Europe's Rail

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EUROPE'S RAIL
INFO DAY

ONLINE
11
March
2025

@EURail_JU
Europe's Rail Joint Undertaking

AGENDA

Europe’s Rail JU Info Day 2025-1

9.30 - 9.45	**Opening remarks** ***Joachim Luecking***, *Head of Rail Safety and Interoperability Unit, European Commission* ***Giorgio Travaini,*** *Executive Director, Europe’s Rail Joint Undertaking*
9.45 - 10.00	**Presentation of the Call for Proposals 2025-1** ***Giorgio Travaini***, *Executive Director, Europe's Rail Joint Undertaking*

AGENDA

Europe’s Rail JU Info Day 2025-1

10.00 – 10.15	***HORIZON-ER-JU-2025-FA7-01: Further Technological development of Maglev-derived Systems*** *Judit Sándor, Programme Manager, Europe´s Rail Joint Undertaking*
10.15 – 10.30	***Coffee break***
10.30 – 11.15	**Horizon Europe legal and financial guidelines**
10.30 – 11.00	• *Anna Maria Torres, Grant & Legal Officer, Europe's Rail Joint Undertaking* • *Vasileios Chatzigeorgiadis, Head of Corporate Services, Europe’s Rail Joint Undertaking* • *Sandro Benidio, Financial Officer, Europe's Rail Joint Undertaking*
11.00 – 11.15	**Q&A on legal and financial guidelines**
11.15 – 11.30	*Presentation on the Research Executive Agency’s Central Validation Service* *Mariadomenica Cugnidoro, Legal and Financial Officer, Research Executive Agency*

EUROPE´S RAIL
INFO DAY CALL 2025-01

OPENING REMARKS

EUROPE'S RAIL
INFO DAY CALL 2025-01

OPENING REMARKS

Joachim Luecking
Head of Rail Safety and Interoperability Unit, European Commission

EUROPE'S RAIL
INFO DAY CALL 2025-01

OPENING REMARKS

Giorgio Travaini

Executive Director, Europe's Rail Joint Undertaking

Europe's Rail

EUROPE'S RAIL INFO DAY CALL 2025-1

CALL FOR PROPOSALS 2025-1

Giorgio Travaini

Executive Director, Europe's Rail Joint Undertaking

Europe's Rail

Mission &Vision

To deliver a **fully integrated European railway network for citizens and businesses.**

Rail Research and Innovation to make Rail the everyday mobility.

- High capacity
- Flexible
- Interoperable
- Multimodal
- Sustainable
- Reliable
- Competitive
- Inclusive

Results

Meeting customer requirements

Improved performance and capacity

Improved efficiency and reduced lifecycle costs

Sustainable and resilient transport: enabling an increased use

Interoperable rail system and greater adaptability to new technologies

Better services: Smart and cost-efficient rail connectivity

Improved EU rail supply industry competitiveness

Europe's Rail

One integrated R&I Programme based on a system view

DEPLOYMENT GROUP

SYSTEM PILLAR

- Single governance and coordination body
- Functional system architecture
- Unified operational concept
- Support Single European Railways Area

Common EU railway system view

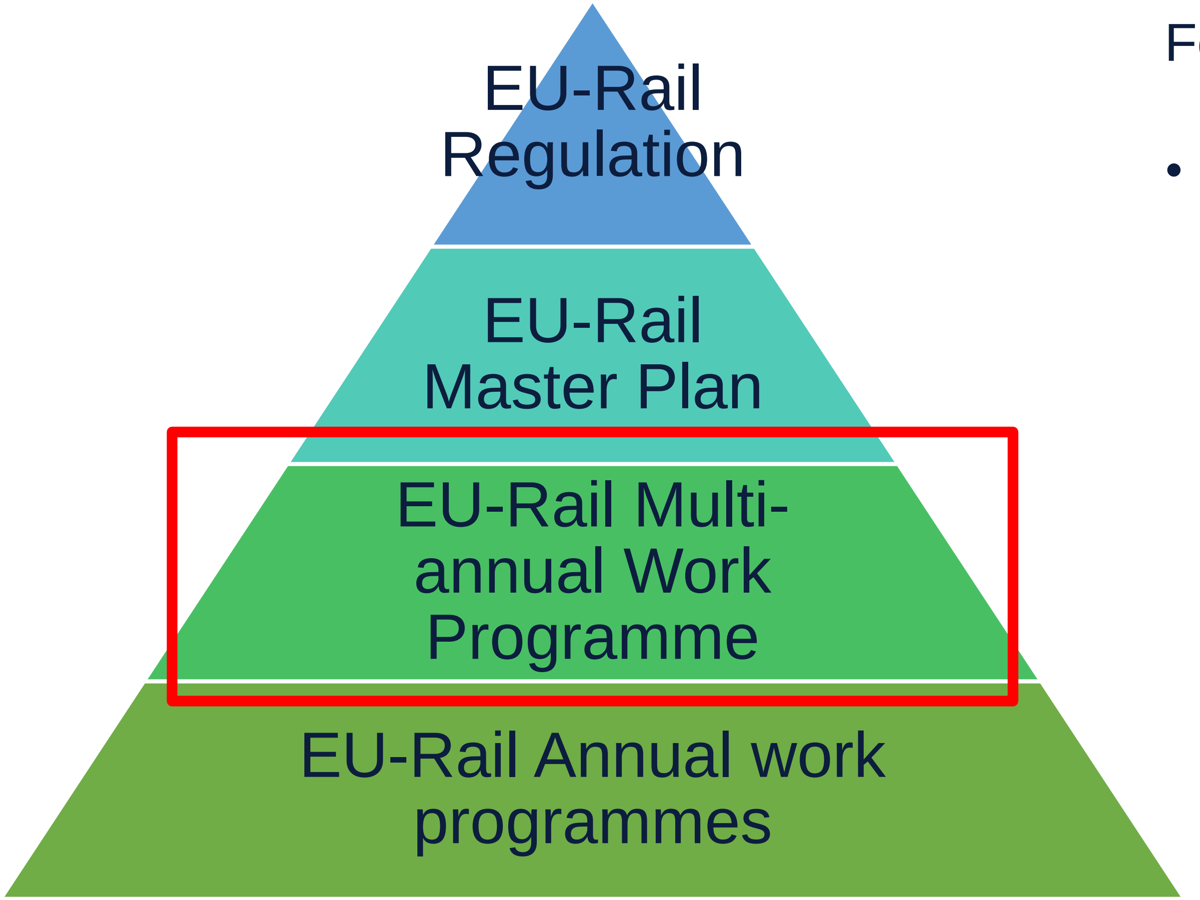
CONTINUOUS EXCHANGE

INNOVATION PILLAR

- User-focused Research & Innovation
- Flagship Projects
- Large-scale demonstrations.
- Exploratory, fundamental R&I

Technological and operational solutions

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*

THE EU-RAIL CALL 2025-1 IS OPEN TO ALL ELIGIBLE ENTITIES IN ACCORDANCE WITH HORIZON EUROPE

NO ADDITIONAL CONDITIONS

EU-Rail Call 2025-01: Opening: 26 February 2025; Deadline: 7 May 2025 17h

Total EU funding: 3M€

Call structure (see also annex VIII of the EU-Rail Work Programme 2025-2026)

- **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

DESTINATION 7 – Innovation on new approaches for guided transport modes

:

Topic	Type of Action	Expected TRL	Expected EU contribution per project (EUR million)	Number of projects expected to be funded
HORIZON-ER-JU-2025-FA7-01: Maglev-derived Systems	IA	5 to 6	3	1

Research Enquiry Service

For questions about research and Horizon Europe, you can contact the Research Enquiry Service via the webform:

Research Enquiry Service (europa.eu)

EUROPE’S RAIL
INFO DAY CALL 2025-11

EUROPE’S RAIL PROGRAMME
OPEN CALL TOPIC

EUROPE'S RAIL
INFO DAY CALL 2025-01

DESTINATION 7

HORIZON-ER-JU-2025-FA7-01: FURTHER TECHNOLOGICAL DEVELOPMENT OF MAGLEV-DERIVED SYSTEMS

Judit Sándor

Programme Manager, Europe's Rail Joint Undertaking

Specific conditions

DESTINATION 7 – Innovation on new approaches for guided transport modes

HORIZON-ER-JU-2025-FA7-01: FURTHER TECHNOLOGICAL DEVELOPMENT OF MAGLEV-DERIVED SYSTEMS

Expected EU contribution	EUR 3 million
Indicative project duration	36 months
TRL	5-6
Type of action	Innovation Action (IA)
Linked actions and expected interactions	NA

Expected outcome

Workstream 1: Configuration design development

- Assess the technical open points defined by the previous project MaDe4Rail* and assess the feasibility of use of MDS on the TEN-T lines equipped with ETCS;
- Encompass further analysis of the CCS, communication and infrastructure components with special attention to the balises, radio communication system, odometry and train detection systems;
- Assess and propose adaptation of the existing maintenance processes considering the installation of the linear motor.

Workstream 2: Testing and validation

- Verify MDS component compliance with TSI specifications through compatibility tests and simulations, also evaluating the potential impact of MDS systems on standards and TSI and the potential evolution of the system or the requirements;
- Address the compatibility with Eurobalises and the track geometry;
- Analyse the technical and economical variability** of the system based on the outcome of WS1 and from the testing;
- Deliver a detailed concept architecture (TRL5) for a 1:1 scale MDS demonstrator.

* https://www.rfi.it/en/Network/in-europe/MaDe4Rail.html

** to be read "viability"

Scope

Workstream 1: Configuration design development

- Advanced design concept of technical enablers and basic technologies supporting maglev-derived systems (TRL3) to address the following open points. The work should be based on the results coming from MaDe4Rail*:
  - Assess the geometric and electromagnetic compatibility for railway infrastructure;
  - Assess the effective max safe, tolerable speed increase in curves, by adjusting cant and cant deficiency through levitation;
  - Assess the track infrastructure adaptation for forces added by new propulsion systems;
  - Assessment of track maintenance procedures to allow the use of linear motors between the rail considering the maintenance regimes, devices to be used and local maintenance regulations.

Workstream 2: : Testing and validation

- Based on the results from work-stream 1, test full functionality, performances and safety of an MDS in a laboratory environment up to in relevant environment (TRL5/6). This shall include test related to electromagnetic compatibility test of the balise and the MDS and test of MDS in level-crossing and switches.
- Evaluation the technical and economical feasibility based on the test results;
- Identify the gaps and the potential topics for standardization on safety and security, including impact on existing regulation, in particular on the Technical Specification for Interoperability;
- Based on the results of Workstream 1 and 2, propose a detailed architecture concept (TRL5) of a full 1:1 scale fully automated Maglev-derived system including detailed technical, safety, security and performance requirements.

* https://www.rfi.it/en/Network/in-europe/MaDe4Rail.html

EUROPE’S RAIL
INFO DAY CALL 2024

CALL FOR PROPOSALS 2025-1

Q&A

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Coffee Break

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LEGAL AND FINANCIAL GUIDELINES

Starting at 10:30

EUROPE'S RAIL
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Anna Maria Torres

Grant & Legal Officer, Europe's Rail Joint Undertaking

Where to find EU-Rail’s 2025-01 Call for proposals?

- Funding and Tenders Portal
- EU-Rail website > ‘Calls’ tab

Before submitting your proposal

- **Participant Register**

- **Checks:**
  - ✓ 1. Exclusion
  - ✓ 2. Admissibility
  - ✓ 3. Eligibility

- **Follow rules described in Call for proposals**

Exclusion

- **EDES-DB check: before evaluation, before award and before GA signature**

- **Applicants who are subject to <u>EU administrative sanctions</u> or in certain <u>exclusion situations</u> cannot participate, e.g.:**
  - ✓ 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

- **Applicants will also be refused if :**
  - ✓ they misrepresented information required for participating or failed to supply that info
  - ✓ are in a situation of conflict of interest (CoI)

Admissibility

- Applicants must submit their proposals **before the deadline** and electronically via the Funding & Tenders Portal
- Applications must be **complete** and contain a **dissemination and exploitation plan**
- Applications must correspond to the **page limit**

Eligibility – *to participate & to receive funding*

EU COUNTRIES

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

NON-EU COUNTRIES

- Countries associated to Horizon Europe (**AC**)
- Low & middle-income countries
- Other countries when announced in the call or exceptionally if their participation is essential

SPECIFIC CASES

E.g.,

- EU bodies
- (IO):
  - International European research organisations are eligible for funding
  - Other IO can be eligible for funding only exceptionally

Associated Countries

- **19 Associated Countries (AC)**: *Albania, Armenia, Bosnia and Herzegovina, Canada, Faroe Islands, Georgia, Iceland, Israel, Kosovo, Moldova, Montenegro, New Zealand, North Macedonia, Norway, Serbia, Tunisia, Turkey, Ukraine and United Kingdom.*

- **Transitional arrangements (3)**: An applicant/legal entity based in a third country **officially candidate for association** to Horizon Europe **is eligible** *(Morocco, Republic of Korea, Switzerland).*
  - Those applicants will be treated as entities established in an Associated Country, if the Association Agreement with the third country concerned applies at the time of signature of the Grant Agreement.

Eligibility – *to participate*

Non-Associated Third Countries

- **Any legal entity, regardless of its place of establishment** - including legal entities or international organisations from non-associated third countries - is **eligible to participate** *(whether it is eligible for funding or not).*

- Non-associated third country applicants must submit their proposals as **Associated Partners.**

- **EXCEPTION: entities from countries subject to EU restrictive measures.**

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

- A **self-declaration** will be requested at **proposal stage.**

- **If the proposal is selected, having a GEP will be necessary before GA signature.**

Consortium

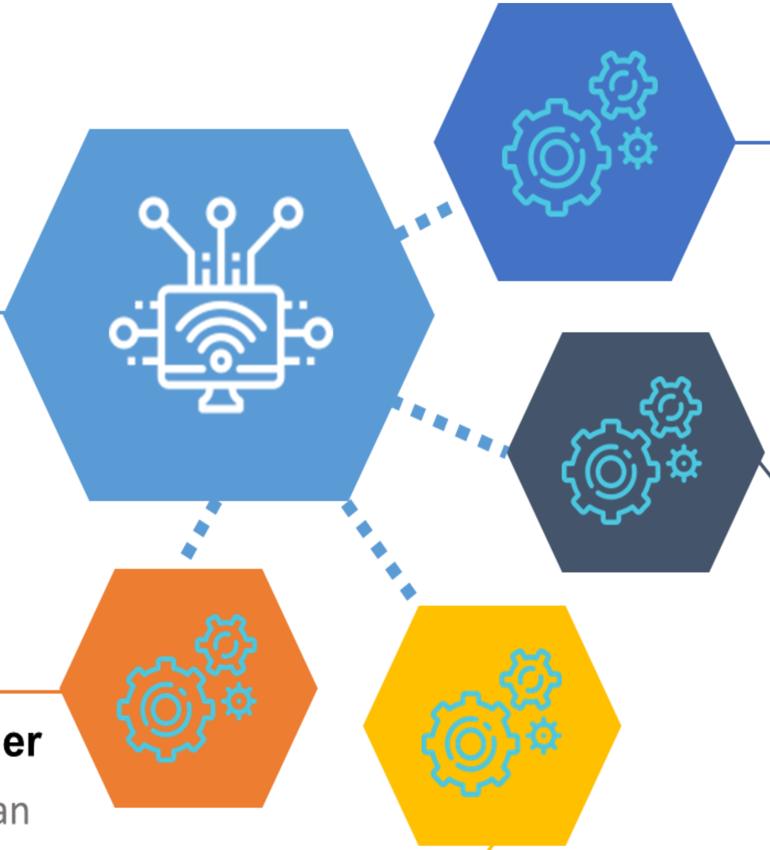
Forming a consortium of applicants is an <u>eligibility criterion</u>:

- ✓ At least **one** independent legal entity established in an EU Member State

  +

- ✓ At least **two other** independent legal entities established either in a different EU Member State or in an Associated Country

How can you participate in a Consortium?



Beneficiary

- Signs the project
- Has all rights and obligations

Affiliated entity

- With a legal or capital link with the beneficiary
- Does work and may declare costs

Third party providing contributions

- Does NOT do work just give in-kind contributions
- The beneficiary may declare the costs of the contributions

Associated partner

- Does work but can NOT declare costs

Subcontractor

- Does work and invoices the beneficiary
- The beneficiary may declare the invoice

Structure of proposals in HE

NEW IN PART A

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

FIELDS MOVED FROM PART B TO PART A

- Ethics self-assessment
- Security questionnaire

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

Ethics review

- EU funded activities must comply with 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**.

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

  For more information > 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, which become part of the grant agreement as **ethics deliverables** (e.g., ethics committee opinions or authorisations required under national or EU law).

Security scrutiny

- Security issues will be checked **systematically** in ALL HE proposals.

- 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

Checks based on self-assessment may trigger an in-depth security.

Evaluation of proposals

3 award criteria: ‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of implementation**’

> But specific EU-Rail sub-criteria - Annex VIII of the EU-RAIL WP 2025-2026

Part D of ‘*Horizon Europe Work Programme 2023-2025 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’*

Evaluation process: Award criteria (as per Horizon Europe + JU specificities as per Annex VIII of EU-RAIL AWP)

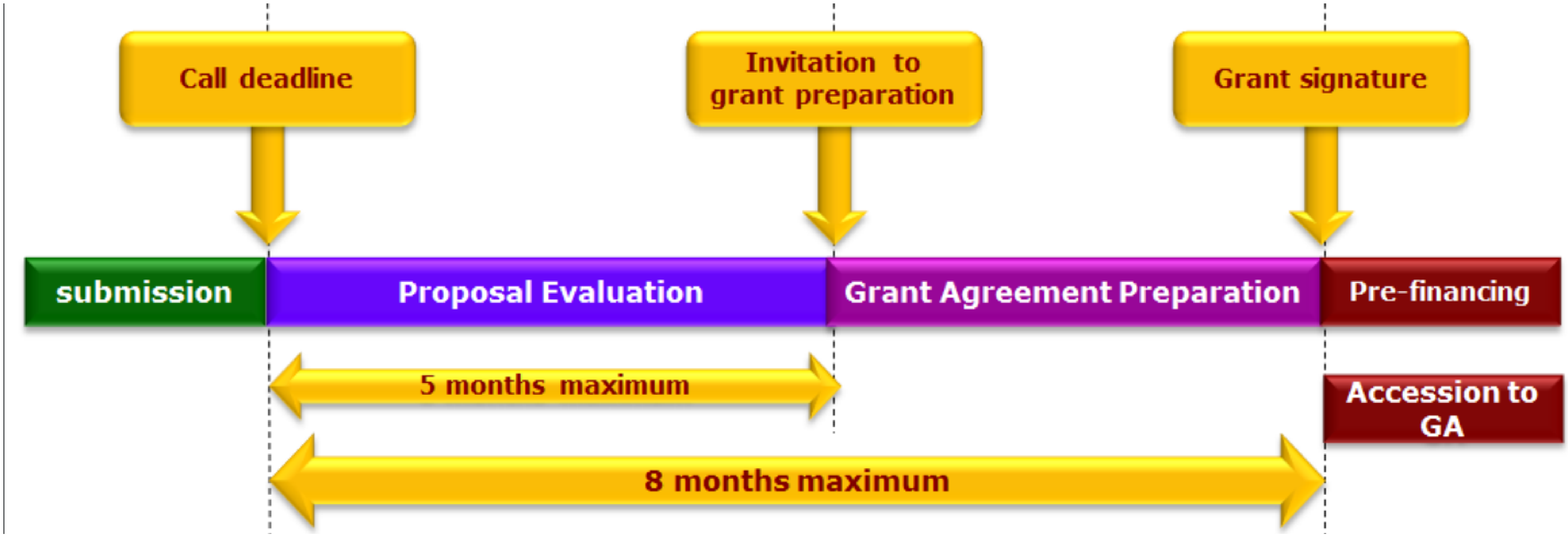
EXCELLENCE	IMPACT	QUALITY AND EFFICIENCY OF THE IMPLEMENTATION
✓ Clarity and pertinence of the **project's objectives**, and the extent to which the proposed work is ambitious, and goes beyond the state-of-the-art. ✓ Soundness of the proposed **methodology**, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate. ✓ **Quality of the proposed joint activities to achieve the deliverables.**	✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions from the project. ✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities. ✓ **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 effectiveness of the **work plan**, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall. ✓ Capacity and role of each **participant**, and extent to which the **consortium** as a whole brings together the necessary expertise. ✓ **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**
- **As the only topic is an IA**, to determine the **ranking,** 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**, <u>within the limits of the available call budget</u>

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 looks 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**

Europe's Rail

EUROPE'S RAIL
INFO DAY CALL 2024

FINANCIAL GUIDELINES

Vasileios Chatzigeorgiadis

Head of Corporate Services

Europe's Rail Joint Undertaking

FINANCIAL GUIDELINES

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

1. Lump sum Grants - Overview
2. Lump sum - Detailed Budget table
3. Private Members' contributions

Why do we use lump sum funding?

Significant simplification potential

- Despite all simplification, funding based on reimbursement of incurred costs remains complex and error-prone
- Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits – i.e. a major reduction of administrative burden
- Access to the programme becomes easier, especially for small organisations and newcomers

Focus on content

- Less focus on financial management, and more focus on the scientific-technical content of projects

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.

- If the budget table contains ineligible costs, the grants may be reduced (even later on during implementation of the project, or after they end).

- Details and instructions on how to fill in the lump sum detailed budget table are provided in the Funding & Tenders portal.

Writing a lump sum proposal

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)

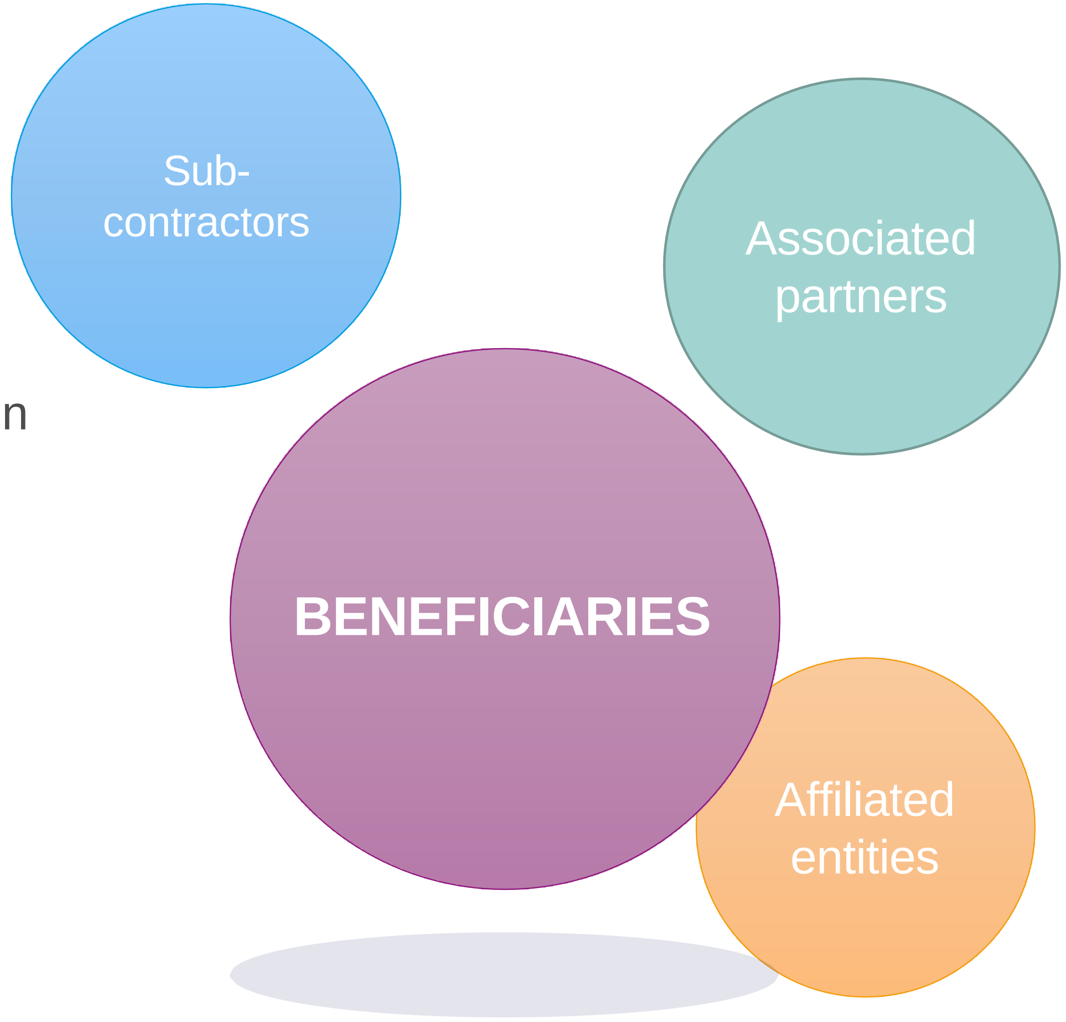
Work packages with a long duration **may** be split along the reporting periods (e.g., Management, Dissemination and Exploitation, etc.). In this way, the relevant activities can be paid at the end of the reporting period.

Financial aspects – types of participation

Costs actually incurred are not relevant.

Who does the work still is!

- You need to know which participant does what when carrying out the project (see bubbles to the right).
- The partner organisations and their activities are specified in the grant agreement. This includes:
  - Beneficiaries
  - Affiliated entities (if any)
  - Associated partners (if any)
  - Subcontractors (if any)*



* Subcontracted activities must be in the grant agreement, but the subcontractor may or may not be named.

Financial aspects – Type of costs

PERSONNEL COSTS

- Cost of **the time worked**
- **for the project** by:
  - **A.1** Employees
  - **A.2** Natural perso ns under direct contract
  - **A.3** Seconded per sons
  - **A.4** SME owners and natural person beneficiari es

SUBCONTRACTING COSTS

- You **sub-contract another entity to do part of the work allocated to you** in the description of the action
- The principles of subcontracting (ensuring **best value for money, no CoI**, subcontracting of only a limited part of the action, etc.) are still compulsory

PURCHASE COSTS

- **Travel and subsistence costs** for trips necessary for the project
- **Equipment** used for the project. In most cases, check if depreciation /full costs are eligible
- **Other goods, works and services**

OTHER COST CATEGORIES *e.g.*

- **Financial support to third parties (if applicable)**
- **Internal invoices**

Cost charged internally from one department to another of the same beneficiary; but only if you have a defined cost accounting method

INDIRECT COSTS

- **25% flat rate** applied on most of the other budget categories. When reporting, the IT system will calculate this automatically!

Financial aspects – Personnel costs

NEW!

Corporate formula

Day-equivalents worked on the action
(up to a maximum declarable)

✖

Daily rate

Basic principles

- *Simplification → Commission-wide formula (valid across EU programmes)*
- *Single calculation for the reporting period as a rule*
- *Per person who worked in the action*
- *Maximum declarable day-equivalents per year: pro-rata of 215 days*

Financial aspects – Calculation of the daily rate

Daily rate

{actual personnel costs during the months within the reporting period}

Divided by

{maximum declarable day-equivalents}

Eligible cost recorded in your statutory accounts

Pro-rata of 215

What?	What not?
fixed salary	remuneration which has not been an actual cost
social security contributions	arbitrary bonuses
taxes	payments of dividends
fixed / variable complements → Based on objective criteria (internal rules) Paid in a consistent manner	
other payments linked to the remuneration → If justified and registered	

Financial aspects – Subcontracting

- The principles of subcontracting (**ensuring best value for money, no CoI, subcontracting of only a limited part of the action, etc**.) are still compulsory

- BUT are not considered to be additional cost eligibility condition.

- The estimated costs for each subcontract have to be included in Annex 1 and the total estimated costs of subcontracting per beneficiary are displayed in Annex 2.

- The **costs of subcontracting MUST BE indicated in the "Financial Excel table**" and are part of the lump sum.

Financial aspects – Purchase costs

C.1 Travel and subsistence

- Travel costs
- Accomodation costs
- Subsistence costs

C.2 Equipment

- Depreciation costs (by default)
- Full costs for all or some equipment (3 options)

C.3 Other goods, works and services

- e.g. consumables and supplies

COMMON ELIGIBILITY RULES for purchase costs

- must fulfil the general eligibility conditions and
- be bought using the beneficiary’s usual purchasing practices, provided the following is ensured:
  - ✓ **best value for money (or if appropriate the lowest price) and**
  - ✓ **no conflict of interests**

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 agreements 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.
- 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.

Grant preparation - Budget allocation

Budget allocation (annex 2 to the grant agreement)

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	Total
Beneficiary A	250.000			50.000	300.000	250.000		300.000	1.150.000
Beneficiary B		250.000	350.000	50.000			100.000	150.000	900.000
Beneficiary C	100.000	100.000		50.000		280.000			530.000
Beneficiary D		120.000		50.000			100.000	150.000	420.000
Total	350.000	470.000	350.000	200.000	300.000	530.000	200.000	600.000	**3.000.000**

Shares of the lump sum per beneficiary

Shares of the lump sum per WP

Lump sum
=
Maximum grant amount

You can **use the budget as you see fit** as long as the project is implemented as agreed.

Budget transfers between work packages and/or partners require an amendment if the consortium wants to reflect them in the grant agreement.

Payment schedule

Types of payments:

Pre-financing payment

- Same function and same rules as for other grants
- Coordinator distributes the amount according to consortium agreement

Interim payment(s)

- One or more
- We pay the shares of the lump sum set out in Annex 2 for the work packages completed & approved in the reporting period

Payment of the balance

- Closes the financial aspects of the grant
- Partial payment for partially completed WPs possible
- Releases the amount retained for the Mutual Insurance Mechanism

Reporting and payment

- Use the **standard reporting template**
- The coordinator declares work packages as **Completed** or **Not Completed.** This should be justified by the technical periodic report.
- An incomplete work package can be completed and paid in a subsequent reporting period.
- At the final reporting period, it is possible to declare **Partially Completed** work packages, and to enter the percentage of completion.

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

The completion of work packages is not based on a successful outcome, but on the **completion of activities** as described in the description of action.

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.

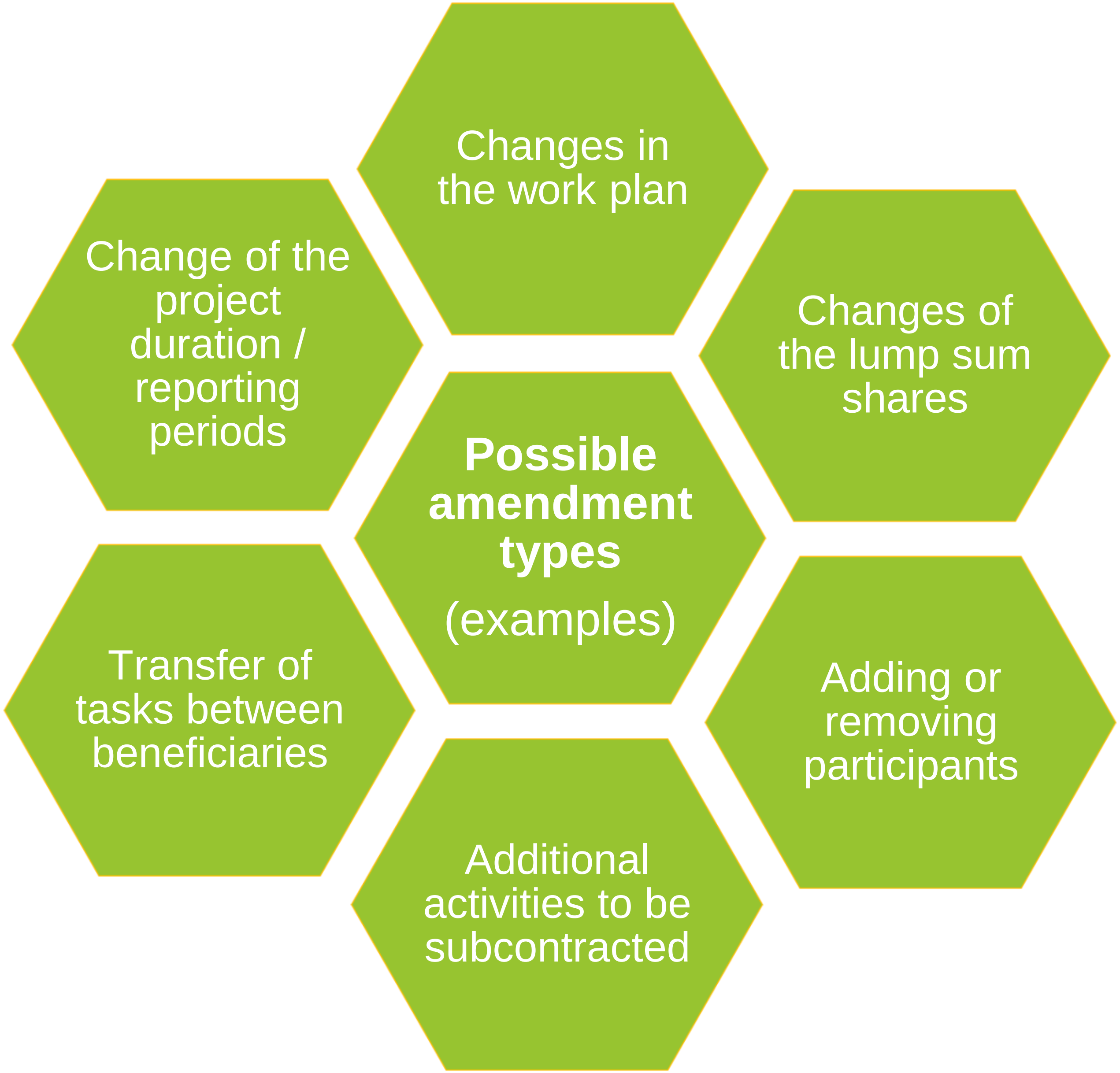
- Before a lump sum work package (that you declared completed) is rejected as incomplete, you are invited to **respond to the observations of the project officer**.

- 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.

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.**
- **Deviations** from the work plan can also be flagged in the periodic report (**simplified procedure**).



Ex-post technical reviews

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 ex-post audits by EC, only ex-post technical reviews by the JU services based on a sampling

Keeping records

Consortium **needs to keep** (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

Consortium **keeps but we wont require them during the course of the Action***

- ☐ Time-sheets
- ☐ Pay-slips or contracts
- ☐ Depreciation policy
- ☐ Invoices
- ☐ …any documents proving the actual costs incurred

*Participants still need to comply with financial record keeping **obligations outside the grant agreement**, if any (e.g., under national law or internal procedures)

2. Lump Sum detailed Budget table

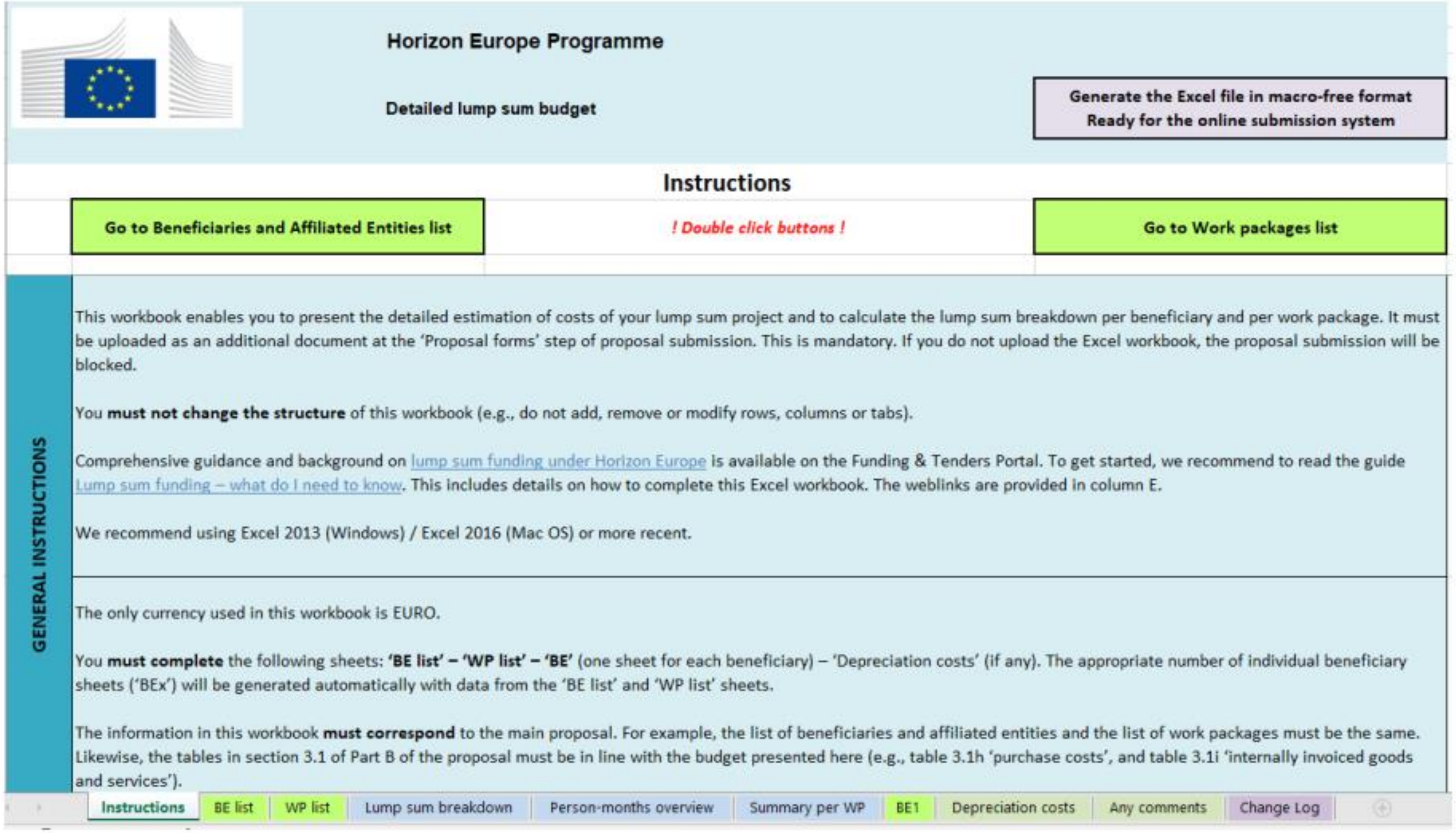
Sandro Benidio

Financial Officer

Europe's Rail Joint Undertaking

Instructions:

- In this tab, **all the necessary instructions** on how to fill in the table are shown
- For your proposal, you must **always use the file provided in the online submission system**. For information only, the template is available on the [Funding & Tenders Portal](#).


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.

You **must not change the structure** of this workbook (e.g., do not add, remove or modify rows, columns or tabs).

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' – 'BE'** (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 affiliated entities 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 the budget presented here (e.g., table 3.1h 'purchase costs', and table 3.1i 'internally invoiced goods and services').

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

BE List:

In this tab, you should add all the beneficiaries and affiliated entities and **chose 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 (BE) and affiliated entities (AE)					
BE/AE nr	***Role***	***BE/AE name***	***Acronym***	***Country***	***Funding rate***
BE1	Coordinator	University 1	Uni1	Belgium (BE)	100%
BE1-AE2	Affiliated entity	Laboratory 1	Lab1	Netherlands (NL)	100%
BE3	Beneficiary	SME 1	SME1	Croatia (HR)	100%
BE4	Beneficiary	Research organisation 1	RES1	Ireland (IE)	70%
BE5	Beneficiary	University 2	Uni2	Estonia (EE)	100%
BE6	Beneficiary	SME 2	SME2	Luxembourg (LU)	100%

Add BE | Delete OLD_BEx backup sheets | Apply changes

Add AE to BE1

Clear BE1-AE2

Clear BE3 | Add AE to BE3

Clear BE4 | Add AE to BE4

Clear BE5 | Add AE to BE5

Clear BE6 | Add AE to BE6

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	
WP number	***WP name***
WP1	Analysis
WP2	Technical part
WP3	Experiment 1
WP4	Experiment 2
WP5	Communication & dissemination
WP6	Project management 1
WP7	Project managmeent 2

Add WP

Double click buttons !

Apply changes

Clear WP2

Clear WP3

Clear WP4

Clear WP5

Clear WP6

Clear WP7

Individual beneficiary sheets– 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: BE3 - BUDGET SHEET — View Summary

COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS
	SME 1		
COSTS WORK PACKAGE 1: WP1 name			
A. DIRECT PERSONNEL COSTS			
A.1 Employees (or equivalent)			
SENIOR SCIENTISTS (or equivalent in the private sector)	5.0	7000	35000.00
JUNIOR SCIENTISTS (or equivalent in the private sector)	10.0	4900	49000.00
TECHNICAL PERSONNEL (or equivalent in the private sector)	5.0	5300	26500.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00
OTHERS			0.00
A.2 Natural Persons under direct contract			0.00
A.3 Seconded Persons			0.00
A.4 SME owners and natural person beneficiaries		4798	0.00
B. DIRECT SUBCONTRACTING COSTS			
			0.00
C. DIRECT PURCHASE COSTS			
C.1 Travel and subsistence	5.0	1500	7500.00
C.2 Equipment (complete 'Depreciation costs' sheet)			
Equipment	2.0	3000	6000.00
Infrastructure			0.00
Other assets			0.00
C.3 Other goods, works and services			
Consumables	1.0	7500	7500.00
Services for meetings, seminars			0.00
Services for dissemination activities (including website)			0.00
Publication fees			0.00
Other (shipment, insurance, translation, etc.)			0.00
D. OTHER COST CATEGORIES			
D.1 Financial support to third parties (if applicable in the topic specific conditions)			0.00
D.2 Internally invoiced goods and services			0.00
D.3 Transnational access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
D.4 Virtual access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)			0.00
TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)			131500.00

Instructions | BE list | WP list | Lump sum breakdown | Person-months overview | Summary per WP | BE1 | BE3 | BE4 | BE5 | BE6 | Depreciation

Individual beneficiary sheets– with AE:

Coordinator: BE1 - BUDGET SHEET		View Summary		BE1-AE2			
00000001-0001-0001-0001-000000000001	University 1			Laboratory 1			
COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS	ITEMS	COST PER ITEM	AE TOTAL COSTS	BE+AE TOTAL COSTS
COSTS WORK PACKAGE 1: WP1 name							
A. DIRECT PERSONNEL COSTS							
A.1 Employees (or equivalent)							
SENIOR SCIENTISTS (or equivalent in the private sector)			0.00			0.00	0.00
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		5990	0.00		6685	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

- If a beneficiary has an affiliated entity, columns for this entity are generated automatically in the ‘BEx sheet’.
- Enter the cost estimations of the affiliated entity in the same way as for the main beneficiary.

Fill in the individual beneficiary sheets – Direct Personnel Costs:

	A	B	C	D
1	**Beneficiary: BE3 - BUDGET SHEET**		View Summary	
2		SME 1		
3	COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS
4				
5	COSTS WORK PACKAGE 1: WP1 name			
6				
7	**A. DIRECT PERSONNEL COSTS**			
8	**A.1 Employees (or equivalent)**			
9	SENIOR SCIENTISTS (or equivalent in the private sector)	5.0	7000	35000.00
10	JUNIOR SCIENTISTS (or equivalent in the private sector)	10.0	4900	49000.00
11	TECHNICAL PERSONNEL (or equivalent in the private sector)	5.0	5300	26500.00
12	ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00
13	OTHERS			0.00
14	**A.2 Natural Persons under direct contract**			0.00
15	**A.3 Seconded Persons**			0.00
16	**A.4 SME owners and natural person beneficiaries**		4798	0.00

- Enter the **total number of items and the average cost per item** for each category of personnel costs
- **1 item = 1 person-month**
- For ‘A4. SME Owner and natural person beneficiaries’, the cost per item is predefined
- Personnel costs will be evaluated by experts using the Horizon dashboard for lump sum evaluations, an orientation tool that shows the average monthly costs for personnel by country and organisation type
- If your personnel costs are higher than the values in the dashboard, you must **justify them in the ‘Any comments’ tab**

Fill in the individual beneficiary sheets – Subcontracting Costs:

17	B. DIRECT SUBCONTRACTING COSTS			
18		1.0	30000	30000.00

- There is one line for subcontracting per beneficiary and work package (i.e., the amount entered covers all subcontracting activities for the beneficiary in a work package).
- Enter the number of subcontracted tasks for a given beneficiary and a given work package as number of items. The cost per item will be an average of the costs of all subcontracted tasks. No more detailed information is required in the Excel file.
- The tasks to be subcontracted and their costs must be described and justified in the **table 3.1g in the part B of the application form**

Table 3.1g: 'Subcontracting costs' items

For each participant describe and justify the tasks to be subcontracted (please note that core tasks of the project should not be sub-contracted).

Participant Number/Short Name		
	Cost (€)	Description of tasks and justification
Subcontracting		

The costs entered here must match the costs entered in the Excel file

Fill in the individual beneficiary sheets – Direct Purchase Costs:

3	COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS
19	C. DIRECT PURCHASE COSTS			
20	C.1 Travel and subsistence	5.0	1500	7500.00
21	C.2 Equipment (complete 'Depreciation costs' sheet)			
22	*Equipment*	2.0	3000	6000.00
23	*Infrastructure*			0.00
24	*Other assets*			0.00
25	C.3 Other goods, works and services			
26	*Consumables*	4.0	1000	4000.00
27	*Services for meetings, seminars*	1.0	3000	3000.00
28	*Services for dissemination activities (including website)*			0.00
29	*Publication fees*	2.0	1500	3000.00
30	*Other (shipment, insurance, translation, etc.)*			0.00

- Enter the **total number of items** and the **average cost per item** for each relevant cost category.
- The cost per item will be an average of the prices of all items in the given category for a given beneficiary and a given work package. No more detailed information is required in the Excel file.
- If purchase costs exceed 15% of the personnel costs of a given beneficiary, this beneficiary must complete table **3.1h of Part B of the proposal template**

Table 3.1h: 'Purchase costs' items (travel and subsistence, equipment and other goods, works and services)

Participant Number/Short Name		
	Cost (€)	Justification
Travel and subsistence		
Equipment		
Other goods, works and services		
Remaining purchase costs (<15% of pers. costs)		
Total		

Fill in the individual beneficiary sheets – Depreciation Costs List:

TOOL: DEPRECIATION COSTS LIST											
BE nr	*Beneficiary name*	*WP nr*	*Work Package name*	*Resource type*	*Short name of the investments*	*Date of purchase (real or planned date of purchase)*	*Purchase cost*	*% used for the project*	*% of useful life of the equipment in the project*	*Charged depreciation costs per investment*	*Justification: Needed info for depreciation*
BE1	University 1	WP1	Work package 1	Infrastructures	Description of the infrastructure	22-04-2024	20000.00	100.00%	40.00%	€ 8,000.00	
BE3	SME 1	WP2	Work package 2	Equipment	Description of the equipment	01-02-2024	6000.00	100.00%	50.00%	€ 3,000.00	
										€ -	
										€ -	
										€ -	
										€ -	

- For the category ‘equipment’ (equipment, infrastructure, other assets) you must enter the **depreciation costs** in the individual beneficiary tabs.

- Use the ‘**Depreciation costs’ tab** to calculate the depreciation costs:
  - Fill in the information about the beneficiary, the work package, the resource type, the name of the investment and the date of purchase
  - Encode the (estimated) price of the equipment in the column ‘Purchase cost’
  - Encode the percentage of usage of the equipment for the project in the column ‘% used for the project’
  - Divide the period (in months) during which the equipment is used for the project by the depreciation period (in months) for the equipment. Multiply the results by 100%. Encode the result in the column ‘% use for lifetime of the investment’

- This amount is **NOT** automatically transferred to the respective ‘BEx’ tab. You have to **add manually** the depreciation costs in the dedicated section of the ‘BEx’ tab. If you have several items in the ‘Depreciation costs’ tab for one single section (same beneficiary, same work package and same resource type), you must enter the number of items and add the average of the depreciation costs as ‘cost per item’.

Fill in the individual beneficiary sheets – Other Direct Costs and Indirect Costs:

3	COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS
31	D. OTHER COST CATEGORIES			
32	D.1 Financial support to third parties (if applicable in the topic specific conditions)	1.0	6000	6000.00
33	D.2 Internally invoiced goods and services			0.00
34	D.3 Transnational access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
35	D.4 Virtual access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
36	D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)			0.00
37				
38	TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)			134000.00
39	TOTAL DIRECT COSTS (A+B+C+D)			170000.00
40				
41	E. INDIRECT COSTS (25% * (A+C))			33500.00
42				
43	F. TOTAL COSTS (A+B+C+D+E)			203500.00

- Certain types of costs can be entered only if they are **explicitly allowed for in the specific conditions of your topic**:
    - Financial support to third parties
    - Transnational access to research infrastructure' and 'Virtual access to research infrastructures
    - PCP/PPI procurement costs
- Indirect costs are calculated automatically.
- Total costs are calculated automatically.

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:

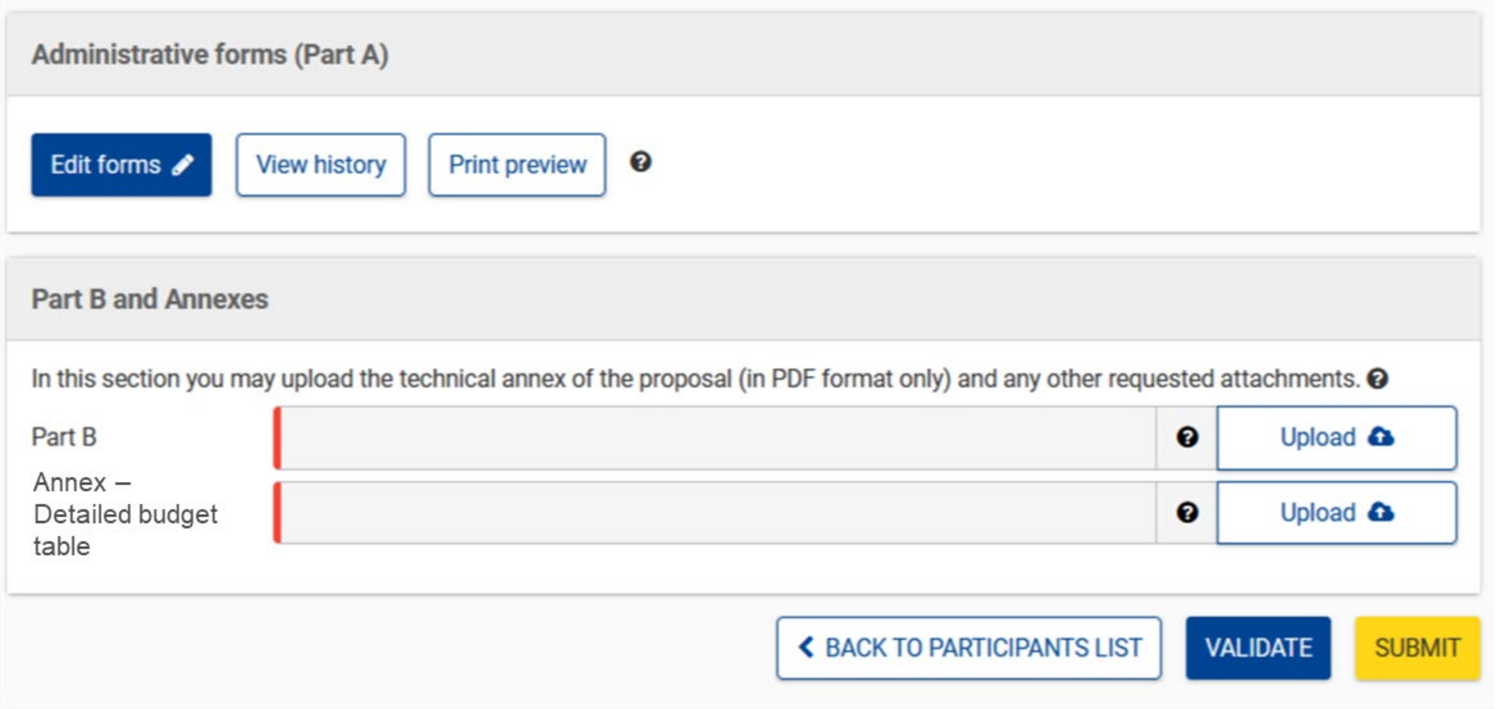
In this tab, after completing the individual beneficiary sheets, you will have the necessary information to fill in your annex 2 with a clear description of how much funding will be allocated per beneficiary and affiliated entities based on their declared funding rate

ESTIMATED BREAKDOWN OF THE LUMP SUM PER WORK PACKAGE AND PER BENEFICIARY						
BENEFICARIES	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

Uploading the Excel file:

- Once you completed the detailed budget table, **upload it in the online submission system**, as annex to the part B template.



The format of the Excel template is .xlsm because it uses macros. While you work on it, always save it as .xlsm.

Upload the Excel file in .xlsx or .xls format. For security reasons, you cannot upload the file in .xlsm format.

Always keep a copy of the original .xlsm file.

3. Private Members Contribution

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”

1. Fill in the project acronym

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	Justification if applicable (E)
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)		-	-	
		-	-	
		-	-	

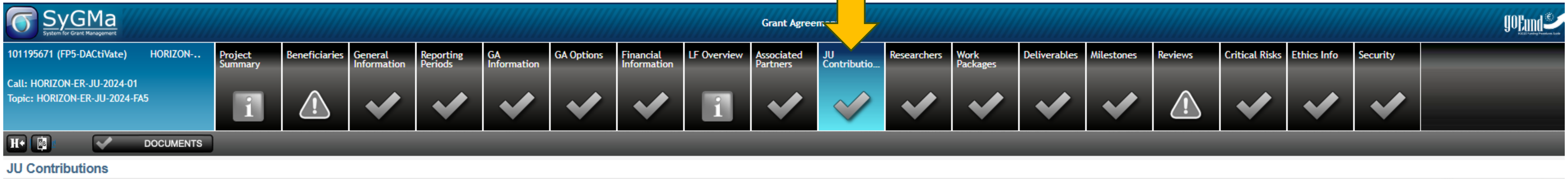
2. Fill in the Members name

3. Enter the JU contribution (LS share)

The indicative value of contribution and % are automatically calculated

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

Members contributions in the GAP phase



Number		PIC	Legal Name	JU Membership	Participates in Project	IKOP	Financial Contributions G	IKAA
1	✓	[redacted]	[redacted]	Yes (Associated Member)	Yes	774,404.53 €	0.00 €	421,017.93 €
2	✓	[redacted]	[redacted]	Yes (Associated Member)	Yes	794,858.87 €	0.00 €	0.00 €
3	✓	[redacted]	[redacted]	Yes (Founding Member Affiliate)	Yes	191,480.63 €	0.00 €	104,101.64 €
4	✓	[redacted]	[redacted]	Yes (Founding Member)	Yes	230,532.41 €	0.00 €	0.00 €
5	✓	[redacted]	[redacted]	Yes (Founding Member)	Yes	688,694.40 €	0.00 €	0.00 €
6	✓	[redacted]	[redacted]	Yes (Founding Member Affiliate)	Yes	157,603.16 €	0.00 €	85,683.59 €
7	✓	[redacted]	[redacted]	Yes (Associated Member Affiliate)	Yes	330,918.75 €	0.00 €	179,909.49 €
Total						3168492.75 €	0 €	790712.65 €

During the GAP phase, the tab **"JU Contribution"** should be filled in with the **IKOP and IKAA** for the members participating in the project.

Filling in this information is **mandatory!**

The figures encoded should be in line with the figures declared in the table "Estimated Members Contribution".

Resources available

One dedicated lump sum page on the Funding &Tenders Portal with:

Video tutorials	• Overview of lump sum funding • Detailed budget table • Horizon dashboard for lump sum evaluations
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 (Sep 2024) • European Commission assessment (Oct 2021) • European Parliament (STOA) study on lump sums in Horizon 2020 (May 2022)
Events	• Future events • Past events and recordings

EUROPE'S RAIL
INFO DAY CALL 2024

LEGAL AND FINANCIAL GUIDELINES

Q&A

Any questions?

Info-call@rail-research.europa.eu

- **2025 Call Q&As** published on EU-Rail's **website** and on **F&T Portal**
- **Useful documents:** HE WP 2023-2025 General Annexes, HE Programme Guide, F&T Portal Online Manual, Annotated Model Grant Agreement, List of participating countries to HE

REA Central Validation Service

Getting started - Registering your organisation

Mariadomenica CUGNIDORO
LEGAL AND FINANCIAL OFFICER - REA D.4

Presentation Outline

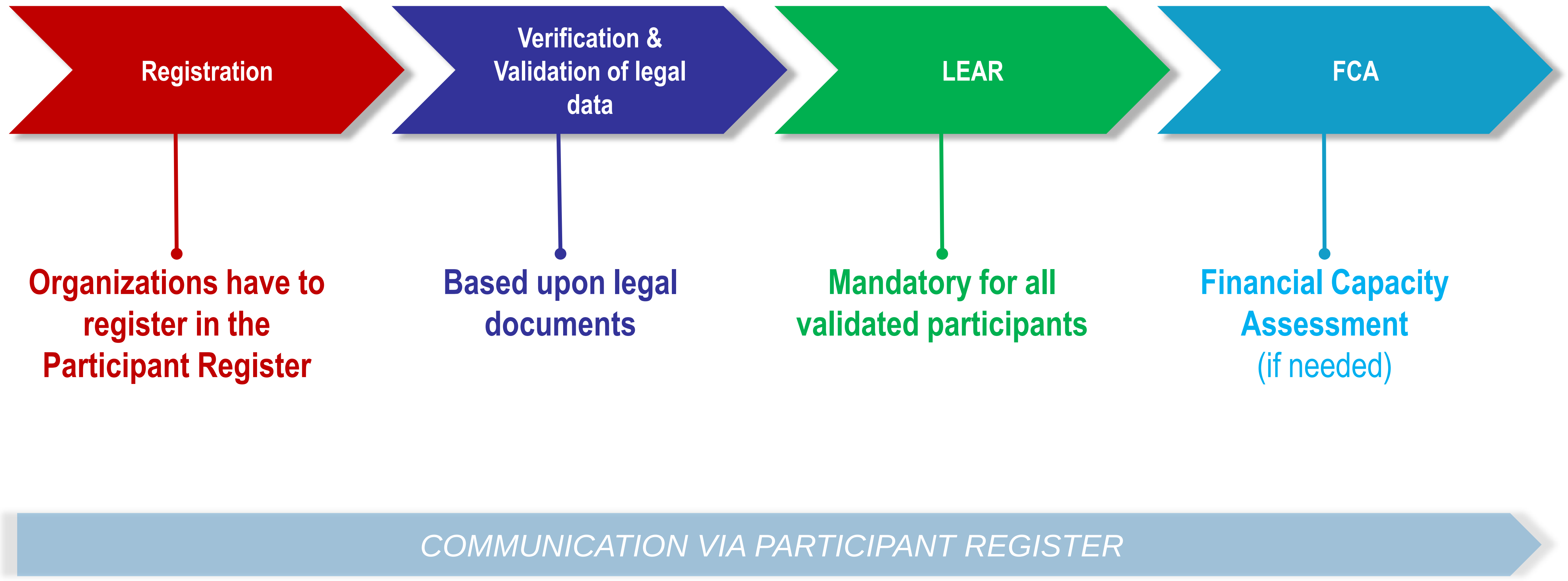
- REA Central Validation Service
- Registration of Participants
- Legal validation and LEAR
- Communication
- Guidance documents

REA Central Validation Service
(REA CVS)

- Verifies **legal existence and legal statuses** of entities
- Validates the appointment of **Legal Entity Appointed Representatives (LEARs)**
- Validates **legal changes** of validated entities
- Assesses **universal takeovers (UTROs)** of validated entities
- Encoding **Bank Account requests**
- Prepares the **Financial Capacity Assessment**
- Performs **ownership control assessments** for specific programmes
- Performs ex-post status verifications (e.g. **SME & MID cap status checks**)

European Commission

Validation Process Overview



Validation Process Overview

Registration

Verification & Validation of legal data

LEAR

FCA

Organizations have to register in the Participant Register

Based upon legal documents

Mandatory for all validated participants

Financial Capacity Assessment (if needed)

Registration of an organisation
(at proposal stage)

European Commission | EU Funding & Tenders Portal

Home | Funding | Procurement | Projects & results | News & events | Work as an expert | Guidance & documents

Home > Funding > Participant Register

Participant Register

The participant register is now multilingual! Select your preferred language from the top right corner of the Portal.

If you want to participate in a call for proposals or in a call for tenders with eSubmission, your organisation needs to be registered and have a 9-digit Participant Identification Code (PIC). Please quote your PIC in all correspondence with the Commission.

The register contains all participants of EU programmes.

Registration > Validation & Verification of Legal Data > LEAR > FCA

Registration of an organisation
(at proposal stage)

European Commission | EU Funding & Tenders Portal

Sign in EN

Home | Funding | Procurement | Projects & results | News & events | Work as an expert | Guidance & documents | Search...

Is your organisation already registered? PIC search

Please check whether your organisation has already been registered. If so, no need to register it again.

Find a registered organisation

Register your organisation

To register your organisation or as a natural person, you need to login into the Portal or, if you are a new user, create your account.

Check what information you need to register in the Online Manual - and keep it to hand during the registration procedure. To start registration, click on the button below.

Register your organisation

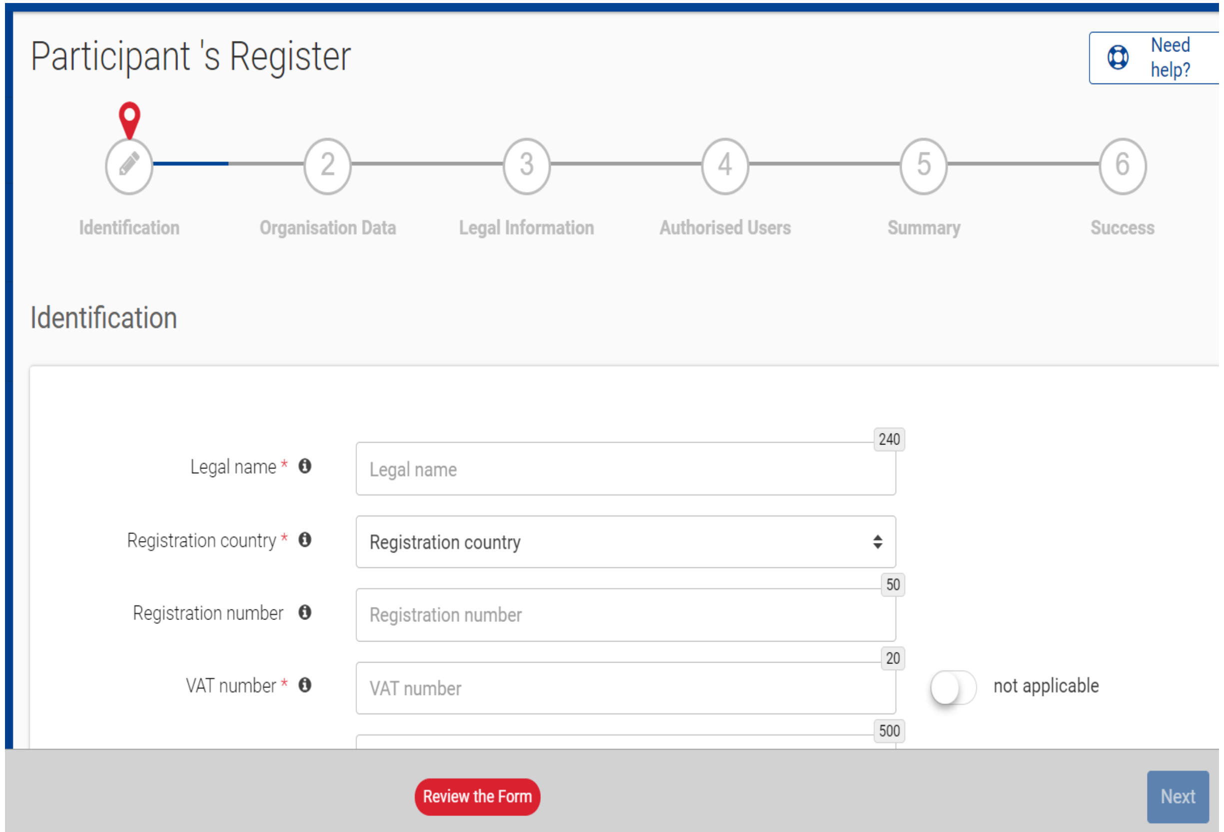
You can suspend the registration process at any time: the data entered can be saved as draft and you can continue your registration later. To return to your registration, please log in and get into My Organisation(s) in the My Area section. Incomplete, draft registrations are automatically deleted after one year.

Additionally, for actions where the SME status is an eligibility criterion (like, e.g. the EIC Accelerator) you must also carry out the SME self-assessment.

Should your project or tender be successfully evaluated, the registered data will be verified by the Central Validation Service team before the signature of the Grant Agreement or of the Framework Contract.

Registration → Validation & Verification of Legal Data → LEAR → FCA

How to register in the Participant Register



Identification

(e.g. Legal name, VAT number)

Organisation data

Legal information

Authorised users

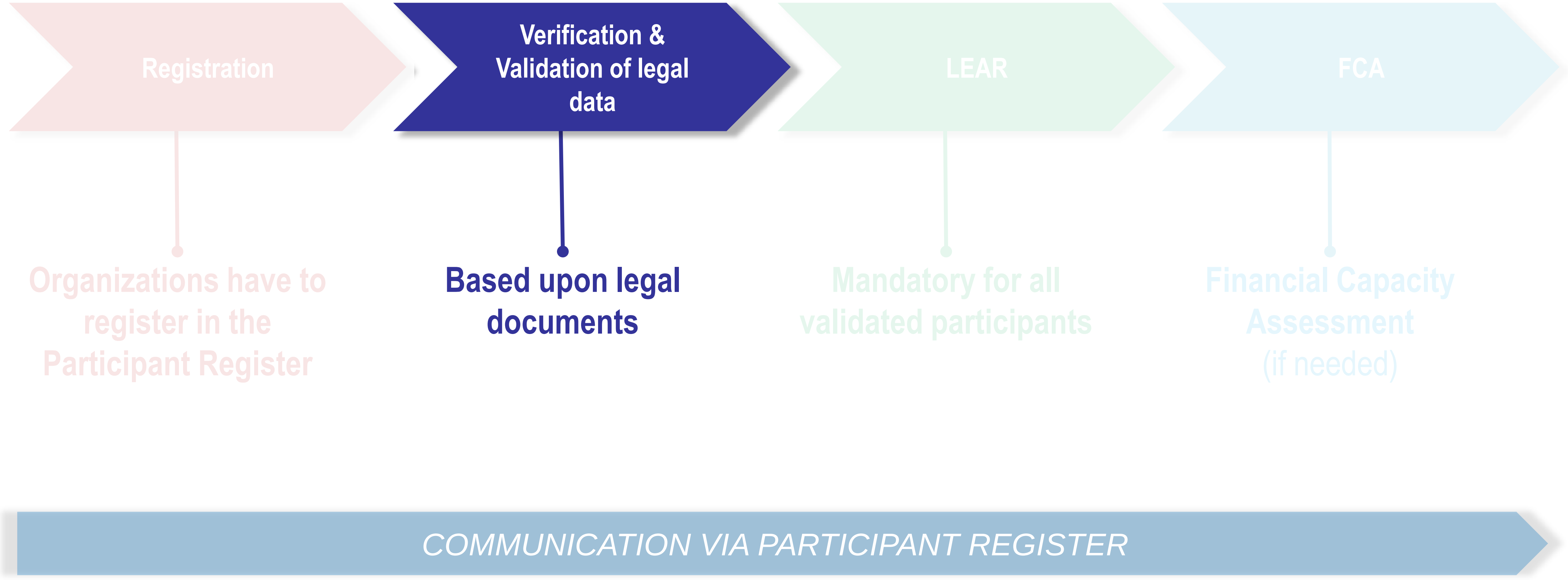
(e.g. Name, e-mail address of the self-registrant and the back-up)

Registration completed

New Participant Identification Code (PIC) in a "declared" status

Registration | Validation & Verification of Legal Data | LEAR | FCA

Validation Process Overview



Legal validation

- Registration data is verified by REA Central Validation Service *before* the signature of the first Grant Agreement or Contract

- The legal validation of a participant is done *once* and it is *reused* for future participations in EU grant, procurement actions and contribution agreements

- Validation is always performed based on supporting documents, in accordance with the EU Financial Regulation and the Rules on Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment

Legal validation documents

- ✓ **Legal entity form** (template to be completed, dated, stamped and signed)
- ✓ **VAT extract** (< 1 year)
  - ✓ *If not registered for VAT – proof of VAT exemption*
- ✓ **Registration extract** (< 1 year) – for private law bodies
- ✓ **Law/decree/decision** – for public law bodies
- ✓ **Treaty** – for international organisations
- ✓ **Statutes** – for non-profit organisations

Validation Process Overview

Registration

Organizations have to register in the Participant Register

Verification & Validation of legal data

Based upon legal documents

LEAR

Mandatory for all validated participants

FCA

Financial Capacity Assessment
(if needed)

COMMUNICATION VIA PARTICIPANT REGISTER

LEAR roles and duties

The *Legal Entity Appointed Representative* (LEAR):

- Notifies the EU of changes in legal data/status
- Submits legal and financial documents if required
- Manages access rights of persons in the organisation (but *not* at the project level)
- Nominates 'Account Administrators' and individuals authorised to sign:
  - ✓ Contracts/grant agreements and their amendments (Legal signatories, i.e. **LSIGN**)
  - ✓ Financial statements (Financial signatories, i.e. **FSIGN**)

LEAR appointment documents

1. LEAR appointment letter (duly signed by both the legal representative and the LEAR)

2. Official proof of identity (ID-card/passport with photo and signature) of the legal representative and the LEAR

3. Proof of empowerment of the legal representative

Scanned version *of these documents shall be uploaded in the Participant Register.*
Original of 1 *must be kept in the entity's premises.*

Communication

(e.g. request to submit legal documents or to appoint a LEAR)

All communication is exclusively managed **through the Participant Register**

European Commission <EC-NO-REPLY-GRANT-MANAGEMENT@nomail.ec.europa.eu>

to me

Europa / Funding & Tenders Portal notification

Dear User,

You have been granted the role of **Self Registrant** for the organisation arquicios.

In order to access your organisation data on the Funding & Tenders Portal/Supplier portal, you need to log in on the F&T Portal/Supplier Portal. If you did not have an EU Login yet, it was launched automatically for a separate e-mail with a hyperlink to finalise your account.

For more information on the Funding & Tenders Portal roles, please refer to the Online Manual if you participate in the programmes managed on the Funding & Tenders Portal.
For more information on the roles for e-Procurement, please refer to the e-Procurement wiki page, if you participate in a tender call.

With kind regards,
EU Single Electronic Data Interchange Area - F&T Portal team

This email has been auto-generated. Please do not reply to this account. Your email will not be read. For any inquiries please contact the Grants Procurement Systems Support +32 (2) 29 71063 or EC-FUNDING-TENDER-SERVICE-DESK@ec.europa.eu.

Messages are notified via e-mail to the contact person
(i.e. self-registrant or the appointed LEAR)

European Commission

Access lost to a declared or valid PIC

Declared PIC

- In case the self-registrant left the organisation, and no one has access to a declared PIC – a new PIC needs to be created, and REA CVS informed

Valid PIC

- If the LEAR is not available anymore, and there are no Account Administrators, a new LEAR needs to be appointed – LEAR recovery procedure

https://ec.europa.eu/research/participants/urf/lear-recovery/request/

Guidance documents

Rules on Legal validation, LEAR appointment and financial capacity assessment
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/rules-lev-lear-fca_en.pdf

How to register in the Participant Register
https://webgate.ec.europa.eu/funding-tenders-opportunities/display/OM/Online+Manual

Online Manual, IT How to, RES Helpdesk, specific FAQs on the Tenders Portal
https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/support

Legal notice on the Funding and Tenders Portal
https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/legalnotice

Thank you for your attention!

Questions?

Founding Members