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Assessment of the Lump Sum Pilot 2018 - 2020

Analysis of qualitative and quantitative feedback

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I. SUMMARY

The European Commission launched the Horizon 2020 **lump sum pilot** three years ago, in 2018. This is a **comprehensive test of lump sum funding** for research and innovation projects. The pilot consists of 16 topics in the Horizon 2020 work programmes of 2018 - 2020. It covers all main types of grants, and grants of different sizes and complexity. To date, we received more than 1,500 proposals as part of the lump sum pilot and signed nearly 500 lump sum grants. The majority of the resulting projects started in 2019 or 2020 and will report for the first time in 2021.

We closely monitored the pilot from the start to assess if the chosen approach to lump sum funding is achieving its main objectives and is suitable for wider use in future R&I framework programmes. To this end, we collected feedback from stakeholders involved in the lump sum pilot during the R&I Days 2020 and in several dedicated workshops and outreach activities. In addition, we carried out 4 online surveys among the main groups directly involved in the pilot at the end of 2020 and early 2021 (i.e., applicants and beneficiaries, expert evaluators, EU staff implementing lump sum pilot topics, and National Contact Points (NCPs)). Overall, the test phase and feedback received show that our **lump sum approach works in practice and is fit for wider use** in Horizon Europe.

One of the main strength identified by the surveys is that the **lump sum pilot delivered on its main goals**, to simplify administration and shift the focus to the content of projects. This was confirmed by a consistent and clear majority of participants, experts, EU staff, and NCPs (Figure 1). At the same time, there is wide agreement that **further improvements are needed** (Figure 2).

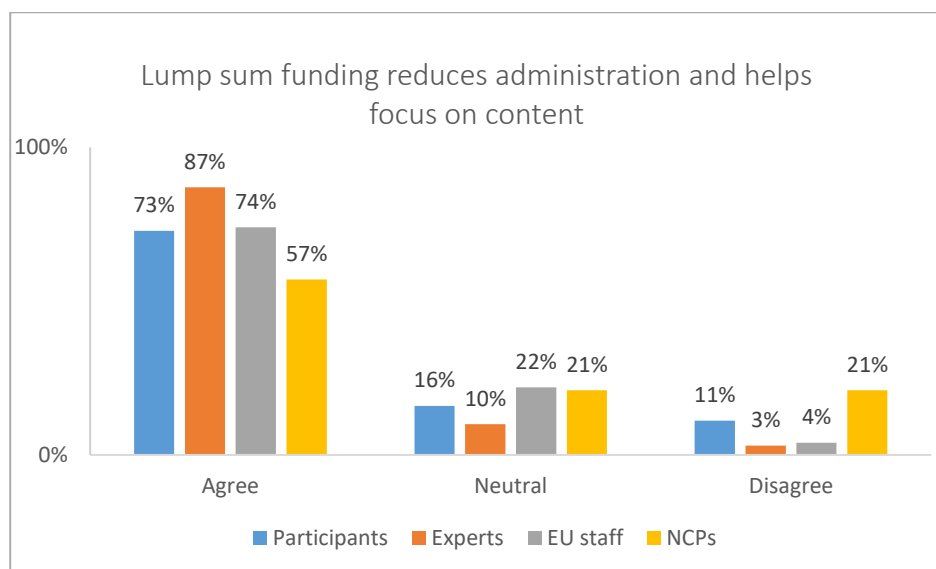


Figure 1. In all 4 surveys, a clear majority agreed that lump sum funding delivers on its two main goals, to reduce administrative burden and to shift the focus from financial controls to the content of the projects funded.

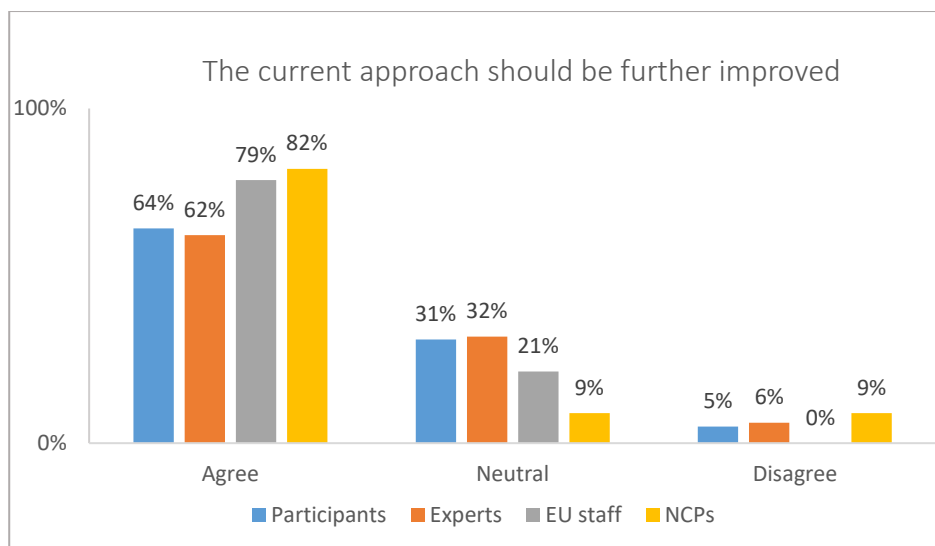


Figure 2. A consistent majority in all four surveys believes that the lump sum funding approach should be further improved.

This result is in line with feedback from a series of workshops, where participants endorsed the concept of lump sum funding but also voiced specific concerns. Interestingly, the surveys contradict some of the individual concerns we heard and provide a more positive picture (e.g., regarding the effort needed to set up a lump sum proposal). This observation may be explained, at least in part, by the fact that lump sum funding is new and many participants are much more familiar with the traditional approach to reimburse actual costs.

The four surveys have identified strengths and weaknesses of the lump sum pilot, and we will use this to improve the current approach. The results suggest that **lump sum funding can be used** for any type of action, including for large multi-beneficiary projects, **without increasing burden or decreasing satisfaction** of users.

Analysing the survey responses by type of organisation, by budget size, and by size of the consortium provided some additional insights on top of the overall positive impression. Firstly, we found that SMEs are more positive about lump sum funding than large companies or universities and research organisations. In particular, SMEs confirm more clearly that it does not take more time to write a lump sum proposal than a standard proposal, and they find it even easier to define a lump sum budget. Secondly, the perception of lump sum funding, and the ease of using it, is better among participants involved in grants with budgets below EUR 1 million than among those involved in larger grants. The data also show a very clear effect of the size of the consortium. Participants perceive lump sum funding the more positively the smaller the consortium is, with the best values observed for consortia of 5 participants or less.

Taken together, we see a **more positive attitude of SMEs** towards lump sum funding, and **more positive feedback associated with small to mid-sized budgets and small to mid-sized consortia**. This observation does not exclude lump sums for large and complex grants but may well be taken into account when identifying suitable programme parts for lump sum funding.

In the context of **reducing the financial error rate** in the R&I framework programmes, **lump sum funding is one of the key options** available to tackle the problem. It is clear that lump sum funding would have to be used on a large scale to reduce the error rate substantially. A possible massive extension of lump sum funding under Horizon Europe is being discussed by the responsible governance bodies. Our survey among National Contact Points (NCPs) addressed this

important point in order to obtain the opinion of Member States and Associated Countries. We found that the **NCPs are generally satisfied** with our lump sum approach. The large majority of **NCPs endorse the wider use of lump sums** in Horizon Europe (Figure 3) and agree that lump sum funding should become a standard funding model, in addition to the traditional funding model based on the reimbursement of actual costs.

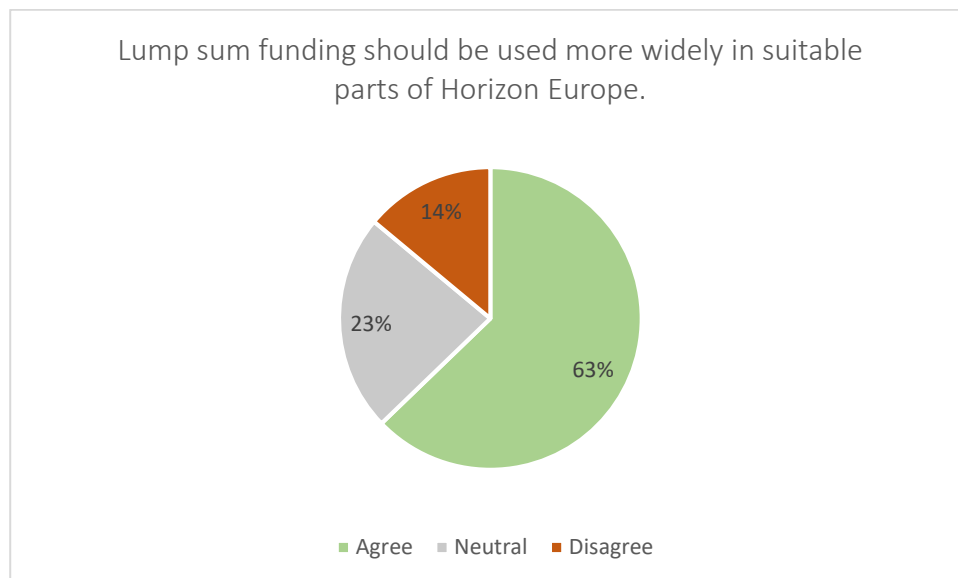


Figure 3. The majority of NCPs agree with a wider use of lump sum funding under Horizon Europe.

For a list of key messages and next steps, see section V. ‘Conclusions’.

II. INTRODUCTION TO THE LUMP SUM FUNDING PILOT

Lump sum funding has been used since the beginning of Horizon 2020 for low-value mono-beneficiary grants, for example under the SME 1 scheme. **From 2018, the use of lump sums was extended significantly.** We launched a pilot to test lump sum funding for all types of actions in Horizon 2020, including for large and complex multi-beneficiary projects. The main rationale for the pilot was the potential of lump sum funding for simplifying project management, avoiding errors, and shifting the focus from financial controls to content. On the other hand, despite all efforts, funding based on the reimbursement of actual costs has remained error-prone, especially for personnel costs.

In total, the pilot consists of 16 topics in the Horizon 2020 work programmes of 2018 - 2020. To date, the pilot received more than 1,500 proposals and resulted in 478 lump sum grants, with another 46 projects currently in grant preparation. The pilot is testing two options for lump sum funding, allowing for fixed lump sums defined by the Commission (option 1) or individual lump sums defined by the applicants (option 2).

In *option 1*, the Commission fixes the lump sum per project in the call for proposals, based on a dedicated Commission decision. Proposals describe the efforts and resources that the applicants commit to mobilise for the pre-defined lump sum amount. Applicants must also provide the proposed split of the lump sum per work package and per beneficiary. Proposal evaluation – and competition between proposals – ensures that adequate resources are committed.

In *option 2*, applicants propose a lump sum based on a detailed estimation of costs. Following evaluation of the proposal and taking into account expert advice, an individual lump sum is fixed in each grant agreement. Proposals contain a detailed budget that resolves the direct costs of each beneficiary per work package in the cost categories defined in the Model Grant Agreement. The lump sum is then calculated by applying the 25% flat rate for indirect costs and the applicable reimbursement rate.

III. FEEDBACK RECEIVED ON THE LUMP SUM PILOT

This section presents an analysis of the feedback received for each step of the project lifecycle. Given that most lump sum grants are still at an early stage, we have more information on how the lump sum approach works for proposal writing, evaluation, and grant preparation. Beyond this, we will continue to monitor the lump sum pilot and provide an update on grant management and final payments once the bulk of projects have reached this stage and relevant feedback is available.

a. Proposal submission

Lump sum options available

The lump sum pilot offers two options: a lump sum fixed up-front in the call for proposals (option 1) and a lump sum defined by the applicants (option 2). The surveys show that **there is no particular preference for options 1 or 2** in any of the groups surveyed (Figure 4). The available options were generally perceived as **appropriate and sufficient to cover all types of action**, but a significant share of respondents do not support this view (Figure 5). Specifically, participants and experts indicated that **additional options are needed** to better accommodate certain types of action (see annex for detailed data). However, while the surveys explicitly asked for suggestions, we received no concrete input on possible additional lump sum options in the written comments.

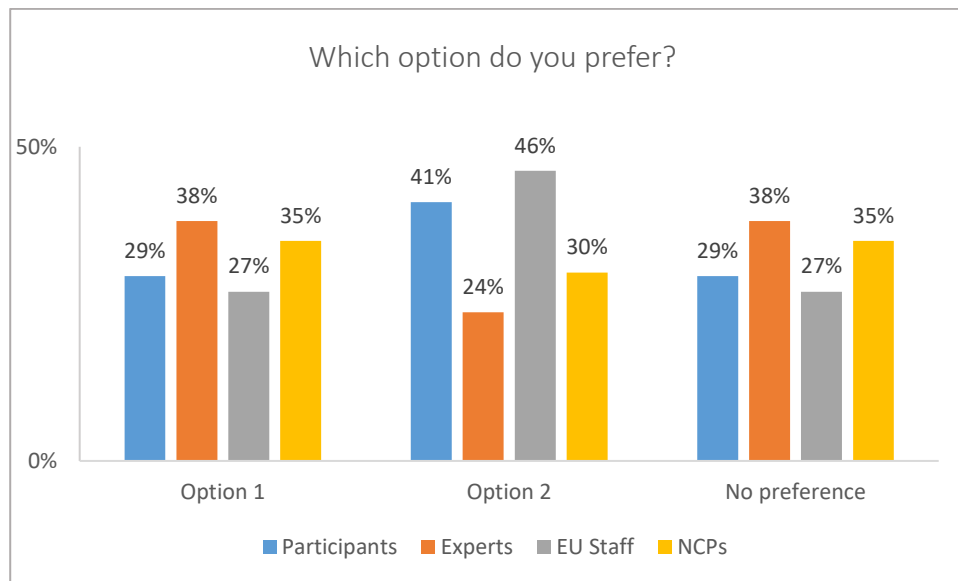


Figure 4. There is no clear preference for option 1 or option 2 in any of the groups surveyed. For this graph, the rating of option 1 and option 2 was compared for each individual reply. Higher rating for one option was counted as preference for this option. Equal rating for both options was counted as no preference.

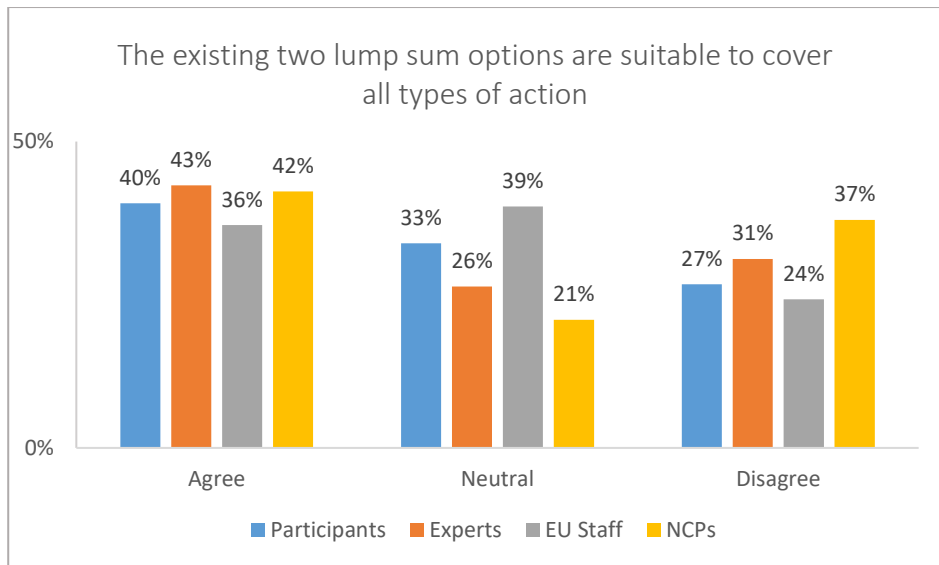


Figure 5. A relative majority in all groups agreed that lump sum options 1 and 2 can cover all types of action. Disagreement of about a quarter of the respondents suggests that additional options might be needed.

Satisfaction with the information and support provided

The results show that **the Commission provided sufficient information on lump sum funding** (Figure 6). A clear majority in each group (61% - 85%) agreed to the relevant statements in their survey. In addition, the majority of EU staff and NCPs found that participants in the lump sum pilot did not have significantly more questions than other participants, suggesting that enough information was available.

The majority of EU staff involved in the lump sum pilot considered they had sufficient support on writing and publishing their lump sum topic. They also confirmed that it was generally not more difficult to set up a lump sum call compared to a standard call. Still, about 25% of staff found there was not enough support to prepare the dedicated Commission decision necessary for topics using option 1 (i.e., the decision to justify and authorise the fixed lump sum). This suggests that more support for writing this Commission decision would be welcome.

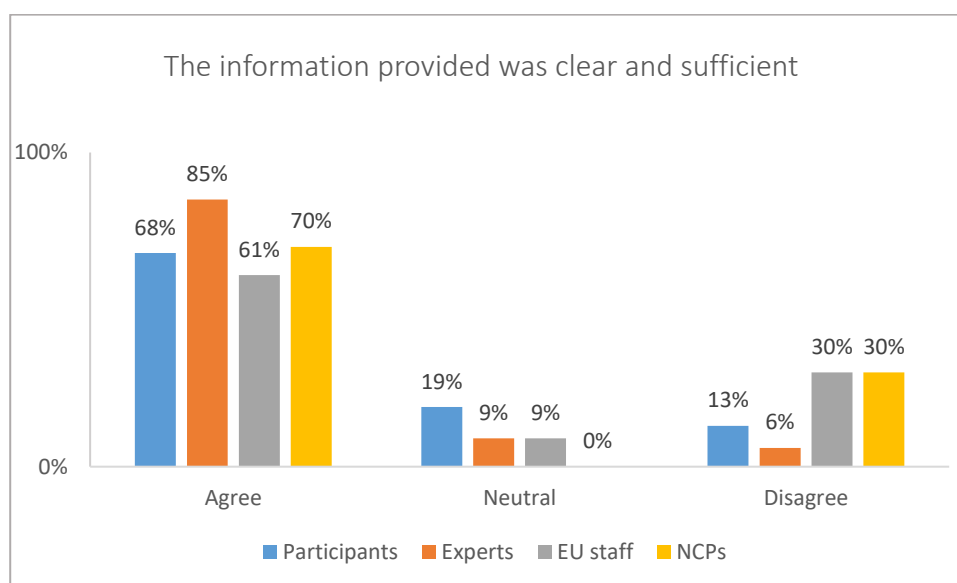


Figure 6. There was wide agreement that the information on lump sum funding is sufficient. The specific questions were tailored to each group (see section VI- Appendices for details). For example, the questions for participants and experts focused on the call text, the Funding & Tenders Portal, and the expert briefing, respectively.

Effort needed to write a lump sum proposal

Only a minority of participants consider that more effort is needed to prepare a lump sum proposal, both in terms of writing the proposal and in terms of defining the budget (Figure 7). The vast majority replied that **the required effort is equal or less than for a standard proposal**. Given that the online survey included unsuccessful applicants, who were not rewarded for the time invested in preparing a lump sum proposal, this is a remarkably positive response, clearly suggesting that **the lump sum approach has no negative effect** on the average time needed to prepare a proposal.

At the same time, both participants and NCPs agree that **applicants need more guidance to set up the lump sum budget** (Figure 8). While this response can be explained, at least in part, by the novelty of the lump sum scheme and the fact that applicants are not yet used to it, it should prompt the development of better guidance and dedicated support for budgetary questions.

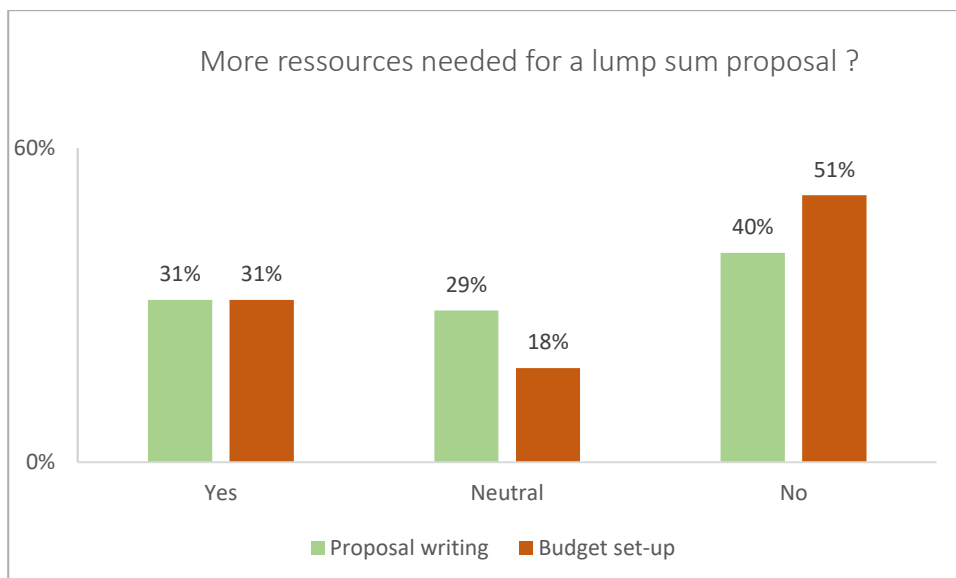


Figure 7. Writing a lump sum proposal and defining a budget do not take more time than the standard, according to most participants.

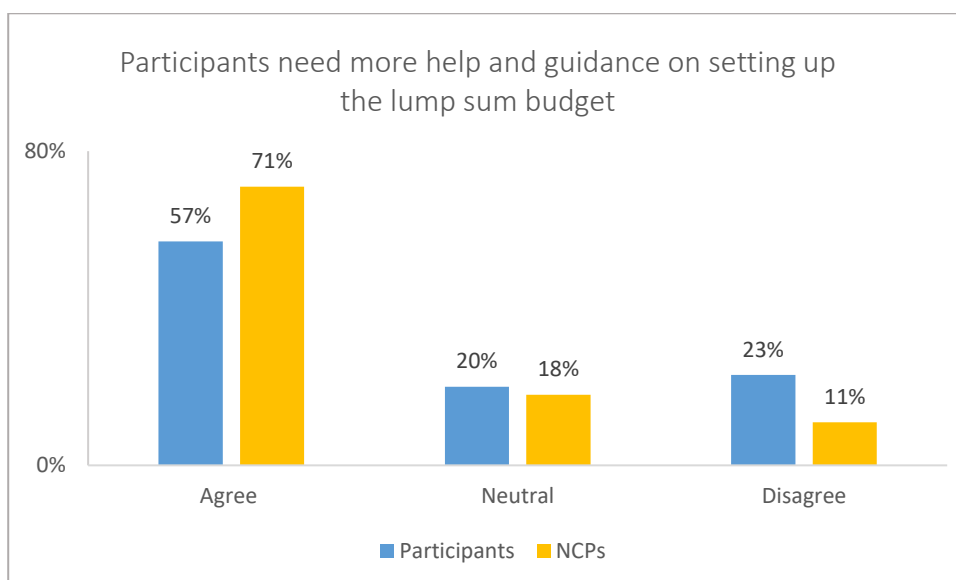


Figure 8. There is a strong agreement from the participants and the NCPs that they need more guidance and help to set-up their budget

Quality of lump sum proposals

Proposals submitted to a topic using lump sum funding have the **same quality** as standard proposals, and lump sum topics attract the **same number of proposals** as standard calls. The vast majority of experts and EU staff confirmed that the scientific and technical quality of lump sum proposals was similar to that of proposals in standard calls (Figure 9). Likewise, all four groups surveyed confirmed that the lump sum approach does not affect other aspects such as the quality of the concept and the methodology in lump sum proposals (Figure 10).

Almost all EU staff involved in lump sum topics reported that they received as many proposals as expected or more (see section VI- Appendices for details), suggesting that the lump sum approach **does not discourage potential applicants** from writing and submitting proposals.

A large majority of participants and experts found that **the number of pages allowed is sufficient**, with only around 1 in 10 experts or participants calling for a higher page limit for lump sum proposals (see section VI- Appendices for details). This puts into perspective individual comments received during some of the workshops that lump sum proposals needed more space (e.g., to describe the resources). It should also be noted that the full budget table (Excel workbook) does not count towards the page limit.

There is **no significant change in the structure of the work plan** and the division into work packages. A large majority confirmed this in the surveys of participants, experts and EU staff (Figure 11). Interestingly, the NCP survey revealed a diverging opinion, with most NCPs replying that the work plan is not the same in lump sum proposals.

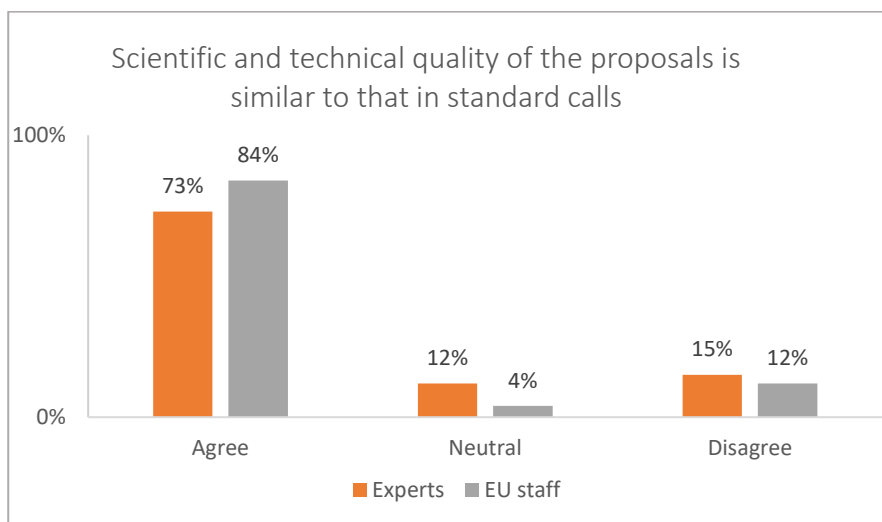


Figure 9. Expert evaluators and EU staff involved in the lump sum pilot agree that the lump sum approach does not affect the scientific and technical quality of proposals.

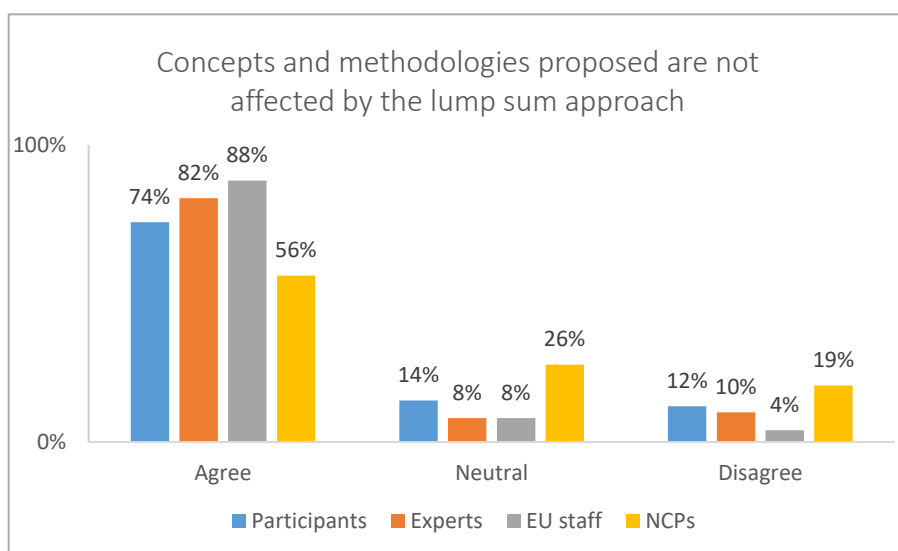


Figure 10. All groups surveyed confirm that the concepts and methodologies proposed are not affected by the lump sum approach.

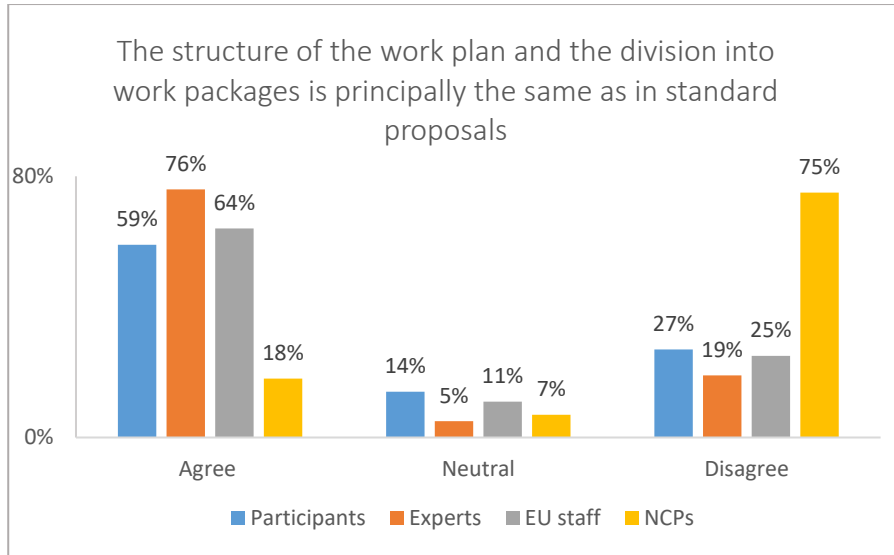


Figure 11. There is a wide agreement that the structure of the work packages and the division into work packages is principally the same in lump sum and standard proposals. Interestingly, the NCPs have a diverging opinion on this point.

Choice of consortium partners

The surveys show that the lump sum approach **affects the choice of partners** when consortia are set up during the application phase (Figure 12). This is in line with comments received at workshops and other events, suggesting that applicants in lump sum topics tend to choose more reliable consortium partners compared with standard topics (e.g., partners they already know and trust). For more details see section IV.

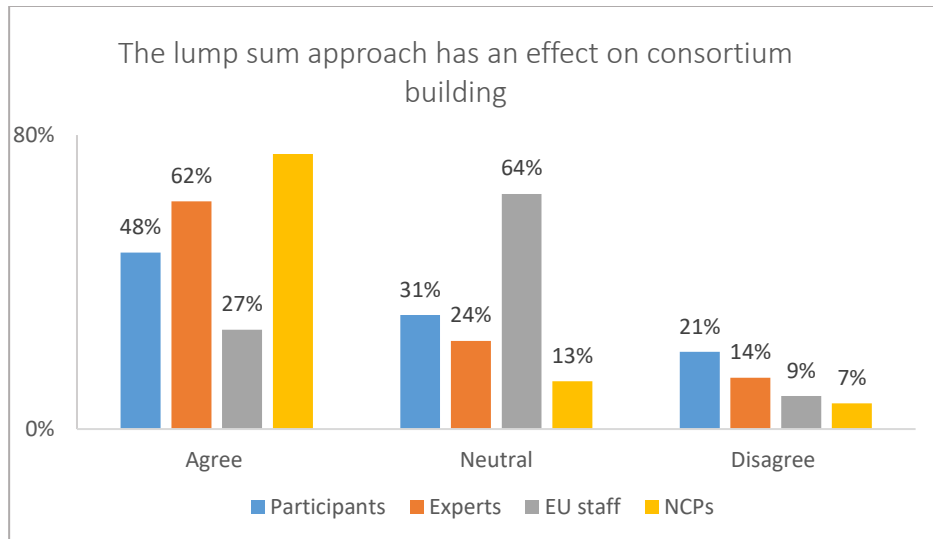


Figure 12. The lump sum approach has an effect on consortium building. Participants prefer to choose well-known partners, to reduce the financial risk

b. Proposal evaluation

Feasibility of lump sum evaluation

Experts and staff had no clear opinion whether or not the lump sum evaluation process takes more time to conduct, or is more difficult, with similar shares of positive and negative replies in this regard (Figure 13). In part, this might be due to the novelty of the scheme, meaning that most experts and staff went through the process for the first time.

In contrast, experts and EU staff were **positive about the evaluation of the lump sum budget**. Both groups consider that the detailed estimation of costs is sufficient, and that the Excel wordbook is sufficiently clear and appropriate to perform a sound evaluation of the lump sum budget (Figure 14 and figures in annex).

Still, a significant share of EU staff (43%) found it was **difficult to find suitable experts** to evaluate the detailed cost estimates. This was also reflected in some of the written comments, highlighting the necessity of sufficient financial expertise in the lump sum evaluation.

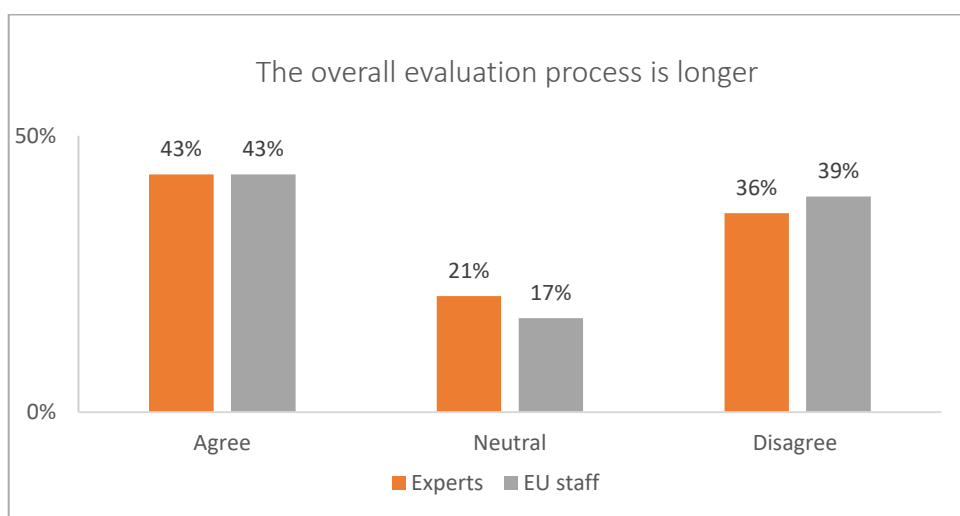


Figure 13. There is no clear opinion on the time it takes to complete a lump sum evaluation compared with a standard evaluation. However, a significant share of experts and EU staff found the evaluation process to be longer for lump sum grants.

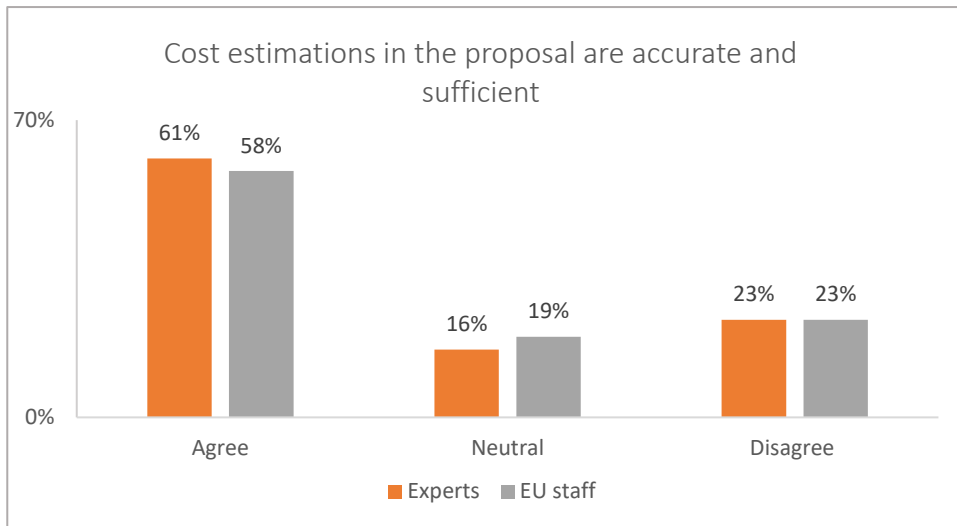


Figure 14. The majority of experts and EU staff agree that lump sum proposals provide sufficiently detailed and accurate cost estimations in order to evaluate the lump sum budget.

Quality of Evaluation Summary Report (ESR)

Participants in the lump sum pilot tend to **agree with the quality of the evaluation summary report** (ESR), including the feedback on financial aspects (see section VI- Appendices for details). This suggests there is no major difference between the ESRs in standard and lump sum calls in this regard.

Nearly half of the participants found that **budgetary changes where easy to implement** when necessary (i.e., changes to the lump sum requested as a result of the evaluation). In line with this, more than 70% of EU staff considered the recommendations from experts on the lump sum budget precise enough to properly implement them (Figure 15).

Taken together, this suggests that the **financial aspects of the lump sum scheme are handled properly** during evaluation and do not affect the quality of the feedback.

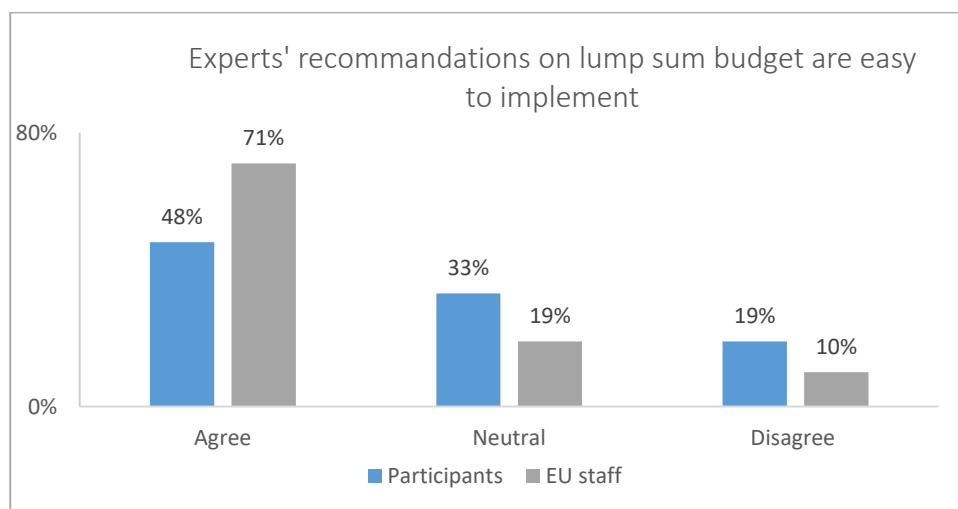


Figure 15. Participants and EU staff agree that the recommendations provided by experts on the lump sum budget are easy to implement during the grant agreement preparation process.

c. Grant agreement preparation and consortium agreement

Grant preparation is essentially the same for lump sum and standard grants. The majority of participants and EU staff found no major differences (Figure 16).

However, the **consortium agreement needs to address additional aspects** for a lump sum grant (Figure 17). From feedback received at workshops we know that this relates mainly to the financial liability of the consortium members. For example, in case of non-delivery of a work package, and subsequent non-payment of the corresponding lump sum share, each partner involved is liable for their share in this work package, irrespective of whether or not they completed their individual tasks. Even though this scenario is expected to be very rare (there is no case so far), it is perceived as a potential problem.

In the written comments, respondents suggested **two possible improvements**. Firstly, the Commission could provide more guidance on the consortium agreement for lump sum grants with a view to managing and minimising financial liabilities. Secondly, a dedicated helpdesk could support coordinators of lump sum grants.

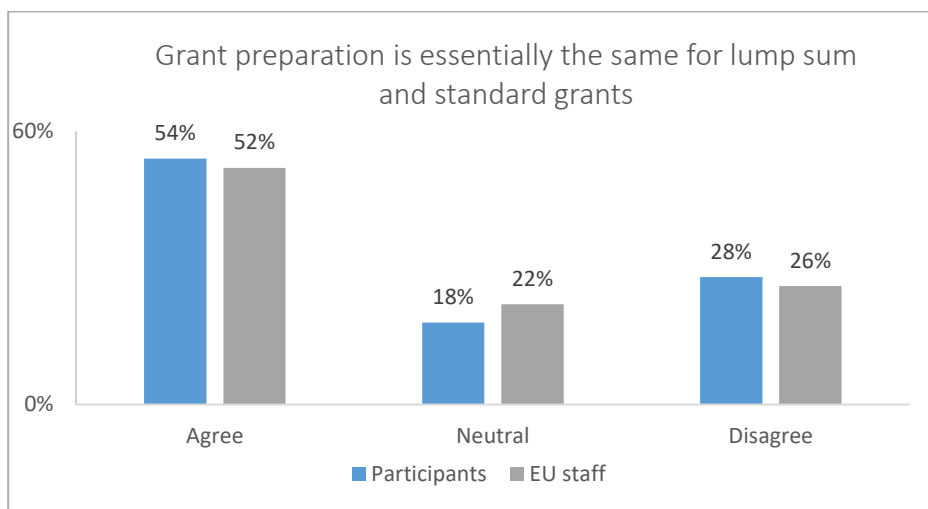


Figure 16. According to participants, there is no difference between lump sum and standard proposal on the grant agreement preparation

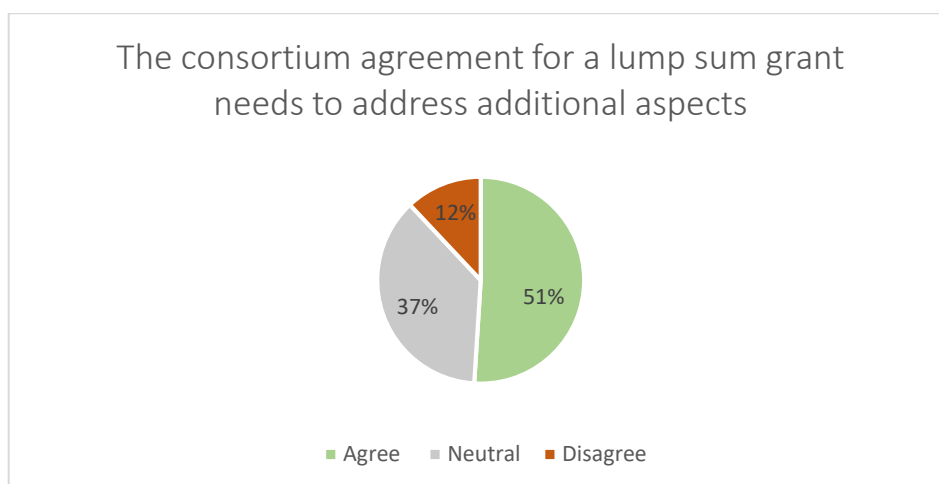


Figure 17. The majority of participants consider that the consortium agreement for lump sum grants needs to cover additional aspects compared with consortium agreements for standards grants.

d. Grant management

Payments and cash flow

Participants, EU staff and NCPs overall agree that the **level of pre-financing is sufficient** in lump sum grants (see section VI- Appendices). Indeed, the pre-financing is calculated in the very same way as for standard grants. In addition, the majority of participants agree that the **schedule of payments ensures appropriate cash flow** throughout the lump sum grant project (see section VI- Appendices).

Payments are linked to the **completion of work packages**, and this approach is generally accepted by participants, EU staff, and NCPs (Figure 18). It must be stressed that completion means that the work was carried out as described in the grant agreement; a successful outcome is not a requirement for payments to be made. However, this aspect is often raised during workshops and webinars, and we received several suggestions for alternatives, such as payments based on completed deliverables or milestones reached, and intermediate payments for horizontal work packages such as communication and management (for more details see section IV).

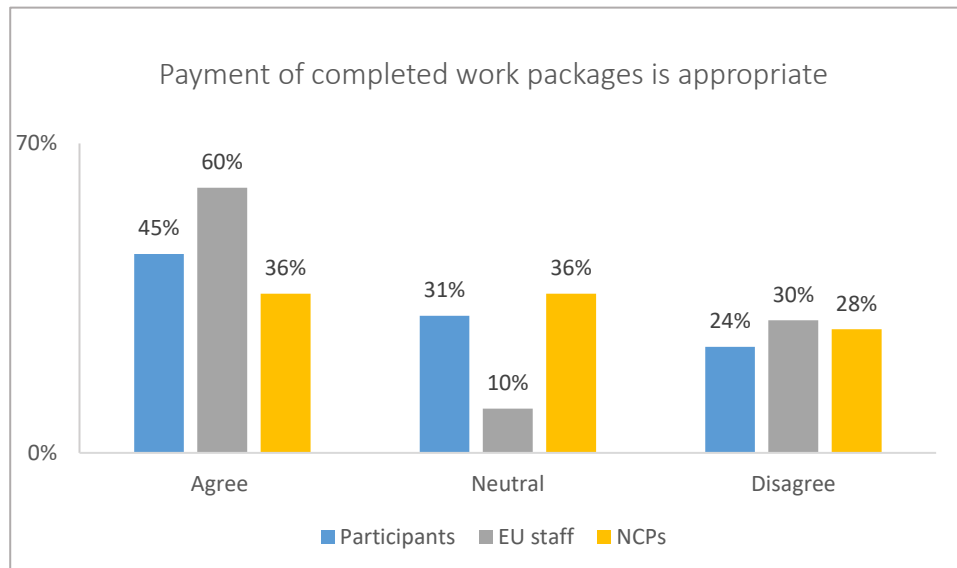


Figure 18. Participants, EU staff and NCPs generally agree with payments linked to completed work packages. However, although at a lower level, there is also disagreement, and we received suggestions for alternative approaches.

Financial and technical reporting

One of the main goals of the lump sum pilot is to reduce financial reporting and avoid errors when reporting costs. In this regard, there is a **clear message from participants and NCPs that financial reporting is much easier** for lump sum grants (Figure 19).

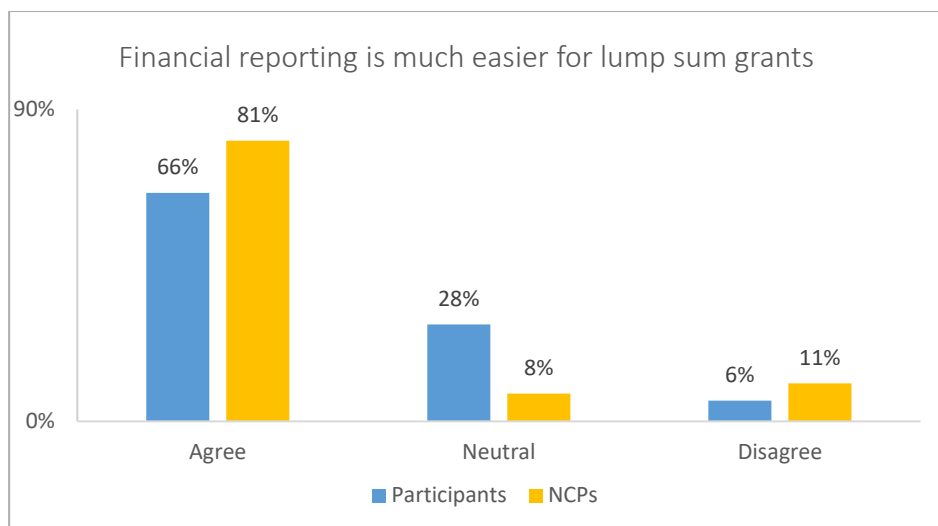


Figure 19. Participants and NCPs strongly agree that the financial reporting is easier for lump sum grants compared to standards grants.

As expected and confirmed by the majority participants and NCPs (see section VI- Appendices), **technical reporting was found to be similar** in lump sum and standard grants. In fact, the lump sum pilot uses the same system for technical reporting. However, EU staff has no clear opinion on whether participants and staff focus more on the scientific and technical aspects of the projects than in standard grants.

The EU staff involved in the lump sum pilot clearly confirmed that the **administrative effort for reporting is lower** in lump sum grants, both for the beneficiaries and for EU staff managing the grants (Figure 20).

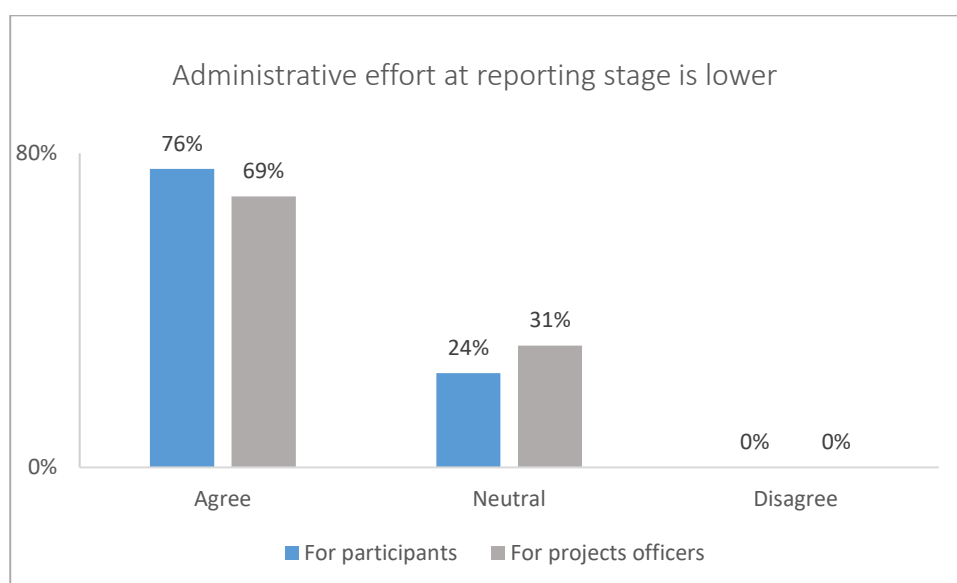


Figure 20. EU staff consider that effort at reporting level is lower, both for participants and projects officers (Commission/Agency/JU staff) compared to standard grants.

Flexibility of grant implementation and amendments

A strong majority of the participants reported that **lump sum funding allows for more flexibility in project management** (Figure 21). Participants also agree that **monitoring progress**

of lump sum grants is easier, both for individual work packages and for the project overall (see section VI- Appendices for details).

Most participants confirm that the **amendment process is similar** for lumps sum and standard grants; only 7% disagree with this statement. In contrast, the surveys of EU staff and NCPs revealed no clear opinion in this regard. At the time of conducting the surveys, less than 200 amendments had been carried out for lump sum grants, meaning user experience with the underlying process is still limited.

Several comments criticised that **budget transfers between beneficiaries and/or work packages require an amendment**, including a review, which is perceived as cumbersome. We received such comments during workshops and in some of the survey replies. Following this criticism, the rules for amendments of lump sum grants will be very similar to those for standard grants under Horizon Europe. In particular, **a review will no longer be required**.

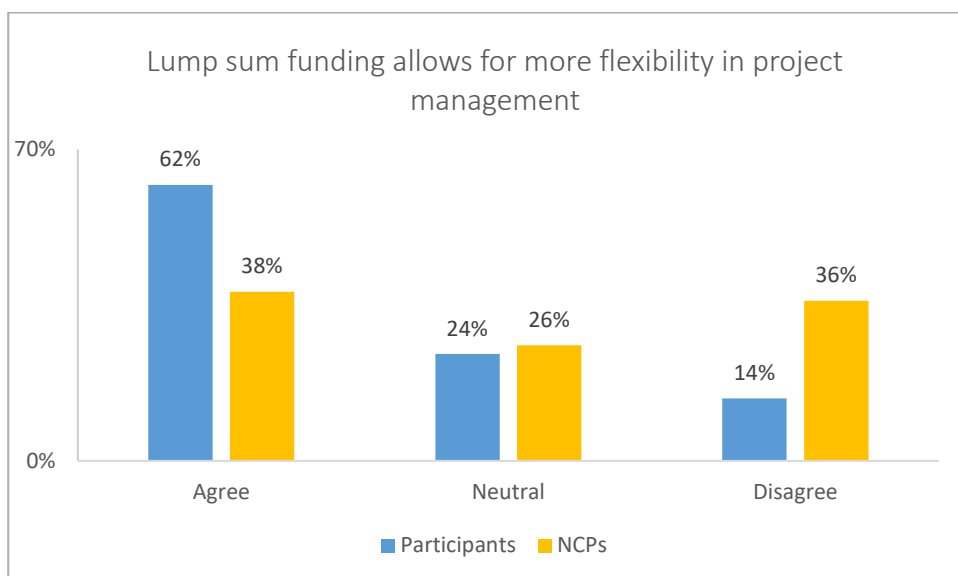


Figure 21. Participants strongly agree that lump sum funding allows more flexibility in project management. The NCP survey reveals no clear opinion on this point.

e. Analysis by type of organisation, size of grant, and evaluation outcome

This section presents a **more detailed analysis** of the surveys among participants (i.e., applicants or beneficiaries) and expert evaluators. We linked the survey responses to the internal Corda database, which contains detailed information on the proposals or grants that the respondents were involved in. In this way, we were able to resolve the survey results by a number of **factors that are important for project management**. These factors include the type of organisation that provided the reply, the size of the grant they applied for (in terms of budget and in terms of consortium size), and if their application was successful.

Overall, the above factors had little effect on the outcome of many or most survey questions, meaning the responses were stable across different types of organisations and independent of grant size. However, we found **some remarkable effects** that are presented here.

The surveys among NCPs and EU staff could not be analysed at this level of detail because the responses from these groups cannot be linked to individual proposals or grants.

Participants' perception of the time needed to write a lump sum proposal

Budget and consortium size both have a clear effect on participants' perception of how much time it takes to write a lump sum proposal compared with a standard proposal (Figures 22 and 23). **Smaller budgets and smaller consortia are associated with more positive replies**. The smaller the grant the more strongly is the idea rejected that lump sum proposals take more time to write. It should be stressed that even the largest budgets and consortia are associated with a neutral outcome, suggesting that lump sum funding can also be used for large grants.

The effect of the **type of organisation** is less pronounced but we found that **SMEs are more positive** than other organisations (Figure 24). Half of the SMEs found that lump sum proposals take less time to write, compared with just under 40% in the other groups. There is little difference between large companies and higher education and research organisations in this regard.

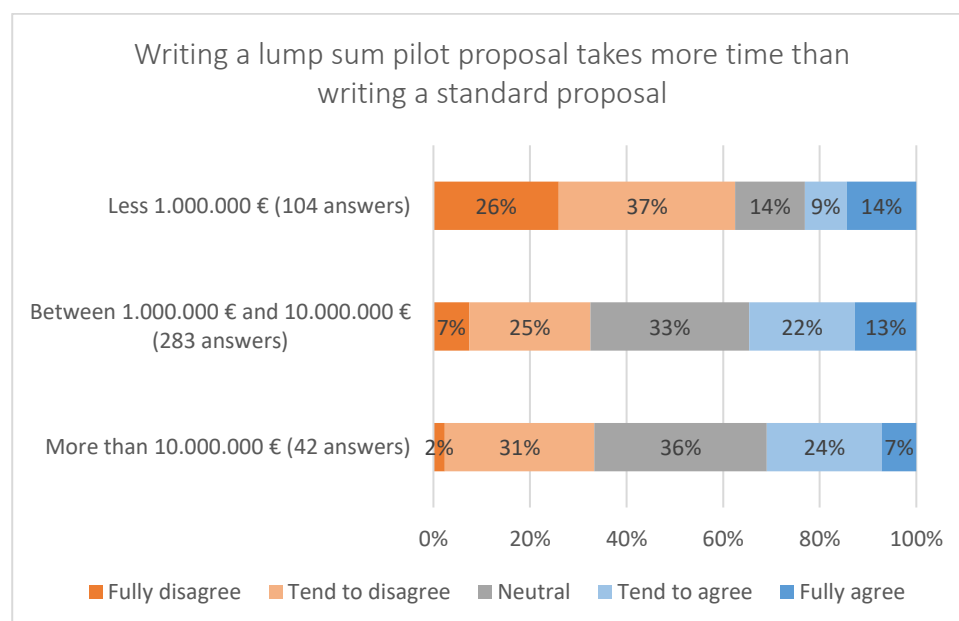


Figure 22. The smaller the budget the more participants replied that it takes less time to write a lump sum proposal.

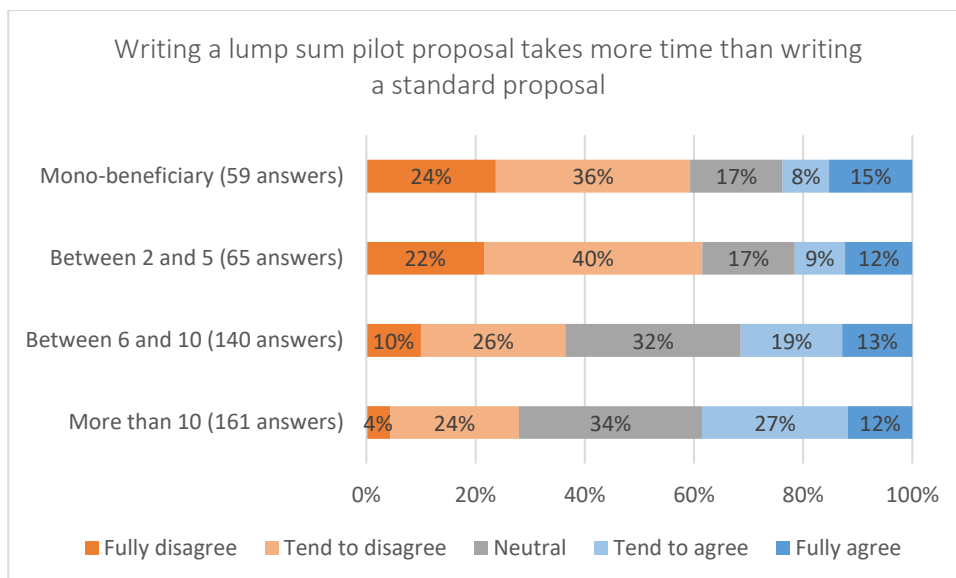


Figure 23. Smaller consortia are associated with the perception that it takes less time to write a lump sum proposal.

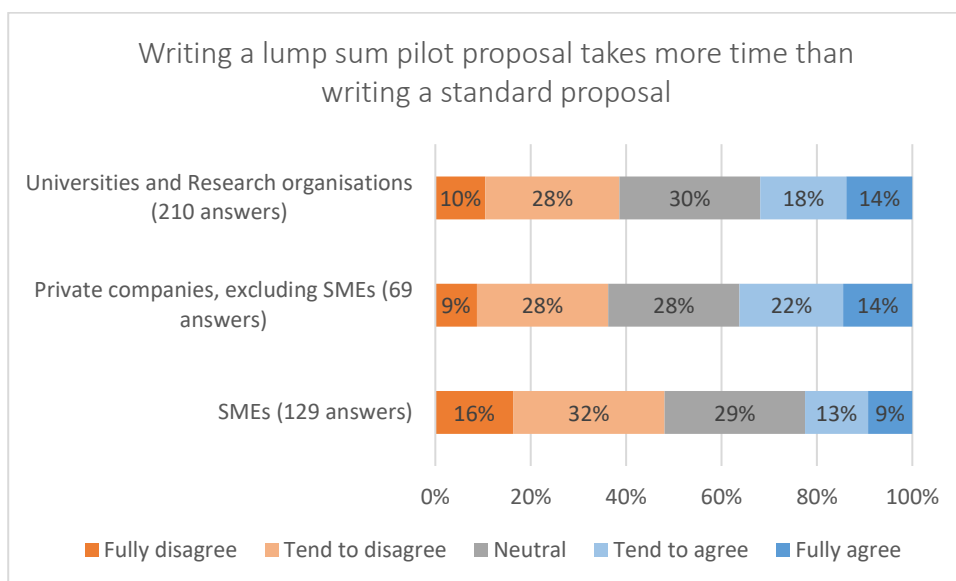


Figure 24. SMEs disagreed more frequently with the statement that lump sum proposals take more time than other types of organisation.

Participants’ perception of the effort needed to define the lump sum budget

When it comes to defining the lump sum budget, we see a pattern that is very similar to the one for writing lump sum proposals. **Smaller budgets and smaller consortia are associated with more positive replies** (Figures 25 and 26). For small to mid-sized budgets and small to mid-sized consortia, a clear majority agreed that defining lump budgets is easier than defining standard budgets. It should be stressed that even large budgets (above EUR 10 million) and consortia with more than 10 members are associated with an overall positive reply (i.e., more agreement than disagreement with the statement that lump sum budgets are easier to define). As is the case for

writing the lump sum proposal, **SMEs are more positive about defining the lump sum budget** than other types of organisation (Figure 27).

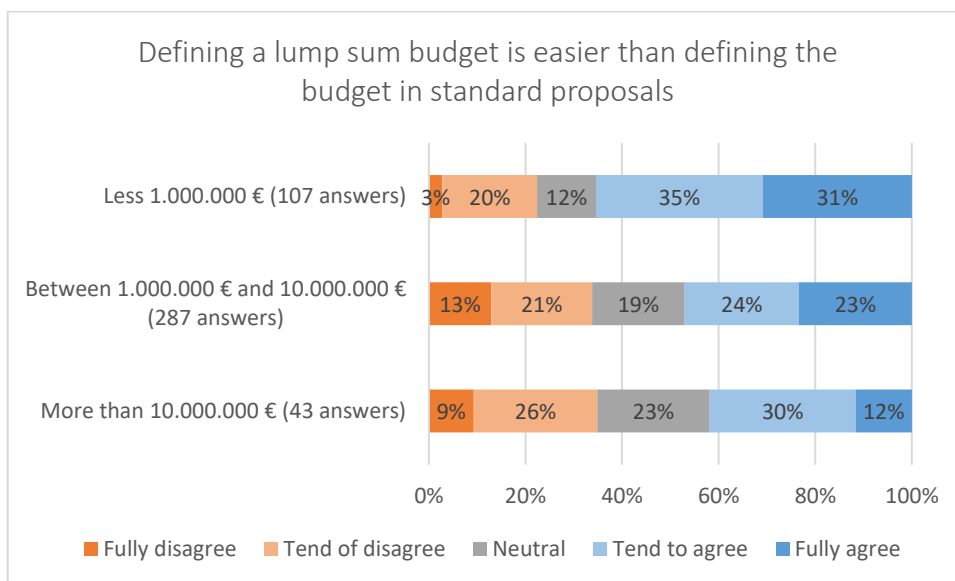


Figure 25. The smaller the budget the more participants agree that it is easier to define a lump sum budget than a standard budget.

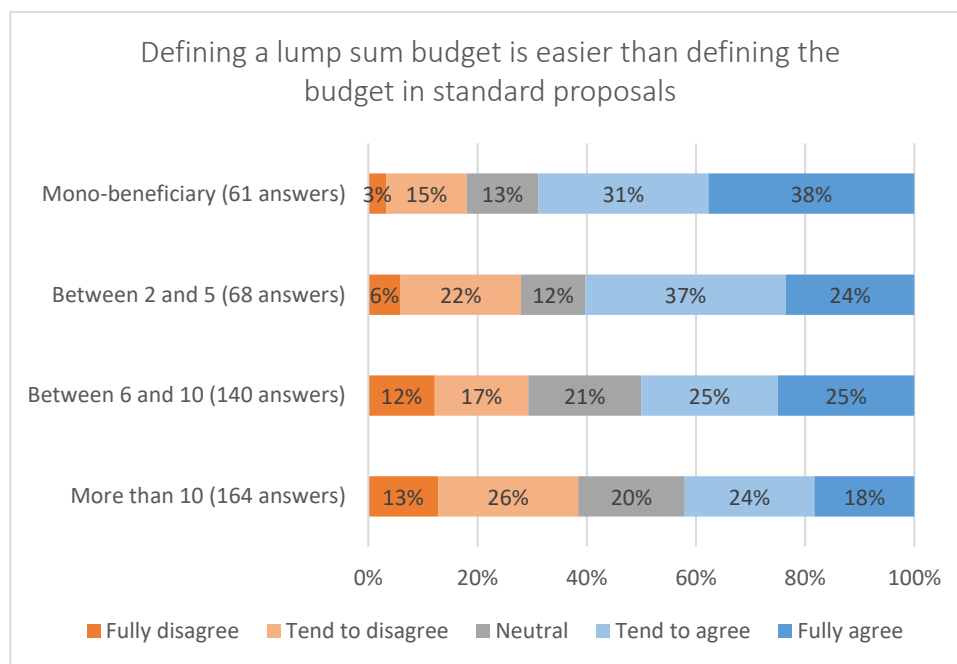


Figure 26. The smaller the size of the consortium the more participants agree that it is easier to define a lump sum budget than a standard budget.

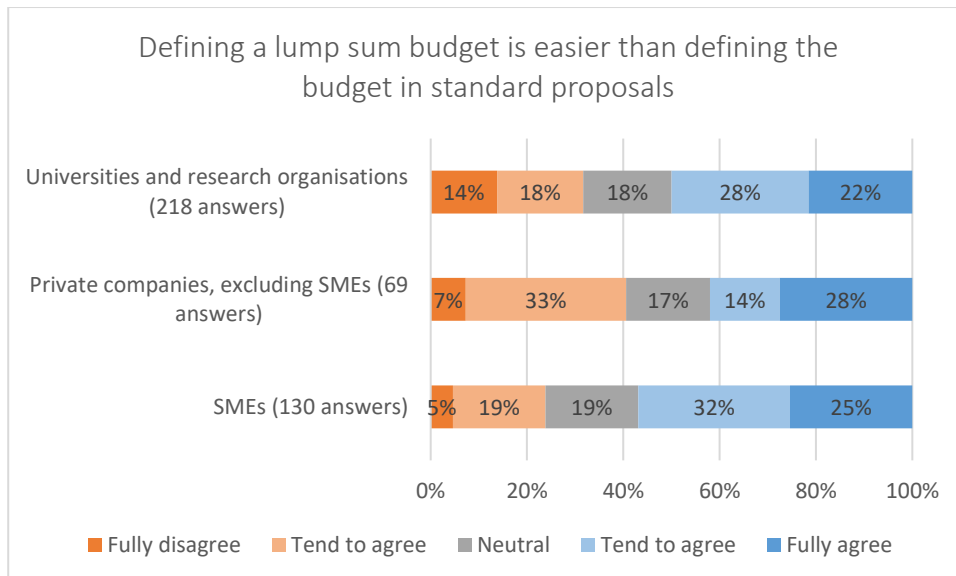


Figure 27. SMEs agreed more frequently with the statement that lump sum budgets are easier to define than other types of organisation.

Experts’ perception of the length of the evaluation process

Expert responses on how long it takes to evaluate lump sum proposals are affected by the **budget and the size of the consortium** of the proposals that they were handling. For proposals with smaller lump sum budgets, experts more frequently rejected the idea that the evaluation took longer than for standard proposals (Figure 28). When analysing the same data by size of consortium, proposals submitted by mid-sized consortia are associated with more positive responses than either mono-beneficiary proposals or proposals from larger consortia. Interestingly, expert responses for mono-beneficiary proposals and proposals from larger consortia (> 10 members) are less positive and very similar to each other (Figure 29).

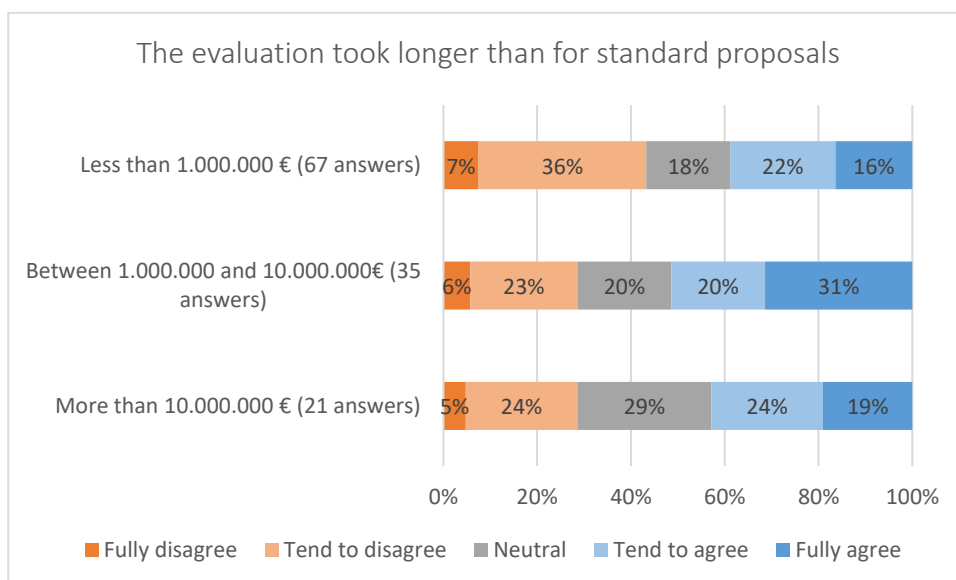


Figure 28. Experts who evaluated proposals with a lump sum below EUR 1 million disagreed more frequently with the statement that evaluating lump sum proposals takes longer.

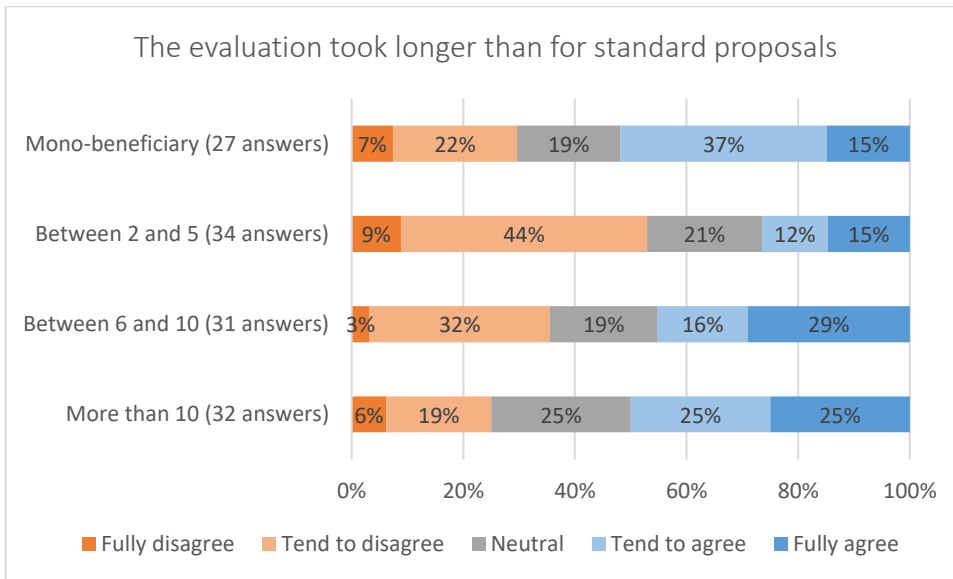


Figure 29. Experts who evaluated proposals submitted by mid-sized consortia more frequently disagreed with the statement that evaluating lump sum proposals takes more time.

Participants’ perception of the quality of the feedback (evaluation summary report)

Unsurprisingly, the **evaluation outcome (successful or unsuccessful)** has an effect on how participants perceive the evaluation summary report. Successful applicants are more satisfied than unsuccessful applicants. A large majority of successful applicants agreed with the quality of the feedback in general (Figure 30) and the quality of the feedback on budgetary aspects (Figure 31). While the responses from unsuccessful applicants were clearly less positive, only a third of them were dissatisfied with the feedback they received.

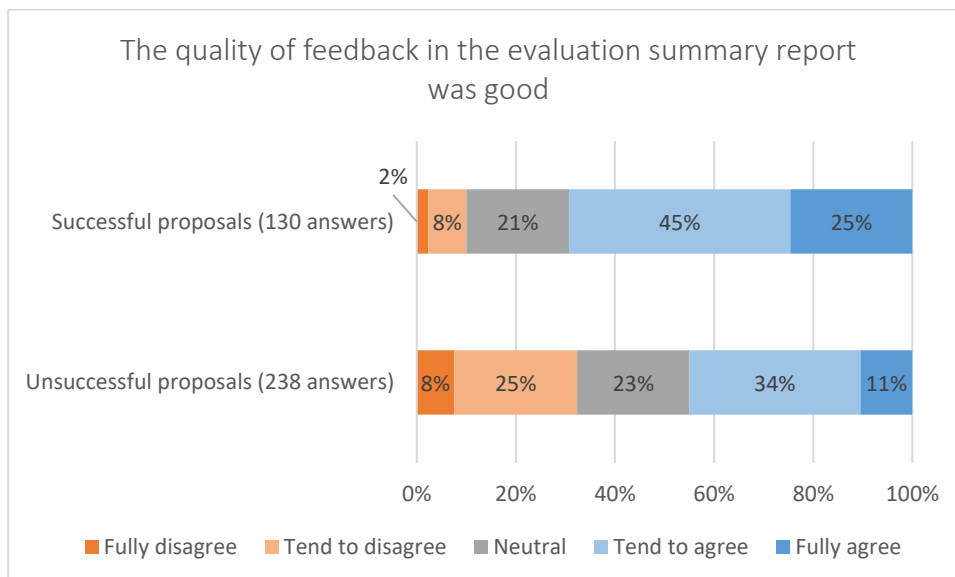


Figure 30. The majority of successful applicants found the feedback in the evaluation summary report was good, with only 1 in 10 disagreeing with the statement.

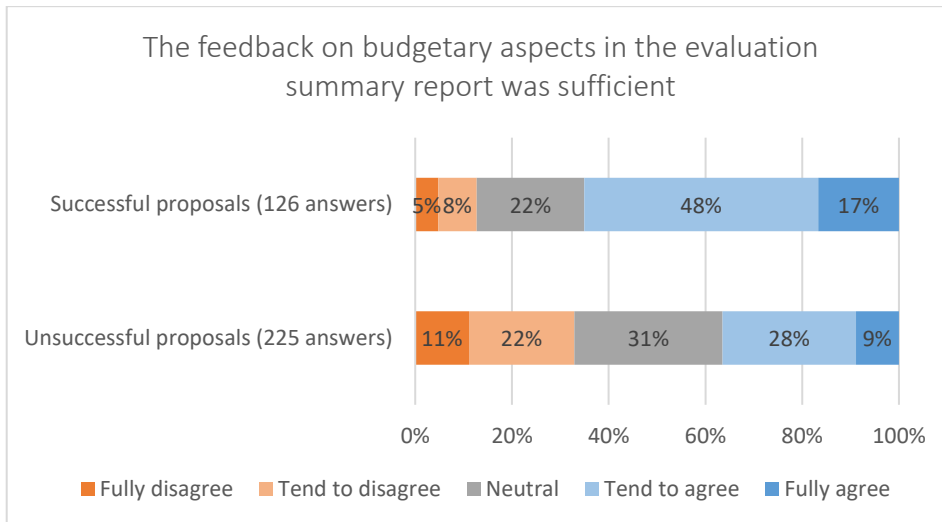


Figure 31. The majority of successful applicants found the feedback on budgetary aspects sufficient, with only approximately 1 in 8 disagreeing with the statement.

Participants’ perception of flexibility in project management

Participants found that lump sum funding brings more flexibility in project management (see section III), and this perception is not affected by the size of the budget (Figure 32) or the size of the consortium (data not shown).

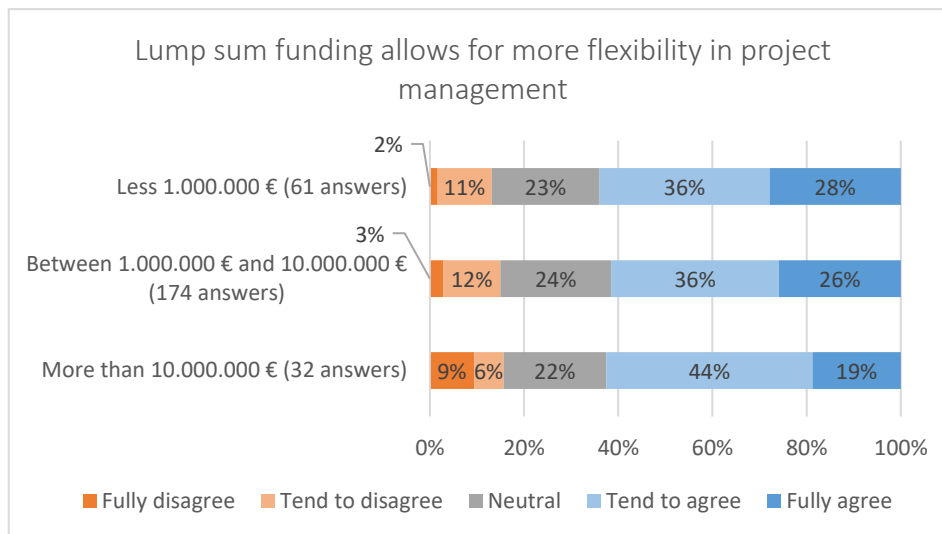


Figure 32. The size of the budget has no effect on the perceived flexibility of project management. The responses from participants were stable irrespective of the size of the lump sum they had applied for.

Participants' overall satisfaction with lump sum funding

The majority of participants found that lump sum funding reduces administration and helps focus on content (see section I). It is reassuring that the **high level of satisfaction is not affected by the evaluation outcome** (Figure 33). Even among the participants whose proposals were not successful, 70% agreed that lump sum funding delivered on its two main goals, less administration and more focus on content.

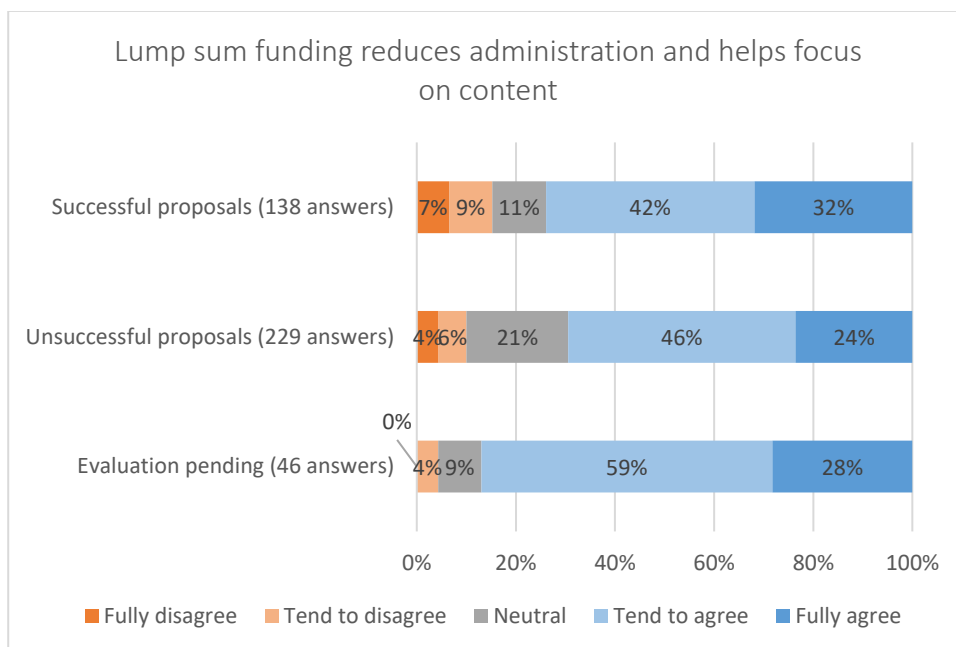


Figure 33. Participants' overall satisfaction with lump sum funding is high, irrespective of the evaluation outcome of their proposals.

f. Issues raised in the written comments

About 1 in 3 respondents made use of the possibility to provide written comments through the online survey. This section summarises the issues that were raised frequently in these comments.

Consortium building and consortium agreement

The surveys revealed a widespread opinion that our approach to lump sum funding has an effect on the choice of consortium partners (see section III.a).

From the comments and discussions with beneficiaries, we understand that **lump sum consortia prefer known and trusted partners** in order to minimise their **financial liability risk**. While there is no evidence or experience yet to support this view, there is an apparent perception that beneficiaries carry a higher financial liability risk in lump sum grants than in standard grants. Consequently, newcomers and less well established organisations might find it more difficult to access lump sum funding.

The main improvement proposed in the comments is more Commission support for the lump sum consortium agreement. Indeed, standard consortium agreements cannot be used for lump sum grants. Given that the Commission is not party to the consortium agreement, we should not provide a full template, but we could develop guidance and best practice as for the standard consortium agreement.

Structure of work packages

According to the surveys, a clear majority of respondents considered that the work package structure of lump sum grants is principally the same as in standard grants (see section III.a).

In contrast, the written comments repeatedly criticise that **payments are triggered by the completion of work packages**, and that this leads to an **increase in the number of work packages** in order to ensure the necessary cash flow during the project. Several comments specifically mention work packages for horizontal tasks such as communication or management, which usually last from the start to the end of the project. To allow intermediate payments for these tasks, the corresponding work packages must be split according to the reporting periods.

Several alternatives are proposed in the written comments, in particular payments based on completed deliverables or completed milestones, or intermediate payments (down payments) for horizontal tasks even if the corresponding work package will only be completed at the end of the project. We analysed these suggestions and concluded that they are difficult to implement and likely to make the scheme more complex. For example, not all the work in a grant is covered by deliverables, making it difficult to link them to the full amount of the lump sum. Linking payments to milestones, which represent achievements, runs counter to the basic principle that lump sums are paid when the agreed work is done, irrespective of the outcome.

IV. CONCLUSIONS AND NEXT STEPS

Overall, the surveys show that our **stakeholders see lump sum funding positively** and that lump sum funding is **fit for all types of organisation and types of grant**. It is widely recognised that administrative burden is reduced and that lump sum funding paves the way for shifting the focus from financial controls to the content of projects. The **NCPs strongly agree** that this new funding model should be used more widely in suitable areas of Horizon Europe.

On some of the key questions, such as on effort and feasibility, the responses from **SMEs were more positive** than those from other organisations. We also found that **smaller budgets and smaller consortia were associated with more positive replies**. While lump sum funding can be used for all calls, this might be taken into account when selecting the most suitable ones.

Users also reported problems and made **suggestions for improvements** in their individual comments. We are addressing these points through better guidance, further simplification, and aligning the rules for lump sum grants under Horizon Europe even more to the rules for standard grants.

Key messages on the lump sum approach tested in the pilot are:

- The information provided to internal and external users was clear and sufficient.
- Preparing a lump sum proposal, including the lump sum budget, does not require more effort than preparing a standard proposal. Still, participants ask for more support for setting up the lump sum budget.
- Lump sum proposals are of the same technical and scientific quality as standard proposals.
- Lump sum funding has an effect on consortium building, with a preference for known and trusted partners. Individual comments suggest this is linked to the perception of an increased financial viability risk. While the Commission cannot provide model consortium agreements, the existing guidance on this point should be extended to cover lump sum funding.
- Lump sum proposals provide sufficient detail for a sound evaluation of the financial details and the lump sum as a whole. While it is not always easy to find suitably qualified experts for this task, the financial aspects are handled properly in the evaluation.
- The evaluation summary report provides good quality feedback. Budgetary changes, if any, are easy to implement.
- Grant preparation is essentially the same for lump sum and standard grants, but the lump sum consortium agreement needs to address additional points.
- The pre-financing is sufficient and the schedule of payments ensures appropriate cash-flow.
- A majority considers it appropriate to link payments to the completion of work packages, but a number of individual comments pointed out possible negative effects of this approach.
- Financial reporting is much easier, and the administrative effort at reporting stage is lower.
- Lump sum funding gives beneficiaries more flexibility in project management, but individual comments raised concerns about the amendment process for lump sum grants. This point was already addressed for Horizon Europe.

Next steps to further improve lump sum funding:

- We will provide more guidance to applicants on how to write a lump sum proposal through webinars, trainings, and tools. Even if most of the respondents to the survey had the feeling that the guidance documentation was satisfactory, this should reduce the concerns stemming from the novelty of the scheme and help make participants more familiar and confident with it.
- We will investigate the possibility to provide best practices and FAQs on how to set up the consortium agreement for lump sum grants, with feedbacks from current coordinators.
- We will develop more targeted guidance to support experts in the evaluation of the budgetary aspects of lump sum grants.
- The approach to auditing lump sum grants needs to be clarified with the Court of Auditors (through pilot audits for which we will select several ongoing lump sum projects). Beneficiaries and implementing bodies need certainty on this point.

V. APPENDICES

a. Online surveys conducted and profile of respondents

We launched four surveys, targeting four types of stakeholders involved in the lump sum pilot under Horizon 2020 at the end of 2020 and at the beginning of 2021:

- Participants
- Expert evaluators
- EU staff implementing lump sum topics
- National Contact Points

The four separate surveys have many questions in common, but also distinct questions that focus on the specific situation and experience of their addressees.

Participants

We invited 2357 applicants to lump sum pilot topics. We targeted all the lump sum pilot topics under the Horizon 2020 work programme 2018-2020 whose submission deadline was over in November 2020. We sent an invitation to all the main contacts of each partner involved in a proposal, whether or not their proposal had been selected for funding, or was still under evaluation at that time. We excluded the ERC Proof of Concept topics whose implementation modalities are a bit different. We launched the survey on 30 November 2020 and it remained opened for two months. 458 answers were received, equivalent to a response rate of 19%. Among respondents one third are coordinators of a lump sum proposal/project, the remaining two third being partners.

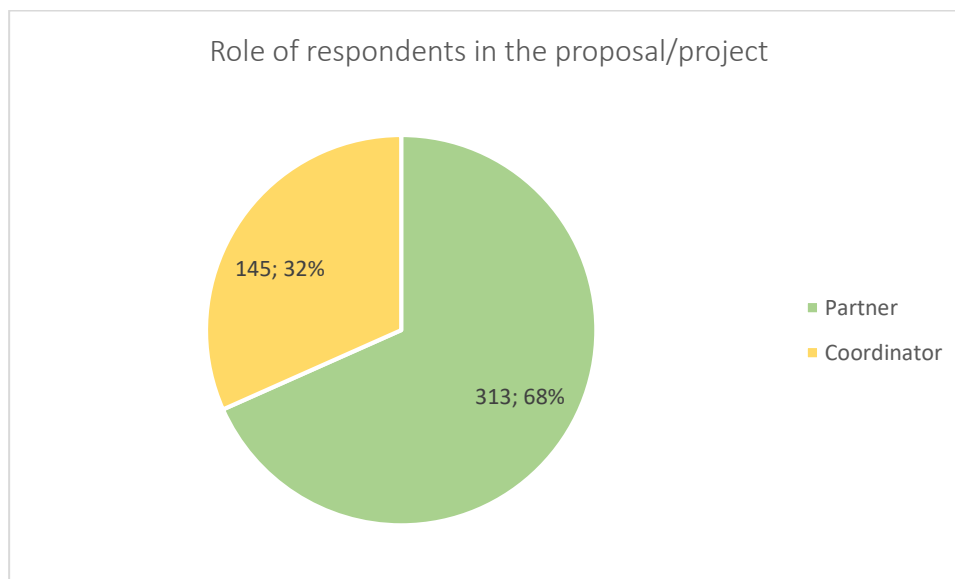


Figure a. The majority of the respondents are partners

More than 40% of respondents are belonging to a private organisation. Among them, 69% are working in a SME. This is principally due to the fact that one lump sum topic under the work programme 2020 was specifically targeting SMEs and received almost 150 proposals (topic INNOSUP-02-2019-2020).

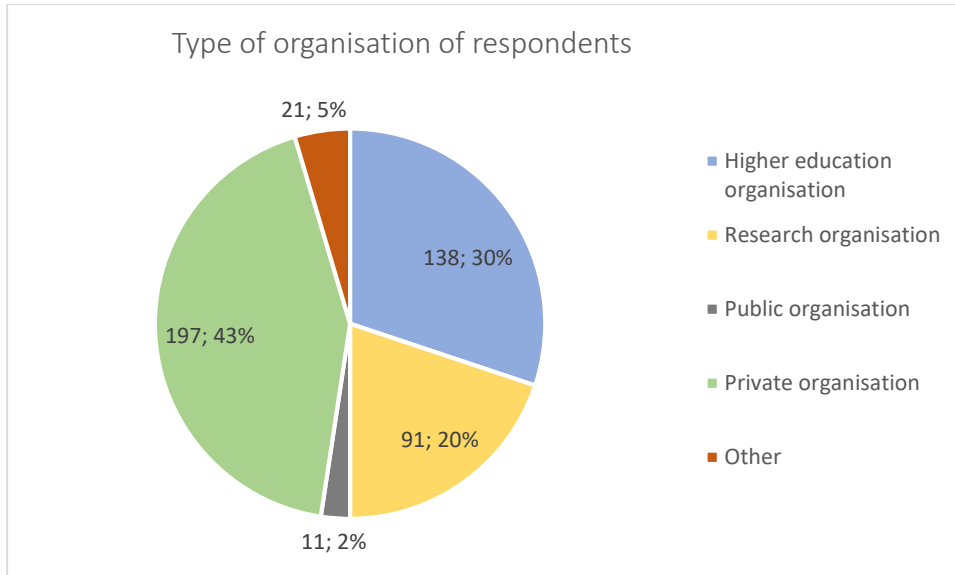


Figure b. Most of the externals respondents are from private organisation, higher education organisation and research organisation.

Among the respondents, a majority submitted an option 2 lump sum proposal, meaning that the amount of the lump sum was proposed by the applicants. The option 2 was indeed the main option used in the lump sum topics under the Horizon 2020 work programme 2018-2020, whereas option 1 (when the amount of the lump sum is fixed in the call for proposal) was used only in few topics.

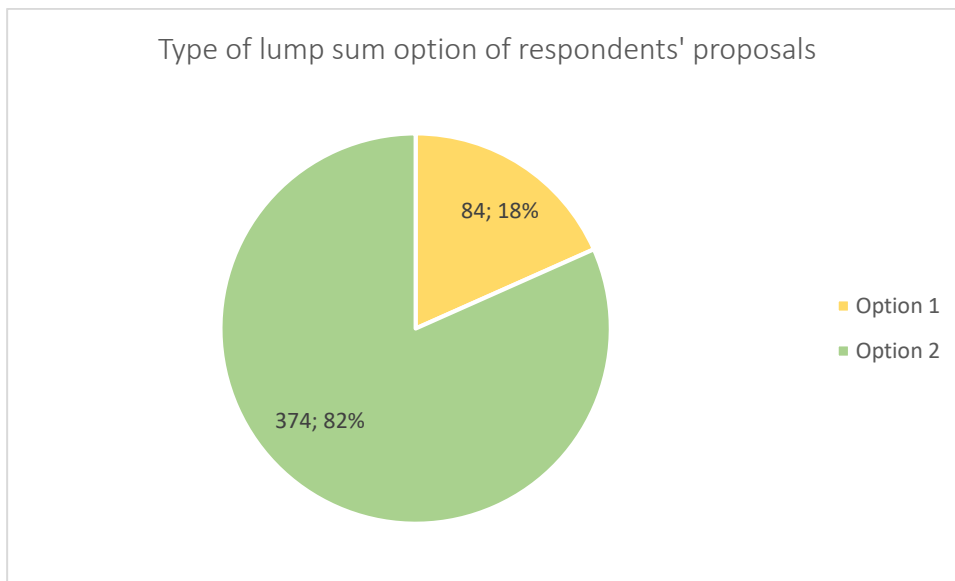


Figure c. More than 80% of the respondents have submitted an option 2 lump sum proposal

The majority of respondents to the survey were involved in a medium size proposal, with a budget ranging between 1.000.000 € and 10.000.000 €.

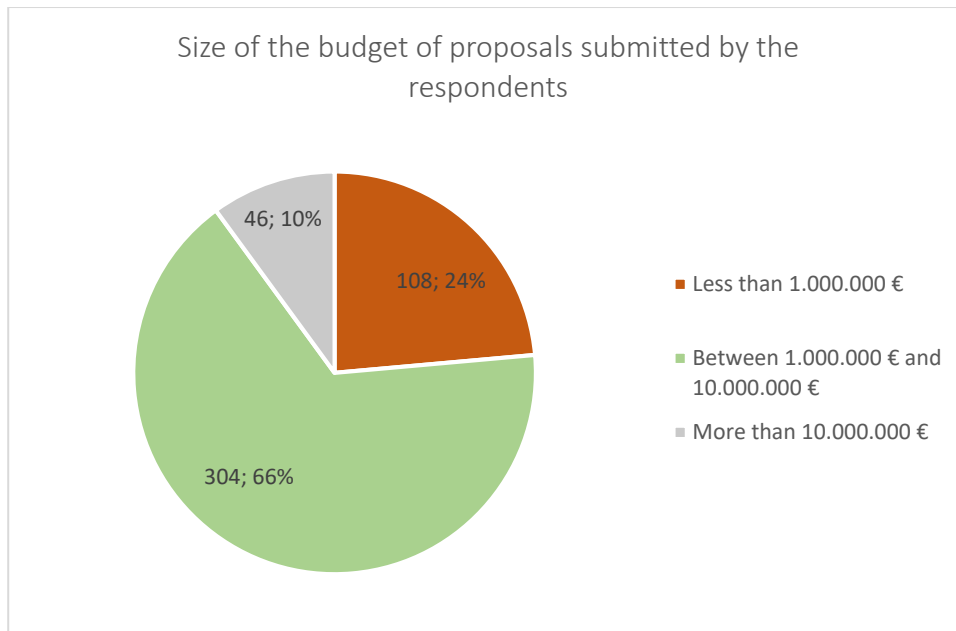


Figure d. The majority of respondents submitted a proposal whose budget is between 1.000.000 € and 10.000.000 €

A majority of respondents were part of a medium or large size-consortium (between 6 and 10 partner, and more than 10 partners), but mono-beneficiary proposals are also represented.

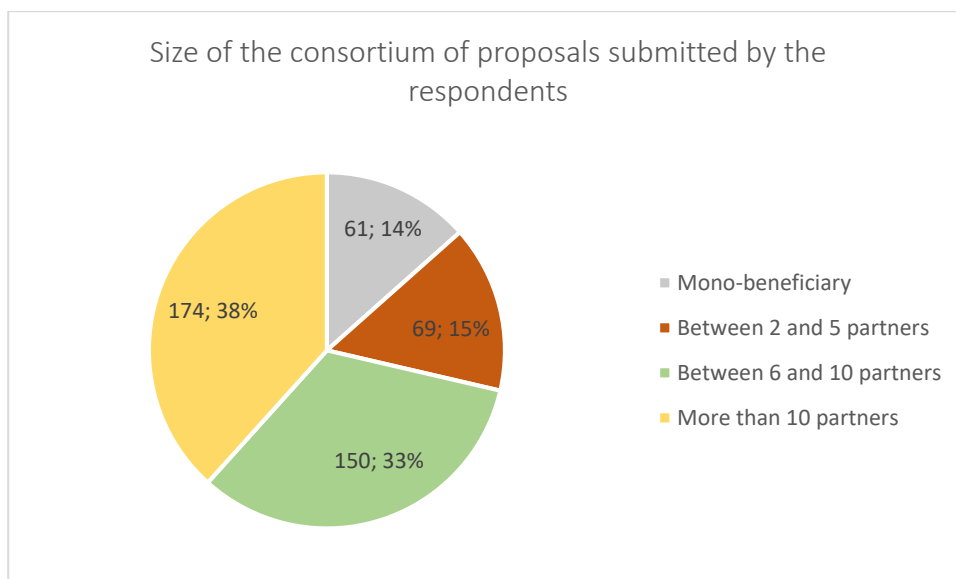


Figure e. The majority of respondents are part of medium or large size consortium

With 53% of respondents whose proposal was not selected for funding, we have a sufficiently large sample to limit the bias in favour of lump sum funding that responses from those whose projects were funded could induce. Logically, the respondents whose proposal was not selected for funding or pending evaluation answered only to general questions and questions on proposal submission and evaluation.

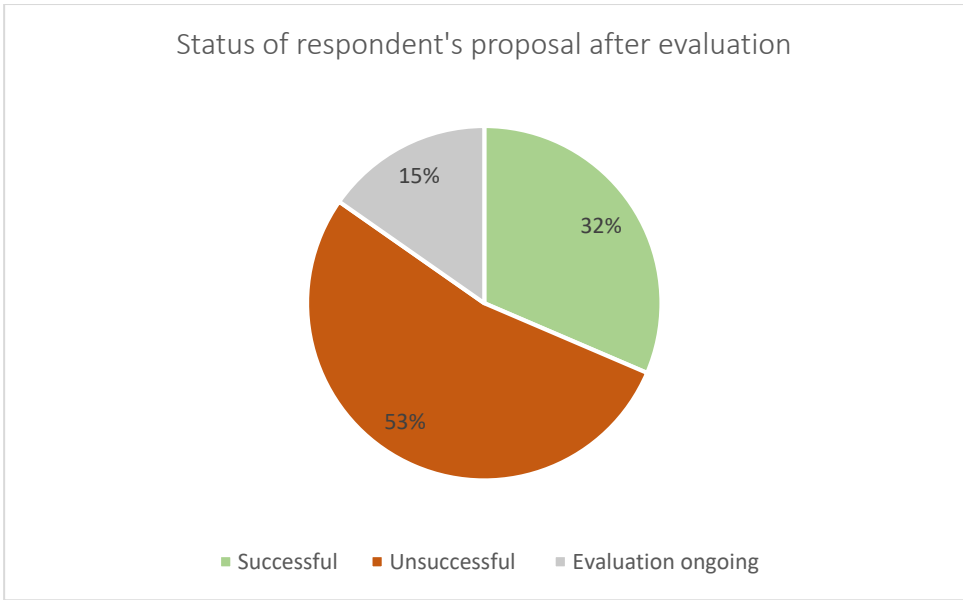


Figure f. Half of the respondents were unsuccessful

Expert evaluators

We invited 226 experts involved in the evaluation of lump sum pilot proposals to respond to this survey. We targeted all the lump sum pilot topics under the Horizon 2020 work programme 2018-2020 whose evaluation process was finished in November 2020. We excluded the ERC Proof of Concept calls whose evaluation modalities are a bit different. We launched the survey on 03 December 2020 and it remained opened for one month and half. 136 answers were received, equivalent to a response rate of 60%.

Among the respondents, a majority evaluated option 2 lump sum proposals, meaning proposals where the amount of the lump sum was proposed by the applicants. During the evaluation of option 2 proposals, experts must check the detailed estimation of costs, evaluate whether the resources proposed allows achieving the activities, and eventually make recommendations to adapt the amount of the lump sum.

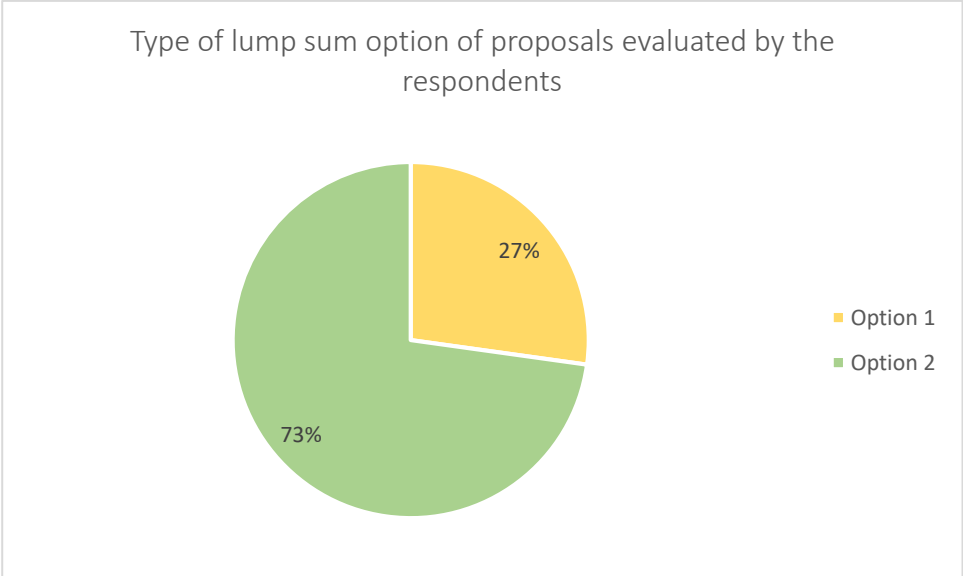


Figure g. 3/4 of the proposals evaluated are option 2 lump sum proposals

The majority of experts who answered the survey evaluated small proposals in terms of budget (less than 1.000.000 €).

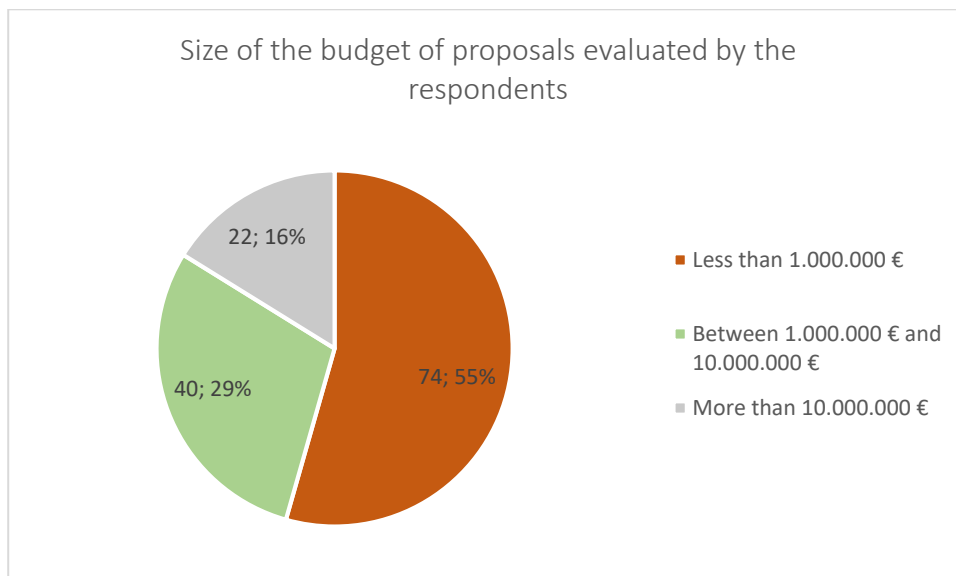


Figure h. The majority of respondents evaluated small budget size proposals

Experts who answered the survey were involved in the evaluation of proposals of different consortium sizes almost to the same proportion.

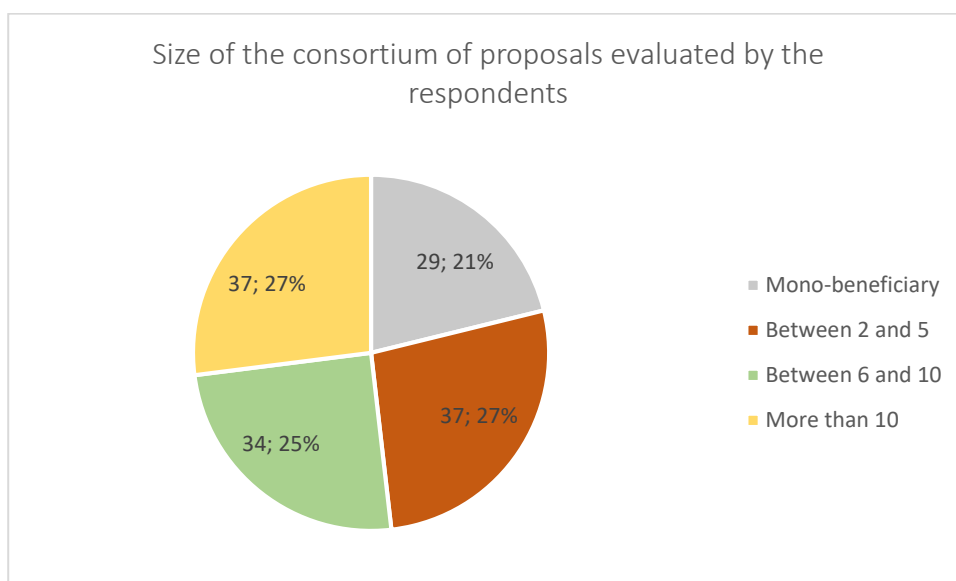


Figure i. Respondents evaluated proposals with different consortium size

EU staff

We invited 43 colleagues directly involved in the implementation of lump sum pilot topics to answer to this survey. It was an open survey and colleagues could forward it to other involved people. We launched the survey on 20 January 2021 and it remained opened for three weeks. We received 33 answers, equivalent to a response rate of 77%

A majority of answers came from colleagues of the Executive Agencies, in line with the fact that most of the lump sum pilot topics are implemented by Executive Agencies (REA, INEA, EASME).

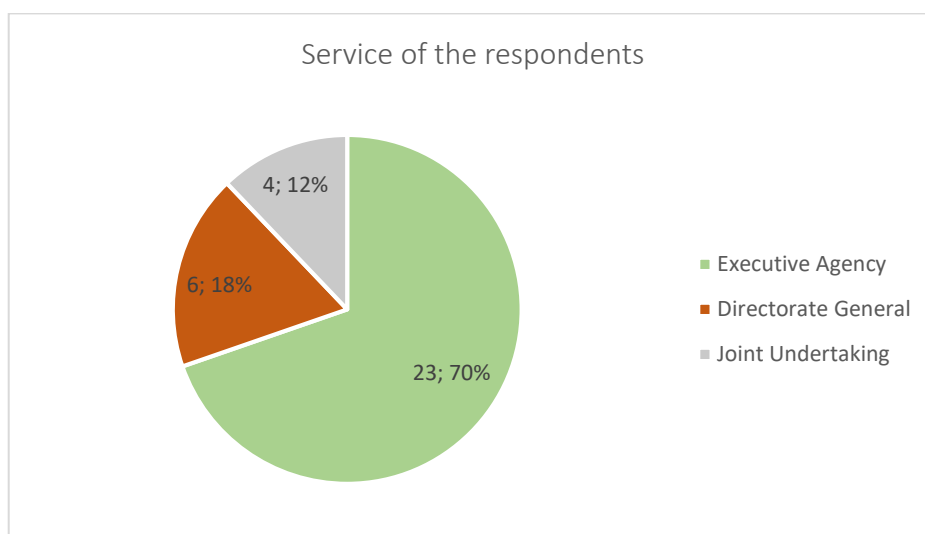


Figure j. EU staff are mainly from executive agency

The majority of respondents is working as project or policy officer.

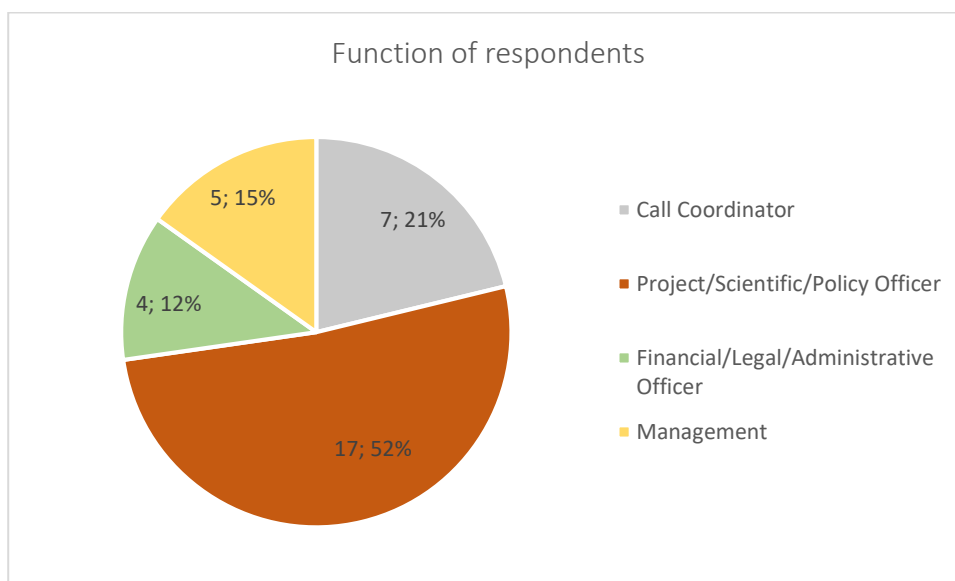


Figure k. EU staff are mainly project or policy officers

National Contact Points

We invited 172 National Contact Points (National NCP coordinators and Legal & Financial National Contact Points) to provide their input to our survey on the Horizon 2020 lump sum pilot. We received 46 answers, equivalent to a response rate of 27%. Out of the total 46 replies, we received 39 replies from EU Member States (25 countries replied). Out of the 27 Member States, only Lithuania and Luxembourg did not reply. We received another 7 replies from Associated countries (5 countries replied: Albania, Moldova, Serbia, Switzerland and Turkey). We launched the survey on 04 March 2021, and it remained open for three weeks.

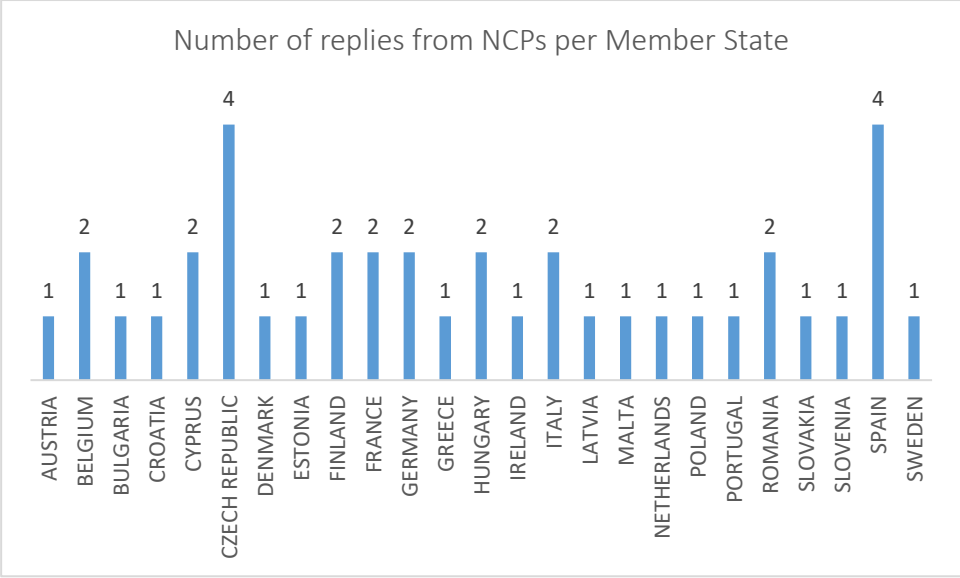


Figure 1. Almost all EU Member States are represented in the answers to the survey among National Contact Points (NCPs).

b. Questionnaires

Participants

Your role in a lump sum proposal

Q1: What is your role in the lump sum proposal or project that you are involved in?

- Scientific / technical project lead
- Research and development
- Project management / administration

Q2: Have you been involved in other H2020 proposals or projects, not using lump sums?

- Yes, as an applicant or beneficiary
- Yes, as an expert
- No

Satisfaction with the approach to using lump sums

Q3: Lump sum options

- A lump sum fixed up-front in the call for proposals is the best option.
- A lump sum defined by the applicant in the proposal is the best option.
- The existing lump sum options are suitable to cover all types of action.
- We need additional lump sum options (e.g., to better accommodate certain types of action).

Q4: Lump sum proposal writing

- Defining a lump budget is easier than defining the budget in standard proposals.
- Applicants need more help and guidance on setting up the lump sum budget.
- Writing a lump sum pilot proposal takes more time than writing a standard proposal.
- The lump sum approach affects consortium building (choice of partners).
- The use of lump sum funding was clear in the description of the topic (call for proposals).
- There was enough information and guidance available on the Funding & Tenders Portal to support the preparation of the proposal (presentations, video, FAQ, Annotated Model Grant Agreement).
- The structure of the work plan and division into work packages is principally the same as in standard proposals.
- Other aspects of proposal writing (e.g., concept and methodology) are the same as in standard proposals.
- The number of pages allowed in the technical annex of a lump sum proposal is sufficient.

Q5: Lump sum proposal evaluation

- The quality of feedback in the evaluation summary report was good.
- The feedback on budgetary aspects in the evaluation summary report was sufficient.

Q6: Lump sum grant preparation

- There is no major difference between grant preparation for lump sum grants and standard grants.
- When changes to the lump sum budget are necessary, this is easy to implement.
- The consortium agreement for a lump sum grant needs to address additional aspects compared to the consortium agreement for a standard grant.

Q7: Lump sum project implementation

- Project implementation and financial management are easier due to the more detailed planning of work packages and budget in lump sum grants.
- Lump sum funding allows for more flexibility in project management.
- Monitoring the progress of the project and individual work packages is easier in lump sum grants.
- The amendment process is similar to the amendment process for standard grants.
- It is clear which type of records must be kept on file to demonstrate proper implementation of the project (e.g., in case of a technical review).

Q8: Reporting and payments

- Technical reporting is similar for lump sum grants and standard grants.
- Financial reporting is much easier for lump sum grants.
- The level of pre-financing for lump sum grants is sufficient.
- The schedule of payments (pre-financing, intermediate payments, and payment of the balance) ensures adequate cash flow for the lump sum project.
- It is appropriate to calculate payments on the basis of completed work packages.

Q9: Summary

- Overall, the lump sum funding approach tested in the pilot delivers on its two main goals (i.e., a significant reduction of administrative burden and shifting the focus from financial controls to the content of projects).
- The current approach needs to be further improved to fully deliver on the potential of using lump sums (if you have any concrete suggestions please provide them in the comment box below).

Written feedback (optional)

Q10: If you have any comments or suggestions on how to improve lump sum funding in the R&I framework programme, please specify below.

Experts

Your experience with horizon 2020

Question 1: Have you been involved in the evaluation of other H2020 proposals (not using lump sums)?

- Yes
- No

Question 2: Have you been involved in writing and submitting any H2020 proposals?

Yes

No

Question 3: Have you been participating in any H2020 grants?

Yes

No

Your opinion on the approach to using lump sums

Question 4: Lump sum pilot options

- A lump sum fixed up-front in the call for proposals is the best option.
- A lump sum defined by the applicants in the proposal is the best option.
- The existing lump sum options are suitable to cover all types of action.
- We need additional lump sum options (e.g., to better accommodate certain types of action).

Question 5: Briefing for expert evaluators

- The briefing for experts was clear.
- The briefing for experts explained the specificities of the lump sum pilot scheme.
- The briefing for experts explained adequately the financial aspects (i.e., how to evaluate the lump sum budget).

Question 6: Lump sum pilot proposals

- The lump sum approach has an effect on consortium building (choice of partners).
- The structure of the work plan and division into work packages is principally the same as in standard proposals.
- Other aspects (e.g., concept and methodology) are the same as in standard proposals.
- The number of pages allowed in the technical annex of a lump sum proposal is sufficient for applicants to describe their proposal.
- The overall quality of the proposals is similar to proposals in standard calls.

Question 7: Lump sum proposal evaluation

- The evaluation took longer than for standard proposals (e.g., your individual assessment of the proposal and the consensus meeting).
- The detailed estimation of costs in a lump sum proposal is sufficient to evaluate properly the lump sum budget.
- The Excel workbook presenting a breakdown of the proposed resources is sufficiently clear.

Question 8: Summary

- Overall, the lump sum funding approach tested in the pilot can deliver on its two main goals (i.e., a significant reduction of administrative burden and shifting the focus from financial controls to the content of projects).
- The current approach needs to be further improved to fully deliver on the potential of using lump sums (if you have any concrete suggestions please provide them in the comment box below).

Written feedback

If you have any comments or suggestions on how to improve lump sum funding in the R&I framework programme, please specify below.

EU staff

Your workplace and function

Q1: Your service?

- Directorate-General
- Executive Agency
- Joint Undertaking

Q2: Your function?

- Project/Scientific/Policy Officer
- Financial/Legal/Administrative Officer
- Call Coordinator
- Management

Q3: Lump sum option used

Which lump sum option is used in your lump sum topic?

- The lump sum is fixed in the call for proposals (option 1)
- The lump sum is defined by the applicants in the proposal (option 2)

Satisfaction with the approach to using lump sums

Q4: Lump sum options

- A lump sum fixed up-front in the call for proposals is the best option.
- A lump sum defined by the applicants in the proposal is the best option.
- The existing two lump sum options are suitable to cover all types of action.
- We need additional lump sum options to better accommodate certain types of action.

Q5: Writing your lump sum topic

- There was sufficient information on the lump sum approach and the available options (e.g., dedicated meetings, guidance documents, Connected platform).
- There was sufficient information and support on writing your lump sum topic.
- There was sufficient information and support to prepare the Commission decision needed to authorise a fixed lump sum (only applicable to topics using option 1)

Q6: Call setup, submission, and interaction with potential applicants

- There was sufficient information on how to set up and publish your lump sum topic (e.g., access to the correct templates, publication of guidance material on the topic page of the Funding & Tenders Portal).
- The information material for applicants was appropriate (lump sum specificities, video, slides, FAQs).
- Applicants had significantly more questions about your lump sum topic compared with standard topics.
- Applicants were generally positive about the use of lump sum funding in your topic.

Q7: Number of proposals received

How many proposals did you receive in response to your lump sum topic?

- Fewer proposals than expected
- Approximately the number of proposals expected
- More proposals than expected

Q8: Quality of lump sum proposals received

- In your lump sum topic, applicants had a higher tendency to choose stable consortium partners (e.g., partners they already know and trust) compared with standard topics.
- The structure of the work plan and division into work packages is principally the same as in standard proposals.
- Other aspects of proposal writing (e.g., concept and methodology) are the same as in standard proposals.
- The applicants provided accurate cost estimates in the lump sum budget table.
- The technical/scientific quality of proposals received was similar to the quality of proposals in standard topics.

Q9: Experts and evaluation

- It was easy to find experts able to evaluate the detailed cost estimates in the lump sum budget table.
- The briefing material for experts was sufficient.
- The overall evaluation process was longer than the process for standard calls.
- The evaluation process was more difficult to conduct.
- The level of detail in the lump sum budget table (Excel workbook) is appropriate to perform a sound evaluation.
- The level of detail in the Part B template is appropriate to perform a sound evaluation.
- The applicable page limit allows for sufficiently detailed lump sum proposals.

Q10: Grant Agreement Preparation

- The recommendations of experts on the lump sum budget were precise enough to implement them during GAP.
- The overall GAP process was similar to the process for standard grants.

Q11: Project management, reporting and payments

- The level of pre-financing for lump sum grants is sufficient.
- It is appropriate to calculate payments on the basis of completed work packages.
- The administrative effort at reporting stage is lower for beneficiaries than in standard grants.
- The administrative effort at reporting stage is lower for Commission/Agency/JU staff than in standard grants.
- The quality of deliverables in lump sum grants is similar to the quality of deliverables in standard grants.
- Beneficiaries focus more on the scientific and technical aspects of the projects than in standard grants.
- Commission/Agency/JU staff focus more on the scientific and technical aspects of the projects than in standard grants.
- The amendment and review process is sufficiently clear.

Q12: Summary

- Overall, the lump sum funding approach tested in the pilot delivers on its two main goals (i.e., a significant reduction of administrative burden and shifting the focus from financial controls to the content of projects).
- The current approach needs to be further improved to fully deliver on the potential of using lump sums.

Written feedback (optional)

Q13: If you have any general comments or suggestions on how to improve lump sum funding in the R&I framework programme, please specify below.

National Contact Points

Your experience with lump sum funding in Horizon 2020

Q1: Have you been involved, as a National Contact Point, in the discussions about lump sum funding in Horizon 2020 (e.g., during the preparation phase of the lump sum pilot, before the pilot was launched in 2018)?

- Yes
- No

Q2: Did the Commission provide sufficient information about lump sum funding to NCPs and to participants?

- Yes
- No

Q3: Have you been receiving a significant number of questions about lump sum funding in Horizon 2020 from the participants in your country?

- Yes
- No

Q4: Have you been receiving a significant amount of feedback about lump sum funding in Horizon 2020 from the participants in your country?

- Yes
- No

Your opinion on using lump sum funding in Horizon 2020 and Horizon Europe

Question 5: Lump sum options (fixed in the call or defined by the applicants)

- A lump sum fixed up-front in the call for proposals is the best option.
- A lump sum defined by the applicants in the proposal is the best option.
- The existing two lump sum options are suitable to cover all types of action.
- We need additional lump sum options to better accommodate certain types of action.

Question 6: Lump sum proposal writing

- Defining a lump budget is easier than defining the budget in standard proposals.
- Applicants need more help and guidance on setting up the lump sum budget.
- The lump sum approach affects consortium building (choice of partners).
- There was enough information and guidance available on the Funding & Tenders Portal to support applicants in the preparation of their proposals (presentations, video, FAQ, Annotated Model Grant Agreement).
- The structure of the work plan and division into work packages is principally the same as in standard proposals.
- Other aspects of proposal writing (e.g., concept and methodology) are the same as in standard proposals.
- The number of pages allowed in the technical annex of a lump sum proposal is sufficient.

Question 7: Lump sum project implementation

- There is enough information and guidance available on the Funding & Tenders Portal to support applicants in the implementation of their project.
- Project implementation and financial management are easier due to the more detailed planning of work packages and budget in lump sum grants.
- Lump sum funding allows for more flexibility in project management.
- The amendment process is similar to the amendment process for standard grants.
- It is clear which type of records must be kept on file to demonstrate proper implementation of the project (e.g., in case of a technical review).

Question 8: Reporting and payments

- Technical reporting is similar for lump sum grants and standard grants.
- Financial reporting is much easier for lump sum grants.
- The level of pre-financing for lump sum grants is appropriate.
- The schedule of payments (pre-financing, intermediate payments, and payment of the balance) ensures adequate cash flow for the lump sum project.
- It is appropriate to calculate payments on the basis of completed work packages.

Question 9: Simplification potential

- Lump sum funding makes the R&I Framework Programme more attractive and accessible, especially for new participants and smaller actors with little experience in EU grant management.
- Overall, the lump sum funding approach tested in the pilot delivers on its two main goals (i.e., a significant reduction of administrative burden and shifting the focus from financial controls to the content of projects).

Question 10: Future use of lump sum funding in Horizon Europe

- The lump sum approach used in Horizon 2020 should be further improved for Horizon Europe based on the experience gathered so far (if you have any concrete suggestions please provide them in the comment box below).
- Lump sum funding should be established as a standard funding model in Horizon Europe, in addition to the traditional funding model based on the reimbursement of actual costs.

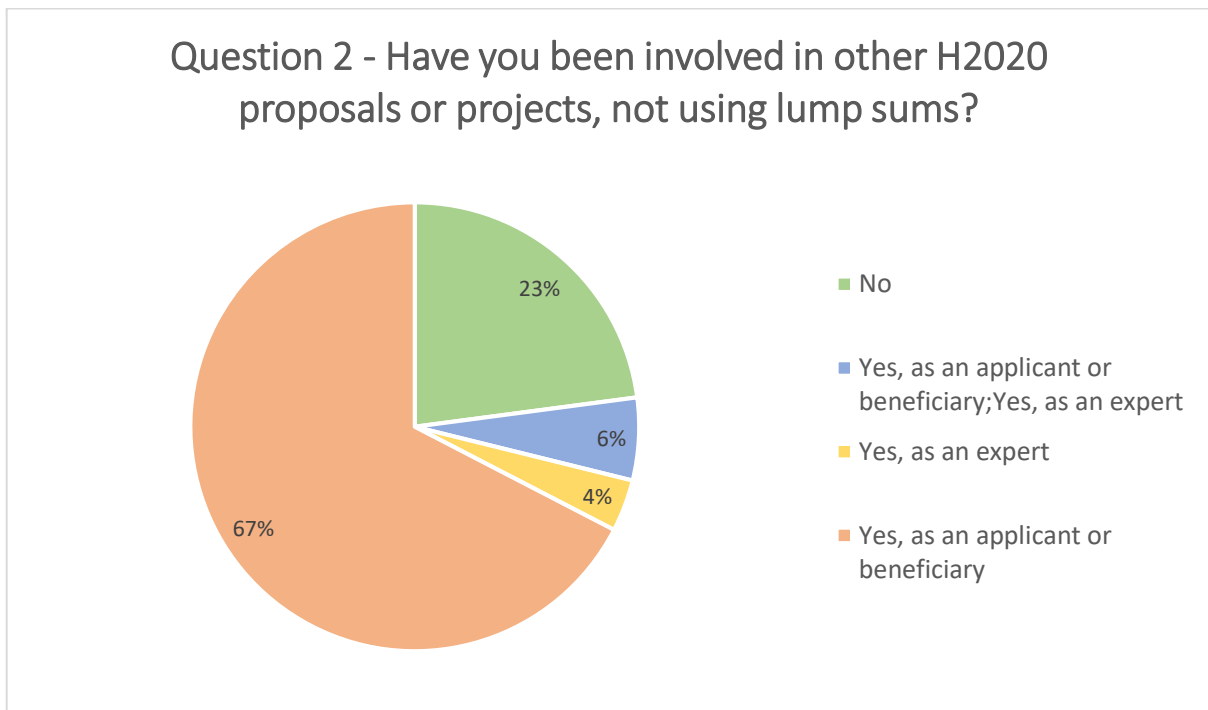
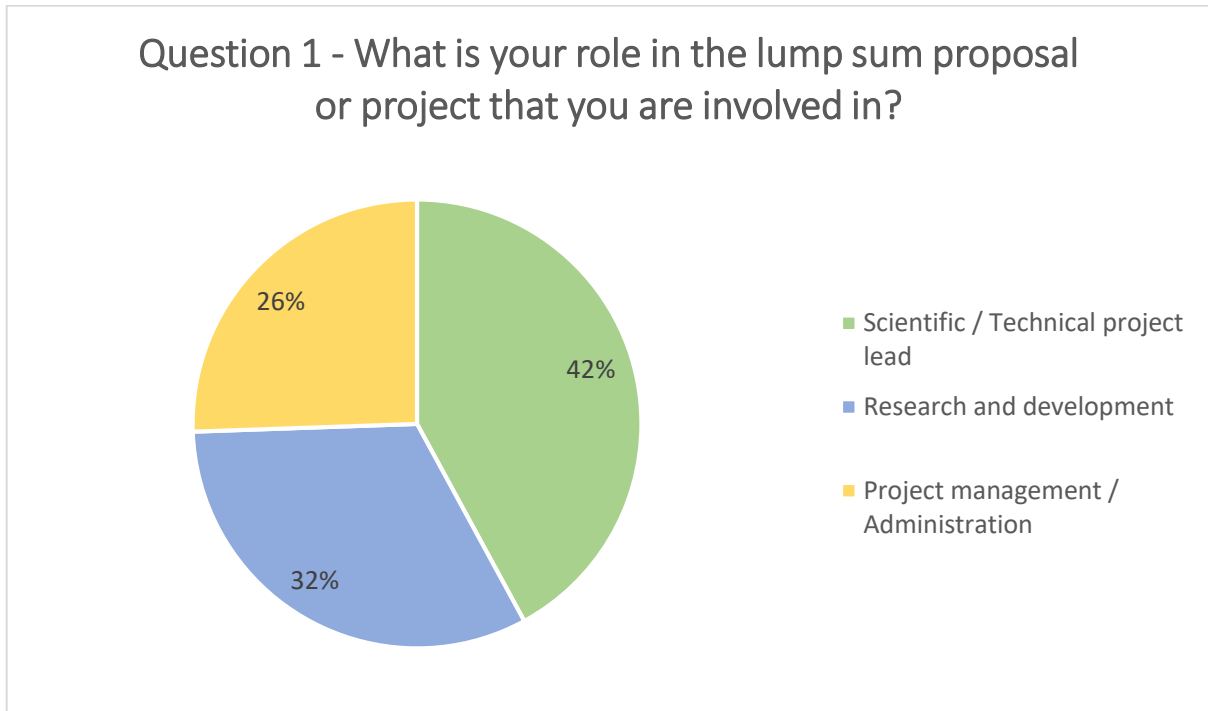
- Lump sum funding should be used more widely in suitable parts of Horizon Europe (if you have any concrete suggestions for suitable programme areas please provide them in the comment box below).

Written feedback (optional)

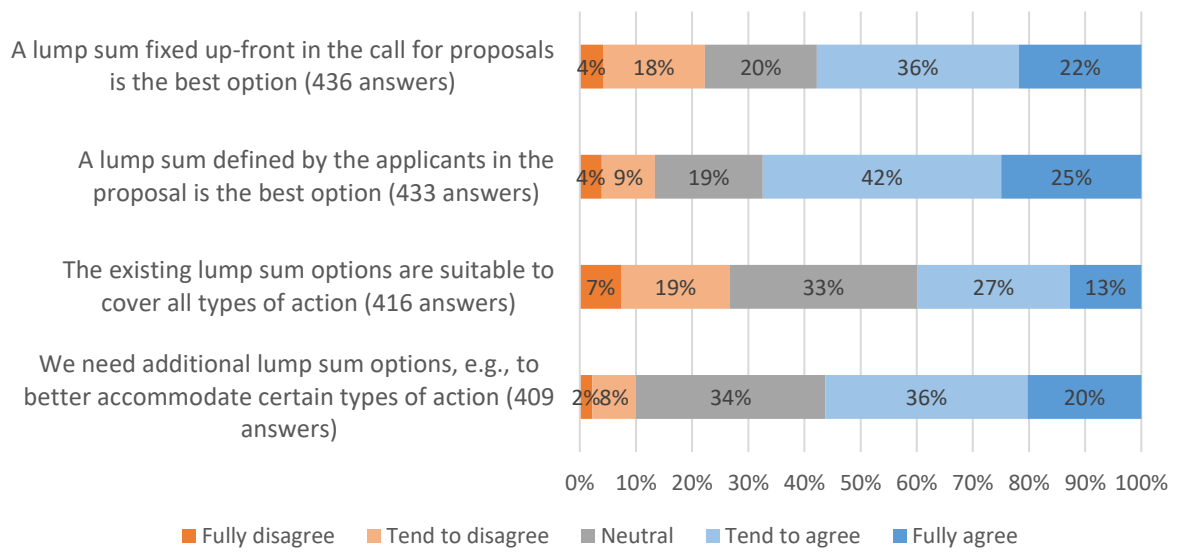
Question 11: If you have any comments or suggestions on how to improve lump sum funding in the R&I framework programme, please specify below.

c. All survey results

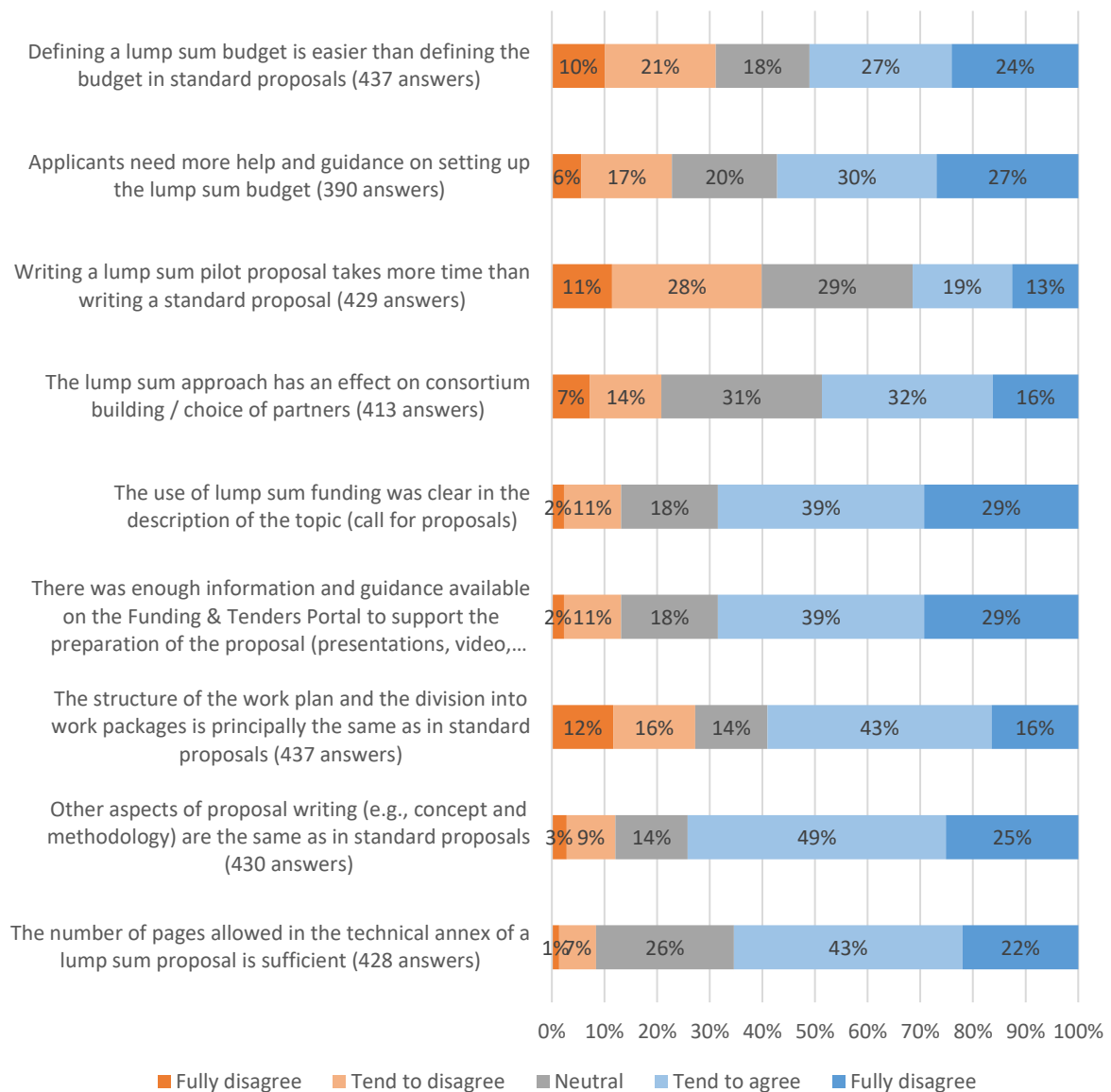
All graphs participants



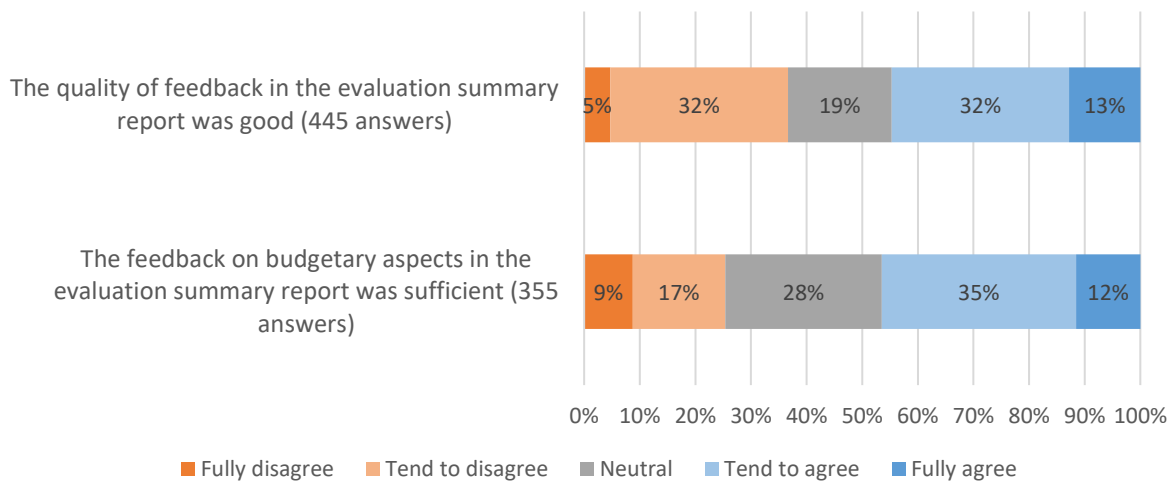
Question 3 - Lump sum options



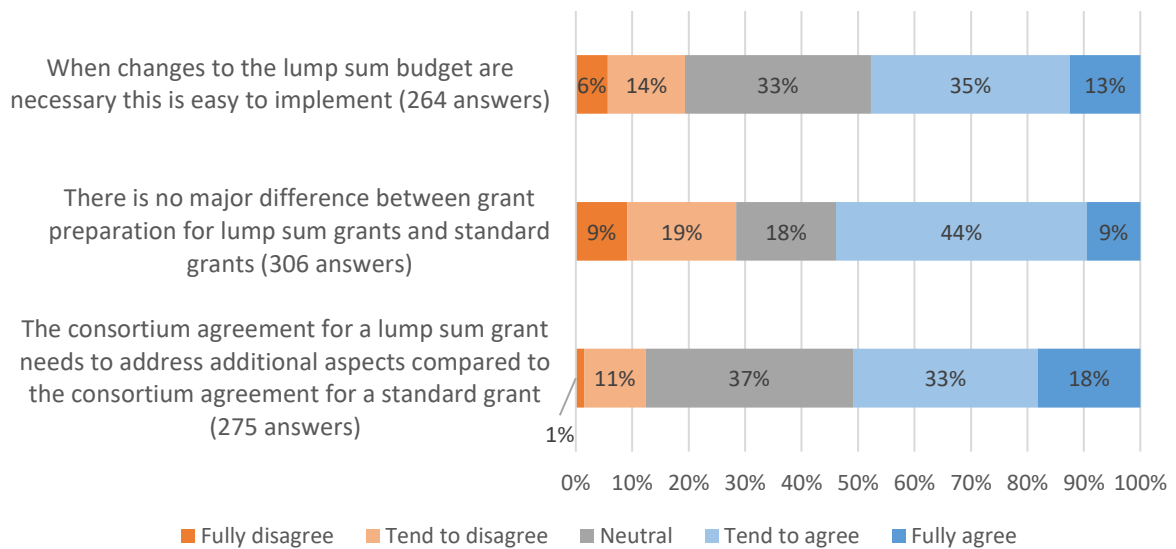
Question 4 - Lump sum proposal writing



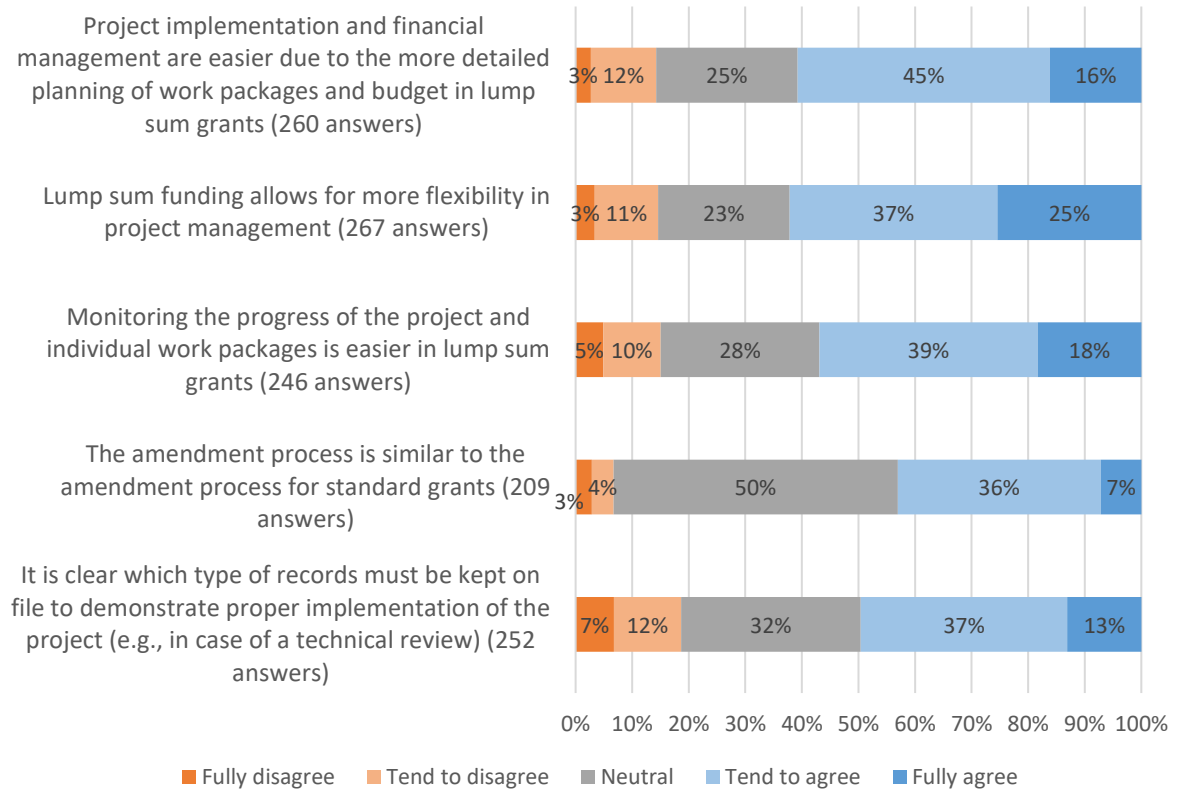
Question 5 - Lump sum proposal evaluation



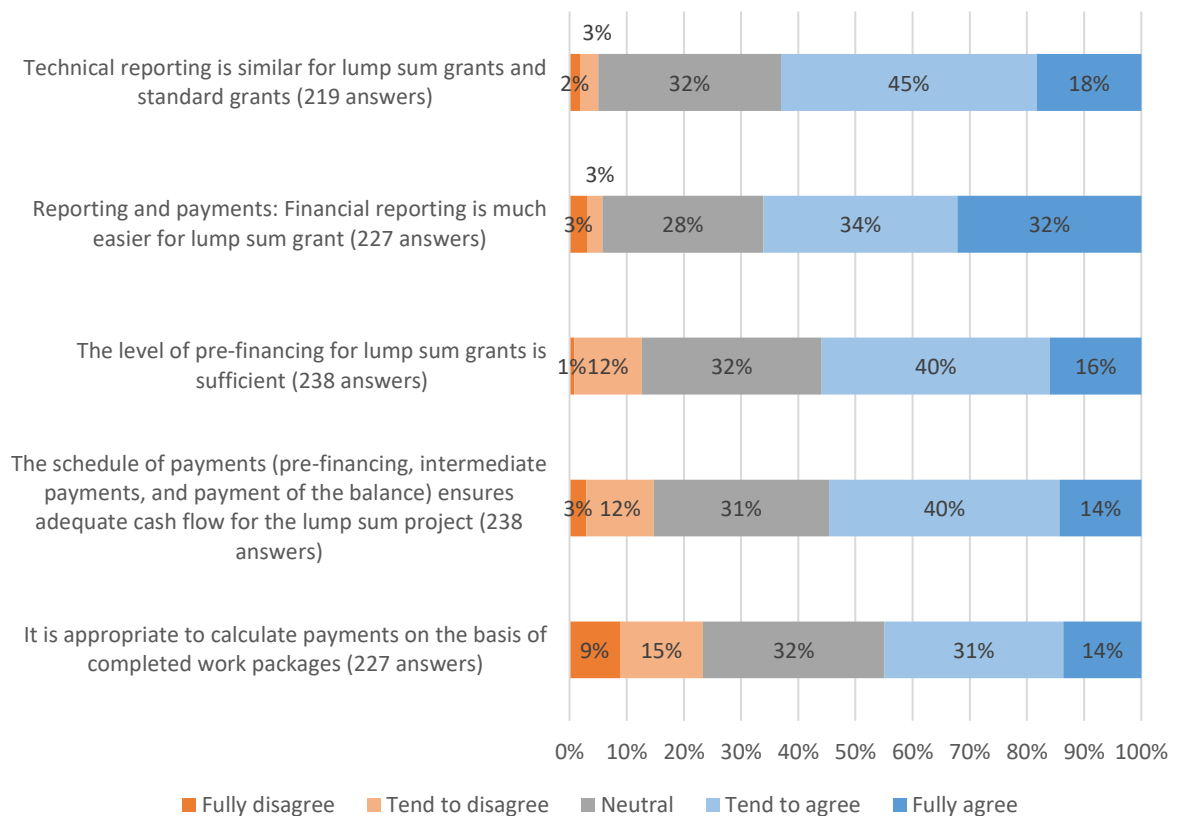
Question 6 - Grant preparation



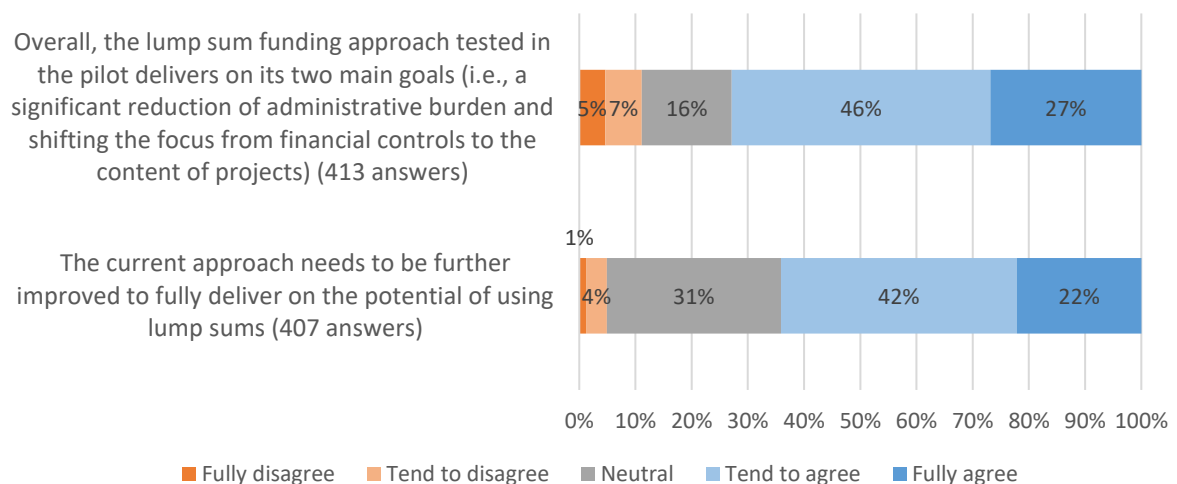
Question 7 - Lump sum project implementation



Question 8 - Reporting and payment

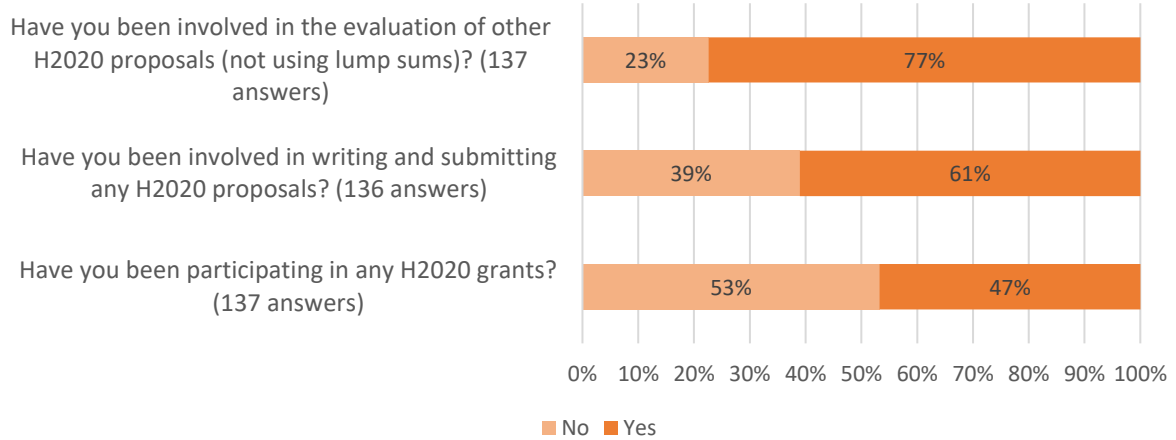


Question 9 - Summary

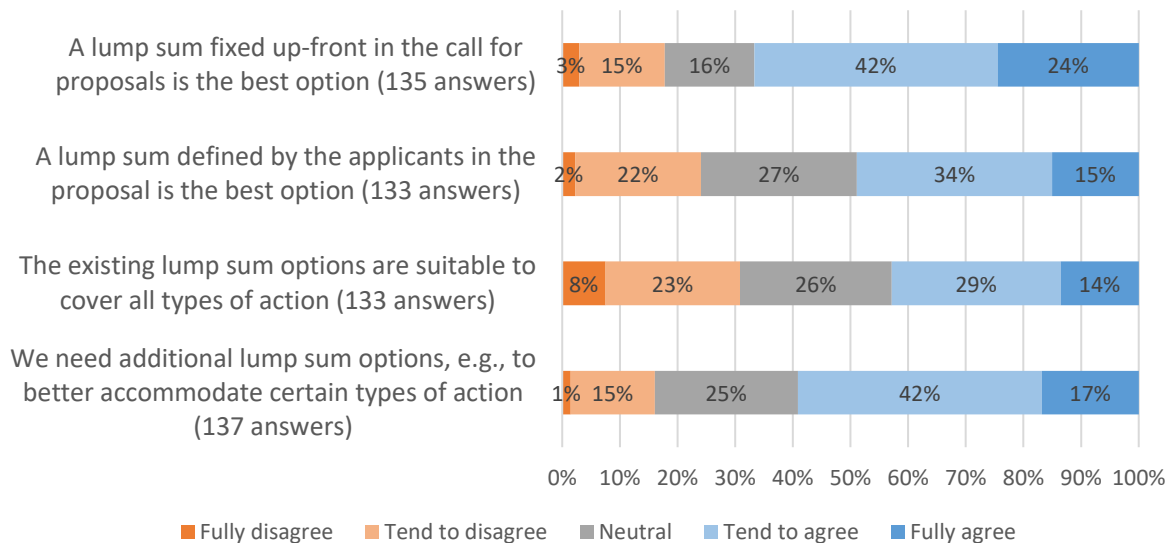


All graphs experts

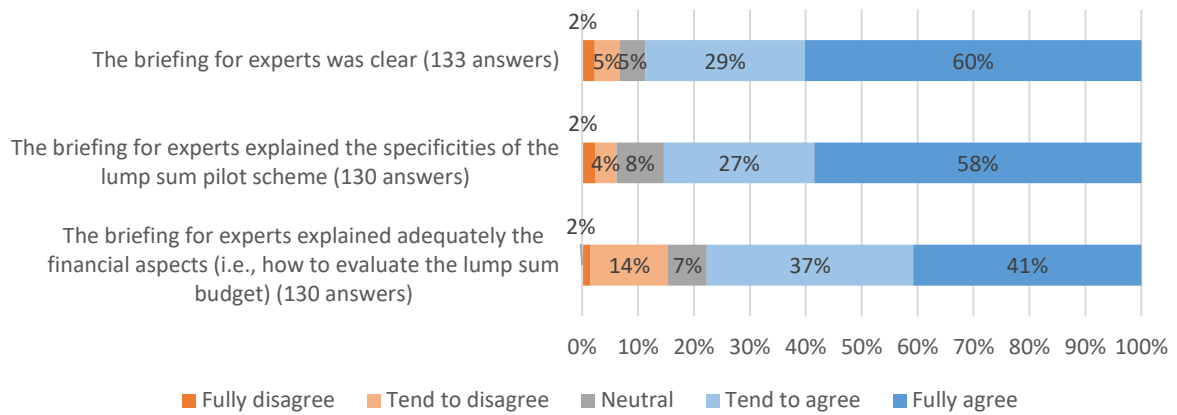
Questions 1 to 3 - Your experience with Horizon 2020



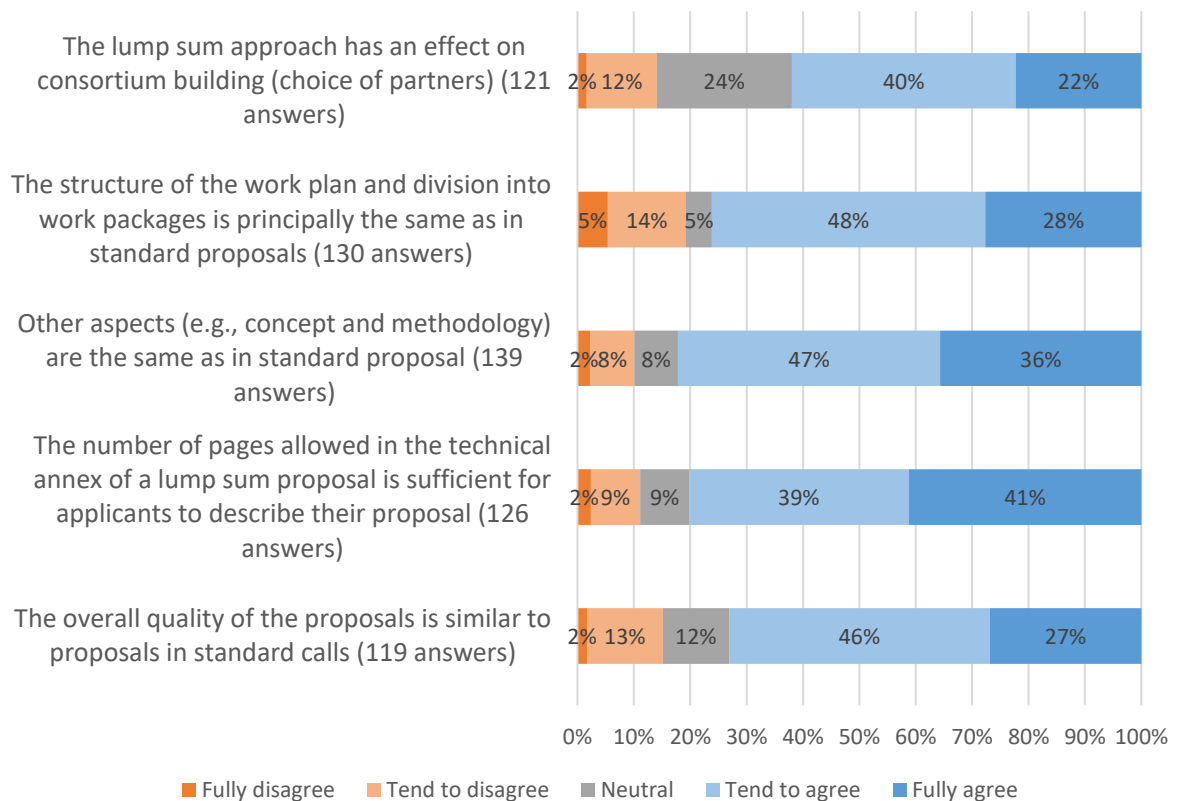
Question 4 - Lump sum pilot options



Question 5 - Briefing for experts



Question 6 - Lump sum pilot proposals

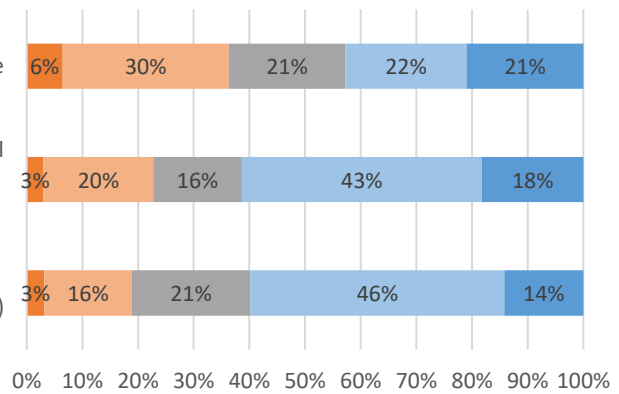


Question 7 - Lump sum proposals evaluation

The evaluation took longer than for standard proposals (e.g., your individual assessment of the proposal and the consensus meeting) (124 answers)

The detailed estimation of costs in a lump sum proposal is sufficient to evaluate properly the lump sum budget (132 answers)

The Excel workbook presenting a breakdown of the proposed resources is sufficiently clear (127 answers)

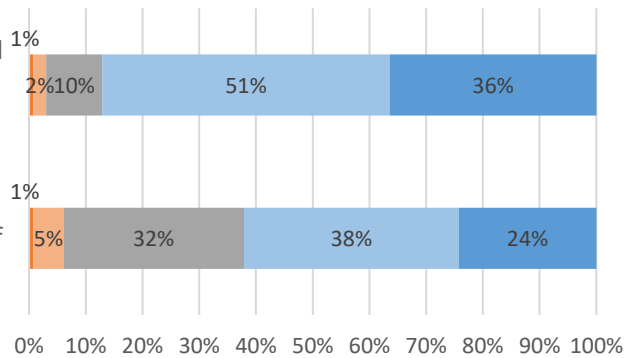


Legend: Fully disagree (orange), Tend to disagree (light orange), Neutral (grey), Tend to agree (light blue), Fully agree (dark blue)

Question 8 - Summary

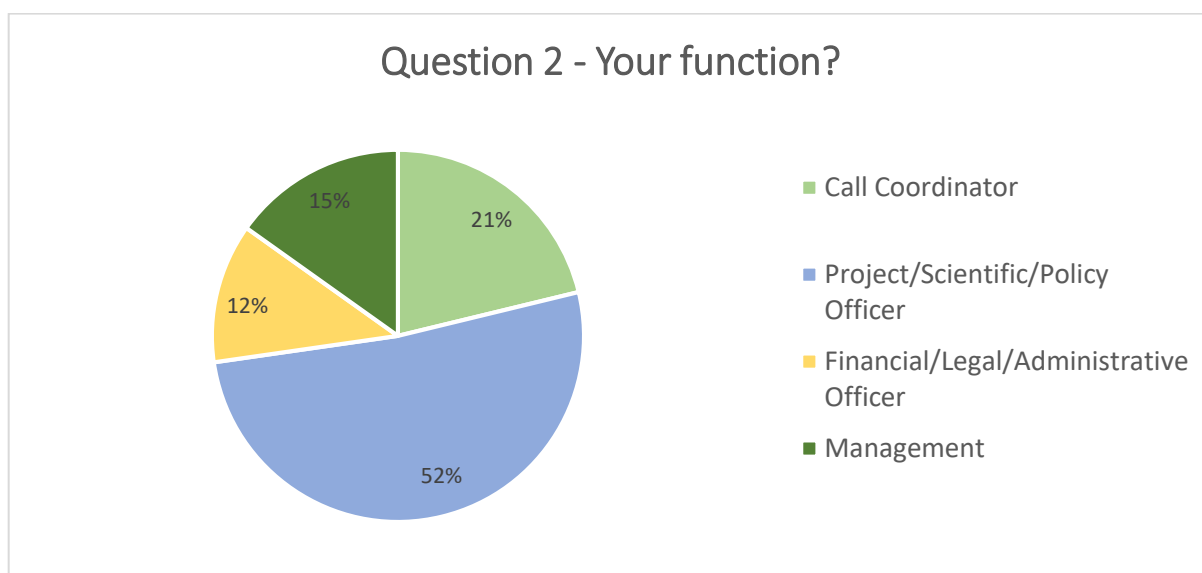
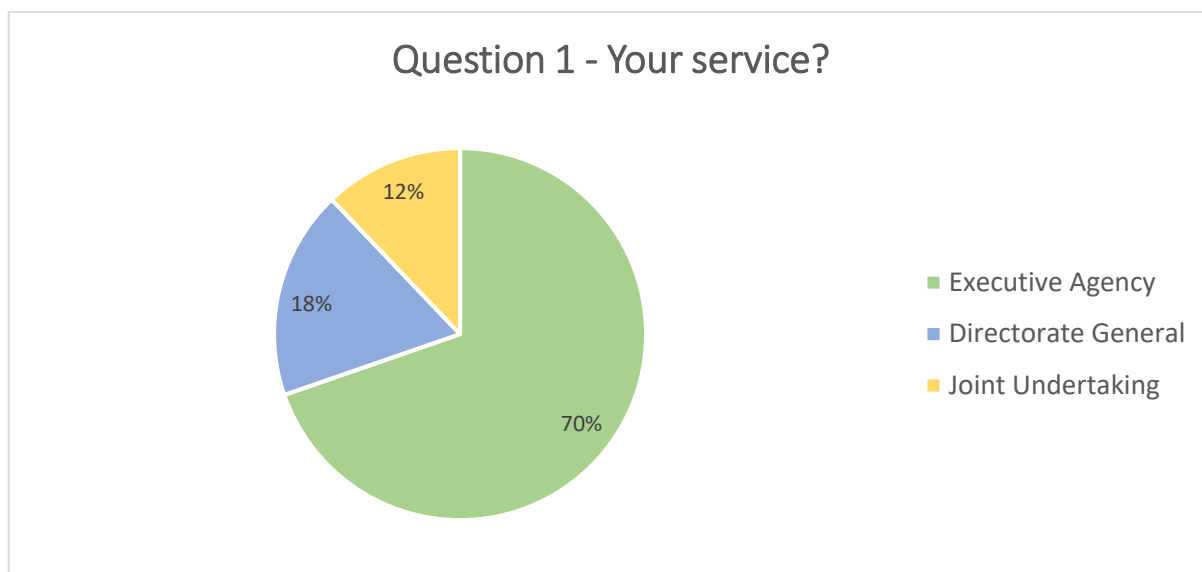
Overall, the lump sum funding approach tested in the pilot can deliver on its two main goals (132 answers)

The current approach needs to be further improved to fully deliver on the potential of using lump sums (132 answers)

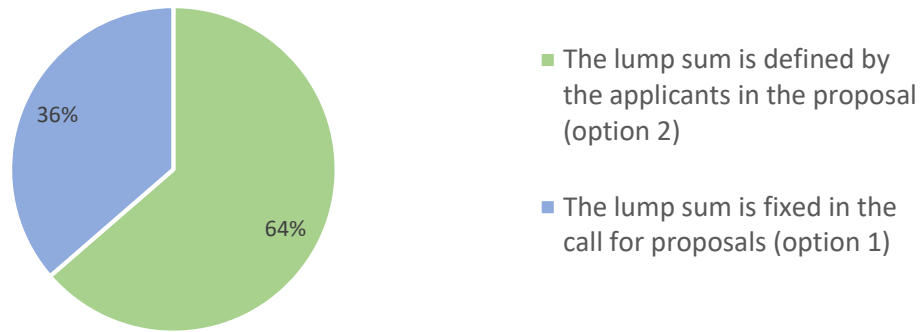


Legend: Fully disagree (orange), Tend to disagree (light orange), Neutral (grey), Tend to agree (light blue), Fully agree (dark blue)

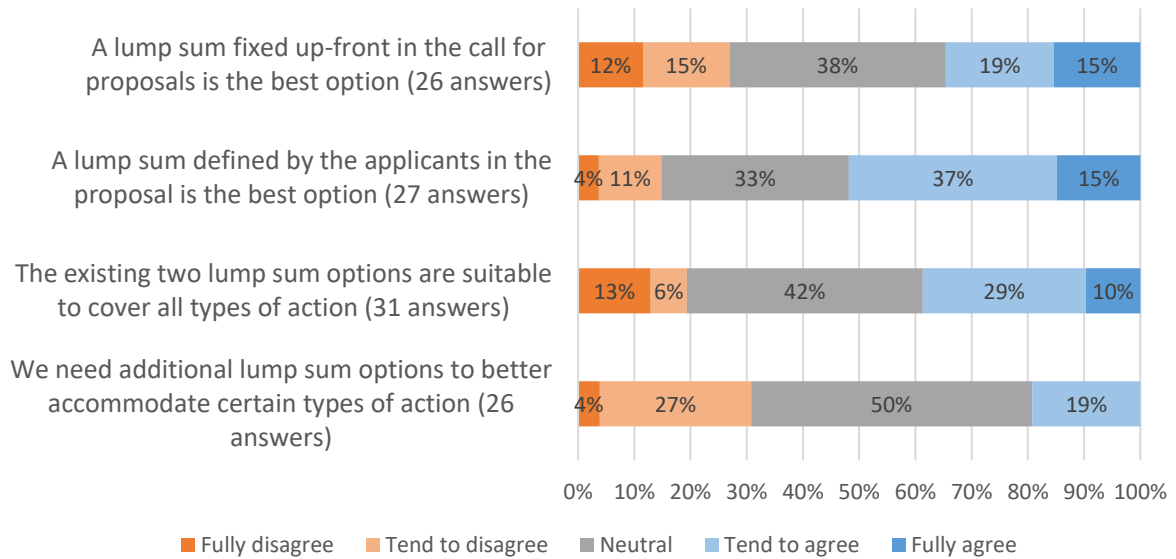
All graphs EU staff



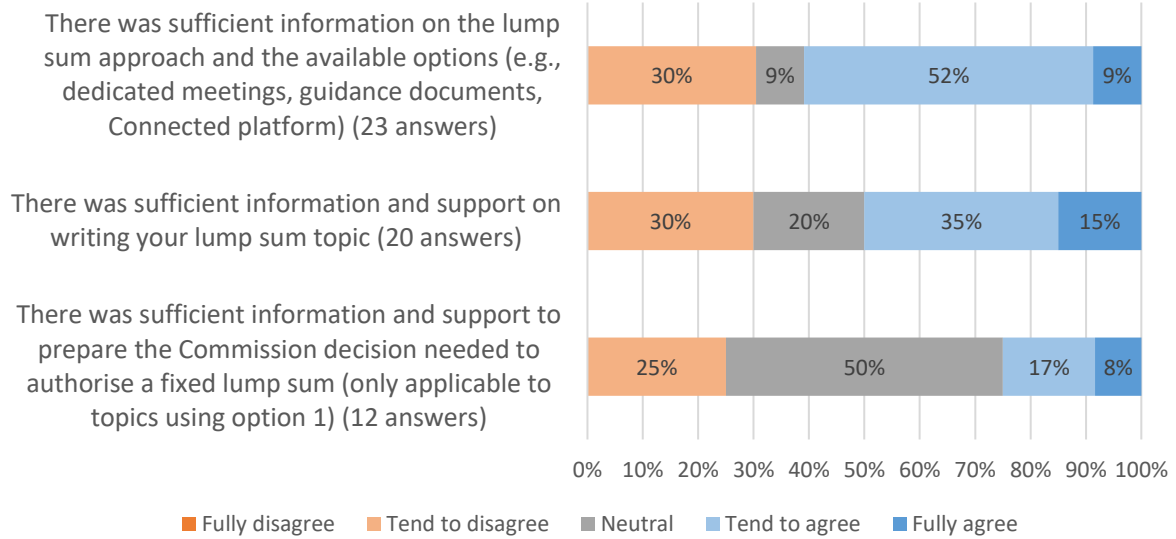
Question 3 - Which lump sum option is used in your lump sum topic?



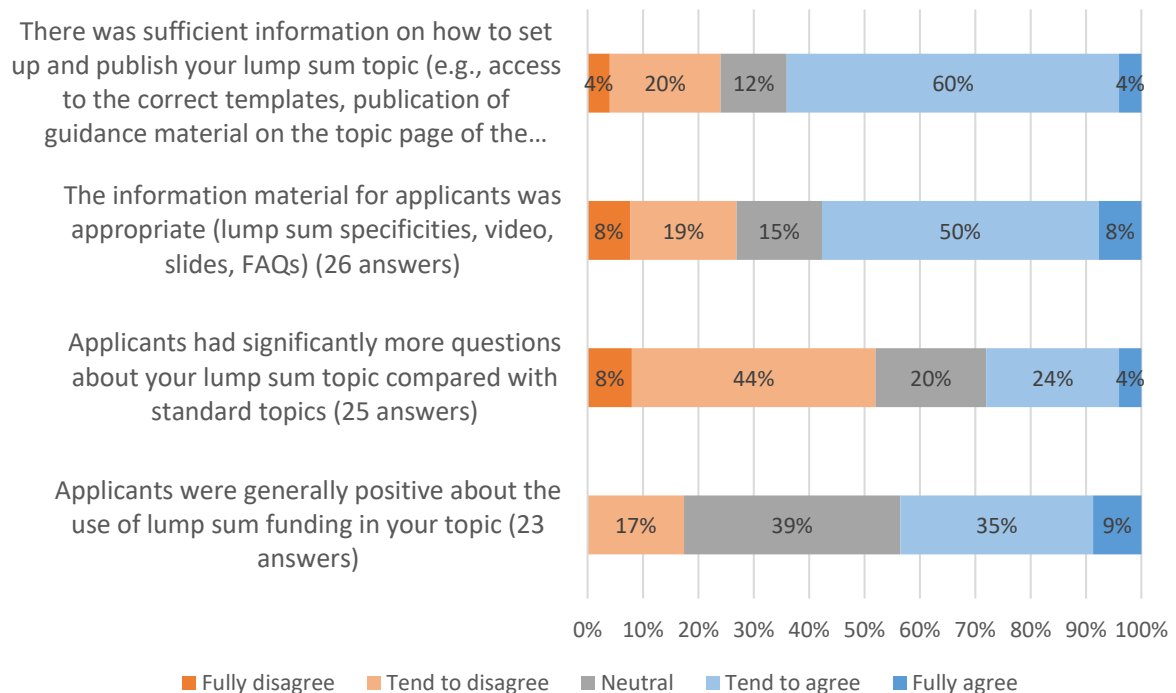
Question 4 - Lump sum options



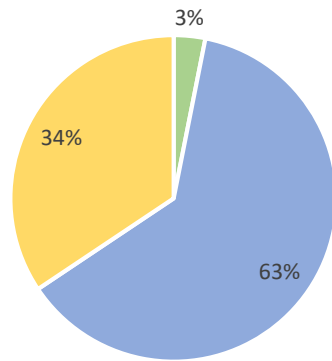
Question 5 - Writing your lump sum topic



Question 6 - Call setup, submission, and interaction with potential applicants



Question 7 - How many proposals did you receive in response to your lump sum topic?



- Fewer proposals than expected,
- Approximately the number of proposals expected.
- More proposals than expected.

Question 8 - Quality of proposals received

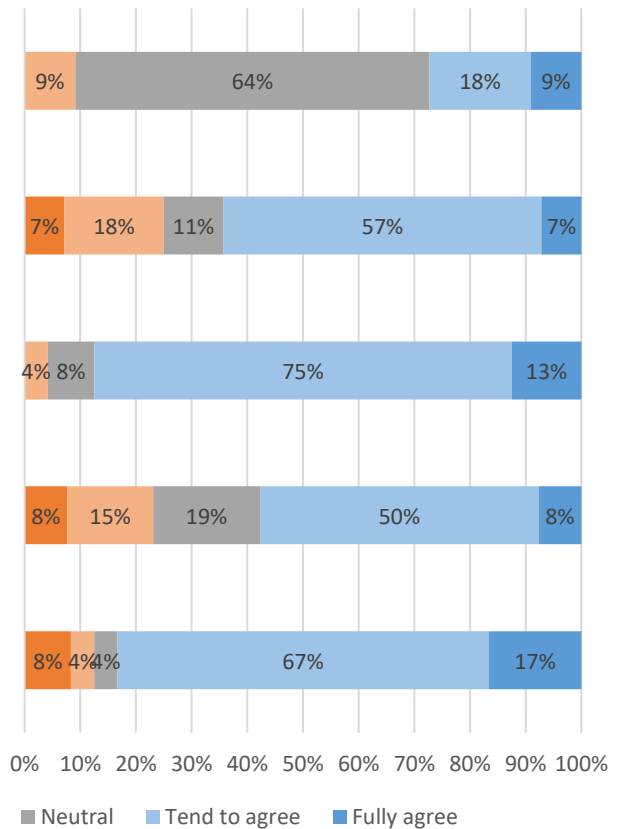
In your lump sum topic, applicants had a higher tendency to choose stable consortium partners (e.g., partners they already know and trust) compared with standard topics (22 answers)

The structure of the work plan and division into work packages is principally the same as in standard proposals (28 answers)

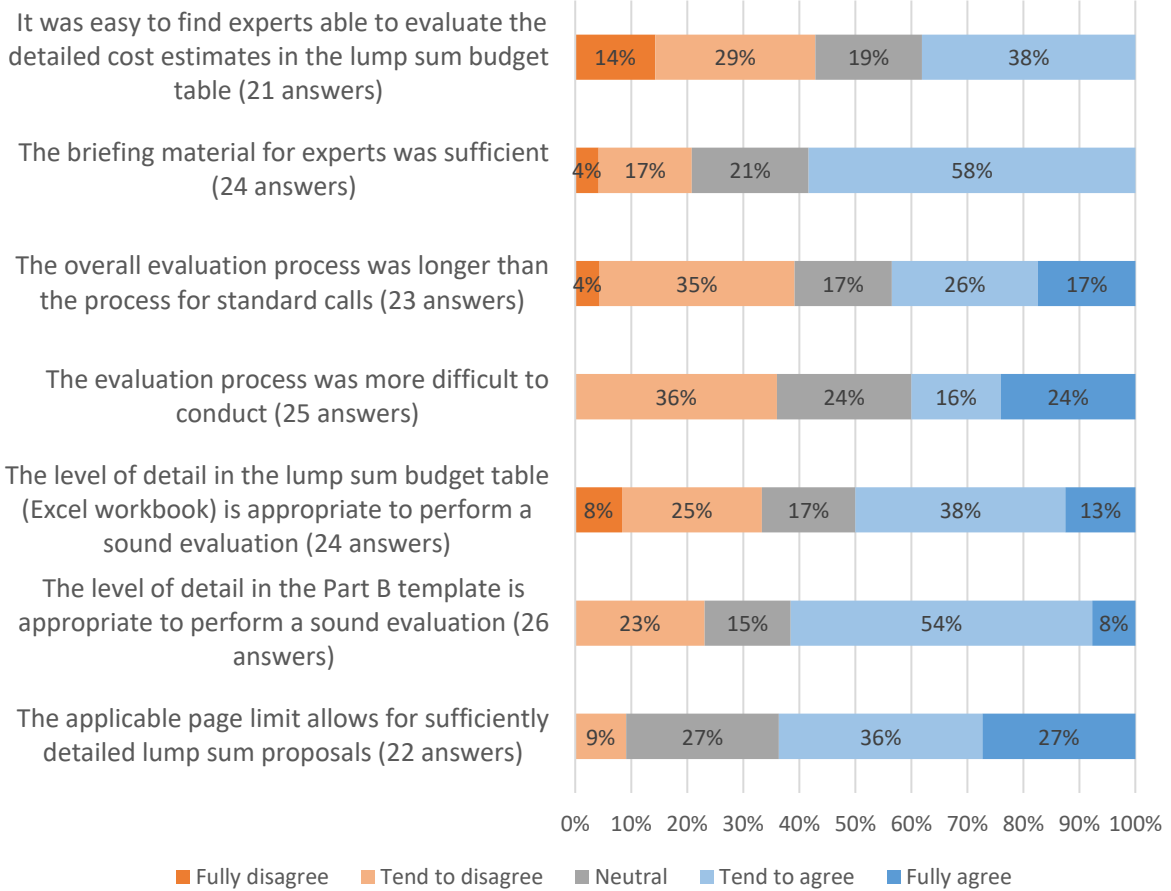
Other aspects of proposal writing (e.g., concept and methodology) are the same as in standard proposals (24 answers)

The applicants provided accurate cost estimates in the lump sum budget table (26 answers)

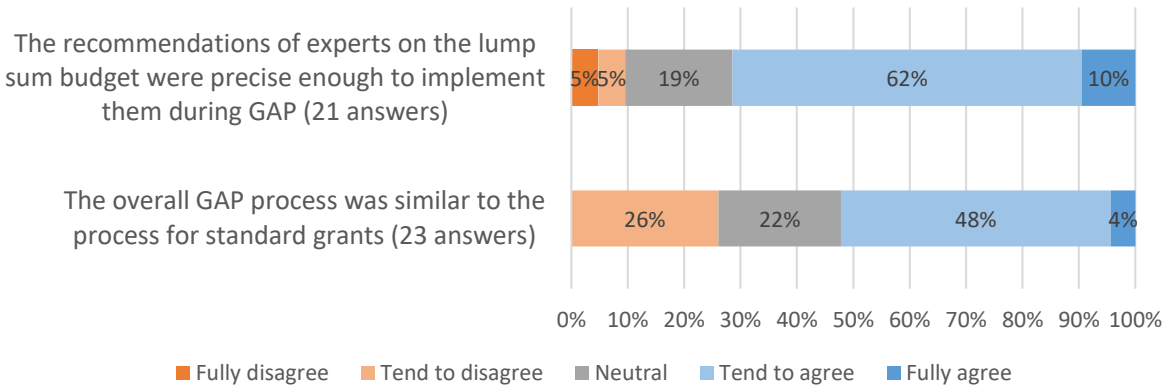
The technical/scientific quality of proposals received was similar to the quality of proposals in standard topics (24 answers)



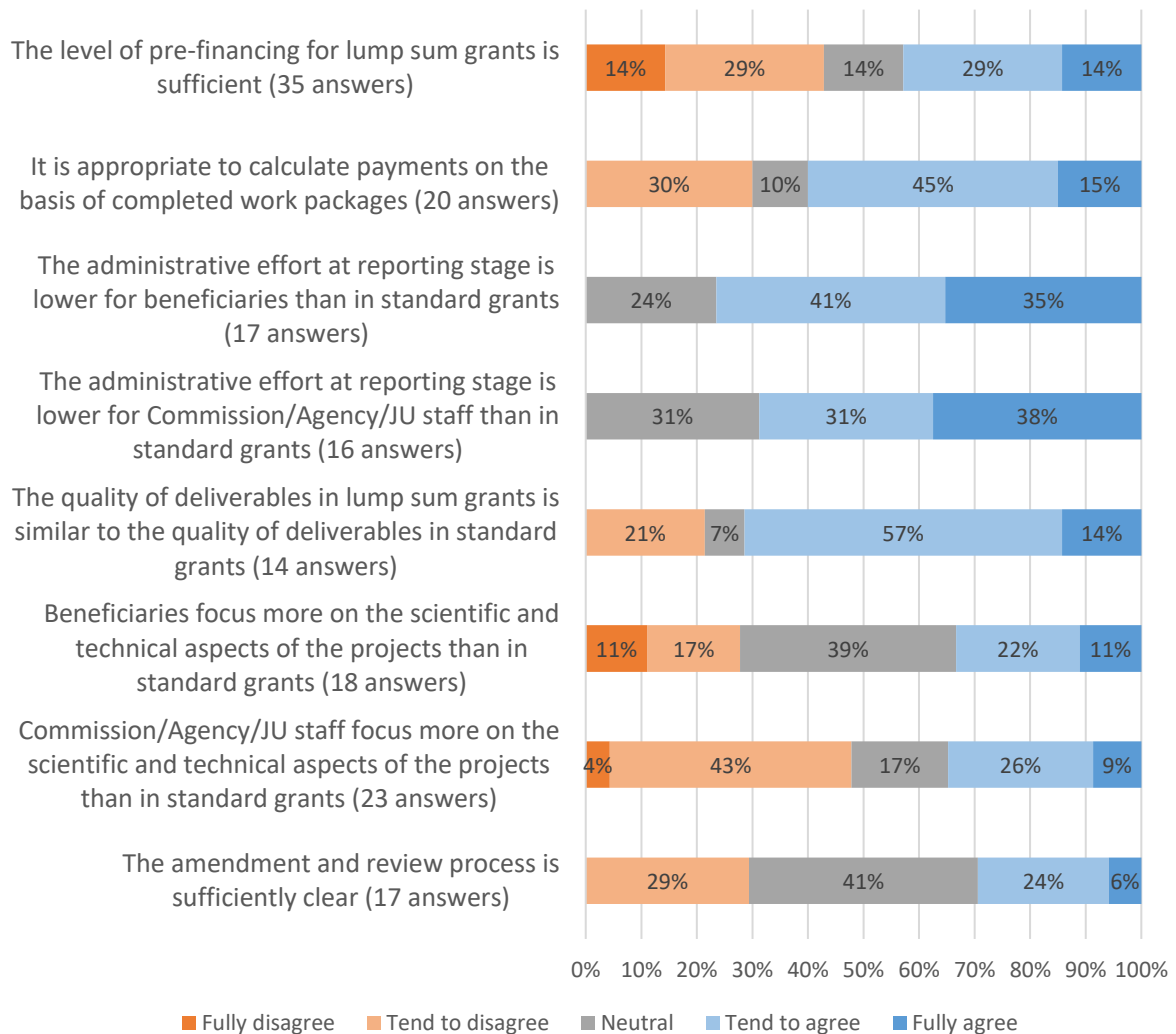
Question 9 - Experts and evaluation



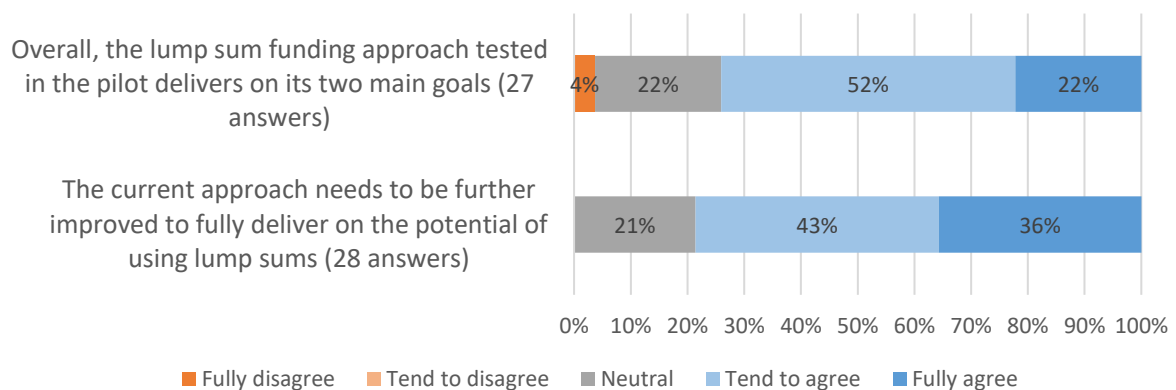
Question 10 - Grant preparation (GAP)



Question 11 - Project management, reporting and payments



Question 12 - Summary



All graphs National Contact Points

Questions 1-4 - Your experience with lump sum funding on Horizon 2020

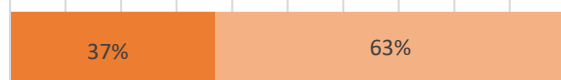
Have you been involved, as a National Contact Point, in the discussions about lump sum funding in Horizon 2020 (e.g., during the preparation phase of the lump sum pilot, before the pilot was launched in 2018)? (46 answers)



Did the Commission provide sufficient information about lump sum funding to NCPs and to participants? (46 answers)



Have you been receiving a significant number of questions about lump sum funding in Horizon 2020 from the participants in your country? (46 answers)



Have you been receiving a significant amount of feedback about lump sum funding in Horizon 2020 from the participants in your country? (46 answers)

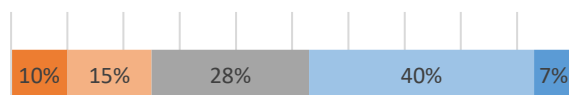


0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Yes No

Question 5 - Lump sum options

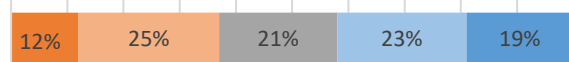
A lump sum fixed up-front in the call for proposals is the best option. (40 answers)



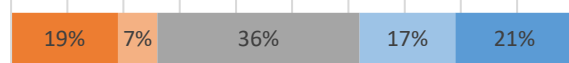
A lump sum defined by the applicants in the proposal is the best option. (42 answers)



The existing two lump sum options are suitable to cover all types of action. (43 answers)



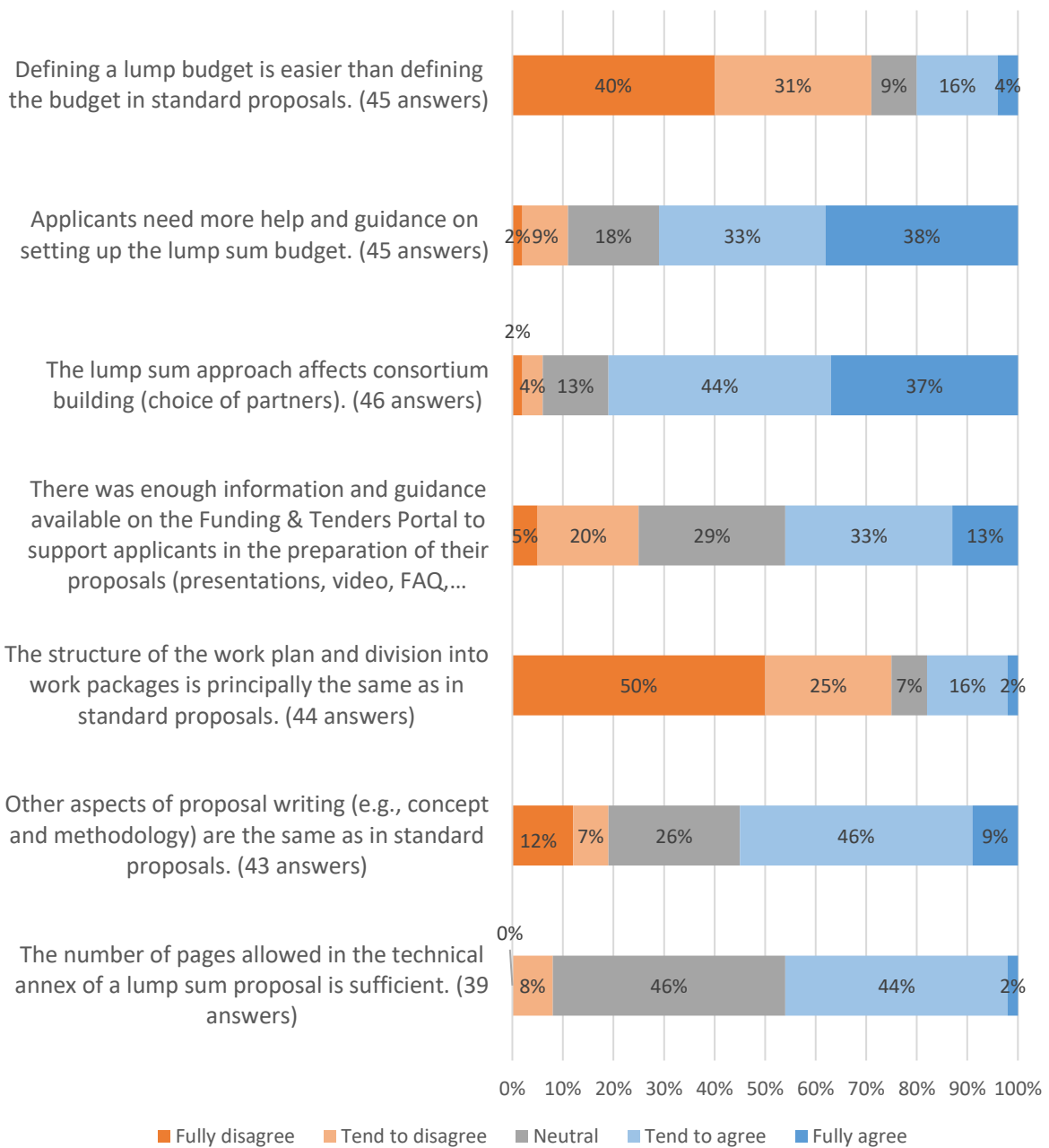
We need additional lump sum options to better accommodate certain types of action. (42 answers)



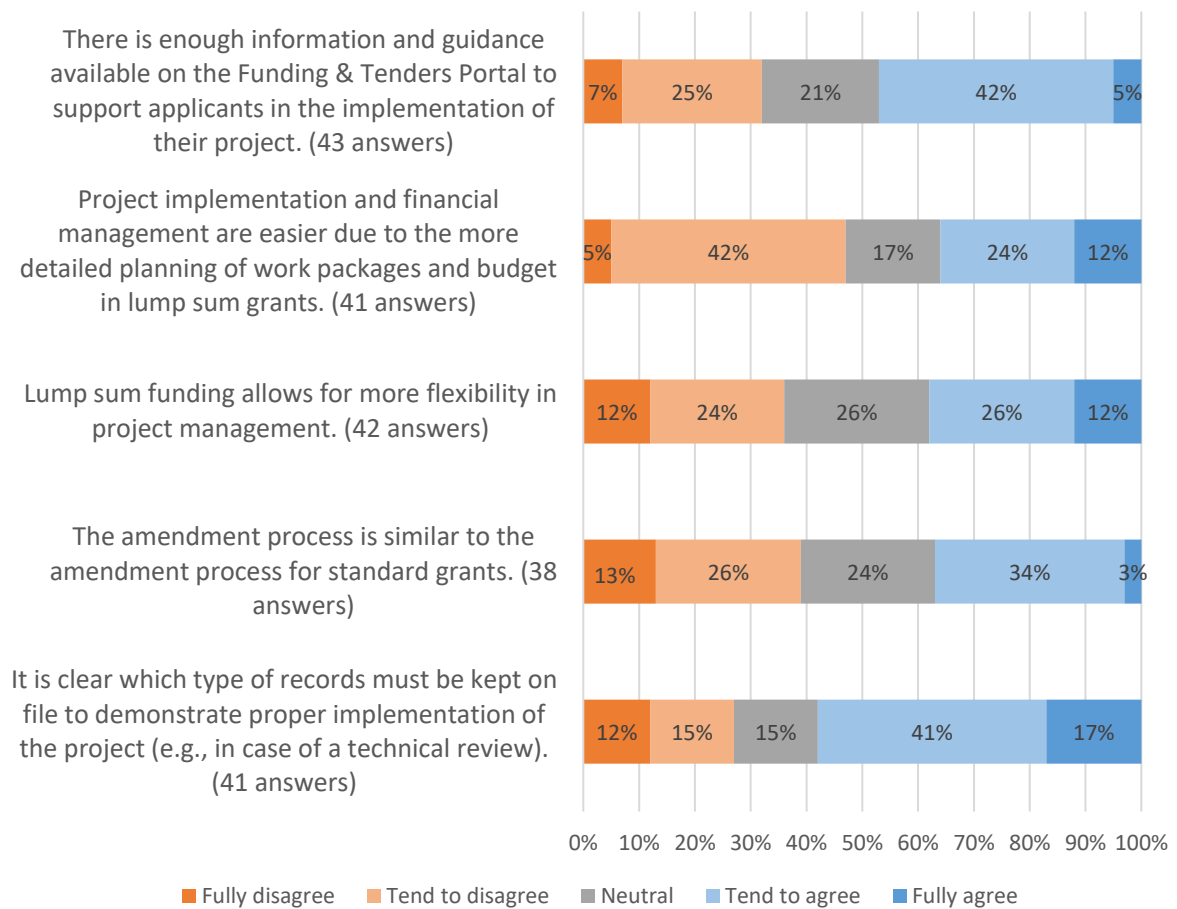
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Fully disagree Tend to disagree Neutral Tend to agree Fully agree

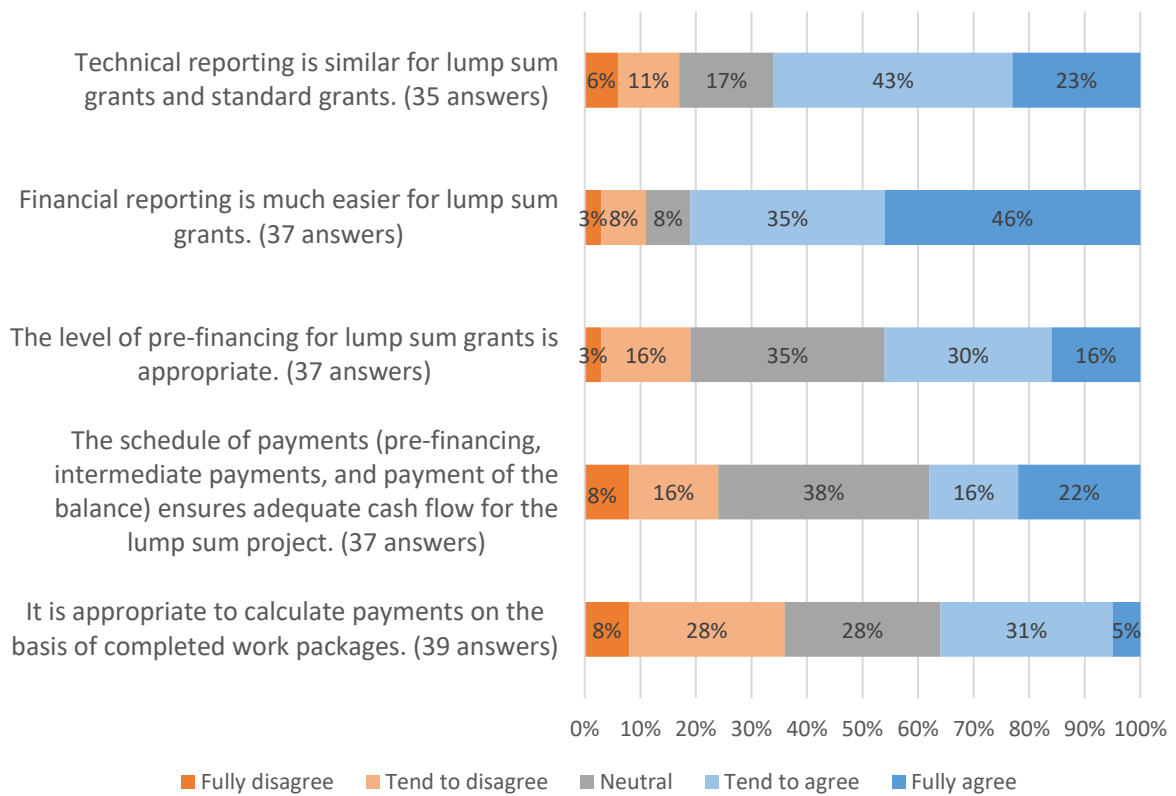
Question 6 - Lump sum proposal writing



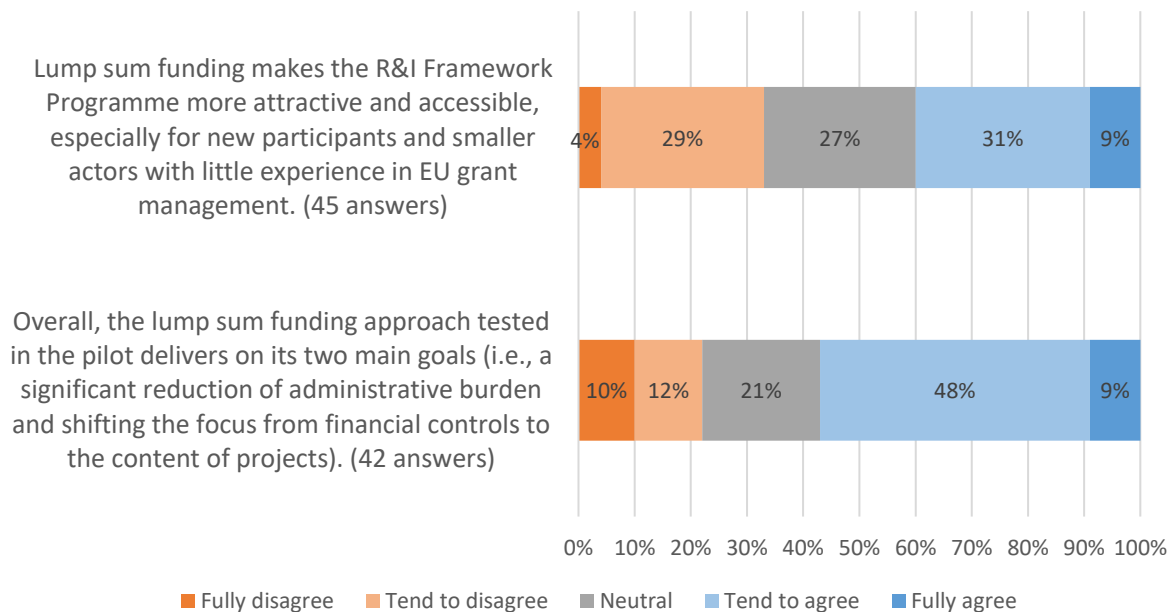
Question 7 - Lump sum project implementation



Question 8 - Reporting and payments



Question 9 - Simplification potential



Question 10 - Future use of lump sum funding in Horizon Europe

The lump sum approach used in Horizon 2020 should be further improved for Horizon Europe based on the experience gathered so far. (44 answers)

Lump sum funding should be established as a standard funding model in Horizon Europe, in addition to the traditional funding model based on the reimbursement of actual costs. (45 answers)

Lump sum funding should be used more widely in suitable parts of Horizon Europe. (43 answers)

