Outline

1. Participation rules
2. Funding rules
3. Intellectual Property rules
4. From Call to grant award
5. Tips for a success
6. More information
A single set of rules

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

etc.

EU Financial Regulation
Specific rules for participation
Participation rules
Attracting stakeholders

Any legal entity carrying out work relevant to the Call objectives may participate in applicant consortia, regardless of its place of establishment.
Who is eligible for funding?

- Academic institutions
- Small & medium-sized enterprises (SMEs)
- Mid-sized enterprises (≤ €500m)
- Non-profit organisations e.g. research organisations, patient organisations, NGOs, public bodies, intergovernmental organisations etc.

Established in:
- EU Member State
- Associated Country

Other countries: No funding unless participation deemed essential by IMI for carrying out the action - foreseen in the Annual Work Plan
Simplified conditions for participation

- **Minimum conditions for standard collaborative actions**
  - Research and Innovation Actions: At least **three** legal entities
  - Coordination and Support Actions: At least **one** legal entity 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
- 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

<table>
<thead>
<tr>
<th>Majority of beneficiaries</th>
<th>Direct costs</th>
<th>Indirect costs</th>
<th>Total costs</th>
<th>% EU contribution</th>
<th>EU contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Flat-rate (20%) (or actual)</td>
<td>100</td>
<td>20</td>
<td>120</td>
<td>75%</td>
<td>€ 90</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HORIZON 2020</th>
<th>Direct costs</th>
<th>Indirect costs</th>
<th>Total costs</th>
<th>% IMI2 contribution</th>
<th>IMI2 contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>100/25 Funding</td>
<td>100</td>
<td>25</td>
<td>125</td>
<td>100%</td>
<td>€ 125</td>
</tr>
</tbody>
</table>
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

Support to industry

Incentive to participate

Dissemination of information

Freedom of access

Compensation for IP

flexibility + trusted party
Background vs. Results

Implementation of the action

Results
Access rights
Access rights

Sideground
Generated during the action but outside of its objectives and non needed for implementation or Research Use
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 purchasers without prior notification
- on case-by-case basis
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 receiving 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

- **Direct exploitation**
  - to develop for commercialisation or to commercialise the results
# Access Rights conditions

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

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)
- Time-limits to be agreed NEW

Based on previous experience
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 (2-stages)

**Topic definition phase**

- Industry consortium

- Identification of topics and willingness to collaborate by EFPIA companies and associated partners

**Stage 1**

- Academic research teams
- Hospitals
- Mid-size enterprises
- Regulators
- SMEs
- Patients’ organisations

- Submission of short proposals by applicant consortia & evaluation by independent experts

**Stage 2**

- Applicant consortium

- Industry consortium

- Preparation of full proposal & evaluation by independent experts/ethical panel

**Granting phase**

- Signature of Consortium Agreement and Grant Agreement

- Start of the Granting phase

- Project launch!
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'.

Standard award criteria

- Excellence
- Impact
- Quality & efficiency of the action
Evaluation Criteria (RIA)

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 (RIA)

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 (RIA)

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 full proposal

Fast track process may be foreseen in the annual work plan / Call documents

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

Signed between IMI2 JU and coordinator only (no more managing entity)
Accession form by the other beneficiaries

Core text
Special clauses
General conditions (Annex II)
Specific provisions (Annex III)
Tips for success
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!)
  - minimum number of 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
Partner Search Tool

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 (revised)
- IMI2 annotated Grant Agreement (soon)

www.imi.europa.eu/content/documents
Stay in touch

- Visit our website www.imi.europa.eu
- Sign up to our newsletter bit.ly/IMInewsletter
- Follow us on Twitter @IMI_JU
- Join our LinkedIn group bit.ly/LinkedInIMI
- E-mail us infodesk@imi.europa.eu
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

infodesk@imi.europa.eu