

IMI rules and procedures

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Outline

1. Participation rules
2. Funding rules
3. Intellectual Property rules
4. From Call to grant award
5. Writing a successful proposal
6. More information

A single set of rules



EU Financial
Regulation

Specific rules
for
participation

- Covering all H2020 research and innovation actions
- Adaptability where needed:
 - Entities eligible for funding
 - IP

Participation rules

Attracting stakeholders

- **Any entity carrying out work relevant to the IMI2 objectives in a Member State or Associated Country**
 - *New Associated partners*
- **Anyone else:**
 - when foreseen in the annual work plan / Calls documents
 - with the agreement of the IMI JU

But...

Not all participating entities are eligible for funding

More entities eligible for funding

- Academic institutions
- Research organisations
- Small & medium-sized enterprises (SMEs)
- **NEW Mid-sized enterprises ($\leq 500M$)**
- Non-profit patient organisations
- Non-profit public bodies and intergovernmental organisations including specialised agencies

Established in a Member State / associated country

Simplified conditions for participation

- **Minimum conditions for standard collaborative actions** *New!*
At least three legal entities, each established in a different Member State or an associated country
- **Additional conditions**
In the annual work plan (and Call documents)

Funding rules

One single funding rate per project

One project = One rate

For all beneficiaries and all activities

Defined in the annual work plan/Call documents:

- Up to 100% of the eligible costs
- but limited to a maximum of 70% for innovation projects (exception for non-profit organisations - maximum of 100%)

Considering accounting and management principles


- **Personnel**
 - Wider acceptance of average personnel costs
 - Acceptance of supplementary payments
 - for non-profit organisations of up to 8000 euros / year / person
 - Less requirements for time records
- **Equipment, consumables, travels...**
- **Subcontracting**

One single indirect cost model

**Single
model:
25 % Flat
Rate**

A more attractive funding model

An example

 <i>Majority of beneficiaries</i>	Direct costs	Indirect costs	Total costs	% EU contribution	EU contribution
Flat-rate (20%) (or actual)	100	20	120	75%	€90

HORIZON 2020	Direct costs	Indirect costs	Total costs	% IMI2 contribution	IMI2 contribution
100/25 Funding	100	25	125	100%	€125

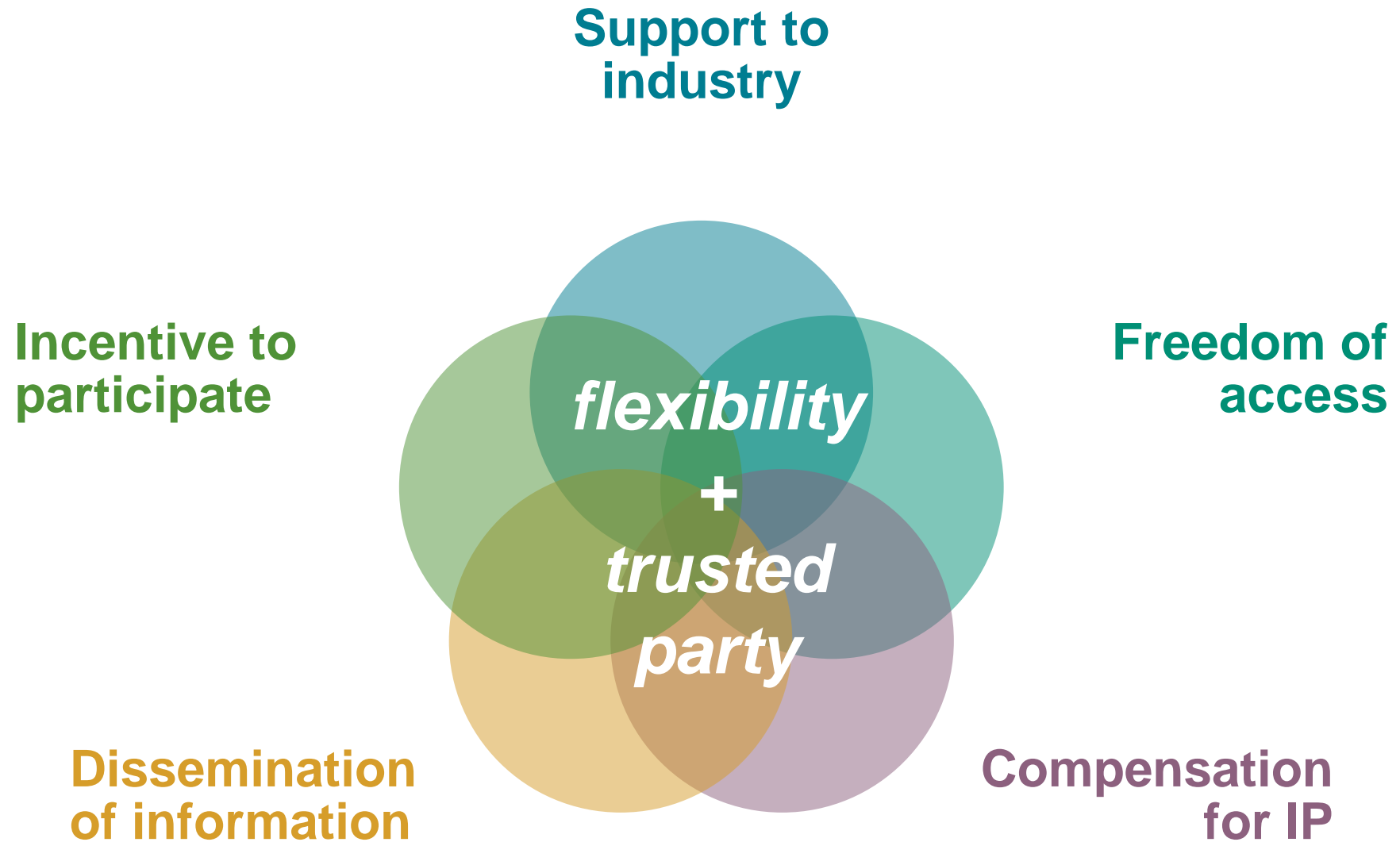
EFPIA and Associated Partners contribution

- EFPIA companies
- Other industries and partners (= Associated Partners to IMI2) *New!*
 - In-kind (actual direct and indirect costs or average FTE) + cash contributions
 - Based on the usual management principles and accounting practices
 - Contributions from affiliated entities as part of in-kind

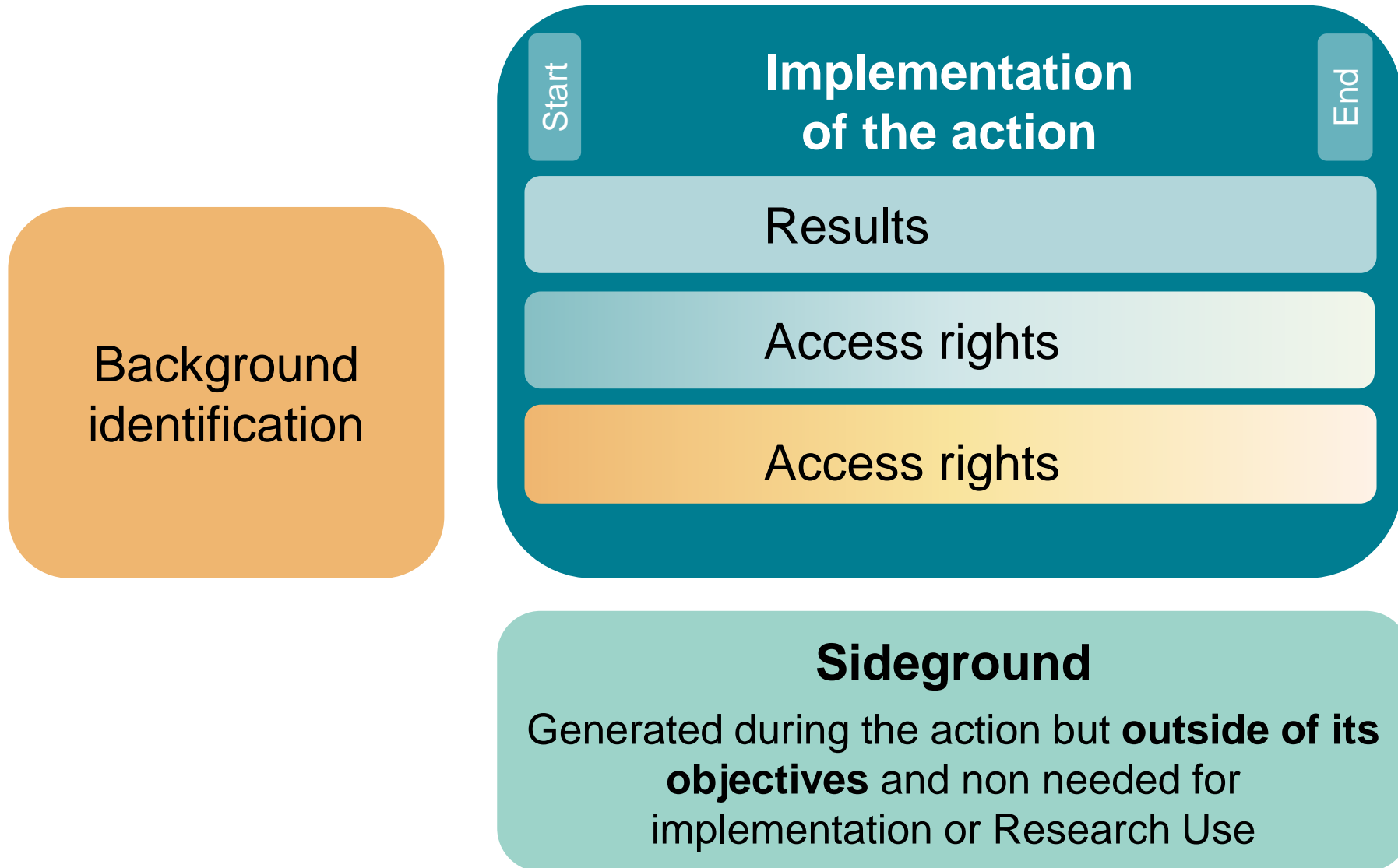
When relevant to IMI2 objectives: up to 30% non-EU in-kind contribution

Intellectual property rules

One set of rules for multiple interests



Background vs. Results



Ownership of Results and Sideground

Results and Sideground belongs to the beneficiary who generated it

Possible transfer of ownership within the consortium to affiliates and subcontractors without prior notification

Joint ownership of results

Individual use of jointly owned results

provided prior notice and fair & reasonable compensation to the other joint owners

Based on previous experience

Protection of results

Mandatory for beneficiaries eligible for funding *NEW*

Common practice

- lies with the owner(s) in adequate and effective manner → relevant (national) legal provisions, action peculiarities, legitimate interests
- if valuable results left unprotected → to be discussed within the consortium

Research Use vs. Exploitation

- **Research Use**

- Use of results or background necessary to use the results for all purposes other than for completing the action or for direct exploitation

Based on previous experience

- **Direct exploitation**

- to develop for commercialisation or to commercialise the results

Access Rights conditions

Access rights granted by a beneficiary to/on	Background (necessary and identified)	Results	Sideground
Beneficiaries for completion of the action	Royalty-free	Royalty-free	N.A.
Beneficiaries and affiliates for Research Use	Fair & reasonable terms for background needed for using the results	Fair & reasonable terms	N.A.
Third Parties for Research Use after the action	Fair & reasonable terms for background needed for using the results	Fair & reasonable terms	N.A.
Beneficiaries and affiliates or Third Parties for Direct Exploitation	To be negotiated	To be negotiated	N.A.

Based on previous experience

Access rights to results for third parties

- Only after the end of the action
- Possibility to exclude specific elements of background (**NEW** only for existing background)

Based on previous experience

- Time-limits to be agreed **NEW**

Granting modalities

Granted on written request
unless otherwise agreed

Almost all on-going IMI projects agreed that access rights to background are granted without any additional administrative step

Time-limits for requesting access **NEW**

To be agreed in the consortium agreement

Dissemination modalities

Each beneficiary has the obligation to disseminate its own results:

- As soon as reasonably practicable
- *NEW* for publications: Open access is mandatory

Mandatory mention to IMI support & Partners in-kind contribution
in patent applications / all communications

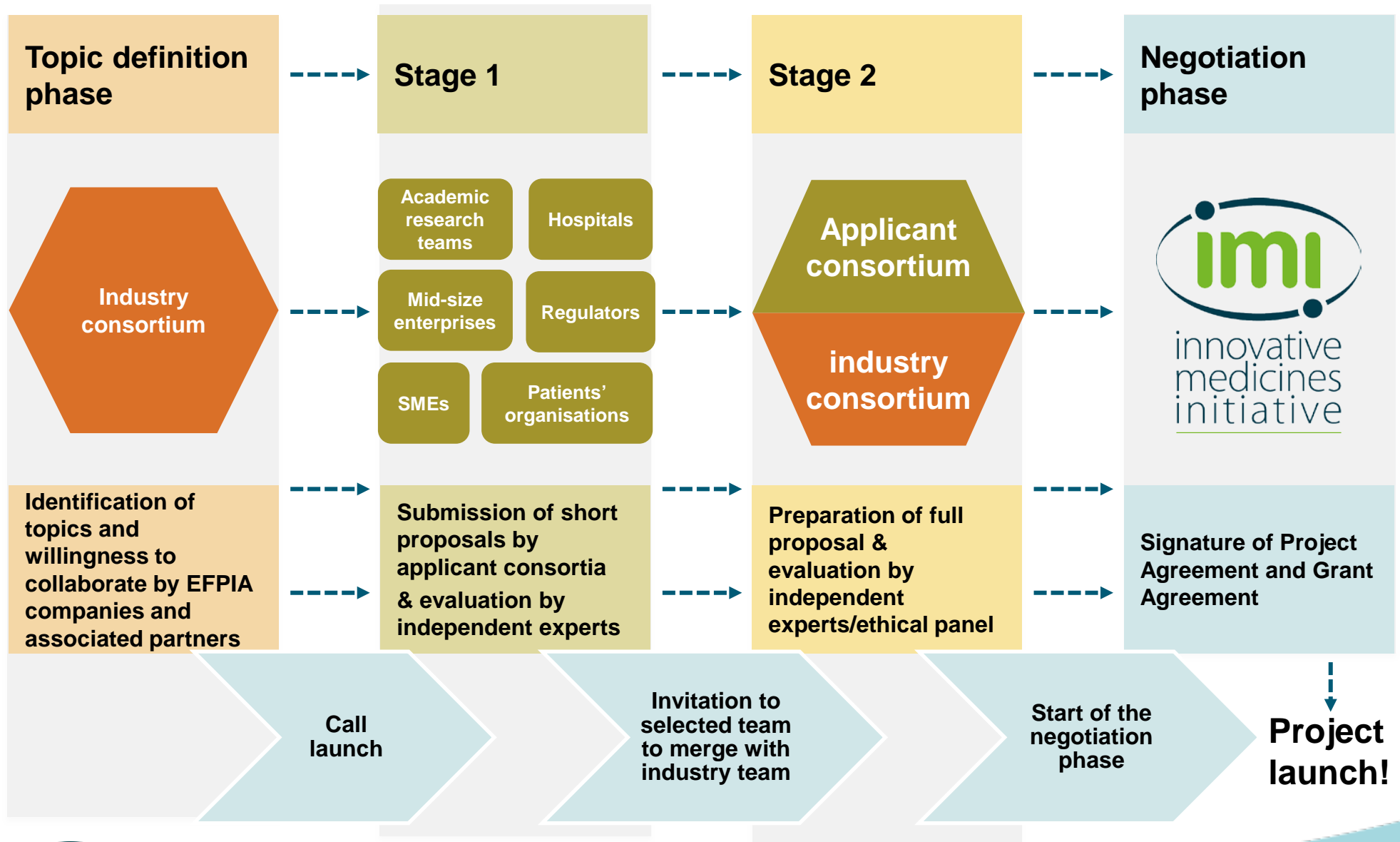


From Call to grant award

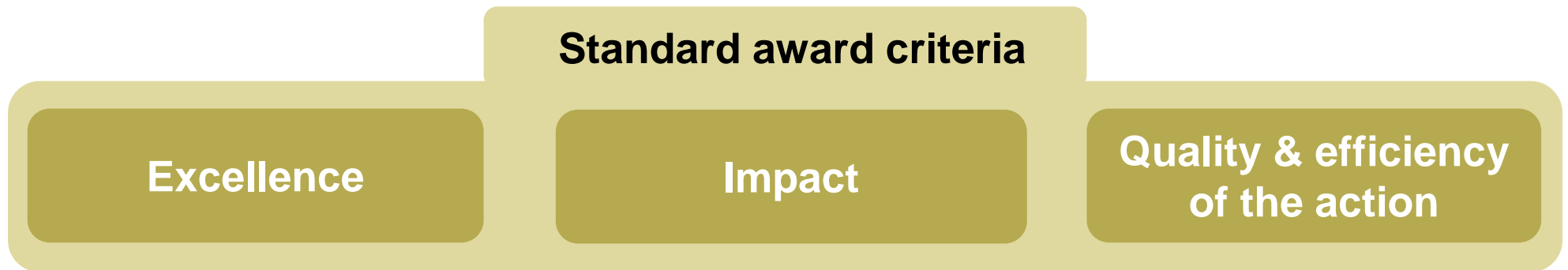
IMI 2 life cycle

- **Call topics definition**
 - Scientific Research Agenda
 - Annual Work Plan
 - Strategic Governing Groups
 - Consultation Member-Associated States/Scientific Committee
- **Call Launch / Evaluation / Grant award**
- **Grant agreement, Consortium agreement, Implementation and Reporting**

IMI 2 life cycle



A single set of evaluation criteria



- Two-stage evaluation: only “Excellence” and “Impact” considered at stage 1
- Thresholds and weighting in the Call documents
- Minimum of 3 independent experts (possibility of 2 in a two-stage process)

NEW Each proposal evaluated 'as it is', not as 'what could be'.

Evaluation Criteria

1. Excellence

The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the IMI2 annual work plan:

- Clarity and pertinence of the objectives
- Credibility of the proposed approach
- Soundness of the concept, including trans-disciplinary considerations, where relevant
- Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art
- Mobilisation of the necessary expertise to achieve the objectives of the topic and to ensure engagement of all relevant key stakeholders

Evaluation Criteria

2. Impact

The following aspects will be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:

- The expected impacts of the proposed approach listed in the IMI2 annual work plan under the relevant topic
- Enhancing innovation capacity and integration of new knowledge
- Strengthening the competitiveness and industrial leadership and/or addressing specific societal challenges
- Improving European citizens' health and wellbeing and contribute to the IMI2 objectives
- Any other environmental and socially important impacts
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant

Evaluation Criteria

3. Quality and efficiency of the implementation

The following aspects will be taken into account:

- Coherence and effectiveness of the project work plan, including appropriateness of the allocation of tasks and resources
- Complementarity of the participants within the consortium (when relevant)
- Clearly defined contribution to the project plan of the industrial partners (when relevant)
- Appropriateness of the management structures and procedures, including risk and innovation management and sustainability plan

Keeping the momentum

A maximum Time To Grant of 8 months from the submission of the complete proposal

5 months

for informing applicants
on scientific evaluation

3 months

for signature of grant
agreement

NEW Legal entity validated in parallel

Consortium agreement

- Contractual arrangement **between all participants** to set out their rights and obligations, especially governance, liability and IPR
- Shall comply with the IMI2 model Grant Agreement
- Before the signature of the grant agreement with the IMI Office
- **To be adapted to the specific needs of each IMI action!**

Simplified model Grant Agreement



Core text

Special
clauses

General
conditions
Annex II

Specific
provisions
Annex III

Writing a successful proposal

Common Mistakes

- **Admissibility/Eligibility criteria not met:**
 - submission deadline missed
 - proposal out of scope (if you have doubts on how to respond to the Call contact us)
 - submitted text does not respect the proposal template (sometimes received even slides!)
 - A minimum of three legal entities

Common Mistakes

- The proposal does not address all the objectives (in some cases proposals have nothing to do with the topic!)
- Applicants do not have the capabilities to address all of the objectives or there is redundancy between partners
- A proposal is scientifically excellent but will have limited impact
- **Ethical issues** not addressed

Tips

- Read all the **Call-relevant** material that is provided on the **IMI website** – www.imi.europa.eu
- Understand **IMI 2 rules** and respect them
- **If in doubt, ask** a member of the Programme Office
- Your proposal should provide **reviewers** with all the information requested to allow them to evaluate it
- Start working early (pre-materials available before)
- **Finalise your submission**

Submitting a proposal

Innovative Medicines Initiative

European Commission

RESEARCH & INNOVATION Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

HOME | FUNDING OPPORTUNITIES | HOW TO PARTICIPATE | EXPERTS | SUPPORT

LOG IN | REGISTER

LOG IN

Please enter your e-mail and password.

E-mail:

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The Innovative Medicines Initiative (IMI) is Europe's largest public-private initiative aiming to speed up the development of

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Welcome to the Research and Innovation Participant Portal

About the Participant Portal:

The Participant Portal is your entry point for the electronic administration of EU-funded research and innovation projects. It hosts services for managing proposals and projects throughout their lifecycle.

The Participant Portal supports activities funded mainly by the following EU programmes:

- 7th Framework Programme for Research and Technological Development (FP7)
- Competiveness and Innovation Framework Programme (CIP)

Using the Participant Portal:

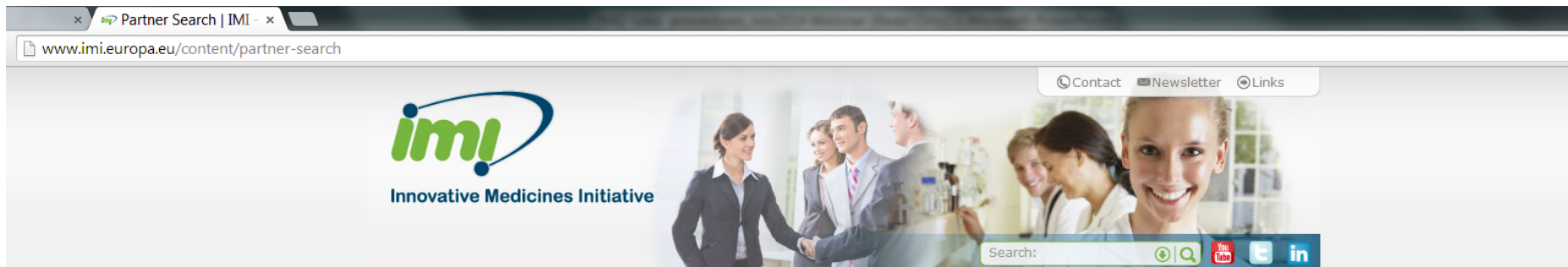
As a guest user, browse the public pages to:

- search for funding opportunities
- download guidance and legal documents
- search for the participant identification code (PIC) of an organisation
- contact the FP7 support services and browse the FAQ for guidance on the Participant Portal tools

As a registered user, benefit from personalised services for proposal submission, negotiation, and project management.

WHAT'S NEW | **FUNDING OPPORTUNITIES** | **HOW TO PARTICIPATE?** | **WORK AS AN EXPERT** | **ACCESS MY PERSONAL AREA** | **INFORMATION AND SUPPORT**

Partner Search Tool



- Home
- About IMI
- Ongoing projects
- Calls for proposals
- News, Events & Media
- Reference documents

LATEST NEWS

11/07/2014 : RT @EFPIA:
Friday means a FRESH EFPIA
Newsletter! Highlight of the
week @IMI_JU
@innovationunion #horizon2020
#JTICalls2014 READ <http://t.c...>

10/07/2014 : RT
@MichelGoldman: @IMI_JU
future:we are very proud to
welcome @JDRF to co-drive the
type1 #diabetes topic of
IMI2:#patients will be at the...

UPCOMING EVENTS

- 30/09/2014 - IMI 2 Open
Info Day 2014 IMI will hold
an Open Info Day on its

Partner search

IMI provides an online **partner search tool** for people, organisations and enterprises interested in participating in future IMI projects.

The tool facilitates the search for potential partners for an Expression of Interest in response to an IMI Call for proposals.

- The Partner Search Tool is accessible through [this link](#)
- Full lists of **key words** has been included for the **IMI 2 Call 1 Call** for proposals.
- The Partner Search Tool was improved, updated and moved to a new location in June 2012. If you were already registered in the previous version of the tool, your profile is automatically included in the new tool, but you will need to **reset your password**, by going to 'Login with an existing account' on the login page.
- People who used the partner search tool for IMI's previous Calls for proposals are advised to update their profiles to reflect the new topics that they are interested in.

If you have any difficulties using the partner search tool, contact [pst\[AT\] imi.europa.eu](mailto:pst@imi.europa.eu)

www.imi.europa.eu/content/partner-search

<http://www.fitforhealth.eu/>



More information

Reference documents

- **H2020 Rules for Participation**
- **IMI2 Delegated Regulation**
- **IMI2 Call Documents**
- **IMI2 model Grant Agreement**
- **IMI2 annotated Grant Agreement (soon)**

www.imi.europa.eu/content/documents

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Your contact points

- **Contact the IMI Programme Office**
infodesk@imi.europa.eu
- **Get in touch with your local IMI contact point**
www.imi.europa.eu/content/states-representatives-groups
- **Talk to your IMI Health National Contact Point (NCP)**

Thank you

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