

**Jornadas PERIN**  
**Horizonte Europa**  
**Novidades nos concursos 2023 e aspetos práticos**  
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**16 de janeiro de 2023**

Lisboa

- **Aspetos Legais e Financeiros**
- **Template da Proposta**
- ***Third parties***
- **Lump Sum**

# **Aspetos legais e financeiros**

# Regras de Participação do Horizonte Europa – Contexto

Regulamento  
Financeiro

- Maior nº de remissões para este regulamento,
- Possibilidade de atribuir *blended finance* e *reimbursable grants*,

Regras de Participação  
Horizonte Europa

Work Programme

Model Grant  
Agreement

Mesmo modelo de Grant  
agreement para todos os  
projetos geridos diretamente  
pela CE

- E-Grants – gestão  
contratual  
eletrónica



# Condições de Participação

- CONDIÇÃO MÍNIMA – 3 entidades jurídicas, independentes entre si de 3 estados membros ou países associados
  - Pelo menos um estado membro (artigo 18º RfP)
- CONDIÇÕES ADICIONAIS - Estabelecidas pelo Programas de Trabalho (WP) e/ou Programas Específicos
  - WP pode limitar participação de países
  - Uso de diferentes formas de financiamento
  - Taxa de financiamento



Novidade

# Países terceiros

## List of Participating Countries in Horizon Europe

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation\\_horizon-euratom\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf)

EU Grants: List of participating countries (HE): V2.3 – 15.09.2022



### List of Participating Countries in Horizon Europe

#### Third countries associated to Horizon Europe

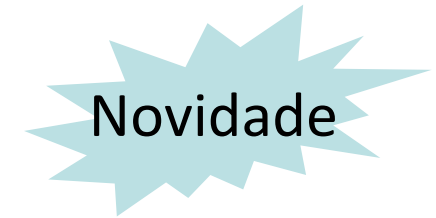
Association to Horizon Europe is governed by the Horizon Europe Regulation 2021/695<sup>1</sup>. Legal entities from associated countries can participate under equivalent conditions as legal entities from the EU Member States, unless specific limitations or conditions are laid down in the work programme and/or call/topic text. Such measures could include the limitation of participation in certain actions to legal entities established in the EU alone, or in the EU and specified non-EU countries, in order to safeguard the EU's strategic assets, interests, autonomy or security. Limitations or conditions may also be attached to the participation of legal entities established in an eligible country but which are controlled directly or indirectly by an ineligible country<sup>2</sup>. The eligibility will be clearly defined in the work programme. There could also be criteria on the place of establishment of the legal entity to take into account specific policy requirements or the nature and objectives of the action<sup>3</sup>.

## Condições de Participação – artigo 22.5

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- 5. No que diz respeito às ações relacionadas com os **ativos estratégicos, os interesses, a autonomia ou a segurança da União**, o programa de trabalho pode prever que a participação **se possa limitar a entidades jurídicas estabelecidas exclusivamente** nos Estados-Membros, ou a entidades jurídicas estabelecidas em determinados países associados ou outros países terceiros para além das que estão estabelecidas nos Estados-Membros.

# Blind Evaluation



## Article 28 Award criteria and selection

1. A proposal shall be evaluated on the basis of the following award criteria:

(a) excellence;

(b) impact;

(c) quality and efficiency of the implementation.

...

4. The Commission and other funding bodies shall take into account the possibility of a two-stage submission and evaluation procedure and where appropriate, **anonymised proposals may be evaluated during the first stage of evaluation** based on one or more of the award criteria referred to in paragraph 1.



# Blind Evaluation

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- Concursos de 2 fases
- 1ª Fase não é apresentada a parte A do projeto e na parte B não se pode identificar os beneficiários

*Applicants submitting a proposal under the blind evaluation pilot must not disclose their:*

- *organisation names,*
- *acronyms,*
- *logos nor*
- *names of personnel in Part B of their first-stage application.*



*Part B*

- *If proposals include any identification of the applicant in Part B, the proposal **will be declared inadmissible and will be rejected***

# AGA – Annotated Grant Agreement

<b><u>General &gt; Article 6 – Eligible costs/contributions</u></b>	<b>25</b>
<b><u>General &gt; Article 6.1 General eligibility conditions</u></b>	<b>25</b>
<b><u>General &gt; Article 6.1 In-kind contributions for free</u></b>	<b>30</b>
<b><u>General &gt; Article 6.2 Specific eligibility conditions</u></b>	<b>31</b>
<b><u>General &gt; Article 6.2.A Personnel costs</u></b>	<b>32</b>
<b><u>General &gt; Article 6.2.A.1 Employees</u></b>	<b>33</b>
<b><u>General &gt; Article 6.2.A.2, A3 Natural persons with direct contract and seconded persons</u></b>	<b>42</b>
<b><u>General &gt; Article 6.2.A.4 SME owners and natural person beneficiaries</u></b>	<b>46</b>
<b><u>General &gt; Article 6.2.A.5 Volunteers</u></b>	<b>48</b>
<b><u>General &gt; Article 6.2.A.X Other personnel costs</u></b>	<b>50</b>
<b><u>General &gt; Article 6.2.B Subcontracting costs</u></b>	<b>54</b>
<b><u>General &gt; Article 6.2.C Purchase costs</u></b>	<b>57</b>
<b><u>General &gt; Article 6.2.C.2 Equipment</u></b>	<b>63</b>
<b><u>General &gt; Article 6.2.C.3 Other goods, works and services</u></b>	<b>70</b>
<b><u>General &gt; Article 6.2.D Other cost categories</u></b>	<b>73</b>

# Formas de financiamento

Custos reais

Custos unitários

Lump Sum

Flat rate



Outras formas de financiamento:

- Reimbursable advance
- Equity/Blended Finance
- Prémios

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# Taxas de Financiamento

Esquema de financiamento	Taxa de financiamento
Ação de Investigação e Inovação (RIA)	Até 100%
Ação de Inovação (IA)	Até 70%
Ação de coordenação e suporte (CSA)	Até 100%
Ação Marie Skłodowska-Curie	Até 100%
Ação ERC	Até 100%
Ação PCP	Até 100%
Ação PPI	Até 50%
Ação de inovação e implementação no mercado	Até 70%

**+** **25%**  
**Custos indiretos**

**Novidade**

# Categorias de Custo

Custos com pessoal

Subcontratação

Compras de bens e serviços

Outras categorias de custo

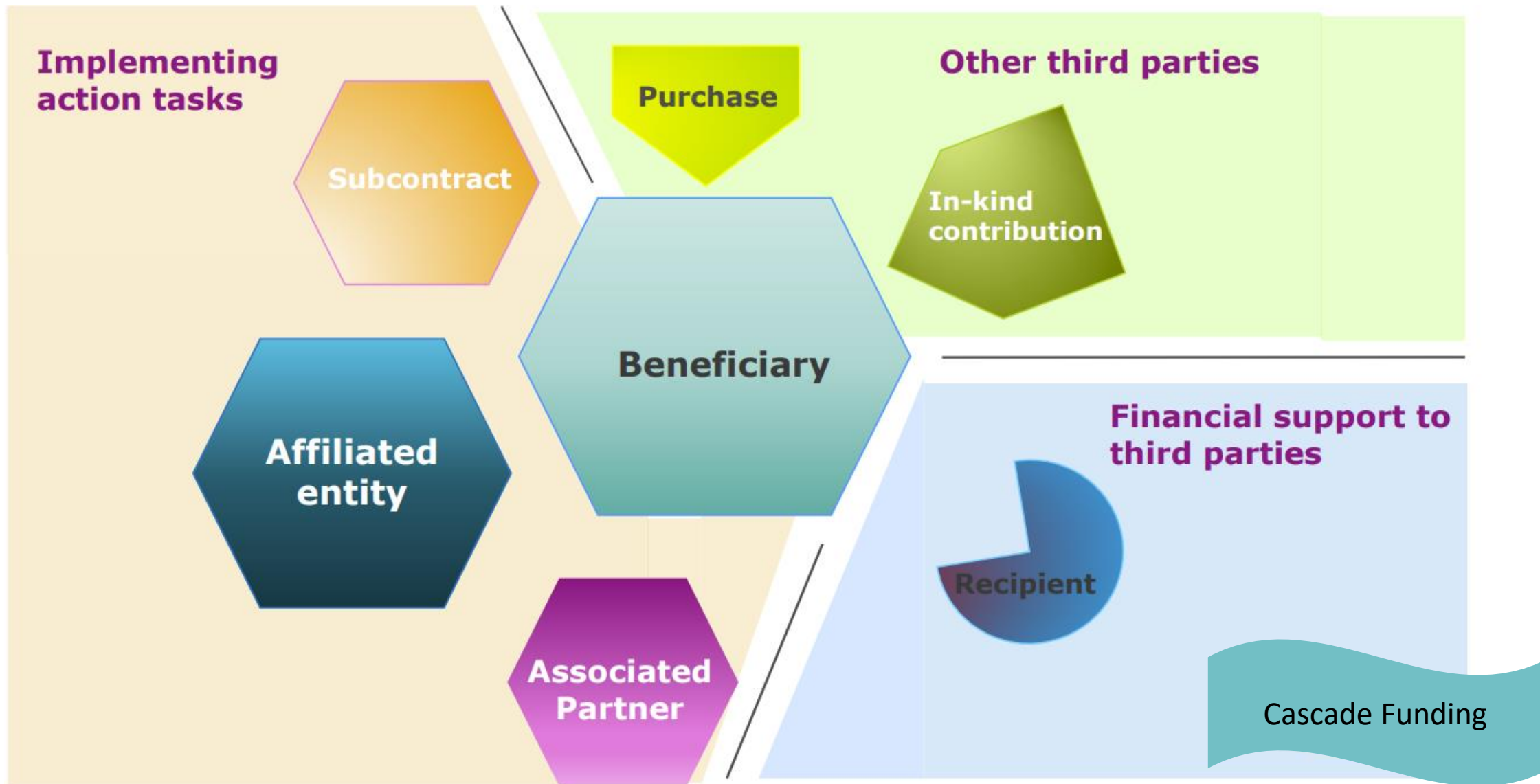
Custos indiretos



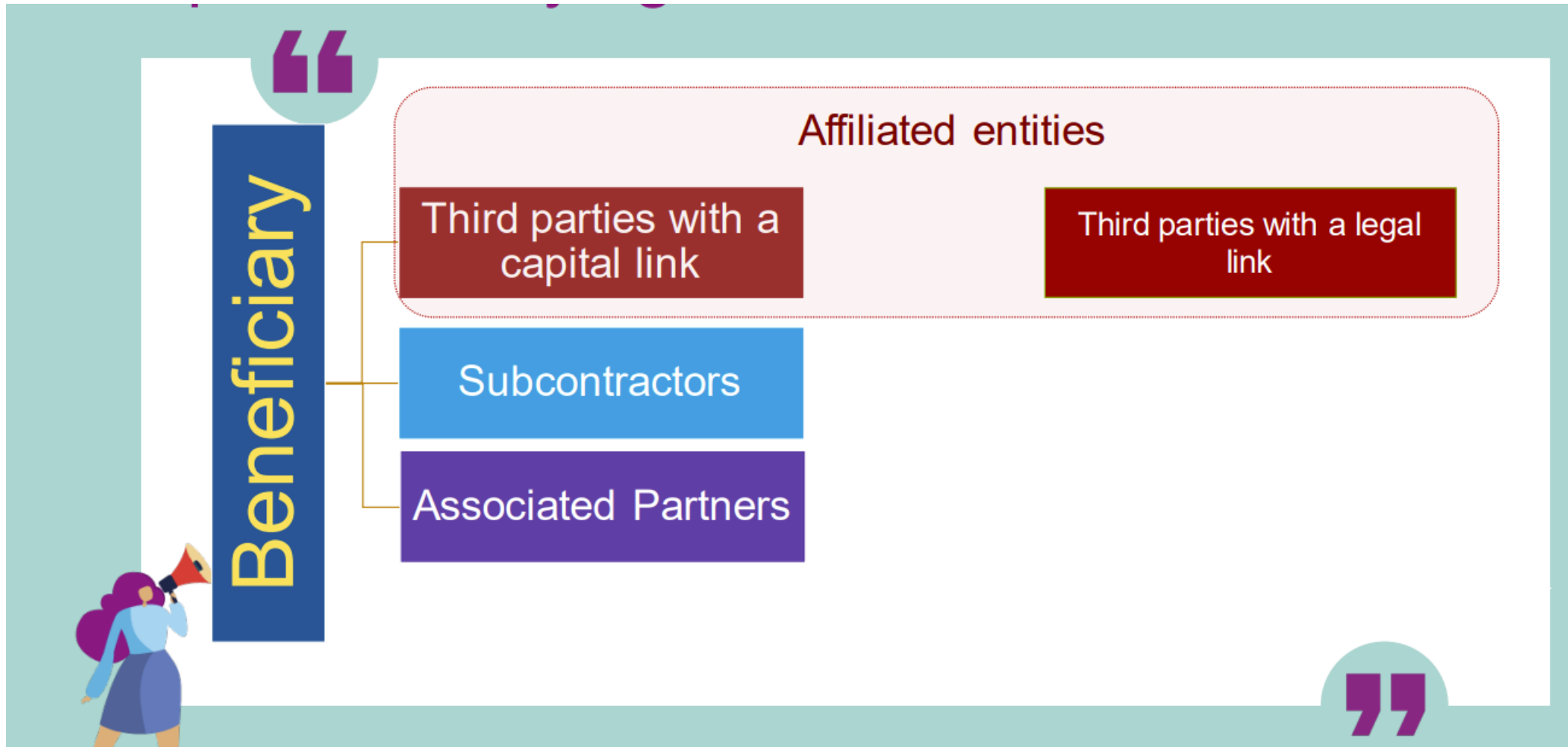
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# Third parties

# Third parties no Horizonte Europa



# Third parties desenvolvendo trabalho para a ação





# Template da proposta



# Diferenças entre o template HE e H2020

Página 10

*Links with other participants* → Apenas no caso de existirem relações de controle

Página 12

Apenas dedicado a investigadores de acordo com a definição do Manual de Frascati

## *Researchers involved in the proposal*

*Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.*

*'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'*

*Include also person in charge of the proposal if a researcher.*

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage <sup>1</sup>	Role of researcher (in the project)	Reference Identifier	Type of identifier
			[Woman]			[Category A – Top grade researcher]	[Leading]		[ORCID]
			[Man]			[Category B – Senior researcher]	[Team member]		[Researcher Id]
			[Non-binary]			[Category C –			[Other - specify]

# Custos com pessoal – Person Months

**Table 3.1f: Summary of staff effort**

*Please indicate the number of person/months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.*

	WPn	WPn+1	WPn+2	Total Person-Months per Participant
Participant Number/Short Name				
Participant Number/Short Name				
Participant Number/Short Name				
<b>Total Person Months</b>				

delete

# Lump Sum

# Lump Sum

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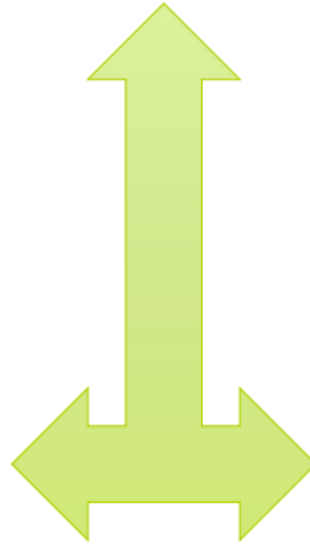
## Two lump sum options

Type 1

Lump sum  
fixed in the call  
for proposal

Type 2

You define the  
lump sum in  
your proposal



# Redação proposta Lump Sum

- Parte B mantém se igual
- Atividades detalhadas por Work Package
- Orçamento detalhado de acordo com o excel
- Estimativas de orçamento geram o orçamento por beneficiário (ou affiliated entity) e por work package
- Estimativas serão avaliadas sob o principio da razoabilidade tendo por base as praticas da instituição e o nível de custos apresentados por esta
- Regras de elegibilidade do HE aplicam-se nesta fase

# Princípios básicos Lump Sum

- Pagamentos são desencadeados nos períodos de reporte estabelecidos no GA pela finalização de um work package
- Uma atividade não é um work package (WP)
- Uma tarefa não é um WP
- Percentagem de implementação não é um WP
- WP com a duração maior (Gestão, disseminação e exploração) podem ser divididos por vários WP de acordo com os períodos de reporte.
- Orçamento detalhado de acordo com o excel
- Estimativas de orçamento geram o orçamento por beneficiário (ou affiliated entity) e por work package



# Folha de cálculo Lump Sum

BENEFICIARY 1 - CALCULATION SHEET		<a href="#">View Summary</a>	
		BE1 name	
COST CATEGORY	UNITS	COST PER UNIT	BE 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
JUNIOR SCIENTISTS (or equivalent in the private sector)			0,00
TECHNICAL PERSONNEL (or equivalent in the private sector)			0,00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0,00
OTHERS			0,00
<b>A.2 Natural Persons under direct contract</b>			
<b>A.3 Seconded Persons</b>			
<b>A.4 SME owners and natural person beneficiaries</b>			
		5 080,00	0,00
<b>B. DIRECT SUBCONTRACTING COSTS</b>			
			0,00
<b>C. DIRECT PURCHASE COSTS</b>			
<b>C.1 Travel and subsistence</b>			
<b>C.2 Equipment (complete 'Depreciation costs' sheet)</b>			
Equipment			0,00
Infrastructure			0,00
Other assets			0,00
<b>C.3 Other goods, works and services</b>			
Consumables			0,00
Services for meetings, seminars			0,00
Services for dissemination activities (including website)			0,00
Publication fees			0,00
Other (shipment, insurance, translation, etc.)			0,00
<b>D. OTHER COST CATEGORIES</b>			
<b>D.1 Financial support to third parties (if applicable in the topic specific conditions)</b>			
<b>D.2 Internally invoiced goods and services</b>			
<b>D.3 Transnational access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)</b>			
<b>D.4 Virtual access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)</b>			
<b>D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)</b>			
<b>TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)</b>			
			0,00
<b>TOTAL DIRECT COSTS (A+B+C+D)</b>			
			0,00
<b>E. INDIRECT COSTS (25% * (A+C))</b>			
			0,00
<b>F. TOTAL COSTS (A+B+C+D+E)</b>			
			0,00



# Folha de cálculo Lump Sum – Anexo 2

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

# Gestão do Projeto - Funding and tenders Portal



Funding & tender opportunities  
Single Electronic Data Interchange Area (SEDIA)

Home | SEARCH FUNDING & TENDERS | HOW TO PARTICIPATE | PROJECTS & RESULTS | WORK AS AN EXPERT | SUPPORT

Search funding & tenders  
Funding updates  
Horizon Archived funding (FP7-CIP)

Programming period

2021-2027

Horizon Europe (HORIZON)

Clear filter

## Reference Documents

### Grants

This page includes reference documents of the programmes managed on the EU Funding & Tenders portal starting from 2014. Please select the programme to see the reference documents.

### Procurement

Reference Documents related to tendering opportunities are published on TED eTendering in the calls for tenders.

Filter

- + Legislation
- + Work programme & call documents
- + Grant agreements and contracts
- + Guidance
- + Templates & forms

## Links úteis:

- Site DPI-ANI

<https://pq-ue.ani.pt/>

- Site PERIN

<https://perin.pt/>

- Funding & tenders Portal

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>

## Lump Sum

- <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/horizon/lump-sum>

- Horizon Europe Programme Guide

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf)

- Regulamento Financeiro

<https://op.europa.eu/en/publication-detail/-/publication/e9488da5-d66f-11e8-9424-01aa75ed71a1>



## Destaques

[Consulta pública - Década digital da Europa: objetivos para 2030](#) - até 9 de março

[Consulta pública - Nova estratégia europeia para as florestas](#) - até 19 de abril

[Consulta pública - Nova estratégia europeia sobre proteção dos solos](#) - até 27 de abril

[EIT Manufacturing organiza Matchmaking Event para PME e Startups, 23-25 de fevereiro](#)

[Propostas ao Fundo de Inovação, projetos de pequena escala de tecnologias limpas](#) - 10 de Março

[Prémio de sustentabilidade Zayed abre candidaturas a PME inovadoras](#) - 6 de maio

## Próximos eventos

**FEV**  
**19**  
2021  
[Jornadas Horizonte Europa - Sessão Temática Assuntos Legais e Financeiros](#)  
online

**PERIN** About Funding Programmes Calls Calendar Delegates / MCP Institutions Observatory Events News

**2nd great achievement from Portuguese Presidency Council EU (PPUE) - The official launch of Horizon Europe took place on the 2nd of February. It was organized by the PPUE, together with the European Commission.**

See all the information about the event here!

**PERIN STRATEGY 2021-2027**  
Portugal aims to DOUBLE the Portuguese Participation in the European Union funding Programmes, attract TWO BILLION EUROS for Research and Innovation and TRIPLING the number of students in mobility in Higher Education!

Thank you for your contribution. The open consultation is now closed (deadline 31st December 2020) and we highly appreciate all the contributions received.

Know more

**Delegado Nacional e NCP - Assuntos Legais e Financeiros e EIC**

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