

# *IMI2 Rules and Procedures*

**3 September 2014**

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- I. Participation rules**
- II. Funding rules**
- III. Intellectual Property rules**
- IV. From Call to grant award**
- V. Writing a successful proposal**
- VI. More information**

# A single set of rules



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

# Participation Rules

# Attracting stakeholders

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- Any entity carrying out work relevant to the IMI2 objectives in a Member State or Associated Country
- 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

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- 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

**NEW** established in a Member State / associated country

- **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

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~~**Research activities**~~

~~75% of direct eligible costs~~

~~**Other activities**~~

~~100% of direct eligible costs~~



**One project = One rate**

**For all beneficiaries and all activities**

**Defined in the annual work plan/Call documents:**

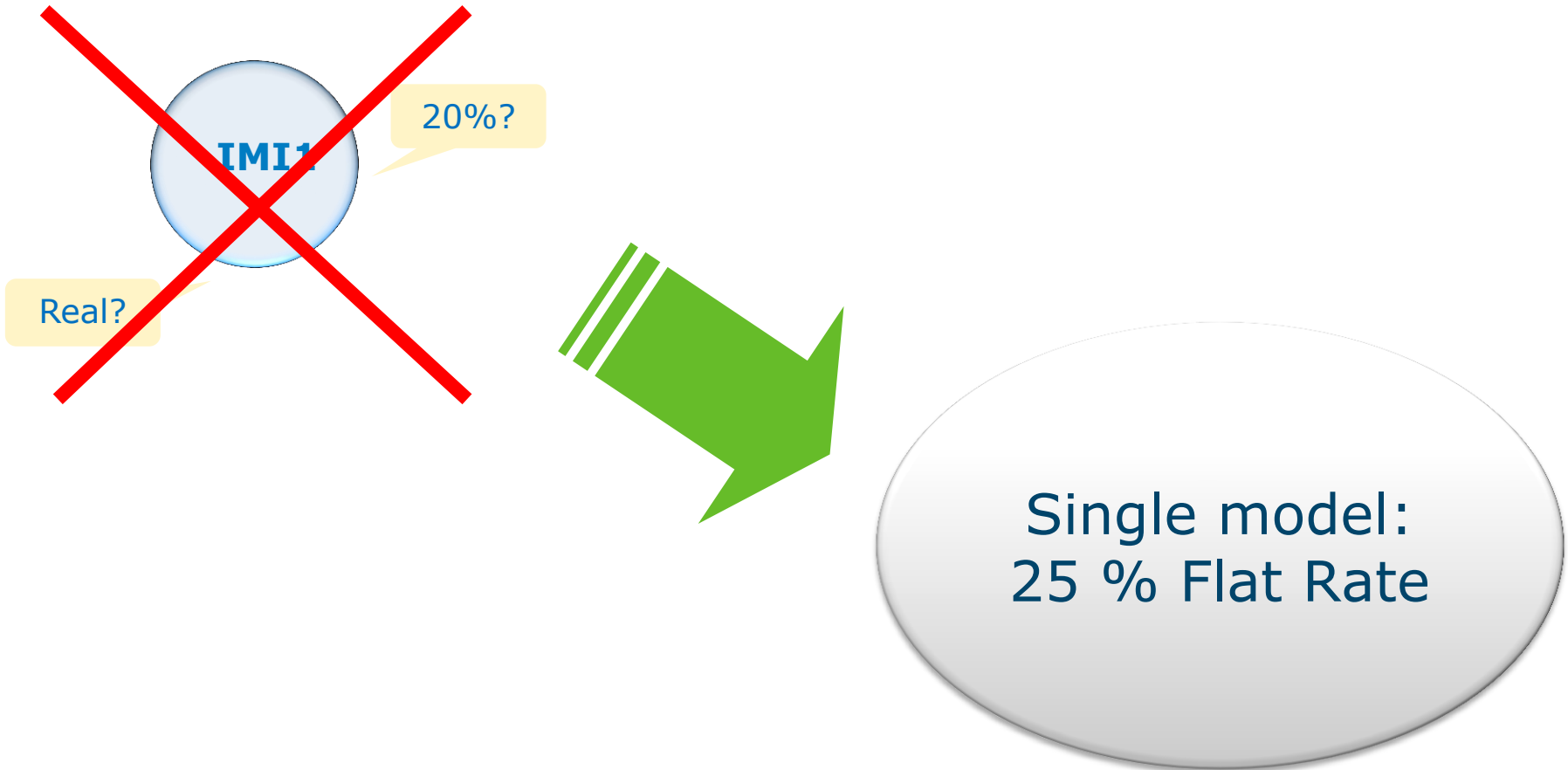
- Up to 100% of the eligible costs
- but limited to a maximum of 70% for innovation projects (exception for non-profit organisations - maximum of 100%)

# Considering accounting and management principles

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- **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



# A more attractive funding model

## An example

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

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

# EFPIA and Associated Partners contribution

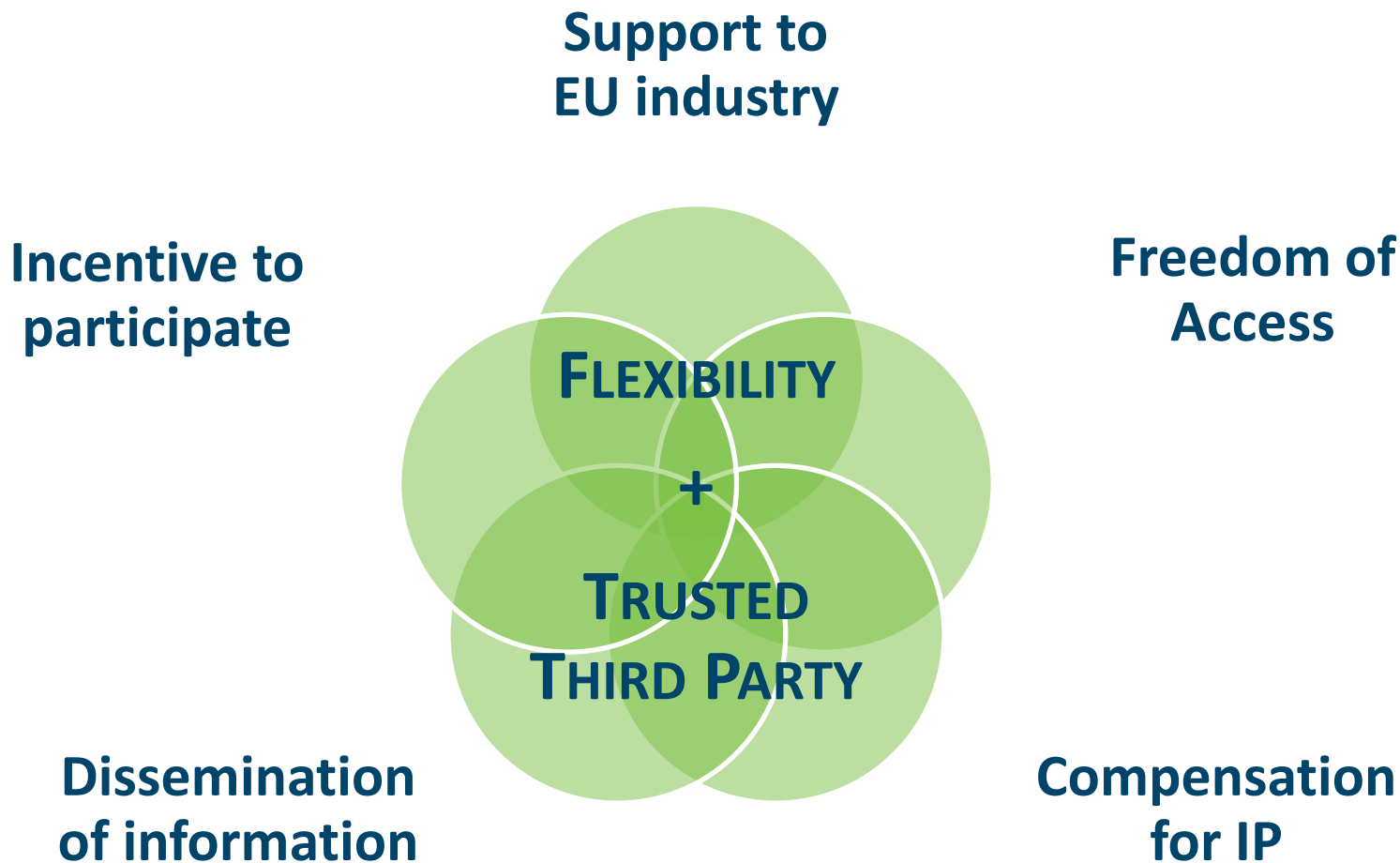
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- **EFPIA companies**
- **Other industries and partners** (= Associated Partners to IMI2) *NEW*
  - ✓ In-kind (actual direct and indirect costs or average FTE) + cash contributions
  - ✓ Based on the usual management principles and accounting practices
  - ✓ 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



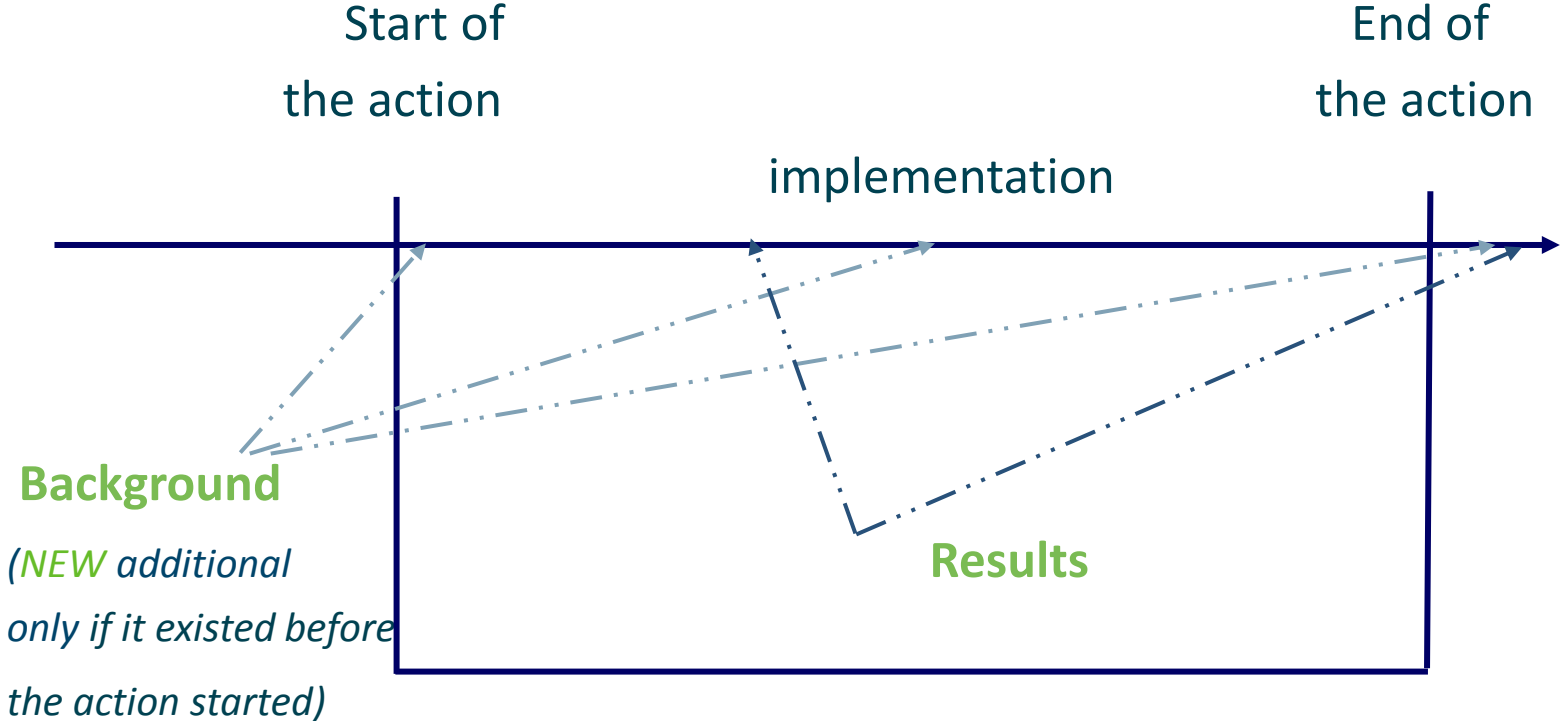
# Consortium agreement

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- 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!**



# Background vs. Results



**// Sideground //**

(generated during the action but outside its objectives and not needed for implementation or Research Use)

— · · · — access rights

Based on IMI1

Results and Sideground belongs to the beneficiary who generated it

~~Unless otherwise agreed~~

Possible transfer of ownership

within the consortium

to affiliates and subcontractors without prior notification

## Individual use of jointly owned results

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

Based on IMI1

# Protection of results

Mandatory for beneficiaries eligible for funding *NEW*

## Common practice (IMI1)

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

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- **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 IMI1

- **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
<b>Beneficiaries for completion of the action</b>	<b>Royalty-free</b>	<b>Royalty-free</b>	N.A.
<b>Beneficiaries and affiliates for Research Use</b>	<b>Fair &amp; reasonable terms</b> for background needed for using the results	<b>Fair &amp; reasonable terms</b>	N.A.
<b>Third Parties for Research Use after the action</b>	<b>Fair &amp; reasonable terms</b> for background needed for using the results	<b>Fair &amp; reasonable terms</b>	N.A.
<b>Beneficiaries and affiliates or Third Parties for Direct Exploitation</b>	To be negotiated	To be negotiated	N.A.

Based on IMI1

Only after the end of the action

Possibility to exclude specific elements of background (*NEW* only for existing background)

Based on IMI1

Time-limits to be agreed *NEW*

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*

~~Along the most  
appropriate needs~~

To be agreed in the  
consortium  
agreement



Each beneficiary has the obligation to disseminate its own results

As soon as reasonably practicable

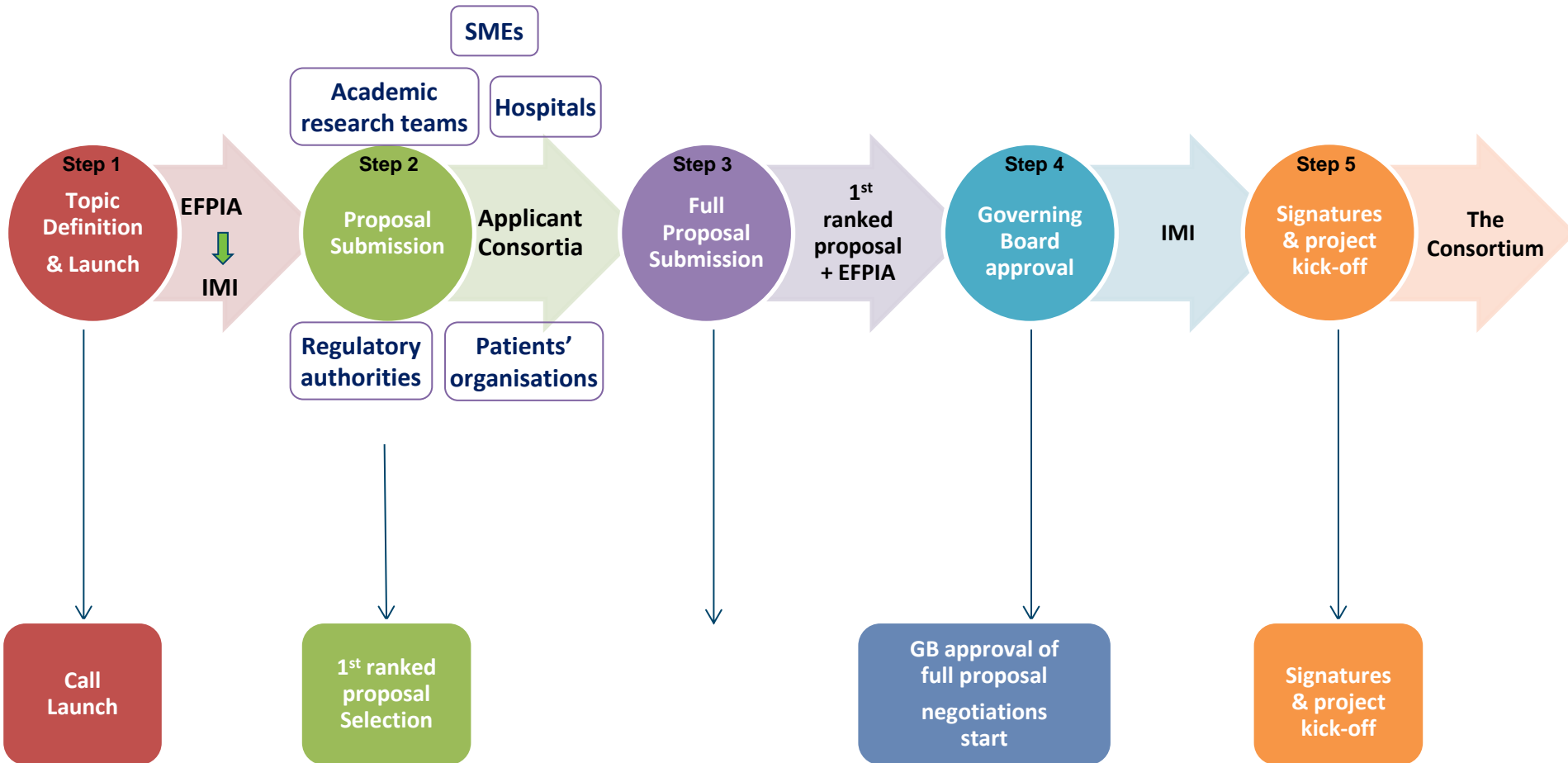
**NEW** for publications: Open access is mandatory

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

# From Call to grant award

- **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**

# IMI2 life cycle



- **Call topics definition**
  - Scientific Research Agenda
  - Annual Work Plan
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# A single set of evaluation criteria

## STANDARD AWARD CRITERIA

EXCELLENCE

IMPACT

QUALITY &  
EFFICIENCY  
OF THE ACTION

- Two stages 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 2-stages process)

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

## 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



## 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

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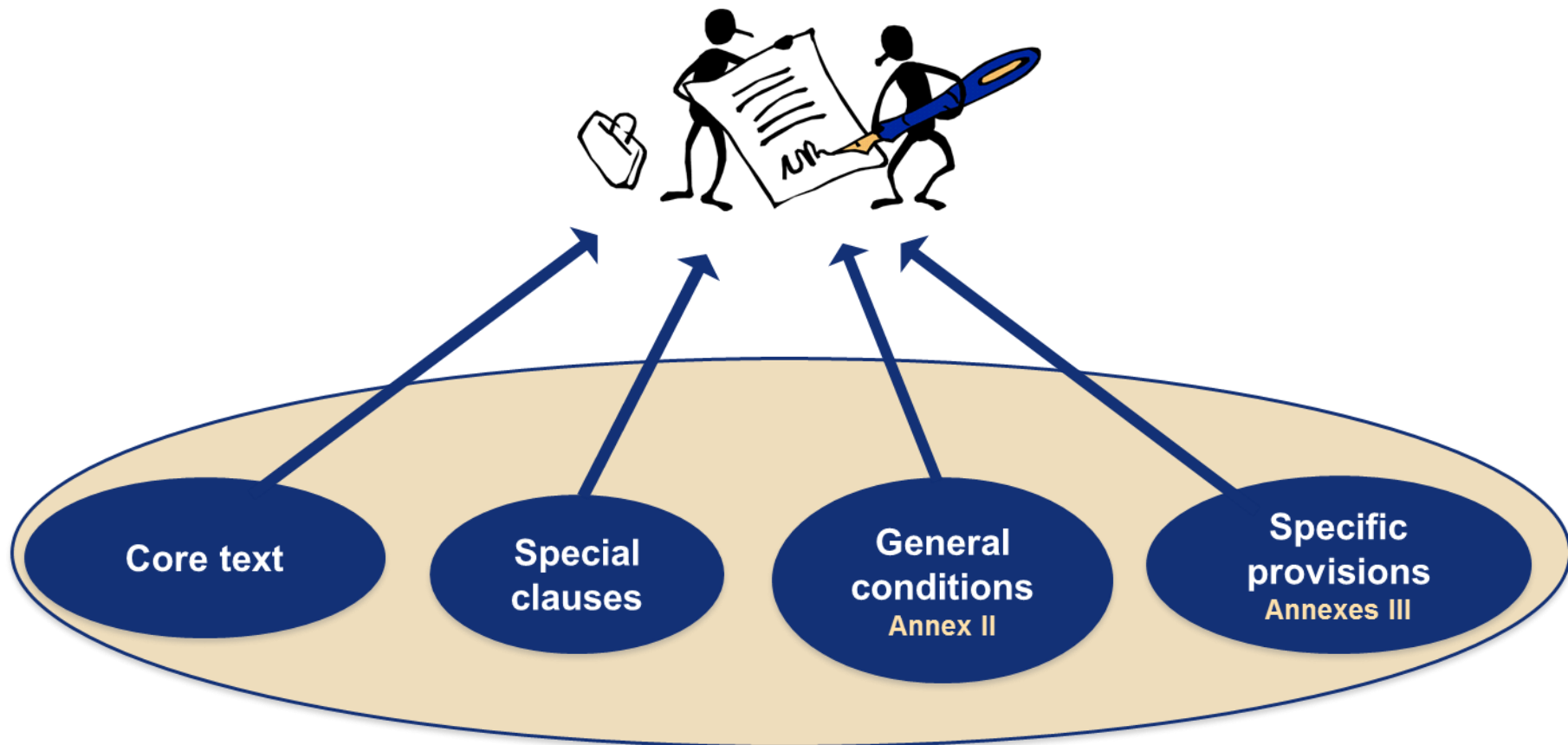
A maximum Time To Grant of 8 months from the submission of the complete proposal

**5 months**  
for informing applicants  
on scientific evaluation

**3 months**  
for signature of  
grant agreement

**NEW** Legal entity validated in parallel

# Simplified model Grant Agreement



# Writing a successful proposal

# Common Mistakes

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- **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

- **Read all the Call-relevant material that is provided on the IMI website – [www.imi.europa.eu](http://www.imi.europa.eu)**
- Understand **IMI2 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



The screenshot shows a web browser window with the URL <https://sofia.imi.europa.eu/Pages/Login.aspx> highlighted in an orange box. The page features the IMI logo and the text "Innovative Medicines Initiative". A navigation menu includes links for "[Log In]", "Helpdesk", "Request Access", and "Forgot your password?". The main content area is titled "LOG IN" and contains a form with the following elements:

- E-mail:
- Password:
- Keep me logged in
- 
- [Forgot your password?](#)

Below the form, a paragraph states: "The Innovative Medicines Initiative (IMI) is Europe's largest public-private initiative aiming to speed up the development of better and safer medicines for patients." At the bottom, a footer contains the text "Specific Privacy Statement" and "SOFIA: Submission OF Information Application Copyright © 2013 IMI.", with the latter highlighted in an orange box.





## RESEARCH & INNOVATION

### Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

HOME

FUNDING OPPORTUNITIES

HOW TO PARTICIPATE

EXPERTS

SUPPORT

LOGIN

REGISTER

# 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)**
- **Competitiveness 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.



WHATS NEW



FUNDING OPPORTUNITIES



HOW TO PARTICIPATE?



WORK AS AN EXPERT



ACCESS MY PERSONAL AREA







INFORMATION AND SUPPORT

# Partner Search Tool



Innovative Medicines Initiative

[Contact](#) [Newsletter](#) [Links](#)Search:     [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  
#JTCalls2014 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 IMI 2-Call 1 at the...

## 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[AT]imi.europa.eu)

[www.imi.europa.eu/content/partner-search](http://www.imi.europa.eu/content/partner-search)

# More information

- **Translational approaches to disease modifying therapy of Type 1 Diabetes Mellitus (T1DM)**  
Friday 11 July 2014
- **Discovery and validation of novel endpoints in dry age-related macular degeneration and diabetic retinopathy**  
Tuesday 15 July 2014
- **New procedures, rules, guidance & IPR for Calls for proposals**  
14 July & 15 September 2014

## Crowne Plaza Hotel, Brussels, Tuesday 30 September 2014

- Workshops and presentations of topics by the topic writers
- Overview of IMI 2 funding and intellectual property (IP) rules
- Tips on applying for funding under IMI 2
- Networking opportunities
- IMI staff on hand to answer questions

*We warmly encourages small and medium-sized enterprises, mid-cap businesses, patient organisations, regulatory authorities, academic teams, industry, hospitals and other organisations*

# Reference documents

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- **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](http://www.imi.europa.eu/content/documents)

# Stay in touch

- Visit our website  
[www.imi.europa.eu](http://www.imi.europa.eu)
- Sign up to our newsletter  
[bit.ly/IMInewsletter](http://bit.ly/IMInewsletter)
- Follow us on Twitter  
[@IMI\\_JU](https://twitter.com/IMI_JU)
- Join our LinkedIn group  
[bit.ly/LinkedInIMI](http://bit.ly/LinkedInIMI)
- E-mail us  
[infodesk@imi.europa.eu](mailto:infodesk@imi.europa.eu)



# Your contact points

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