

- Call 4  
Two-Stage calls Rules and  
Procedures

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19 June 2023

# Before we start...

- We are recording this session and it will be published on the IHI website and B2Match platform.
- We will also publish the presentation slides.



# Important disclaimer

Please be aware that the call topics are still under consultation with the States' Representatives Group and the Science and Innovation Panel (IHI advisory bodies).

All information regarding future IHI call topics is indicative and subject to change until call launch.

You will find the final authorised version of the topic text on the Funding and Tenders Portal at call launch.

# Outline

1. Participation rules
2. Funding rules
3. Intellectual property rules
4. From Call to grant award
5. Call timelines
6. Points to remember

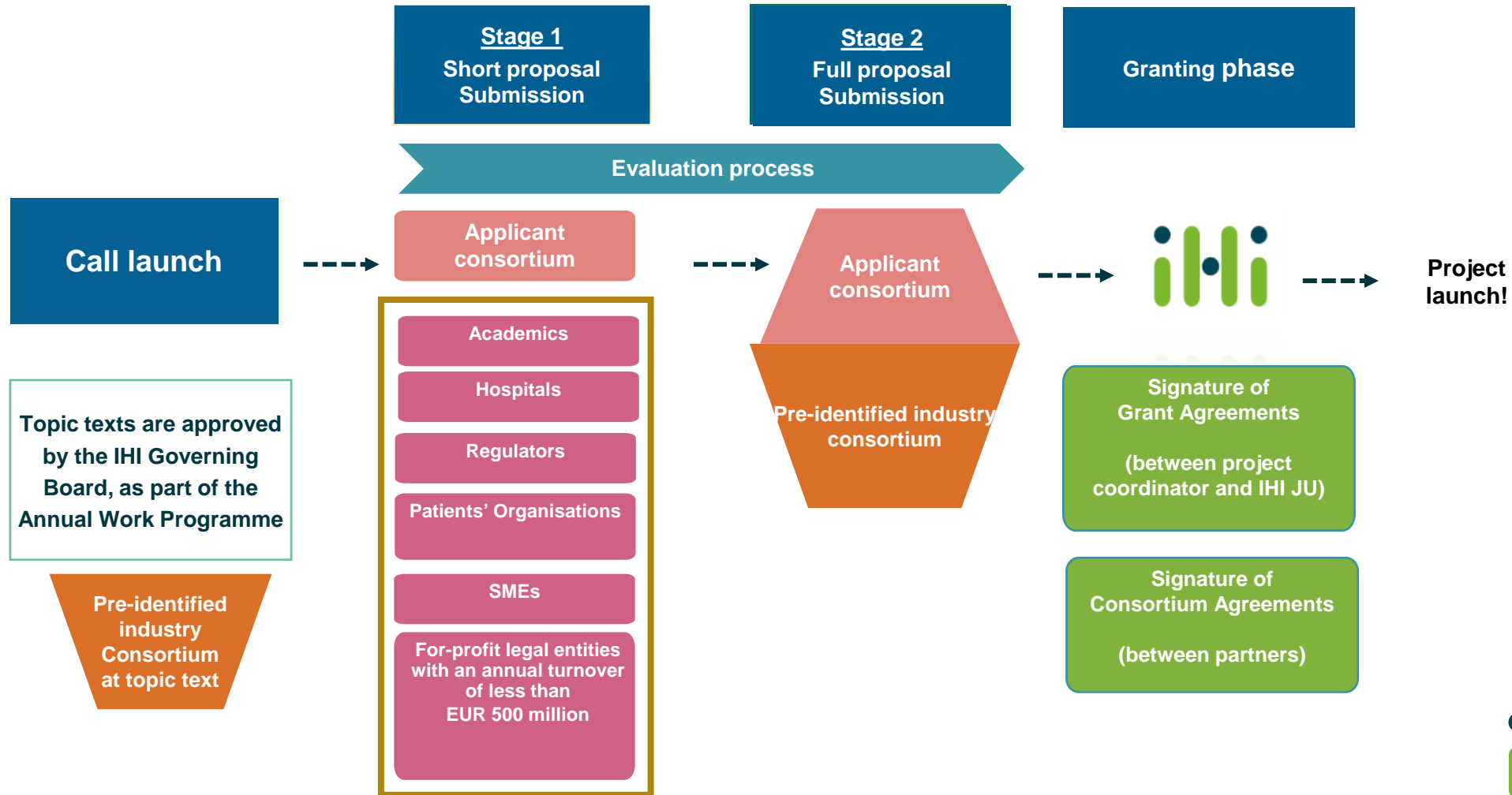


- Participation rules

# Two-stage Calls:

- applicant consortia must submit a 'short proposal (SP)' for the stage 1 evaluation.
- SPs must involve all applicant organisations requesting JU funding.
- the first ranked applicant consortium will be invited to prepare and submit a 'full proposal (FP)' for the stage 2 evaluation together with the 'pre-identified industry consortium'.

# How does IHI work? two-stage procedure



# IHI JU Specific types of Beneficiaries

## Two-Stage Calls: Private members and Contributing Partners

- **Pre-identified - responsible for the 45% in-kind contribution**
  - ✓ main drivers of the topic definition
  - ✓ identify their in-kind contributions through expertise and assets
  - ✓ listed in the topic text (overall contribution and not per partner)
  - ✓ not eligible for funding
- **Not pre-identified**
  - ✓ any other participant that is part of the applicant consortium during the stage 1
  - ✓ not involved in the topic definition
  - ✓ they could join the consortium afterwards (i.e GAP or during the project implementation via amendment)
  - ✓ can be eligible for funding



# Call 4 two-stage Highlights

Horizon Europe Rules for participation apply to IHI JU Call for Proposals and Actions except where specifically derogated

- **Date of Call launch:** end July 2023
- **Submission deadlines**
  - ✓ Deadline for Short Proposal submission: early November 2023
  - ✓ Deadline for Full Proposal submission: end April 2024
- **Minimum conditions**
  - Only RIA:** At least 3 independent legal entities established in a different Member State or Associated Country
  - IMPORTANT! 1 legal entity should be established in a Member State
- **Page limit: 20 pages for Short Proposal**
- First ranked applicant consortium will be invited to prepare and submit a 'full proposal (FP)' for the stage 2 evaluation together with the 'pre-identified industry consortium'.

# Call 4 two-stage Highlights

- **Indicative contribution:** For each topic, the maximum JU contribution and the estimated industry contributions are set in the call text
- **Hearings:** If necessary, at stage 1 hearings might be organised with applicants during panel meetings. After submission deadline, coordinators will be informed about the possible date for the hearing
- **Plan for Dissemination, Exploitation and Communication Activities (PDECA):** It must be included in 2nd stage Full proposals
- For topic(s) involve clinical studies, applicants should submit the **essential information for clinical studies** annex (admissibility condition) **in the second stage**

Contacts/discussions about a given topic between potential applicant consortia and members of the pre-identified industry consortium **are prohibited throughout the procedure** until the results of the first stage evaluation.

# Information to the applicants

- **Information on the outcome of the evaluation:** Maximum 3 months from the submission deadline at stage one
- **Information on the outcome of the evaluation:** Maximum 5 months from the submission deadline at stage two
- The applicants will be informed of the results of the first stage (SP results) at the latest 6 weeks before the deadline for the second stage submission (FP submission).
- **Indicative date for the signing of grant agreement:** Maximum 8 months from the submission deadline of stage two.



# Entities eligible to participate



# Attracting stakeholders

**Any legal entity, regardless its place of establishment, carrying out work relevant to the Call objectives may be part of applicant consortia**

**But... not all participating entities are eligible for funding**

# Eligibility

## Consortium composition (collaborative projects)

- at least **one independent legal entity** established in a **Member State**, and
- at least **two other independent legal entities** each established either in a **different Member State** or an **Associated Country**.

### EU COUNTRIES

- Member States (MS) including their outermost regions
- The Overseas Countries and Territories (OCTs) linked to the MS.

### NON-EU COUNTRIES

- Countries associated to Horizon Europe (AC)
- Low and middle income countries: See [HE Programme Guide](#).

### COUNTRIES ASSOCIATED TO HORIZON EUROPE

- Association agreements produce legal effects
- Transitional arrangements
- UK applicants are treated as beneficiaries during the application process and as associated partners throughout the project implementation unless the association has come into force.
- Switzerland is currently not covered by the transitional arrangement.



# EU restrictive measures

## Special rules apply for entities from certain countries

- Given the invasion of Ukraine by Russia and the involvement of Belarus:
- Legal entities established in Russia, Belarus, or in non-government controlled territories of Ukraine are **not eligible to participate** in any capacity (*beneficiaries, affiliated entities, associated partners, third parties giving in-kind contributions, subcontractors or recipients of financial support to third parties*)

- Council Implementing Decision (EU) 2022/2506 on measures for the protection of the Union budget against breaches of the principles of the rule of law in Hungary that took effect on 16 December 2022.
- No European funds are made available, directly or indirectly, to third parties that are public interest trusts established on the basis of the Hungarian Act IX of 2021 or any entity maintained by such a public interest trust. This concerns legal commitments involving Union funding e.g. related to: the purchase of goods, works or services; subcontracting; financial support to third parties; equipment renting or leasing; personnel seconded against payment
- You can find an indicative – non –exhaustive - list of affected entities (i.e. public interest trusts and entities maintained by them) under this [link](#).



# Entities eligible for funding



# Eligibility rules: funding



Any legal entity established in a Member State, Associated Country or Low and Middle Income Countries

See Horizon Europe programme guide

**NEW**



Third country to Horizon Europe legal entities are normally not eligible for receiving IHI funding

exceptional funding (recommended by experts evaluators) when it considers that their participation is essential



# Eligibility rules: funding



Any legal entity established in a Member State, Associated Country or Low and Middle Income Countries

See Horizon Europe programme guide

**NEW**

- the Member States of the European Union, including their outermost regions;
- the Overseas Countries and Territories (OCTs) linked to the Member States;
- eligible non-EU countries:
  - countries associated to Horizon Europe
    - The association agreements produce legal effects
    - transitional arrangements
  - UK applicants are treated as if the UK is an associated country throughout the process, from admissibility and eligibility to evaluation, up until the preparation of grant agreements. Grant agreements can only be signed if the association has come into force.
  - Legal entities established in Switzerland are currently not covered by the transitional arrangement.
  - Liechtenstein does not intend to associate to Horizon Europe.
- low- and middle-income countries identified in the Horizon Europe



Third country to Horizon Europe legal entities are normally not eligible for receiving IHI funding

exceptional funding (recommended by experts evaluators) when it considers that their participation is essential



# Eligibility for funding in two-stage Calls



Non-profit organisations

For-profit legal entities  
(SME and larger enterprises with  
an annual turnover of less than  
EUR 500 million)



NOT eligible for funding:

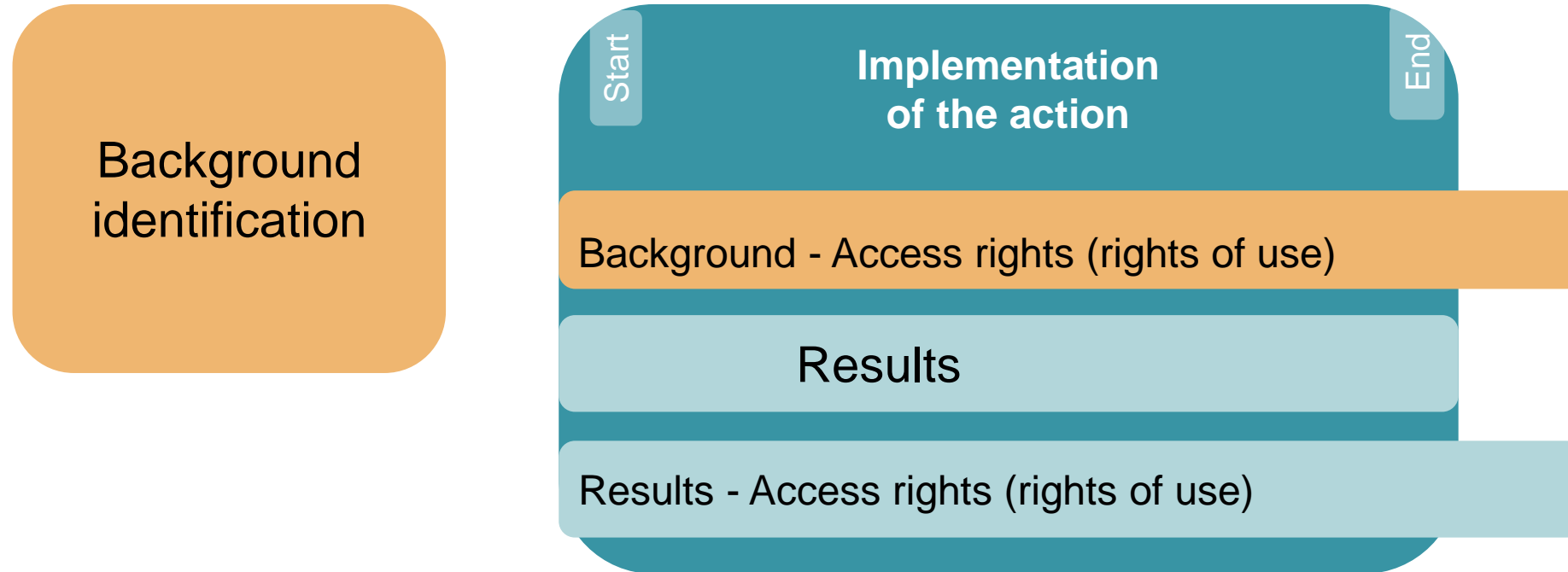
- Pre-identified Industry Consortium
- For-profit company:

(a) with an annual turnover of EUR 500 million or more  
(b) directly or indirectly controlling/or being controlled  
by for profit legal entities with an annual turnover of  
EUR 500 million or more.



- Intellectual Property Rights ('IPR') in IHI

# Snapshot of key IP concepts for IHI Actions



**Background:** As defined in the MGA (Article 16.1), “‘Background’ means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that is:

- (a) held by the beneficiaries before they acceded to the Agreement and
- (b) needed to implement the action or exploit the results”.

**Results:** any tangible or intangible effect of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights

**Access Rights:** define who and when can use Background and Results

# IPR in IHI

- Horizon Europe ('HE') legal basis applies (no specific derogations for IHI JU, unlike IMI2).
- IHI IPR rules derived from:
  - Horizon Europe Model Grant Agreement ('MGA') Article 16;
  - supplemented by specific rules identified in HE MGA Annex 5 and;
  - where relevant, the applicable call conditions.
- IHI JU maintains right to object to transfers of ownership of results or to grants of exclusive licences.
- Results Ownership List ('ROL') to be submitted at project end as part of final periodic report listing all results and ownership of them (including joint ownership structures).
- Emphasis on Exploitation and Open Science:
  - HE MGA integrates Open Science dissemination model;
  - Affordable Access Provisions can, when provided for in the call conditions, introduce additional exploitation obligations for relevant IHI topics;
  - Unexploited project results can be matched with interested parties via the Horizon Results platform.
- \* Project IPR specificities to be agreed amongst all parties and detailed in the project Consortium Agreement



- From Call to grant award

# Evaluation criteria and thresholds

- Minimum of 3 independent experts
- Each proposal evaluated 'as it is', not as 'what could be'
- Sub-criteria listed in evaluation form

Criteria	Threshold
Excellence	3/5
Impact	3/5
Implementation	3/5
<b>TOTAL</b>	<b>10/15</b>



# Evaluation criteria – Tips

## Excellence:

- Address all the objectives of the topic text (unless written otherwise). You should not pick and choose or you will be penalized.
- Clearly describe how your methodology has incorporated knowledge from various stakeholders. This is NOT about the consortium composition but about the knowledge build into the methodology

## Impact

- Please provide meaningful and MEASURABLE estimates when it comes to your project's contribution to impacts. We often see unrealistic impacts with no justification

## Implementation

- Prepare clear graphs, Do not list deliverables at this stage, focus on the overall structure of your project, your WPs and their overall objectives.
- Reflect and leave some space to describe how your consortium will fit with the industry consortium: aka read the topic text and what the industry is bringing to the project and show you have taken this into consideration and you are aware that you are not on your own.

# Short Proposal Proposal Template - Part A

**Part A** of the proposal is generated by the IT system. It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal.

The participants can update the information in the submission system at any time before final submission

- ✓ **General information (acronym, proposal title, duration in months)**
- ✓ **Participants**
- ✓ **Budget**

3 – Budget for the proposal	
TOTAL Requested EU contribution to eligible costs (Requested grant amount) - EUR	

# Proposal Template - Part B

- Part B of the proposal is the narrative part that includes three sections that each correspond to an evaluation criterion.
  - Excellence
  - Impact
  - Quality and efficiency of the implementation
- RIA short proposal is maximum **20 pages**.
- The proposal should respect the page limit set out in the application form. Excess pages will be automatically made illegible and will not be taken into consideration by the evaluators.

All templates are  
available in IHI  
Website and in the  
submission  
environment

# Annex

Annex	Description
Type of Participants (IHI specific annex)	<ul style="list-style-type: none"><li>• This annex enables IHI to meet its reporting obligations on the type of participants.</li><li>• Even though this annex will not be part of the evaluation by the independent experts, applicants will not be able to finalise their submission without uploading this Annex in the Submission Tool.</li></ul>

All templates are available in IHI Website and in the submission environment

# Agreements for IHI Actions



## *IHI Grant Agreement*

- The new Horizon Europe Model Grant Agreement 'HE MGA' includes 44 articles, as well as specific Annexes.
- IHI JU follows HE MGA with IHI JU specificities reflected in Annex 5.
- It is e-signed between IHI JU and Coordinator only. **Other beneficiaries e-sign Accession Forms.**

## *Consortium Agreement for IHI Actions*

- Contractual arrangement between all participants to set out their rights and obligations, especially governance, liability and IPR.
- IHI JU is not a party/signatory.
- Shall comply with the HE MGA.
- To be fully agreed before the signature of the GA.
- To be adapted to the specific needs of each IHI JU action
- Templates are available in the IHI website (templates provided by private members, DESCA (Development of a Simplified Consortium Agreement)).



# Points to remember

# Points to remember

- Read all the call-relevant material: [www.ihl.europa.eu](http://www.ihl.europa.eu)
- Begin forming your consortium early. Read the topic text. Check the IHI website and F&TP.
- Ensure that all information is explicitly described in order to allow the expert-evaluators to assess against the evaluation subcriteria. **Respect the page limit.**
- Use the proposal structure / template
- Coordinator must be financially viable – check in advance
- Contact the IHI Office (NOT industry topic writers): [applicants@ihl.europa.eu](mailto:applicants@ihl.europa.eu)



● Timelines



# Call 4 - two-stage – Indicative timelines

end July 2023	• Launch of the Call
Early November 2022	• Call Submission Deadline - Short Proposals (SP)
Nov-Dec 2023	• Scientific evaluation - SPs
End January 2024	• Information to the applicants - evaluation outcome
End April 2024	• Submission Deadline - Full Proposal (FP)
May 2024	• Scientific evaluation - FPs
End June 2024	• Evaluation Outcome letters to the applicants
End September 2024	• Grant Agreement Preparation (GAP) and GA signature

# Reference Documents

## ✓ IHI Specific documents

- [SBA](#)
- [Strategic Research and Innovation Agenda \(SRIA\)](#)

All call related documents will be available by the Call launch in IHI website and in the Funding and Tenders portal

## ✓ Horizon Europe Reference documents

- [Horizon Europe Main Work Programme 2023–2024 – 13. General Annexes](#)
- [Horizon Europe Programme Guide<sup>\[1\]</sup>](#)
- [Horizon Europe Framework Programme and Rules for Participation Regulation 2021/695](#)
- [Horizon Europe Specific Programme Decision 2021/764](#)
- [EU Financial Regulation](#)
- [Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#)
- [Funding & Tenders Portal Online Manual](#)
- [Funding & Tenders Portal Terms and Conditions](#)
- [Funding & Tenders Portal Privacy Statement](#)
- Horizon Europe [General Model Grant Agreement MGA v1.1 of 15 April 2022](#) (or subsequent versions).



# More information

# Your contact points

## At the IHI Programme Office

General queries: [applicants@ihi.europa.eu](mailto:applicants@ihi.europa.eu)

## State Representative Group (SRG)

The main States Representatives appointed to IHI JU SRG (the main delegates, but not the alternates) are on our website here:

<https://www.ihi.europa.eu/about-ihi/who-we-are/states-representatives-group>.

## Do you want to be an expert-evaluator?

- IHI JU (and the whole EU research family) are always looking for new, competent experts in diverse fields
- Create or update your expert profile via <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/work-as-an-expert>
- E-mail [experts@ihi.europa.eu](mailto:experts@ihi.europa.eu) mentioning your expert profile number (format EX20XX1234567)

# Questions?

- Raise your hand if you want to ask a question orally or
- Type your question in the chat

After the webinar, send any questions to the **IHI Programme Office**

[applicants@ihi.europa.eu](mailto:applicants@ihi.europa.eu)

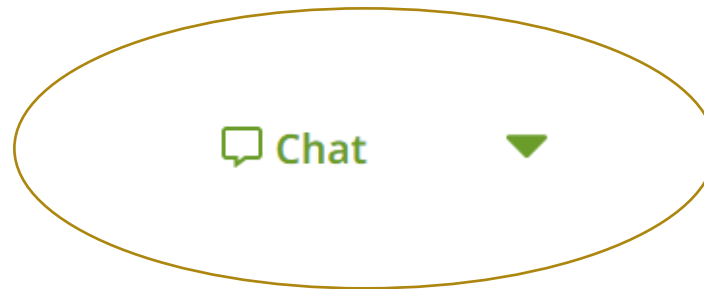


- Thank you for your attention

[ihi.europa.eu](http://ihi.europa.eu)

# Questions time

If you want to ask a question please use the chat function on the right corner of your screen





# How to book your meetings via the B2Match platform

Book your meetings in **4** easy steps

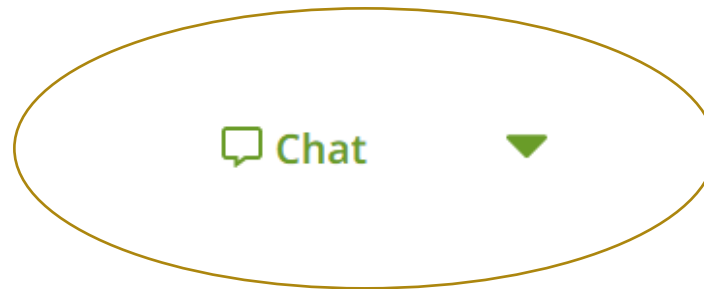
1. Make yourself available
2. Look for partner on the participants or organisation tab
3. Select date, time, attendees (up to eight per meeting), add message
4. Send the meeting request and wait for the reply

Step by Step guide on how to book meetings: <https://europa.eu/!FkjV9n>



# Questions time

If you want to ask a question please use the chat function on the right corner of your screen



# #IHICallDays

## Call 4



## Online event

19 June

16:00-17:30 IHI rules & procedures

20 June

10:00-11:00 Expanding translational knowledge in minipigs

20 June

14:00-15:00 Patient-centric blood sample collection

21 June

10:00-11:00 Inclusive clinical studies

21 June

15:30-16:30 Improving trials for rare diseases

22 June

14:00-15:00 Safe & sustainable by design packaging & devices

22 June

16:00-17:00 Sustainable circular development and manufacture

[Register now](#)



# #IHICallDays

## Call 5



26 June

15:00-16:30 IHI rules & procedures

27 June

10:00-12:10 Non-animal approaches for health technologies

27 June

14:00-16:10 Theranostics solutions

28 June

14:00-16:10 Stroke management

29 June

10:00-12:10 Synthetic data generation

29 June

14:00-15:30 The financial part of the proposal

**Online event**

**Register now**

