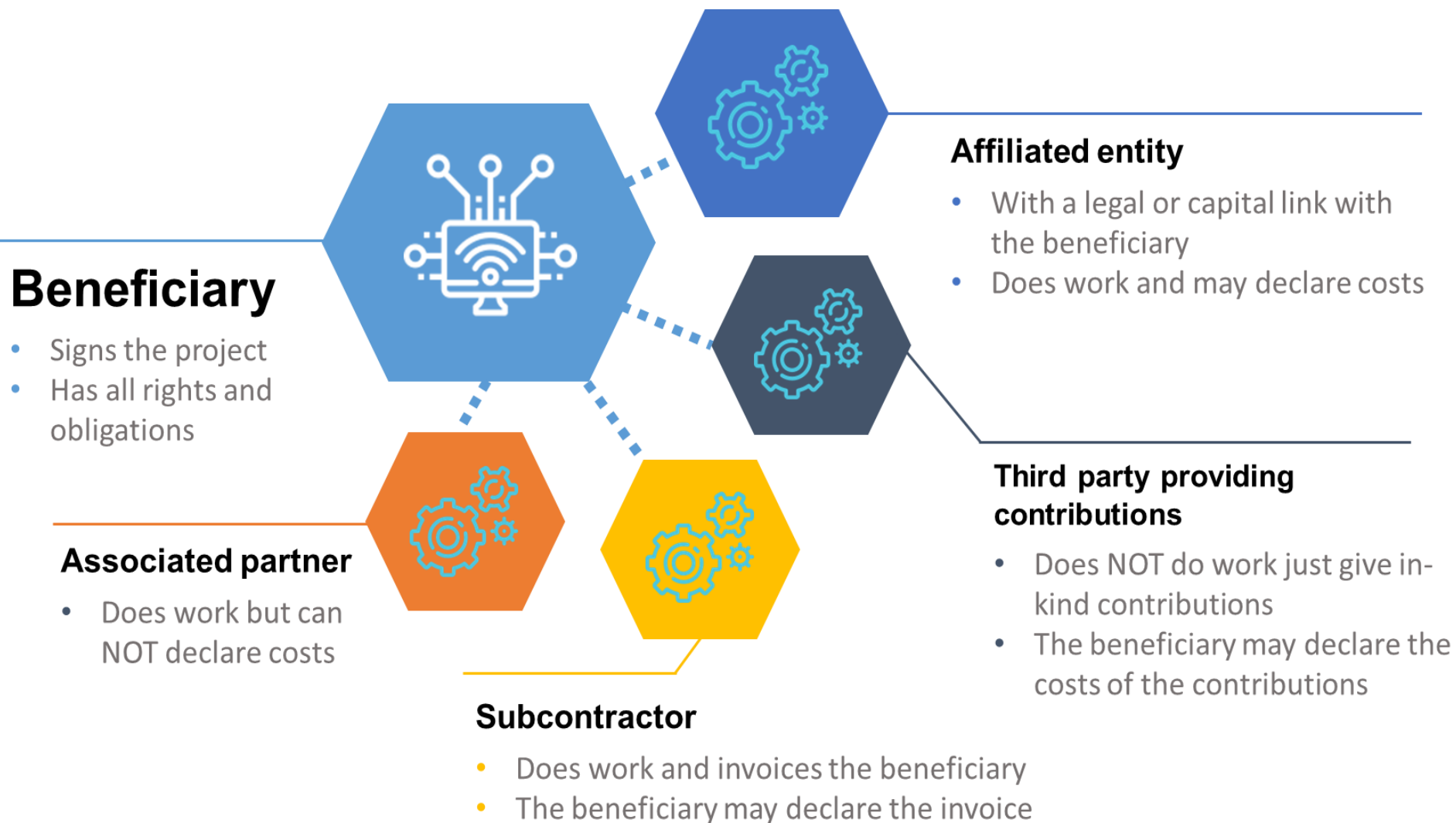
## SPECIFIC ANNEX 5

Some important rights and obligations are part of annex 5:

- **Security**
- **Ethics**
- **Values (i.e. gender mainstreaming)**
- **IPR**
- **Communication, Dissemination, Open Science and Visibility**
- **Specific rules for carrying out the action**



# How can I participate in the grant agreement?



# Affiliated entities

Article 187 (1)(b) of the EU Financial Regulation:

Entities '*that have a link with the beneficiary, in particular a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation*'.

**Affiliated entities in Horizon Europe = Linked third parties in Horizon 2020**

(alignement of labelling/definition in the corporate context)

# Associated Partner (AP)

- Inherited and derived from the '**International partner**' status in H2020 MGA
- **Corporate terminology** and status with the following features:
  - AP mentioned in Art. 9 and implements action tasks listed in Annex I
  - But without receiving EU funding (costs are not eligible)
  - The beneficiaries must ensure that some of MGA obligations also applied to AP *(i.e. Articles 11 (proper implementation), 12 (conflict of interests), 13 (confidentiality and security), 14 (ethics), 17.2 (visibility), 18 (specific rules for carrying out action), 19 (information) and 20 (record-keeping))*

# EUROPE'S RAIL INFO DAY CALL 2022-2

## FINANCIAL GUIDELINES

**Vincent DECLERFAYT**

Head of Corporate Services

Europe's Rail JU

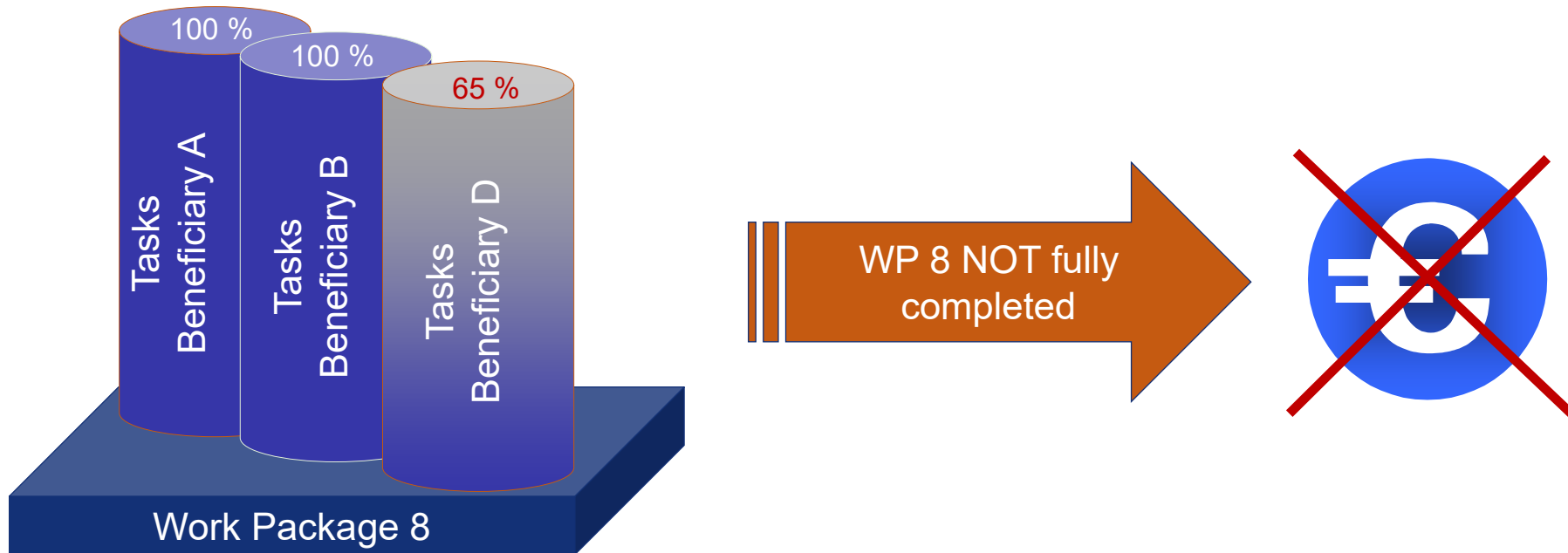
# FINANCIAL GUIDELINES

**Horizon Europe - The next EU Research and Innovation investment Programme (2021-2027) and EU-Rail JU**

- 1. Model Grant Agreement (MGA) and eligibility criteria**
- 2. Lump sum detailed Financial Excel table**
- 3. Estimated Members' contributions**

# Lump sum – main differences with standard MGA

Work Package and its work (deliverable, milestones, etc.) importance



# Lump sum – main differences with standard MGA

The grant agreement will set out the lump sum (Max contribution: co-funding) corresponding to the **full accomplishment of the work committed in Annex 1**.

The lump sum for the grant is set out at its signature.



# Submission – Lump Sum Grants

- For lump sum grants, when the amount of the lump sum is not fixed in advance, the estimated budget must be described in a detailed budget table.
- This will be used as a basis for fixing the lump sum amount.
- Decision authorizing the use of lump sum contributions under the HE/EU-Rail Programme:

“The detailed cost estimation per work package and per beneficiary and affiliated entity (if any) shall include only costs that would be considered eligible in an actual costs grant. [...] Where relevant, applicants shall declare that they have followed their own accounting practices for the preparation of the estimated budget”



# Submission – Lump Sum Grants

- As the lump sum is an approximation of the costs actually incurred, the costs included in this detailed budget table must comply with the basic eligibility conditions for EU actual cost grants (see AGA — Annotated Grant Agreement, article 6).
- This is particularly important for purchases and subcontracting, which must ensure best value for money (or, if appropriate, the lowest price) and be free from any conflicts of interest.
- If the budget table contains ineligible costs, the grants may be reduced (even later on during implementation of the project or after they end)

# Lump Sum - Subcontracting

- The principles of subcontracting (ensuring best value for money, no Col, subcontracting of only a limited part of the action, etc.) are still compulsory
- BUT are not considered to be additional cost eligibility conditions
- Consequence: in case of breach, JU may reduce the grant in proportion to the seriousness of the breach instead of rejecting 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.

# Lump Sum Grants: why?

- Lump sum project funding removes all obligations on actual cost reporting and financial audits (Certificate of Financial Statement and ex-post audits) at project implementation phase – i.e. a major reduction of administrative burden
- Focus on performance: shift from focus on financial management and checking costs to focus on scientific-technical content of the projects
- One lump sum share is fixed in the grant agreement for each work package: this amount is paid when the activities in the work package are completed (the payment does not depend on a successful outcome, but on the completion of activities, as confirmed by the JU)

# Lump Sum Grants: keeping records

## We need



- ☐ Technical documents
- ☐ Publications, prototypes, deliverables
- ☐ Who did what?
- ☐ ...any document proving that the work was done as detailed in Annex 1

## We don't need



- ☐ Time-sheets
- ☐ Pay-slips or contracts
- ☐ Depreciation policy
- ☐ Travel invoices
- ☐ ....actual costs

Art 20 lump  
sum MGA

# Equipment costs



## *Continuity*

Depreciation costs are **by default** eligible.

**By exception**, full costs may be eligible.

## *Further clarity*

**Optional provisions** addressing the specific case of **assets under construction (e.g. prototype)** and their related **capitalised costs**:

- The **full construction costs** (typically the costs of the personnel involved in the construction of the prototype)
- The **full purchase costs** (typically any component, pieces of equipment bought for the prototype)

**HE specific provisions  
*to be considered in submitting the Lump Sum Proposals***

**Personnel costs**

# Personnel costs new calculation

NEW

Corporate approach with Personnel costs =

Daily rate



Days worked



**Daily rate** = *annual personnel costs for the person*  
215



with **no more** obligation to use the '**last closed financial year**'!



**HE specific provisions**  
***to be considered in submitting the Lump Sum Proposals***

**Equipment costs**



# Equipment costs

## *Continuity*

Depreciation costs are **by default** eligible.

**By exception**, full costs may be eligible.

## *Further clarity*

**Optional provisions** addressing the specific case of **assets under construction (e.g. prototype)** and their related **capitalised costs**:

- The **full construction costs** (typically the costs of the personnel involved in the construction of the prototype)
- The **full purchase costs** (typically any component, pieces of equipment bought for the prototype)

**HE specific provisions**

**Indirect costs**

# Indirect costs



## What?

Costs that are only indirectly linked to the action implementation  
(Art. 6(1) General eligibility conditions of the Horizon Europe MGA)

## continuity

**Flat-rate of 25% of the eligible direct costs**, except subcontracting costs, financial support to third parties and exempted specific cost categories, if any.  
(Art. 6(2)(E) Indirect costs of the Horizon Europe MGA)

## NEW

**Possibility to accept actual indirect costs** allocated via beneficiary's usual key drivers in the unit cost calculation for **internally invoiced goods and services**

# **Lump Sum Grant Agreements**

## **Evaluation**

# Lump Sum – evaluation (implementation criteria)

- In complement to the explanation provided in the legal part about the evaluation criteria (previous chapter “excellence / impact / quality and efficiency of the implementation”, for each WP, experts shall in addition :
  - ✓ Check the budget estimate on the basis of relevant statistical data or historical data on previously funded and comparable actions (or based on relevant benchmarks on costs and resources such as market prices)
  - ✓ Assess whether the resources proposed and the split of lump sum shares allows achieving the activities and expected outputs
  - ✓ Verify that proposals include the declaration by beneficiaries of having used their own accounting practices.

# **Lump Sum Grant Agreements**

## **Ex-post controls**

# Lump Sum – ex-post controls

## Checks, reviews and audits for:



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



Compliance with the other obligations of the grant:



IPR obligations

Obligations related to third parties (e.g. financial support)

Other obligations (e.g. ethics, visibility of EU funding, etc.)

Art 25 lump  
sum MGA

No financial audits anymore

## **2. Lump Sum detailed Financial Excel table**



# Instructions:

In this tab, all the necessary instructions on how to fill in the table are shown



Europe's Rail Joint Undertaking	
Instructions	
	<div>Go to Beneficiaries and Affiliated Entities list</div> <div>Go to Work packages list</div>
GENERAL INSTRUCTIONS	<p>This workbook enables you to present the detailed estimation of costs of your lump sum project and to calculate the lump sum breakdown per work package and per category. It must be uploaded as an additional document at "Fill in proposal" step of proposal submission. This is mandatory. Please note that if you do not upload the Excel workbook, the proposal submission will be blocked.</p> <p>According to the lump sum scheme, the lump sum share for a Work Package (WP) will be paid only when the entire Work Package has been completed. Please take it into consideration while structuring your proposal. Work Packages should be designed in a way that enables to clearly identify whether the action has been completed.</p> <p>We recommend using Excel 2010 or more recent.</p> <p>The only currency used in this workbook is EURO.</p> <p>Enter only <b>round numbers</b> in this workbook.</p> <p>You have to fill in <b>only</b> the following sheets: 'BE list' - 'WP list' - 'BEx' (one sheet for each Beneficiary) - 'Depreciation costs' (if any) and the column D 'requested grant amount' of the 'Budget for proposal sheet'.</p> <p>The appropriate number of individual Beneficiary sheets ('BEx') will be automatically generated with data from the 'BE list' and 'WP list' sheets.</p> <p>You will have to fill in the 'Budget for the proposal' table in the Part A form of the proposal submission tool, entering the requested EU contribution for each participant. We advise you to fill this Part A budget table column using the totals in the beneficiaries columns of the "Lump sum breakdown" table in this Excel workbook.</p> <p>The format of this Excel workbook is <b>.xlsm</b> because it uses macros to generate automatically some data. <b>Always save it as .xlsm</b>. However, this format cannot be uploaded to the submission system for security reasons.</p> <p>So please also <b>save a copy</b> as an <b>.xlsx</b> or <b>.xls</b> document (and not as <b>.xlsm</b>) and upload it to the proposal submission tool, at Step 5 of the submission process. <b>Always keep a copy of the original .xlsm file</b>.</p> <p>To save the workbook as <b>.xlsx</b> document, in Excel click on <b>"File"</b> and then <b>"Save as"</b>; in the "Save as" dialog box, choose <b>".xlsx"</b> or <b>".xls"</b> from the <b>"Save as type"</b> dropdown list.</p>
	<p>In the <b>'BE list'</b>, 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 Entities, click on the "Add AE" button next to the Beneficiary the Affiliated Entity is linked with.</p> <p>For each Beneficiary and each Affiliated Entity, you <b>must</b> choose the appropriate <b>country</b> in the drop-down menu and enter the correct funding rate. The funding rate of the action is 60% of the eligible costs to achieve the leverage effect established in the SBA. Each consortium may decide internally different funding rates in line with the provisions of Article 34 of Horizon Europe, nevertheless complying with the overall funding rate of 60%.</p> <p>Once you have completed the 'BE list' sheet, you must click the "Apply changes" button to generate the related sheets in the Excel workbook.</p> <p>You can delete a Beneficiary or Affiliated Entity by simply removing the content of the line and leaving it blank. Once your changes are done, you have to click the "Apply changes" button. Be aware that you <b>cannot delete the first Beneficiary</b> of the list.</p> <p>If you delete a Beneficiary from the 'BE list', the BE sheet of this Beneficiary will be saved as a backup only. This sheet will be excluded from the calculation. Please do not forget to also delete the Affiliated Entities linked to this Beneficiary.</p> <p>If you delete an Affiliated Entity, the data of this Affiliated Entity will not be saved as a backup.</p>

# BE List:

In this tab, you should add all the beneficiaries and affiliated entities and **choose the respective funding rate (open field)**. Once completed click on the button “apply changes” and the table will now include a tab for each beneficiary



List of beneficiaries and affiliated entities

Add BE

Add AE

Add AE

Add AE

Apply changes

BE/AE nr	BE/AE name	Acronym	Country	Funding rate
BE1	Beneficiary 1	BE1	BE	60%
BE1-AE1	AE 1 (ben1)	AE1	BE	100%
BE2	Beneficiary 2	BE2	DE	100%
BE2-AE1	AE 1 (ben2)	AE1 (B2)	AT	70%
BE3	Beneficiary 2	BE3	PT	40%

Q&A published on EU-Rail website here: <https://rail-research.europa.eu/participate/call-for-proposals/ongoing-call-for-proposals/>

Q&A nr 9, 10 and 18 about the funding rate → in principle 70% or 100%

# WP List:

In this tab, you should add all the work packages defined for the project and their description. Once completed click on the button “apply changes” and the table will now be ready to complete with the financial information from the beneficiaries and their affiliated entities



List of Work Packages			Add WP	Apply changes
WP-number	WP-name	WP-description		
WP1	Work Package 1	Description of Work Package 1		
WP2	Work Package 2	Description of Work Package 2		
WP3	Work Package 3	Description of Work Package 3		
WP4	Work Package 4	Description of Work Package 4		

# BE1, 2, 3 and so on – with or without AE:



The financial information for each beneficiary and their AE (when applicable) should be added in each respective tab and for each respective work package.

- Only the yellow cells can be filled and all the calculations are based on pre-defined formulas
- At the end of the sheet, you can find a summary with the information concerning all work packages and the total costs foreseen for each beneficiary or affiliated entity

BENEFICIARY CALCULATION SHEET							
summary	BENEFICIARY 1: Beneficiary 1			Affiliated Entity: AE 1 (ben1)			
COST CATEGORY	UNITS	COST PER UNIT	BE TOTAL COSTS	UNITS	COST PER UNIT	AE TOTAL COSTS	BE+AE TOTAL COSTS
COSTS WORK PACKAGE 1: WP1							
A. DIRECT PERSONNEL COSTS							
A.1 Employees (or equivalent)							
SENIOR SCIENTISTS (or equivalent in the private sector)	10.00	8000.00	80,000.00			0.00	80,000.00
JUNIOR SCIENTISTS (or equivalent in the private sector)			0.00			0.00	0.00
TECHNICAL PERSONNEL (or equivalent in the private sector)			0.00			0.00	0.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00			0.00	0.00
OTHERS			0.00			0.00	0.00
A.2 Natural Persons under direct contract			0.00			0.00	0.00
A.3 Seconded Persons			0.00			0.00	0.00
A.4 SME owners and natural person beneficiaries		5,080.00	0.00		5,080.00	0.00	0.00
B. DIRECT SUBCONTRACTING COSTS							
			0.00			0.00	0.00
C. DIRECT PURCHASE COSTS							
C.1 Travel and subsistence			0.00			0.00	0.00
C.2 Equipment (complete 'Depreciation costs' sheet)							
Equipment			0.00			0.00	0.00
Infrastructure			0.00			0.00	0.00
Other assets			0.00			0.00	0.00
C.3 Other goods, works and services							
Consumables			0.00			0.00	0.00
Services for meetings, seminars			0.00			0.00	0.00
Services for dissemination activities (including 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
D. OTHER COST CATEGORIES							
D.1 Financial support to third parties (if applicable in the topic specific conditions)			0.00			0.00	0.00
D.2 Internally invoiced goods and services			0.00			0.00	0.00
D.3 Transnational access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00			0.00	0.00
D.4 Virtual access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00			0.00	0.00
D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)			0.00			0.00	0.00
TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)			80,000.00			0.00	80,000.00
TOTAL DIRECT COSTS (A+B+C+D)			80,000.00			0.00	80,000.00
E. INDIRECT COSTS (25% * (A+C))			20,000.00			0.00	20,000.00
F. TOTAL COSTS (A+B+C+D+E)			100,000.00			0.00	100,000.00

[illegible]

# Summary per WP:



In this tab, after completing the individual beneficiary sheets, you will find a summary of the participation of all beneficiaries (including affiliated entities) for all the work packages

SUM OF ALL BENEFICIARIES (including AFFILIATED ENTITIES) FOR ALL THE WORK PACKAGES							
	ALL BENEFICIARIES (without affiliated entities)		ALL AFFILIATED ENTITIES		ALL BENEFICIARIES (with affiliated entities)		
COST CATEGORY	UNITS	BE TOTAL COSTS	UNITS	AE TOTAL COSTS	UNITS (TOTAL)	AVERAGE COST PER UNIT	BE+AE TOTAL COSTS
COSTS WORK PACKAGE: 1 WP1							
A. DIRECT PERSONNEL COSTS							
A.1 Employees (or equivalent)							
SENIOR SCIENTISTS (or equivalent in the private sector)	30.00	240,000.00	0.00	0.00	30.00	8,000.00	240,000.00
JUNIOR SCIENTISTS (or equivalent in the private sector)	0.00	0.00	0.00	0.00	0.00		0.00
TECHNICAL PERSONNEL (or equivalent in the private sector)	0.00	0.00	0.00	0.00	0.00		0.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)	0.00	0.00	0.00	0.00	0.00		0.00
OTHERS	0.00	0.00	0.00	0.00	0.00		0.00
A.2 Natural Persons under direct contract	0.00	0.00	0.00	0.00	0.00		0.00
A.3 Seconded Persons	0.00	0.00	0.00	0.00	0.00		0.00
A.4 SME owners and natural person beneficiaries	0.00	0.00	0.00	0.00	0.00		0.00
B. DIRECT SUBCONTRACTING COSTS							
	0.00	0.00	0.00	0.00	0.00		0.00
C. DIRECT PURCHASE COSTS							
C.1 Travel and subsistence	0.00	0.00	0.00	0.00	0.00		0.00
C.2 Equipment (complete 'Depreciation cost' sheet)							
Equipment	0.00	0.00	0.00	0.00	0.00		0.00
Infrastructure	0.00	0.00	0.00	0.00	0.00		0.00
Other assets	0.00	0.00	0.00	0.00	0.00		0.00
C.3 Other goods, works and services							
Consumables	0.00	0.00	0.00	0.00	0.00		0.00
Services for meetings, seminars	0.00	0.00	0.00	0.00	0.00		0.00
Services for dissemination activities (including website)	0.00	0.00	0.00	0.00	0.00		0.00
Publication fees	0.00	0.00	0.00	0.00	0.00		0.00
Other (shipment,insurance, translation, etc.)	0.00	0.00	0.00	0.00	0.00		0.00
D. OTHER COST CATEGORIES							
D.1 Financial support to third parties (if applicable in the topic specific conditions)	0.00	0.00	0.00	0.00	0.00		0.00
D.2 Internally invoiced goods and services	0.00	0.00	0.00	0.00	0.00		0.00
D.3 Transnational access to research infrastructure unit costs (if required in the topic specific conditions)	0.00	0.00	0.00	0.00	0.00		0.00
D.4 Virtual access to research infrastructure unit costs (if required in the topic specific conditions)	0.00	0.00	0.00	0.00	0.00		0.00
D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)	0.00	0.00	0.00	0.00	0.00		0.00
TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)		240,000.00		0.00	0.00		240,000.00
TOTAL DIRECT COSTS (A+B+C+D)		240,000.00		0.00	0.00		240,000.00
E. INDIRECT COSTS (25% * (A+C))		60,000.00		0.00	0.00		60,000.00
F. TOTAL COSTS (A+B+C+D+E)		300,000.00		0.00	0.00		300,000.00

# BE-WP person months:

In this tab, after completing the individual beneficiary sheets, you will find a summary of the effort allocated for all beneficiaries (including affiliated entities) for all the work packages



TOTAL PERSON/MONTHS FOR ALL BENEFICIARIES (INCLUDING AFFILIATED ENTITIES) PER WP					
WORK PACKAGES	Beneficiary 1	Beneficiary 2	Beneficiary 2	Total	Percentage
WP1	10.0	10.0	10.0	30.0	40.0%
WP2	10.0	10.0	0.0	20.0	26.7%
WP3	5.0	5.0	5.0	15.0	20.0%
WP4	5.0	5.0	0.0	10.0	13.3%
Total	30.0	30.0	15.0	75.0	100.0%
Percentage	40.0%	40.0%	20.0%	100.0%	

# Lump Sum Breakdown:

In this tab, after completing the individual beneficiary sheets, you will have the necessary information to fill in your annex 2 with a clear description of how much funding will be allocated per beneficiary and affiliated entities based on their declared funding rate



ESTIMATED BREAKDOWN OF THE LUMP SUM PER WORK PACKAGE AND PER BENEFICIARY						
BENEFICIARIES	WP1	WP2	WP3	WP4	Totals	Pct
Beneficiary 1	60,000.00	0.00	30,000.00	0.00	90,000.00	16.2%
AE 1 (ben1)	0.00	100,000.00	0.00	50,000.00	150,000.00	27.0%
Beneficiary 2	100,000.00	0.00	50,000.00	0.00	150,000.00	27.0%
AE 1 (ben2)	0.00	70,000.00	0.00	35,000.00	105,000.00	18.9%
Beneficiary 2	40,000.00	0.00	20,000.00	0.00	60,000.00	10.8%
Totals:	200,000.00	170,000.00	100,000.00	85,000.00	555,000.00	100.0%
Pct:	36.0%	30.6%	18.0%	15.3%	100.0%	

Lump sum share  
per beneficiary for  
the GA



# Lump Sum Breakdown into the Budget proposal table:

The lump sum breakdown is used in the budget proposal table for the calculation of the Requested grant amount

Administrative forms

Proposal ID SEP-210899277

Acronym Test - Nadia DEBZA

## 3 - Budget

No	Name of Beneficiary	Country	Role	Requested grant amount	Income generated by the action	Financial contributions	Own resources	Total estimated income
1	Baird Consulting Scs	BE	Coordinator	100.00	250	50	0	400.00
	Total			100.00	250	50	0	400.00

Lump sum share per beneficiary for the GA

?

- Financial contributions: only for Private Members (SBA Art.2(5), the IKOP shall be introduced in the budget proposal table.
- Own resources: exclusively by applicants that are not members: non funded-part of their activities
- Total estimated income: total eligible costs of the action

### **3. EU-Rail Programme:**

**Specific provisions to be considered by the EU-Rail Private Members' intending to join a consortia for the submission of a proposal**

# GA – table for Annex I Part B

## “Estimated Members’ Contributions”

- In accordance with the call conditions:

*“The amount of total in-kind contributions (i.e. in-kind contributions for operational activities and in-kind contributions for additional activities) should be no less than 1.263 times the funding request, in aggregate, of these applicant Private Members.”*

- Any discrepancy shall be well and duly justified.
- For 1€ of JU contribution, the Private Member shall contribute in addition of 1.263€. Consequently, with a Total Project Costs for the action and additional activities of 2.263€

# GA – table for Annex I Part B

## “Estimated Members’ Contributions”

ESTIMATED MEMBERS' CONTRIBUTIONS INDICATIVE VALUE PER MEMBER - PROJECT ACRONYM			
Members The amount of total in-kind contributions (i.e. in-kind contributions for operational activities and in-kind contributions for additional activities) should be no less than 1.263 times the funding request, in aggregate, of these applicant Private Members. Any discrepancy shall be well and duly justified. (A)	Maximum grant amount - JU contribution (Total value of the lump sum shares for all WP) (B)	Total Contributions of private members - Indicative value (C)	Pct (D) = (B+C)/B
Member 1 (aggregated, of the applicant Private Member)	100,00	126,30	2,2630
Member 2 (aggregated, of the applicant Private Member)	1.000,00	1.263,00	2,2630
Member 3 (aggregated, of the applicant Private Member)	10.000,00	12.630,00	2,2630
Member 4 (aggregated, of the applicant Private Member)	125.000,00	157.875,00	2,2630
Member 5 (aggregated, of the applicant Private Member)		-	-
Member 6 (aggregated, of the applicant Private Member)		-	-
Member 7 (aggregated, of the applicant Private Member)		-	-
Member 8 (aggregated, of the applicant Private Member)		-	-
Member 9 (aggregated, of the applicant Private Member)		-	-
		-	-
		-	-

1. Fill in the project acronym

4. Any discrepancy shall be well and duly justified (in case % below 2.263)

2. Fill in the Members name

3. Enter the JU contribution (LS share)

The indicative value of contribution and % are automatically calculated

# EUROPE'S RAIL INFO DAY CALL 2022-2

## LEGAL AND FINANCIAL GUIDELINES

Q&A