

## **NCP Experience report**

### **on practical aspects for proposal and projects under the Lump sum funding GA pilots under HORIZON 2020**

**based on a Meet & Exchange workshop “LUMP-SUM-Funding on the  
Practical Aspects to consider for the proposal phase of the Lump-Sum  
Actions”, organized in the frame of the NCP-Academy, March 13<sup>th</sup>, 2018,  
Brussels**

includes

- lessons learnt/recommendations
- workshop agenda (Annex 1),
- list of participants (Annex 2),
- slides with results (Annex 3).

Presentations and Flipchart-protocol available for download on: [PENDING TO  
BE INCLUDED](#)

- **Introduction: Why this “Meet & Exchange” (M&E) workshop?**

Legal and Financial National Contact Points (L&F NCPs) play a key role in Horizon 2020 as providers of information and assistance to potential applicants and project beneficiaries. In particular L&F NCPs are in the first line of fire when novel instruments are launched. In the H2020-2018 work programmes, the EC has launched the Lump-Sum-Funding scheme, as a pilot exercise that entails novel concepts to consider since the proposal preparation, the project implementation, until the ex-post control phase. The NCP Academy organised this second “Meet & Exchange” Workshop on Lump-Sum-funding grants, in order to open a debate among legal and financial Issues of the most important issues to be considered at the proposal stage, based in the consultations that they have already have and the information gathered from the EC in the frame of the different workshops celebrated so far.

Main target group were L&F NCPs dealing with advice to stakeholders on how to prepare and how to manage projects under this new scheme (see Annex 1 for the agenda). 32 participants from 17 countries took part at this workshop (see Annex 2 for the list of participants).

Based on the discussions during the event, this report summarises major lessons learnt & potential next steps in order to share the findings with the entire NCP community and the EC.

- **Methodology, Major findings & next steps**

The M&E was split into three separate sessions : 1) ‘*Key elements for the elaboration of WPs, considering having efficient timing and cash-flow methodology*’, 2) ‘*Specific Legal and financial Issues to be considered for the CA*’ and 3) ‘*Contingency and financial plan for managing the grant: partners rights and obligations*’, being each session addressed to the whole audience and facilitated by experts from DAFSHE (Denmark), HelmholtzAssociation (Germany) and FFG (Austria).

The methodology was a combination of introductory notes, group discussions within four working groups and the presentation of main findings. The following day preliminary conclusions were presented to the European Commission (EC) Common Support Service during the L&F NCP meeting (Annex 3).

Below are listed the main findings and still open questions for each of the sessions:

1. **Session 1: Key elements for the elaboration of WPs, efficient timing and cash-flow.**

**Main findings:** There was a common agreement that beneficiaries need to rethink **work packages (WPs) compared to** than standard H2020 projects, so they are **more based on timing than content**. This could mean that WPs will be **more linked to reporting periods, smaller** and related to the **partners carrying out the tasks within the WP**.

**Open Questions:**

- Keeping as much as possible WPs independent amongst them, but this might affect the project global approach.
- How participants should approach with horizontal WP that should last the whole project (Coordination, Dissemination, etc).
- Consequences of not accepted WPs during the project, and also at the end vs funding.

## 2. Session 2: Specific Legal and financial Issues to be considered for the CA

**Main findings:** In general all participants agreed that such kind of actions need to include: **stricter, faster decisions processes** in the Consortium Agreement, and specifically a **mechanism for** Keeping non-performing partners in line and excluding them from the consortium quickly, if necessary. Another issue agreed, was the **need of identifying** even more clearly than nowadays, **liabilities and roles of each partner** during the proposal phase (i.e. through a check list), with a **stronger position of coordinators and WP leaders**. There was a discussion on the need of having a specific CA model features for this instrument to these ends, but since the proposal phase is not covered by the CA, preference was for a checklist. Nevertheless it should be further explored the need of specific features for the CA, for the execution phase

### **Open Questions:**

- How to approach partners that cannot deliver due to technical issues.
- How to speed up governing processes to assure delivering on time
- How to define a smart governing, that does not entail much more micro-management.
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## 3. Contingency and financial plan for managing the grant: partners rights and obligations

**Main findings:** The major risks identified by participants were those related to non-performing beneficiaries and its impact on the cash flow within the consortium. Thus, measures proposed to contra rest such risks, were: 1) **Definition of ultrashort reports** during the execution of the project (in particular during the launching phase) to have a closer monitoring, and, 2) **funds distribution**, the **possibility of defining an adaptive buffer** for payments distribution, and the **possibility of defining a financial mechanism**, as a sort of ‘internal guarantee fund’ within the CA.

### **Open Questions:**

- How to manage different risky WPs and Partners
- Replacement of partners with different costs

### **Main Conclusions and next steps:**

There was a general agreement on the fact that the approach on the advice to be given to clients is rather different for these kinds of proposals and that potentially national workshops would be a good idea to launch for those participating under this scheme. Additionally, it was shown the need of having at least some specific features within the CA models for this instrument, and that we should need still working to better disclose the model.

## **Annex 1 – Agenda**

### **AGENDA**

**12:30 Registration and lunch refreshments**

**Welcome, opening and objectives of the workshop.**

*Gonzalo Arévalo, L&F NCP, ISCIII, SPAIN*

**Key elements for the elaboration of WPs, considering having efficient timing and cash-flow,**

*Morten Gylling-Jørgensen, L&F NCP, DAFSHE-DENMARK*

**Coffee-break**

**Specific Legal and financial Issues to be considered for the CA,**

*Annika Thies, DESCA representative Helmholtz Office Brussels-GERMANY*

**Contingency and financial plan for managing the grant: partners rights and obligations**

*Martin Baumgartner, L&F NCP, FFG-AUSTRIA*

**Outcomes and Conclusions**

**17.30 End of the Workshop**

## **Annex 2 – List of Participants**

<b>NAME:</b>	<b>SURNAME:</b>	<b>POSITION:</b>	<b>ORGANIZATION:</b>
Ana	Ključarić	NCP for financial issues and MSCA	Agency for Mobility and EU Programmes
Darija	Valancic	NCP L&F	Ministry of Education, Science and Sport
Martin	Baumgartner	Legal NCP	FFG
Alexandra	Burgholz	Legal and Financial NCP	DLR-PT

Liane	Lewerentz	Scientific Officer	DLR
Ayala	Karniol	ISAERL L&F NCP	ISERD
Poul	Petersen	Senior Executive Officer, L&F NCP Iceland	University of Copenhagen, RANNIS The Icelandic Centre for Research
Monique	Bossi		APRE
Van Dinter	Pascale	L&F NCP + NCP Coordinator	Belgian Science Policy Office
Barbora	Kubíková	NCP legal and financial	SCSTI
Morten	Gylling	Head of Section	DAFSHE
Alexandre Marques	Marques	L&F NCP	GPPQ (FCT/ANI)
Lenka	Chvojkova	FaL NCP	Technology Centre CAS
Diana	Castrillón Serna	NCP L&F SPAIN	Universitat Politècnica de València
Marie	Horniecka	Financial NCP	TC CAS
Sari	Federley	Financial NCP	Business Finland
Liisa	Ewart	Legal&Financial NCP	Business Finland
Barbara	Trammer	Legal&Financial NCP	Institute of Fundamental Technological Research Polish Academy of Sciences
Annika	Thies	Director Brussels Office	Helmholtz Association of German Research Centres
Dorothea	Kapitza	Legal Advisor	Helmholtz Brussels office
Lisa	Jørgensen	NCP Legal/Finance	DAFSHE
Zafir	Neuman	The Legal Counsel	Innovation Authority
Valentina	Fioroni	NCP L&F	APRE
Schneider	Regina		Euresearch
Ann Van	Hauwaert	NCP coordinator, NCP Legal&Finance, NCP Security	Fwo
Sofia	Azevedo	National Contact Point Horizon 2020 Future and Emerging Technologies (FET)	GPPQ - Gabinete de Promoção do Programa Quadro de IDT da UE
Gwendolyn	Schaeken	Programme Manager	Vinnova – Swedish Governmental Agency for Innovation Systems
Andres	Martinez	L&F NCP	CDTI
Jessica	Umegard	NCP for legal & Financial and SC5 Climate	Vinnova - Swedish Governmental Agency for Innovation Systems
Gonzalo	Arévalo	L&F NCP	ISCIII
Marta	Barrionuevo	NCP SC1	ISCIII
Lucia del	Rio	NCP ERC	ISCIII



**Annex 3: Slides on the results of the M&E presented at the L&F NCP meeting (14-15 March)**