

# *IMI2 Rules: Participation, Funding and Intellectual Property*

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# A single set of rules



- Covering all H2020 research and innovation actions
- Keeping flexibility where needed:
  - Eligible entities
  - 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
- Non-profit research organizations
- Small & medium-size enterprises
- **Mid-sized enterprises**
- Non-profit patient organizations
- Non-profit public bodies and intergovernmental organizations including specialized agencies

**established in a Member State or associated country**

# Simplified conditions for participation

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- **Minimum conditions for standard collaborative actions**

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 in the grant.
- ✓ 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%).



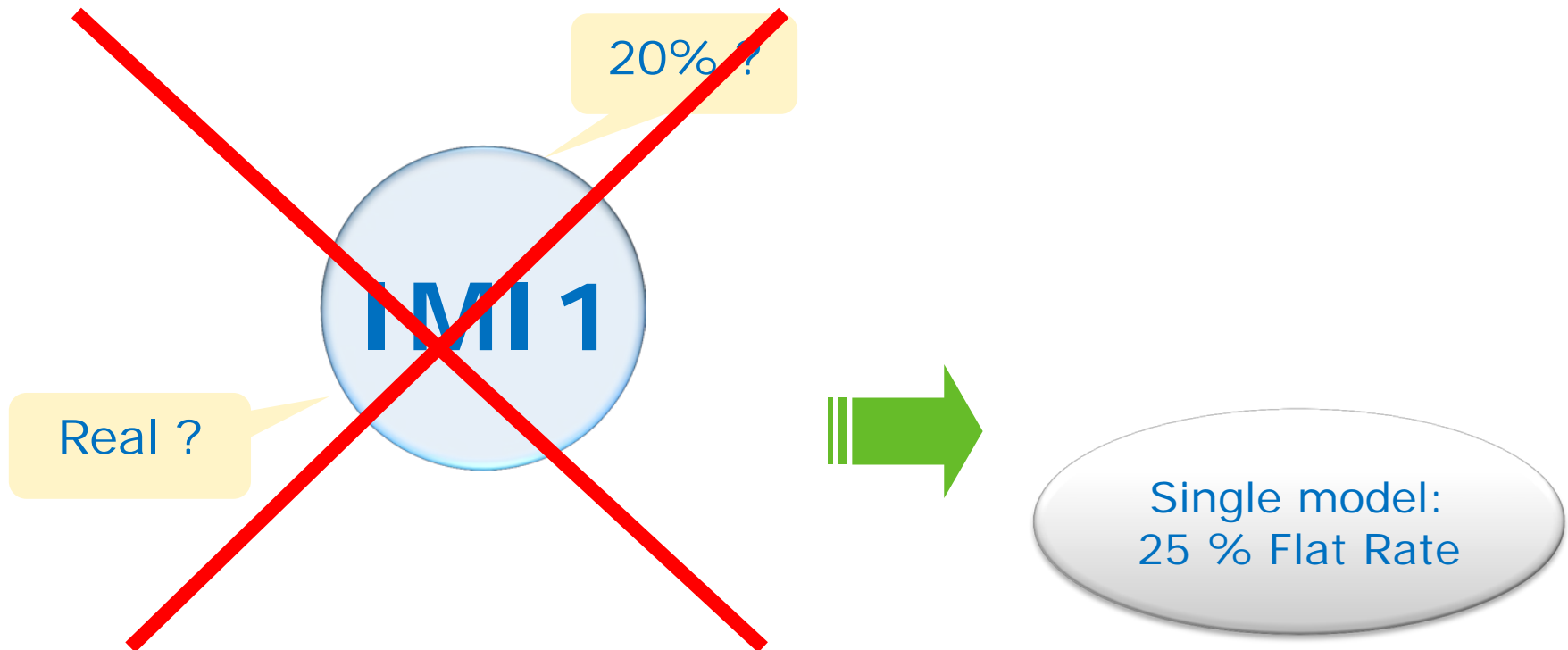
# Considering fully accounting and management principles

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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**
- **Overheads**

# One single indirect cost model



# New funding model: what impact on the EU contribution?

## An example

<b>FP7</b>	<i>Majority of HES &amp; RTOs</i>	Direct costs	Indirect costs	Total costs	% EU contribution	EU contribution
Flat-rate (60%)		100	60	<b>160</b>	75%	<b>€ 120</b>

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



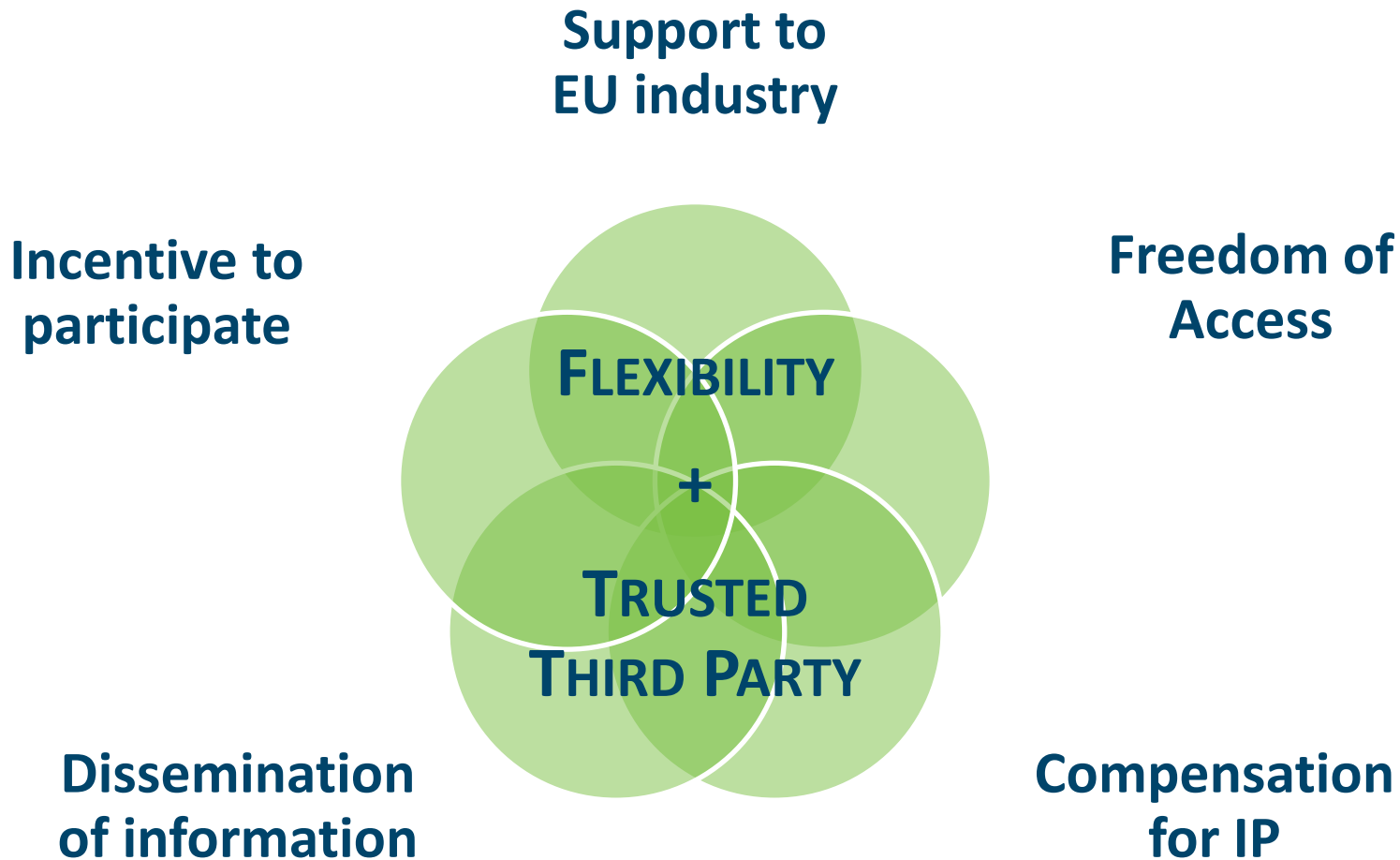
# In-kind contribution

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- **EFPIA companies**
- **Other industries and partners** (when Associated Partners to IMI2)
  - 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

# Intellectual Property Rules

# One set of rules for multiple interests

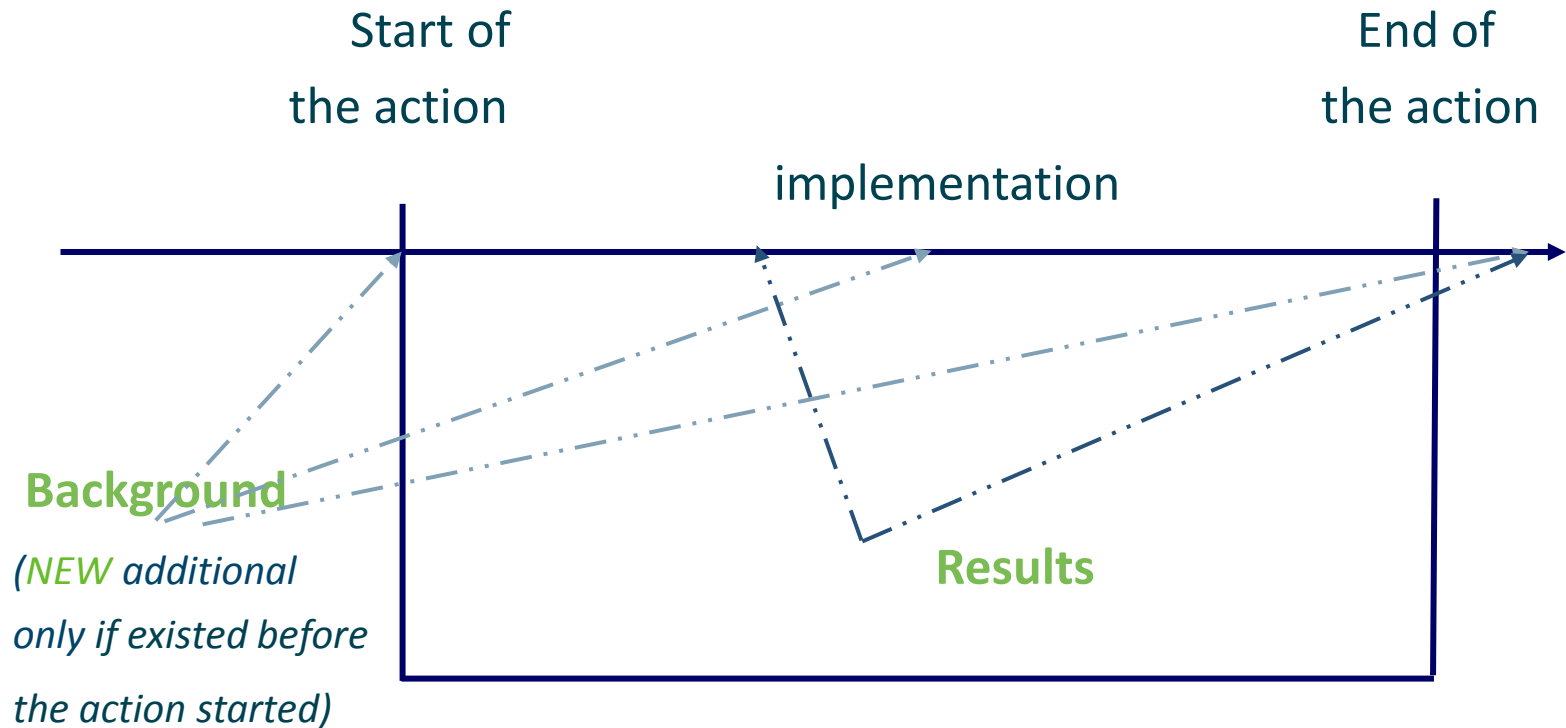


# Consortium agreement

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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 IMI model Grant Agreement
- Before the signature of the grant agreement with the Executive Office
- **To be adapted to the specific needs of each IMI project!**

# 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 participant who generated it

~~Unless otherwise agreed~~

Possible transfer of ownership

within the consortium

to affiliates and subcontractors without prior notification

# Joint ownership of results

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## Individual use of jointly owned results

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

Based on IMI1

# Protection of results

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- **NEW** Mandatory for beneficiaries eligible for funding
- **Common practice within IMI**
  - lies with the owner(s) in adequate and effective manner -> relevant (national) legal provisions, project's 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
- **Direct Exploitation**
  - to develop for commercialisation or to commercialise the results

Based on IMI1

# 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)

Time-limits to be agreed

Based on IMI1

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

~~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

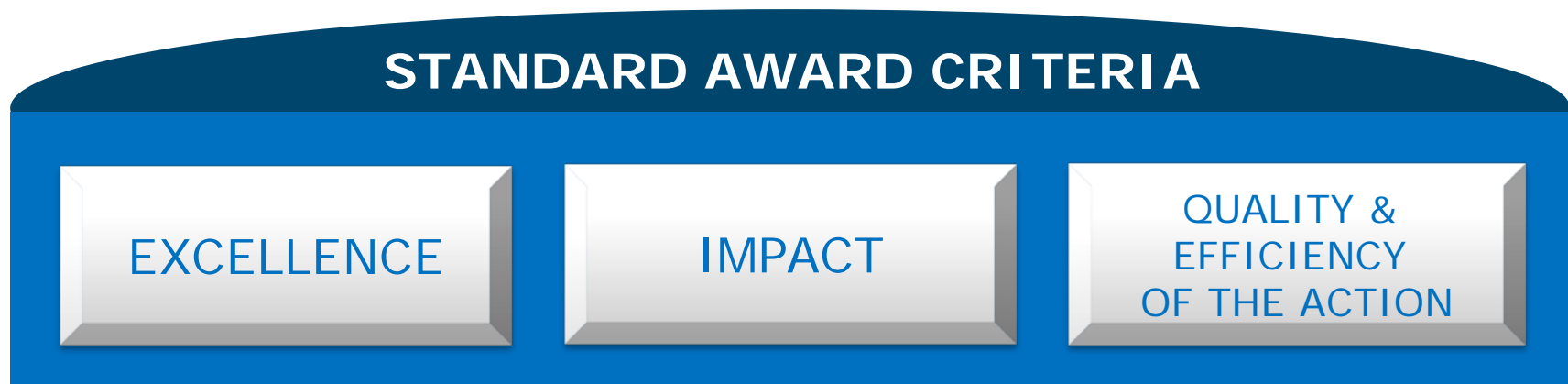
**NEW** for publications: Open access is mandatory

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



# From evaluation to grant award

# One single set of evaluation criteria



- Two stages evaluation: only “Excellence” and “Impact” considered at stage 1
- Thresholds and weighting in the Call documents
  - New** Each proposal evaluated 'as it is', not as 'what could be'

# Keeping the momentum

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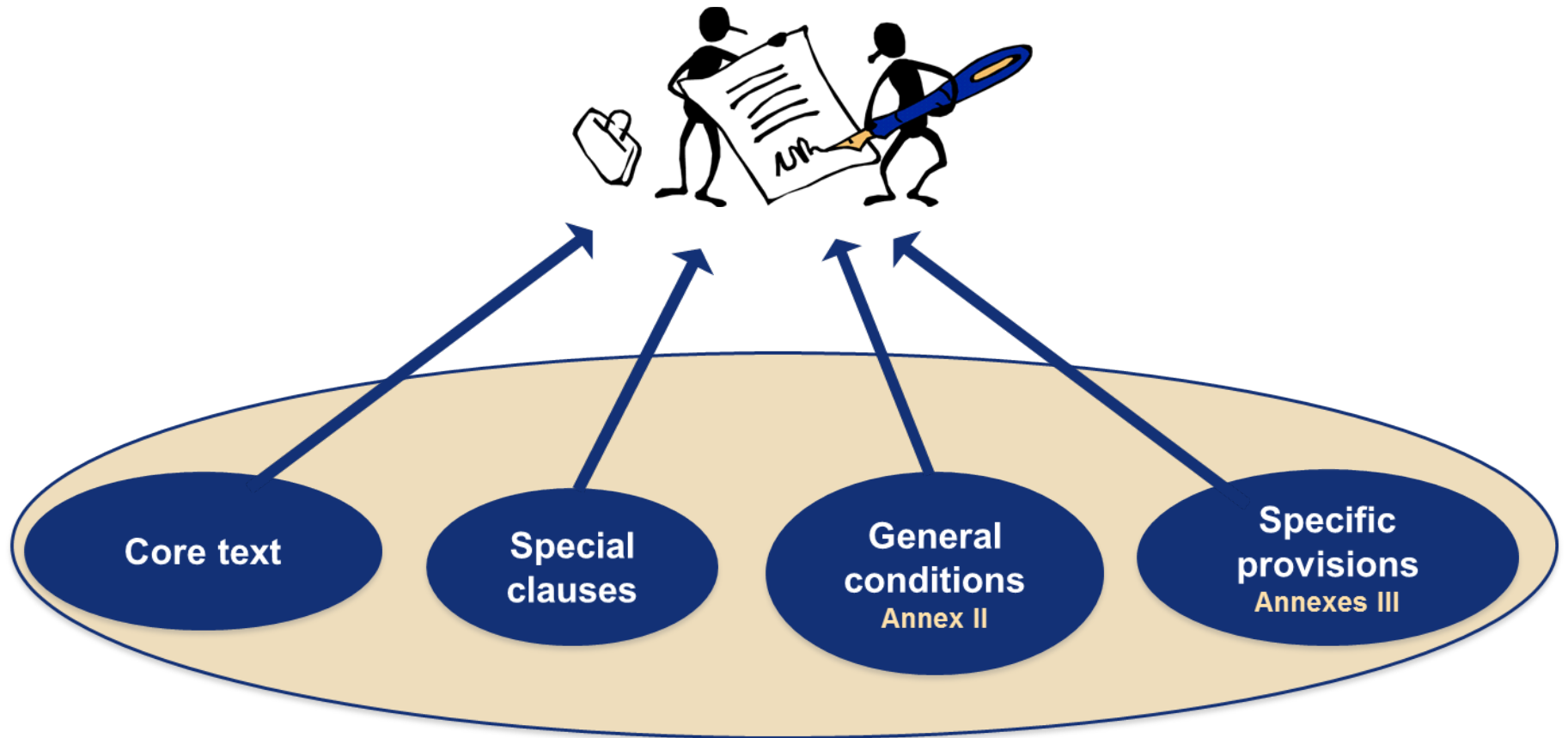
A maximum Time To Grant of 8 months



***NEW***

Legal entity validated in parallel

# Simplified model Grant Agreement



# Writing a successful proposal

# Common Mistakes

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- **Eligibility criteria not met:**
  - submission deadline missed
  - **a single legal entity is not a consortium**
  - parts of the proposal not uploaded (this should not be a problem anymore with SOFIA)
  - submitted text does not respect the proposal template (sometimes received even slides!)
  - **proposal out of scope** (if you have doubts on how to respond to the Call contact us)

# Common Mistakes

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- Applicants do not have the capabilities to address all of the objectives (e.g. redundancy between partners)
- Submitted text so concise that it **does not clearly state what is proposed** in practice
- The proposal **does not address all the objectives** (in some cases proposals have nothing to do with the topic!)
- **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 **IMI's 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
- **Finalise your submission**

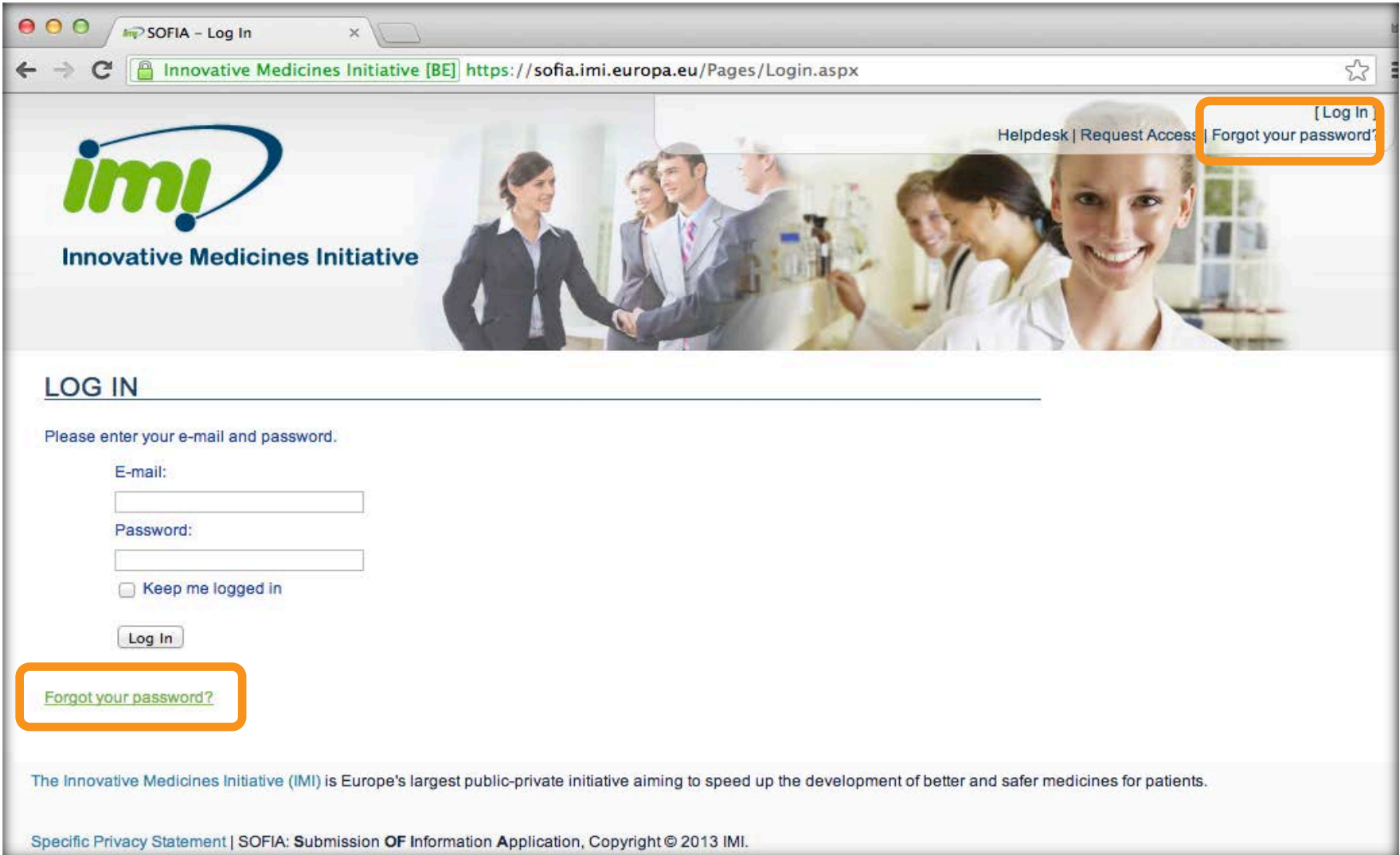


# Submitting an Expression of Interest



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". In the top right corner, there are 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 fields: "E-mail:" with an input box, "Password:" with an input box, and a checkbox labeled "Keep me logged in". A "Log In" button is located below the form. A link for "Forgot your password?" is positioned below the form. At the bottom of the page, there is a footer with the text "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." and "Specific Privacy Statement [SOFIA: Submission OF Information Application](#) Copyright © 2013 IMI.", where the link is highlighted in an orange box.

# Forgot your SOFIA password?



The screenshot shows a web browser window with the URL <https://sofia.imi.europa.eu/Pages/Login.aspx>. The page features the IMI logo and a navigation menu with links for [ Log In ], Helpdesk, Request Access, and Forgot your password. The main content area is titled "LOG IN" and contains a login form with fields for E-mail and Password, a checkbox for "Keep me logged in", and a "Log In" button. A link for "Forgot your password?" is located below the form. At the bottom of the page, there is a paragraph describing the Innovative Medicines Initiative (IMI) and a link to the Specific Privacy Statement.



## 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

# More information

# The role of the Programme Office

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A neutral broker:

- To **implement** programmes and activities in the **common interest** of **all** stakeholders
- To **monitor** the use of public funds and industry investment
- To **guarantee** fair and reasonable conditions for optimal knowledge exploitation and dissemination
- To **facilitate** the interaction between stakeholders, including Intellectual Property agreements
- To actively **communicate** and promote IMI and its activities

# Reference documents

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

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

# Your contact points

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- Contact the 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 **Health National Contact Point (NCP)**



**Thank You**

***Questions?***