

# IMI rules and procedures

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9 January 2014 • IMI2 rules and procedures

# 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



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 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 ( $\leq$  €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

 <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

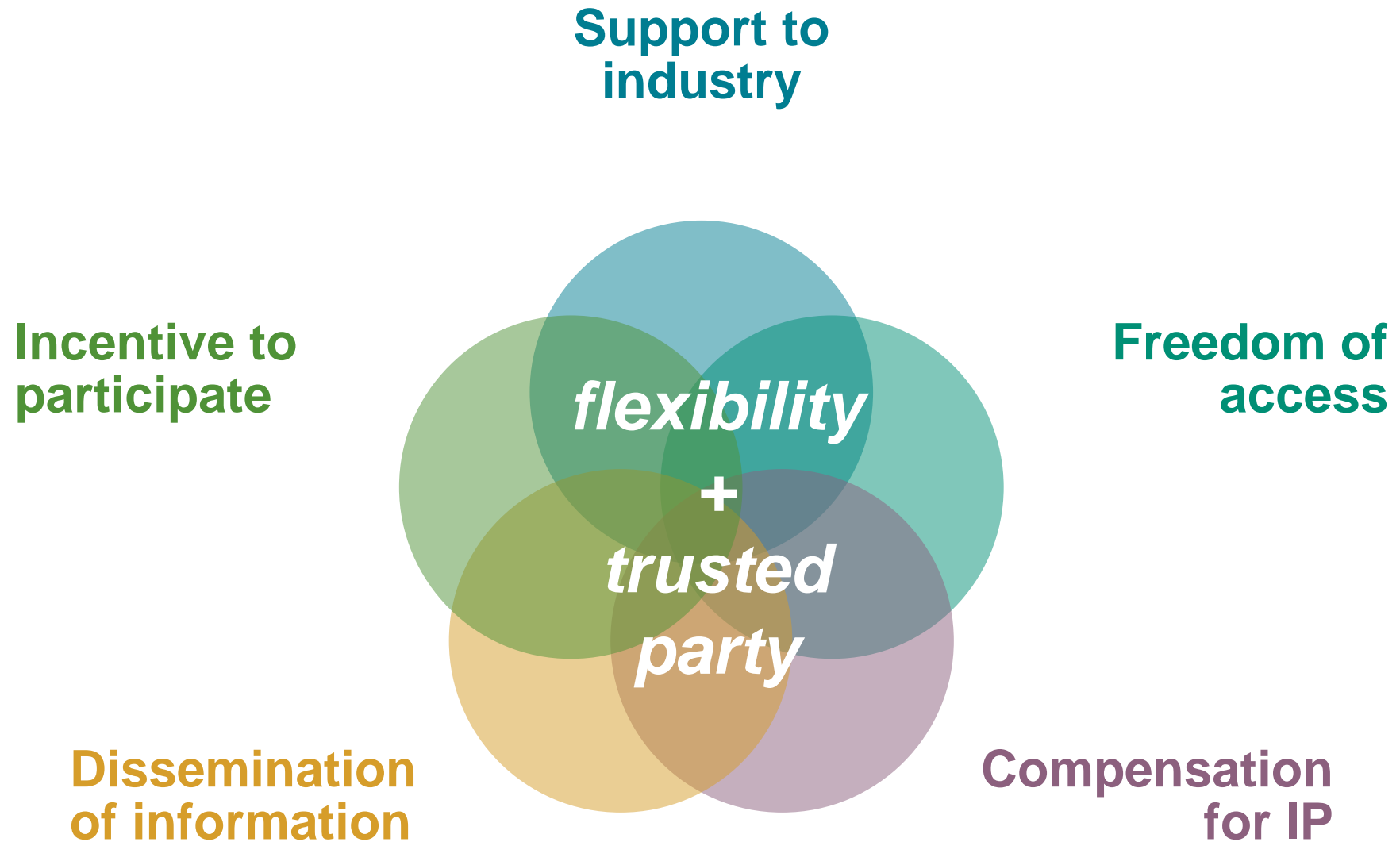
# EFPIA and Associated Partners contribution

- 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

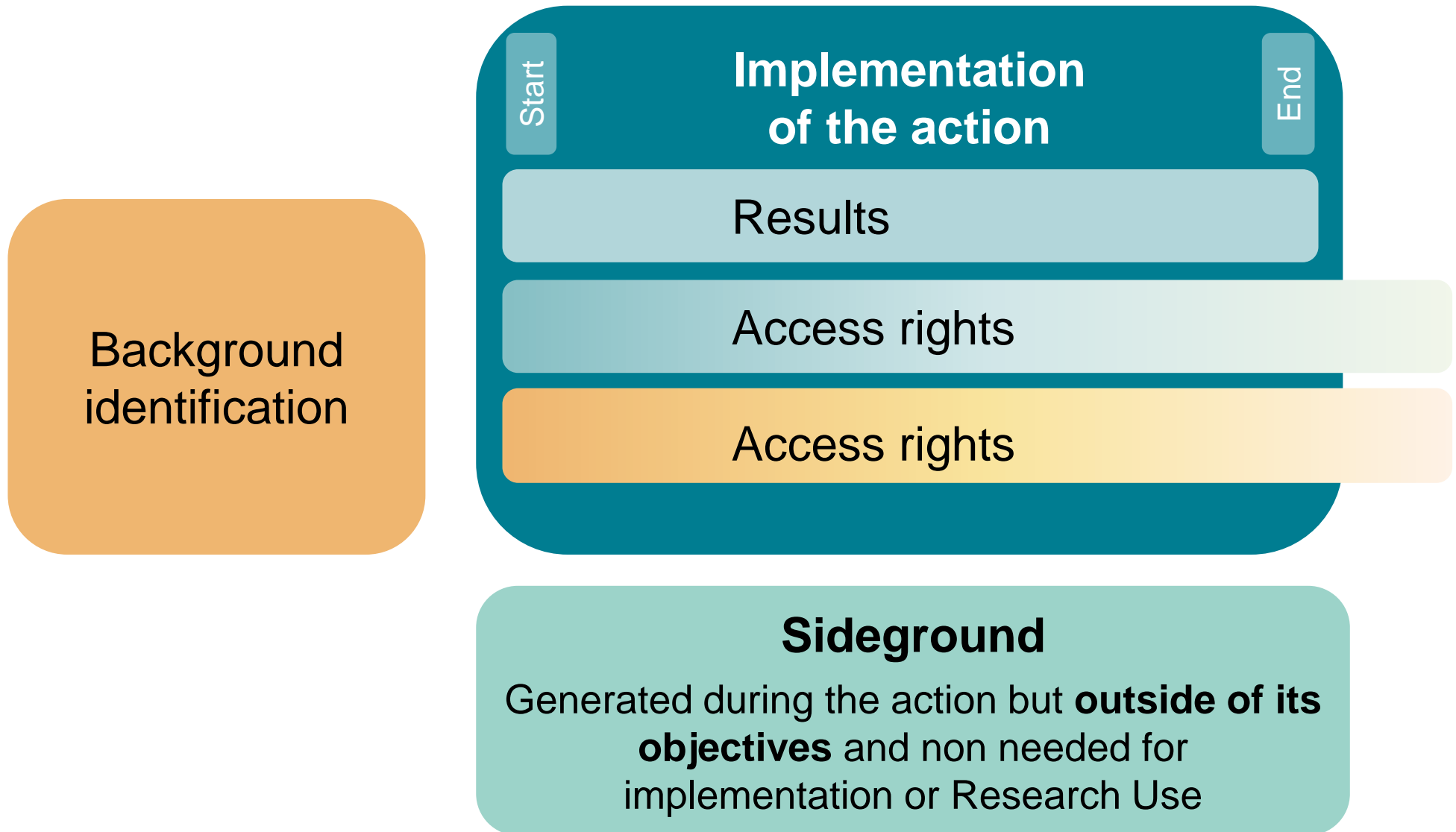
When relevant to IMI2 objectives: up to 30% non-EU in-kind contribution

# 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 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

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
<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 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

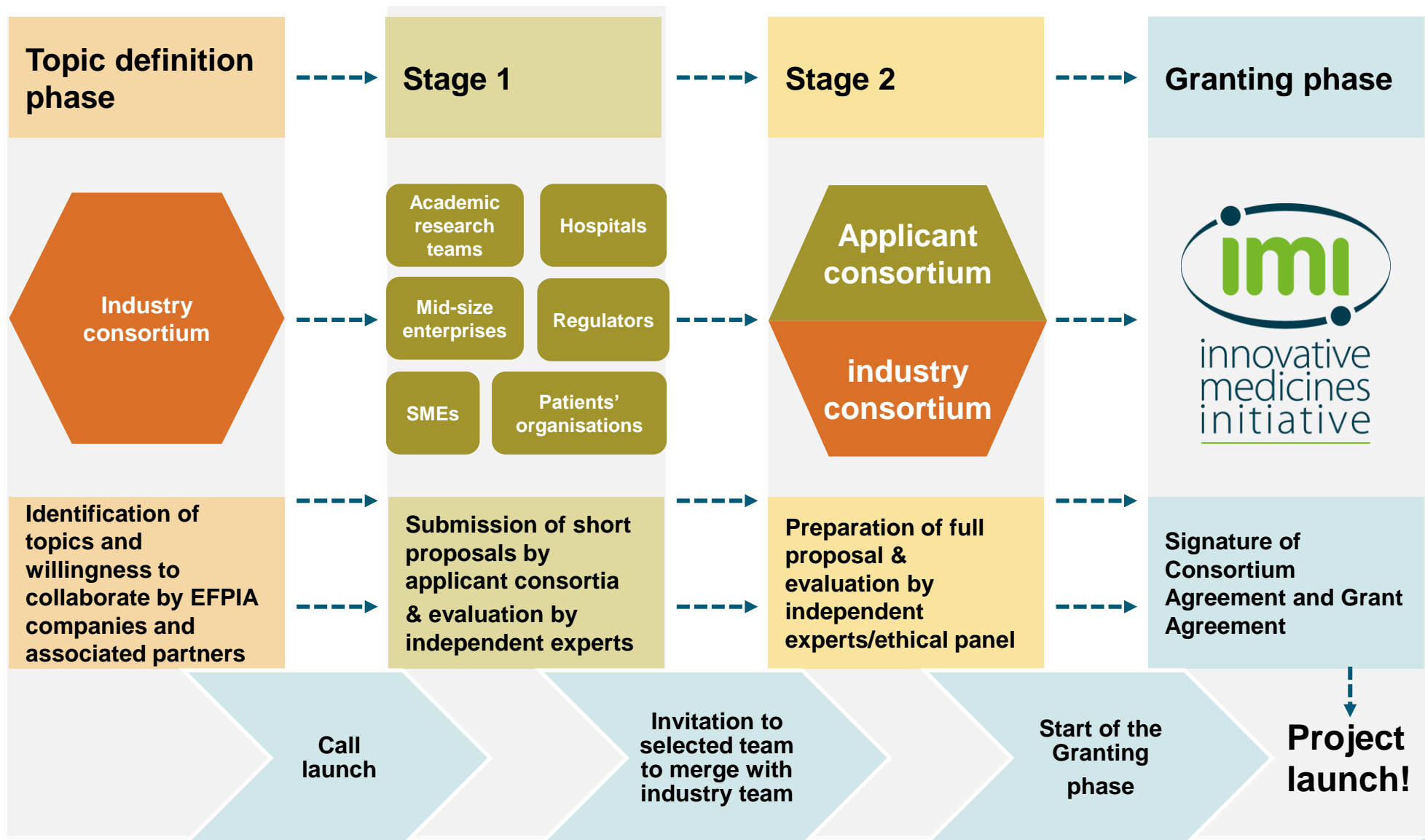


# From Call to grant award

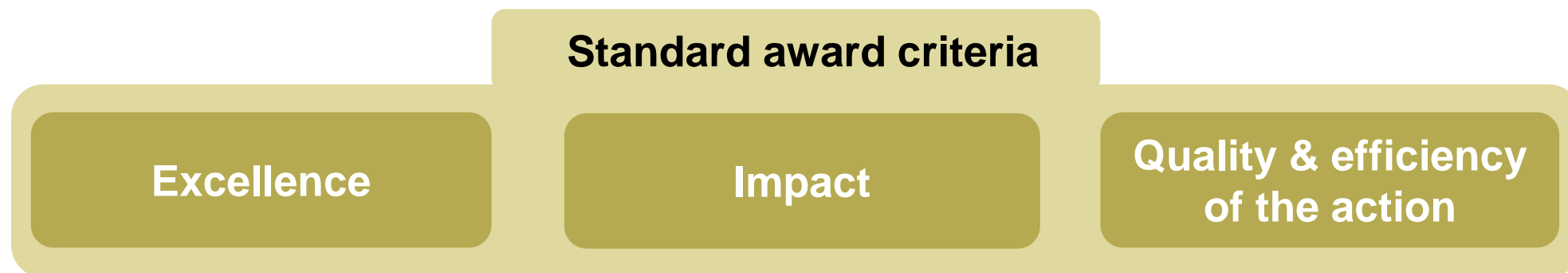
# IMI 2 life cycle

- **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 (2-stages)



# 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 (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](http://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 \[BE\] https://sofia.imi.europa.eu/Pages/Login.aspx](https://sofia.imi.europa.eu/Pages/Login.aspx)

[Log In] Helpdesk | Request Access | Forgot your password?

**imi**  
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:

Password:

Keep me logged in

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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

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

Contact Newsletter Links

**imi**  
Innovative Medicines Initiative

Search: [input] [icon] [icon] [icon] [icon]

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

### 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@imi.europa.eu](mailto:pst@imi.europa.eu)

### 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

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

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





**More information**

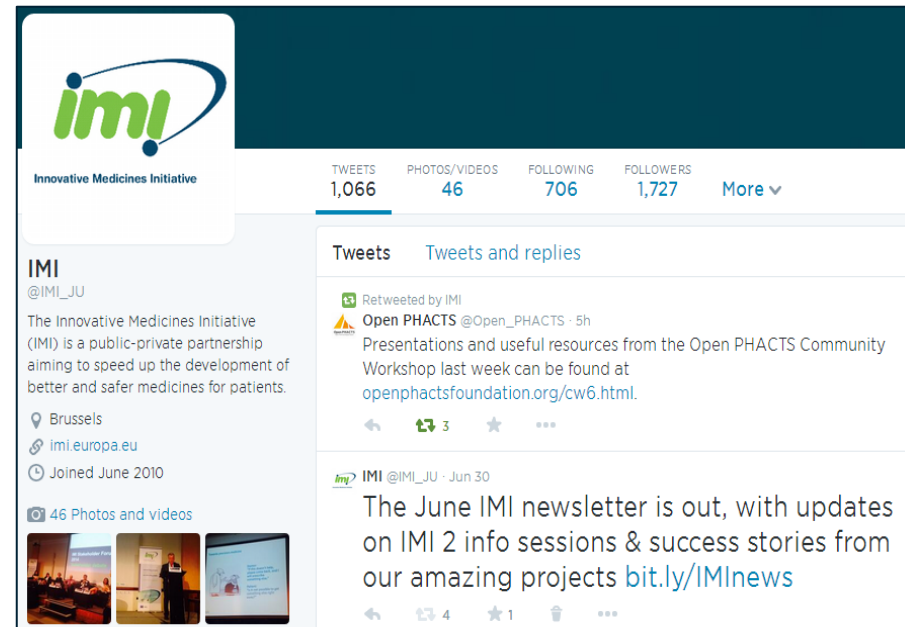
# Reference documents

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

# Stay in touch

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- 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

- **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)**



**Thank you**

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