



Global Health  
EDCTP3

# Lump sum funding (CSA topics only)

**Silvia Garcia**

Scientific Project Officer, Global Health EDCTP3

**Vincent Declerfayt**

Head of Finance and Administration, Global Health EDCTP3

Co-funded by  
the European Union



# Why do we use lump sum funding?

## Significant simplification potential

- Despite all simplification, funding based on reimbursement of actual costs remains complex and error-prone. Little scope for further simplification
- Lump sums remove the obligation to report actual costs and resources
- Easier to use for beneficiaries with limited experience

## Focus on content

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

**Opportunity for the Global Health EDCTP3 to integrate the overall European Commission Research Family strategy, and pilot model for simplification in a pilot to learn from its programme specificities**

# Extended pilot WP 2026

Extended Piloted for two Coordination and Supported Action (CSA) three (3) topics :

- HORIZON-JU-GH-EDCTP3-2026-03-SERP-01-Single-Stage:Training networks for sustained capacity building related to ethics, regulatory and pharmacovigilance
- HORIZON-JU-GH-EDCTP3-2026-03-DIGIT-02-Single-Stage:Enhancing Integrated Research and Healthcare in sub-Saharan Africa Through Digital Innovation and Artificial Intelligence in SSA
- HORIZON-JU-GH-EDCTP3-2026-KHUB-01-IBA:Expansion and consolidation of the EDCTP Knowledge Hub



# Basic principles

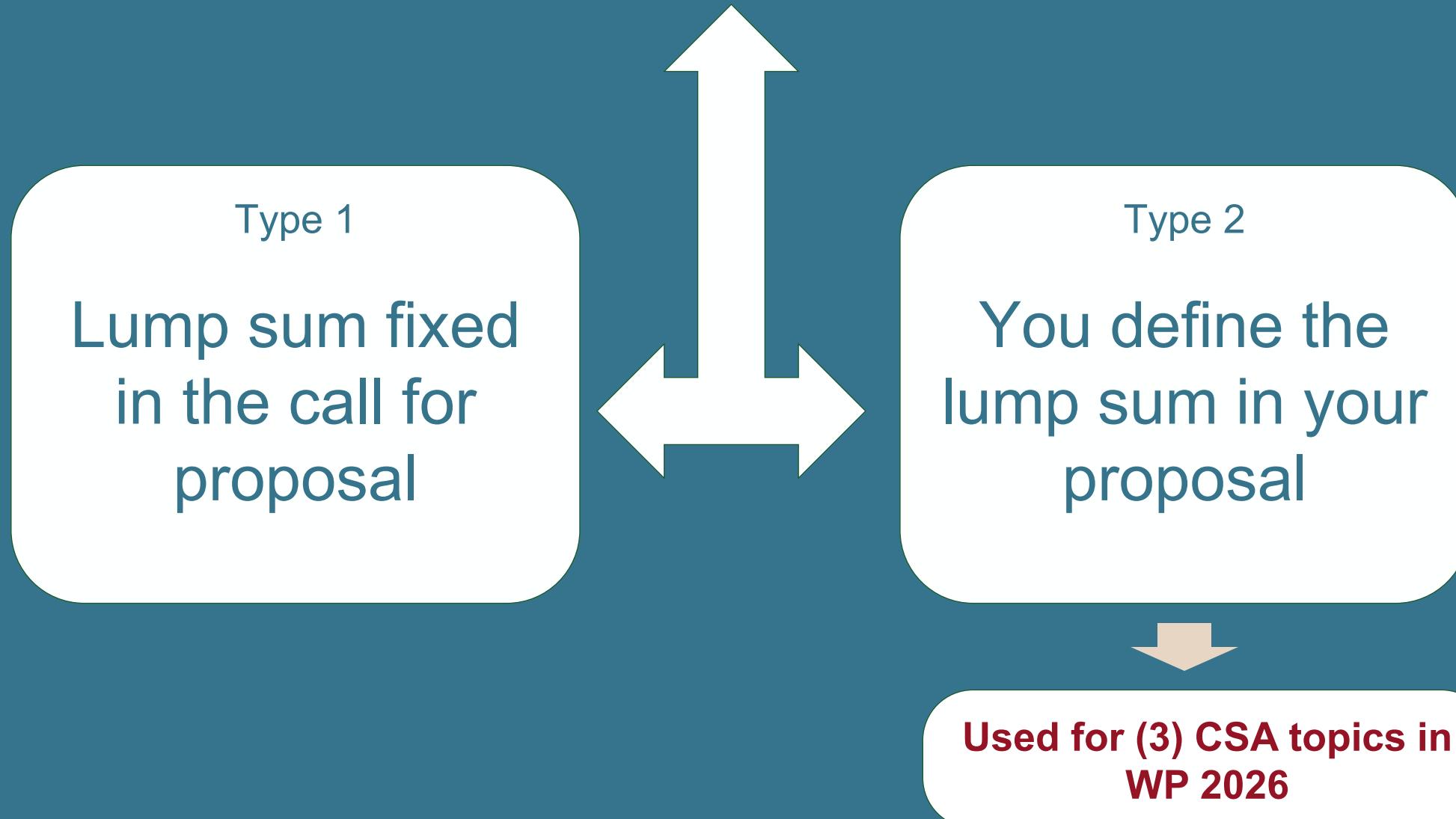
**Lump sum evaluation and grant agreement follow the standard approach (similar to actual costs grants) with the same:**

- Evaluation criteria
- Pre-financing and payment scheme
- Reporting periods and technical reporting, though focusing on completion of work packages

**One lump sum share is fixed in the grant agreement for each work package:**

- **Work package completed**  **PAYMENT**
- Payments do not depend on a successful outcome, but on the completion of activities
- Work packages can be modified through amendments (e.g. to take into account new scientific developments)
- No intention and no basis for judging the performance of lump sum grants more strictly than the performance of other grants

# Two lump sum options



# Writing a lump sum proposal

Impact on writing lump sum in stage 2 (full proposal). 3 CSA topic calls are single stage

## To write a lump sum proposal

- 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

- Need to provide a detailed budget table with cost estimations that are an approximation of your actual costs
- Cost estimations needed for each cost category per beneficiary (and affiliated entity, if any) and WPs

### Detailed budget table (Excel file)

Fill in and submit as annex of part B

How to fill in the lump sum budget table  
provided in [Funding & Tenders portal](#).  
[Best practices for lump-sum grants](#)

[11 Feb 2026:Lump Sum Funding in Horizon Europe: How does it work? How to write a proposal?](#)

# Project design – work packages

## Work package distribution

As many as needed, but not more than what is manageable

A work package (WP) is a major subdivision 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., Coordination and Management, Dissemination and Exploitation, etc.). In this way, the relevant activities can be paid at the end of the reporting period

# Evaluation of a lump sum proposal

Evaluation of lump sum occurs at stage 2 (full proposal). 3 CSA topic calls are single-stage

- 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** (including with checking the budget estimate on the basis of relevant statistical data)
  - evaluate whether the proposed resources and the split of the lump sum **allow completing the activities described in the proposal**.
  - Verify that proposals include the declaration by beneficiaries of having used their own accounting practices

The JU will provide statistical data to experts that shall be used as an orientation to ensure that budgets are reasonable and non-excessive

Applicants justify high personnel costs in the 'Any comments' tab of the Excel detailed budget table.

- 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 or requested to be followed-up by the JU during GAP phase.
- Cost estimations that are clearly overestimated or underestimated lead to a **decreased score** under the implementation criterion.

# Grant agreement preparation

- 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 Summary Report (ESR)
- The [breakdown of lump sum shares per beneficiary and per work package](#) is included in the grant agreement as Annex 2. The submitted detailed lump sum budget table is not part of the lump sum grant agreement.
- 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.

# 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 WP

Shares of the lump sum per beneficiary

Lump sum = Maximum grant amount

You can **use the budget as you see fit** as long as the project is implemented as agreed.  
The actual distribution of the lump sum is invisible to us.

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

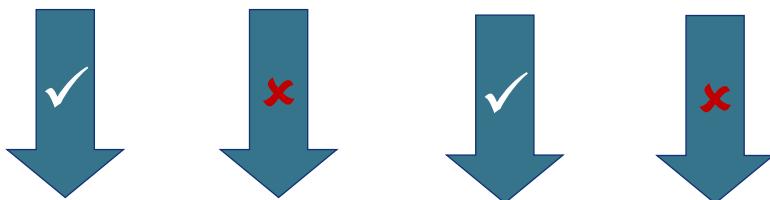


- Closes the financial aspects of the grant
- Partial payment for partially completed WPs possible
- Releases the amount retained for the Mutual Insurance Mechanism

# Reporting and payment

- The financial report is much **simplified** and, to a large extent, automated.
- The financial statement for all beneficiaries is **automatically generated** (based on the accepted work packages and the corresponding lump sum shares).

	WP1	WP2	WP3	WP4	WP5
Beneficiary A	250.000			50.000	300.000
Beneficiary B		250.000	350.000		50.000
Beneficiary C	100.000	100.000		50.000	
Beneficiary D		120.000		50.000	
Total	350.000	470.000	350.000	200.000	300.000



$$\text{Payment} = 350\ 000 + 0 + 350\ 000 + 0 = 700\ 000 \text{ €}$$

Interim payments pay the lump sum shares for completed work packages.

Final payments can also pay partially completed work packages.

# Acceptance of work packages

- Work packages are accepted if the activities have been carried out. If essential tasks have been completed, or equivalent tasks or when deviations have been justified, they can also be accepted.
- Lump sum projects can be amended according to scientific-technical reports being justified (i.e. deviations)
- Before a lump-sum work package is rejected as incomplete (that you declared completed), you are invited to respond to the observations of the project officer and clarify.
  - 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 to the project officer.

# Ex-post controls

## 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 checks, reviews and audits by EU services

# Ex-post controls

## 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 **doesn't need to keep\***

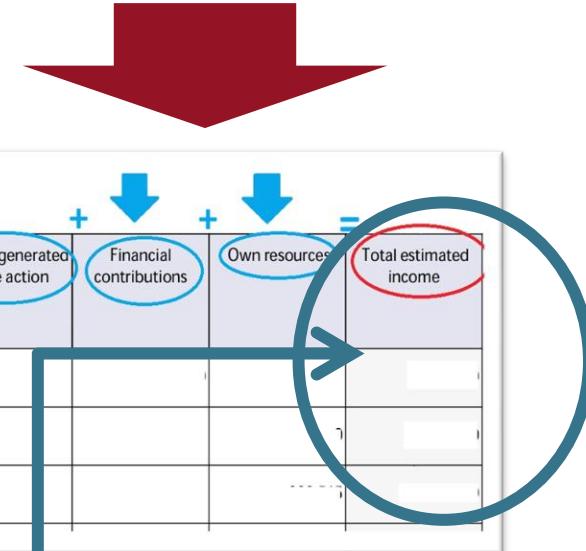
- Time-sheets
- Pay-slips or contracts
- Depreciation policy
- Invoices
- ...any documents proving the actual costs incurred

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

# Proposal budget structure

With contribution from Contributing Partner (CP), JU Member or its Affiliate

Part A of the proposal:



Excel budget annexed to the proposal:

ESTIMATED BREAKDOWN OF THE LUMP SUM

BENEFICIARIES \ WORK PACKAGES	WP1 Work package 1	WP2 Work package 2	WP3 Work package 3	Total
BE1: University 1	65,625.00	72,881.25	70,000.00	208,506.25 26.39%
BE2: University 2	29,750.00	56,000.00	62,842.50	148,592.50 17.46%
> BE2-AE3: Laboratory 1	59,250.00	48,750.00	53,400.00	161,400.00 18.96%
BE4: Research Org 1	30,000.00	61,425.00	85,275.00	176,700.00 20.76%
BE5: Research Org 2	40,000.00	67,287.50	48,750.00	156,037.50 18.33%
<b>Total:</b>	<b>224,625.00</b>	<b>306,343.75</b>	<b>320,267.50</b>	<b>851,236.25 100.00%</b>
<b>Percentage:</b>	<b>26.39%</b>	<b>35.99%</b>	<b>37.62%</b>	<b>100.00%</b>



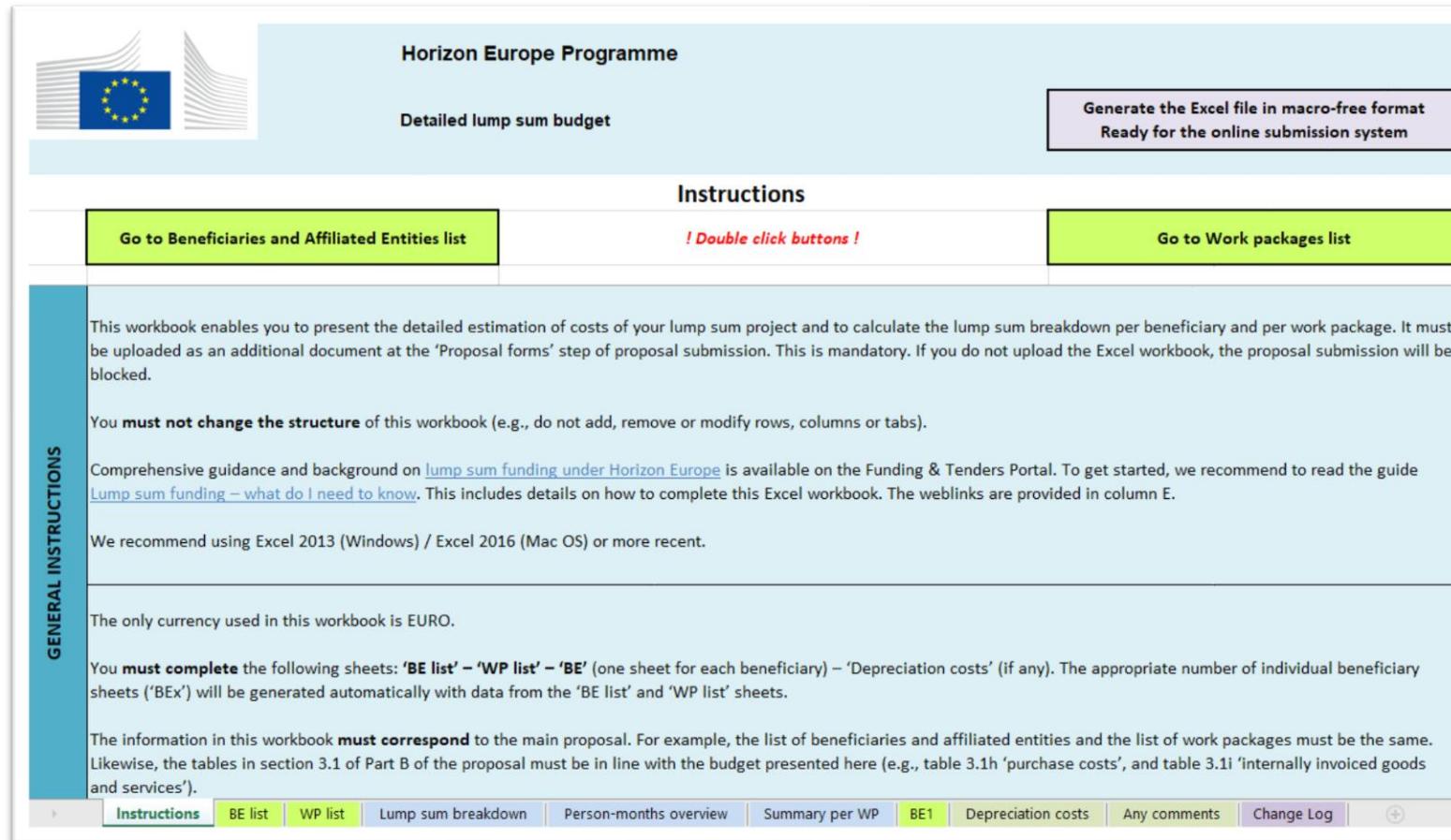


Global Health  
EDCTP3

# How to fill in the detailed budget table in lump-sum proposals?



# Detailed budget table for lump-sum proposals



**GENERAL INSTRUCTIONS**

**Horizon Europe Programme**

**Detailed lump sum budget**

**Instructions**

**Go to Beneficiaries and Affiliated Entities list**   **! Double click buttons !**   **Go to Work packages list**

Generate the Excel file in macro-free format  
Ready for the online submission system

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**

- Use Excel 2013 or a more recent version
- The currency used in the Excel template is EURO
- Read the detailed instructions on the first tab of the Excel file
- For your proposal, you must always use the file provided in the online submission system.

# Fill in the beneficiaries list 'BE list' sheet

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
Clear BE1-AE2	Add AE to BE1	00000001-0001-0001-0001-000000000001
Clear BE3	Add AE to BE3	20c30d25-feb7-4f6a-bf
Clear BE4	Add AE to BE4	cd288bed-6b17-4cb8-8
Clear BE5	Add AE to BE5	ca611702-69f4-4fb4-a
Clear BE6	Add AE to BE6	2159e514-b933-4d45-

Funding rate for EDCTP3 grants: 100%

# Fill in the work packages list ('WP list' sheet)

<b>List of Work Packages</b>		<b>Add WP</b>	<i><b>! Double click buttons !</b></i>	<b>Apply changes</b>
<b>WP number</b>	<b>WP name</b>			
WP1	Analysis		<b>Clear WP2</b>	
WP2	Technical part		<b>Clear WP3</b>	
WP3	Experiment 1		<b>Clear WP4</b>	
WP4	Experiment 2		<b>Clear WP5</b>	
WP5	Communication & dissemination		<b>Clear WP6</b>	
WP6	Project management 1		<b>Clear WP7</b>	
WP7	Project managmeent 2			

# Fill in the individual beneficiary sheets ('BEx' tab)

## Affiliated entities

Coordinator: BE1 - BUDGET SHEET		View Summary		BE1-AE2		
		University 1		Laboratory 1		
COST CATEGORY	ITEMS	COST PER ITEM	BE TOTAL COSTS	ITEMS	COST PER ITEM	AE TOTAL COSTS
<b>COSTS WORK PACKAGE 1: WP1 name</b>						
<b>A. DIRECT PERSONNEL COSTS</b>						
<b>A.1 Employees (or equivalent)</b>						
SENIOR SCIENTISTS (or equivalent in the private sector)			0.00			0.00
JUNIOR SCIENTISTS (or equivalent in the private sector)			0.00			0.00
TECHNICAL PERSONNEL (or equivalent in the private sector)			0.00			0.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00			0.00
OTHERS			0.00			0.00
<b>A.2 Natural Persons under direct contract</b>			0.00			0.00
<b>A.3 Seconded Persons</b>			0.00			0.00
<b>A.4 SME owners and natural person beneficiaries</b>		5990	0.00	6685	0.00	0.00
<b>B. DIRECT SUBCONTRACTING COSTS</b>						
<b>B.1 DIRECT PURCHASE COSTS</b>			0.00			0.00
<b>B.1.1 Travel and subsistence</b>			0.00			0.00
<b>B.1.2 Equipment (complete 'Depreciation costs' sheet)</b>			0.00			0.00
Equipment			0.00			0.00
Infrastructure			0.00			0.00
Other assets			0.00			0.00
<b>B.1.3 Other goods, works and services</b>			0.00			0.00
Consumables			0.00			0.00
Services for meetings, seminars			0.00			0.00
Services for dissemination activities (including website)			0.00			0.00
Publication fees			0.00			0.00
Other (shipment, insurance, translation, etc.)			0.00			0.00
<b>B.2 OTHER COST CATEGORIES</b>						
<b>B.2.1 Financial support to third parties (if applicable in the topic specific conditions)</b>			0.00			0.00

# Fill in the individual beneficiary sheets

## Personnel costs

	A	B	C	D
1	Beneficiary: BE3 - BUDGET SHEET		View Summary	
2	00000000-0000-0000-0000-000000000000	SME 1		
3	COST CATEGORY		ITEMS	COST PER ITEM
4				BE TOTAL COSTS
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
10	JUNIOR SCIENTISTS (or equivalent in the private sector)		10.0	4900
11	TECHNICAL PERSONNEL (or equivalent in the private sector)		5.0	5300
12	ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00
13	OTHERS			0.00
14	A.2 Natural Persons under direct contract			
15	A.3 Seconded Persons			
16	A.4 SME owners and natural person beneficiaries			
			4798	0.00

# Summary tables

SUM OF ALL BENEFICIARIES (including AFFILIATED ENTITIES) FOR ALL THE WORK PACKAGES			
COST CATEGORY	ALL BENEFICIARIES (with affiliated entities)		
	ITEMS (TOTAL)	AVERAGE COST PER ITEM	TOTAL COSTS
<b>COSTS WORK PACKAGE 1: Work package 1</b>			
<b>I. DIRECT PERSONNEL COSTS</b>			
I.1 Employees (or equivalent)			
SENIOR SCIENTISTS (or equivalent in the private sector)	5.0	8000.00	40000.00
JUNIOR SCIENTISTS (or equivalent in the private sector)	2.5	5000.00	12500.00
TECHNICAL PERSONNEL (or equivalent in the private sector)	5.0	6400.00	32000.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)	13.0	7384.62	96000.00
OTHERS	0.0		0.00
I.2 Natural Persons under direct contract	0.0		0.00
I.3 Seconded Persons	0.0		0.00
I.4 SME owners and natural person beneficiaries	0.0		0.00
<b>I. DIRECT SUBCONTRACTING COSTS</b>			
	0.0		0.00
<b>II. DIRECT PURCHASE COSTS</b>			
II.1 Travel and subsistence	20.0	470.00	9400.00

- The 'Summary per WP' and 'Person-months overview' tables are produced automatically.
- They will be used by evaluators during the evaluation of your proposal.

TOTAL PERSON-MONTHS						
BENEFICIARIES \ WORK PACKAGES	WP1 Work package 1	WP2 Work package 2	WP3 Work package 3	Total	Pct %	
BE1: University 1	7.50	0.00	8.00	15.50	17.32%	
BE2: University 2	4.00	8.00	9.00	21.00	23.46%	
BE2-AE3: Laboratory 1	6.00	5.00	6.00	17.00	18.99%	
BE4: Research Org 1	3.00	6.00	9.00	18.00	20.11%	
BE5: Research Org 2	5.00	7.00	6.00	18.00	20.11%	
Total:	25.50	26.00	38.00	89.50	100.00%	
Percentage:	28.49%	29.05%	42.46%			

# Lump sum breakdown

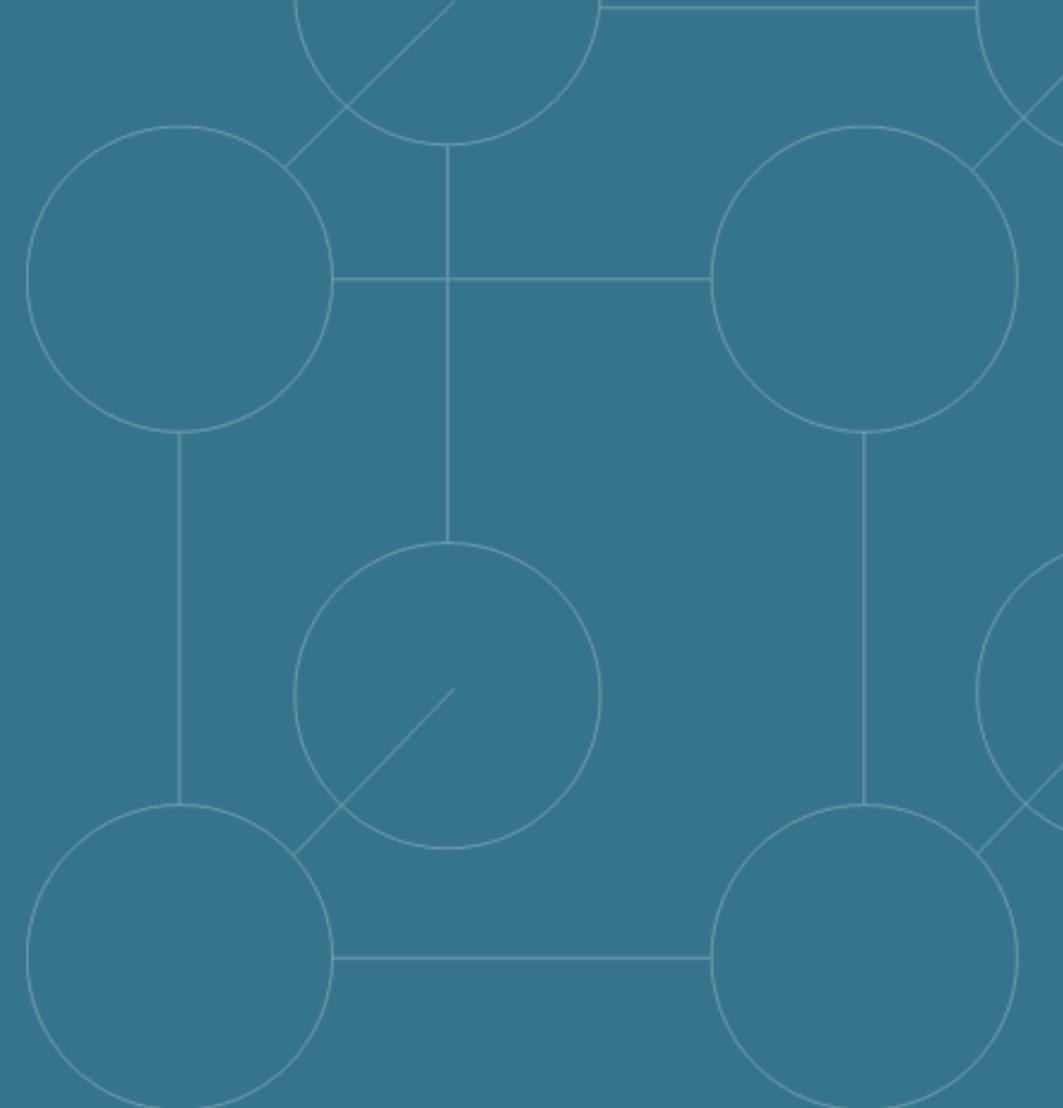
ESTIMATED BREAKDOWN OF THE LUMP SUM						
BENEFICIARIES \ WORK PACKAGES	WP1 WP mgt	WP2 WP trial	WP3 WP Training	Total	Pct %	
BE1: abc	28.125,00	25.000,00	52.500,00	105.625,00	56,30%	
BE2: def	29.500,00	30.000,00	22.500,00	82.000,00	43,70%	
<b>Total:</b>	<b>57.625,00</b>	<b>55.000,00</b>	<b>75.000,00</b>	<b>187.625,00</b>	100,00%	
<b>Percentage:</b>	30,71%	29,31%	39,97%	100,00%		

- Generated automatically, applying the funding rate chosen in the BE list on the total project value (including 'financial contribution' and 'own resources').
- The total estimated lump sum shares per beneficiary/affiliated entity must be equal the 'Total estimated income' in the budget proposal table, part A of the application form. minus 'financial contribution' and/or 'own resources' is the amount to be indicated as the 'requested grant amount'.



Global Health  
EDCTP3

# Q&A session



Co-funded by  
the European Union

