Quick Guide to Funding Requests

EMD Serono's Funding Request Process

January 2023

EMD Serono

Quick Guide

- This Quick Guide tells you about our Funding Request Process
- **Topics Covered:**
  - High-Level Overview of the Process
  - EMD Serono's Funding Priorities
  - Types of Funding Requests
    - Funding Requirements & Funding Restrictions for each type of Request
  - How To's
    - How to Register
    - How to Request Funding
    - How Requests are Reviewed
    - How Payment Works
    - How Close-Out Works

High-Level Overview

01

EMD Serono

High-Level Overview of the Process

Request Submitted

- Request is submitted online through **Request Management System** at https://grants.emdserono.com

Review by Review Committee

- For most types of Requests, decisions are made within 45 days

Notification of Decision

- If approved, **written funding agreements** are required for:
  - Patient Education
  - Fellowships
  - Donations to Independent Charity Patient Assistance Programs

Reconciliation of Request

- **Funding Reconciliation** is required for all Requests with funding agreements (see above), plus Sponsorships/ Exhibits

02

funding priorities

EMD Serono

Aligning our Corporate Giving with our Corporate Values

Our Corporate Responsibility Commitment

- As responsible corporate citizens, we are committed to **addressing diversity, inclusion, and equality** in our communities, medical schools, research labs, medical practices, clinical trials, classrooms and communities.
  - We strongly believe we can meet our corporate vision (supporting good science) while also meeting our corporate responsibility commitments (addressing diversity and historic inequalities)

We prioritize support for Requests that **advance dual purposes** - improving healthcare knowledge/ advancing patient care, while **also** advancing diversity, inclusion and equality in the practice of medicine, treatment of patients, and training of healthcare providers.

Keep this in mind when preparing your Funding Requests

Examples of dual-purpose requests

- A fellowship program which prioritizes giving a portion of their funds to candidates from historically underrepresented racial backgrounds
- Community programs that raise awareness of diseases which disproportionately affect Black, Brown or Indigenous communities
- Patient advocacy groups who are dedicated to serving underserved patient populations (based on race, ethnicity, gender, sexual identity/ preference, or socio-economic status, etc.)

Types of funding requests

03

EMD Serono

Types of Funding Requests

These types of Requests are handled online through our **Request Management System:**

1. Sponsorships, Exhibits & Displays
2. Patient Education
3. Charitable Contributions
4. Fellowships
5. Donations to Independent Charity Patient Assistance Programs
6. Accredited Medical Education Grants

Requests for

Investigator Sponsored Studies

are handled online through

our **StartOne** system at

https://startone.vibrantm.com/

Sponsorships

Funding Requirements

- **Eligible Organizations:** Any type of organization may request a sponsorship. They are not limited to non-profits.
- **Ineligible People and Organizations:** Physician group practices, physician-owned clinics, managed care organizations, pharmacy benefit managers, individuals, college alumni associations or religious organizations for sectarian religious purposes (secular programs of faith-based organizations will be considered if otherwise permissible).

Funding Requirements (cont.)

- **Purposes:** A sponsorship is a funding request related to a specific event or activity, including exhibit and display opportunities.
  - In exchange for its funding, EMD Serono expects to receive a material commercial benefit (e.g., named as a tier sponsor, logo on event material or screen, a display table, etc.).
    - This type of funding Request may **not** be used to "sponsor" a **specific, individual accredited continuing education program** at a conference. Financial support for such programs is provided through Requests for Accredited Continuing Education for Health Professionals. However, sponsorship of a conference where various medical education programs are offered is appropriate.
  - Both healthcare-related sponsorships (e.g., medical congress) and non-healthcare-related sponsorships (e.g., local community event) are covered by this type of Request.
- **Examples:** third-party conferences, meetings, programs, events, exhibit booths, and display tables such as bike-a-thons, walk-a-thons, gala-type fundraising dinners, medical society or advocacy group's annual meetings (*e.g.,* tier sponsorship = gold, silver, etc.).

Patient Education

Funding Requirements

- **Eligible Organizations:**
  - Patient advocacy groups, medical societies, and professional medical education companies are eligible to request funding for patient education activities.
- **Ineligible People and Organizations:**
  - Funding for independent patient education events and activities may not be made to individual HCPs, physician group practices, physician-owned clinics, managed care organizations, or pharmacy benefit managers.

Funding Requirements (cont.)

- **Eligible Activities/Events:** The activities must be **medical and/or scientific educational activities** directed to patients and/or their caregivers. Education must be the primary focus of the activity and any entertainment or recreation included must be modest and further the educational goals of the educational activities and must be clearly subordinate to the time for education. The activity can take the form or format of live or virtual seminars, webinar, condition-specific website for patients, etc.

- **Examples** of educational activities eligible for this type of funding are a patient seminar or webcast on a specific disease or condition, a national patient education program on MS, and a website devoted to educating patients on a disease or condition.

- Activities/events must be open to patients from a broad community, non-discriminatory, and will not be restricted to patients currently prescribed EMD Serono Products.

- Activities/events are prohibited from occurring in an office of an HCP, Physician Group, or Physician-owned clinic.

Charitable Contributions

Funding Requirements

- **Eligible Organizations:** Bona fide Section 501(c) charitable non-profit organizations are eligible.
  - A non-profit organization is one that does not distribute its profits to its owners and is typically organized for educational, charitable or scientific purposes.
  - The organization must have been **designated as not-for-profit** by appropriate state and federal agencies, including but not limited to:
    1. Certain charities and patient advocacy groups designated by a 501(c)(3) status;
    2. Professional medical associations or similar organizations designated by a 501(c)(6) status;
    3. Civic and cultural organizations designated by a 501(c)(4) status.
  - EMD Serono may provide charitable contributions to an institutional healthcare providers or healthcare organizations (*e.g.* a hospital or its related foundation) as long as the donation is part of a general fundraising campaign open to other contributors.
- **Ineligible People and Organizations:** Physician group practices, physician-owned clinics, managed care organizations, pharmacy benefit managers, individuals, college alumni associations or religious organizations for sectarian religious purposes (secular programs of faith-based organizations will be considered if otherwise permissible).

Funding Requirements (cont.)

- **Eligible Purposes:** This type of funding is made for the **general operation** of the non-profit to support its broad charitable purpose or mission.
  - The mission can be healthcare related (e.g., donation to a hospital) or non-healthcare related (e.g., donation to a school).
- Unlike a Sponsorship, EMD Serono expects no tangible benefit or return when it makes a charitable donation.
  - **Examples:** Contribution to a charity's Annual Fund (general operating fund), annual end-of-year campaign drive, or general fundraising drive.
  - **Tips:**
    - **If a Request relates to a specific event or activity**, (like a Bike-a-Thon, Walk, Annual Meeting or Gala Dinner), then the proper type of Request is one for a Sponsorship, or Patient Education, not a Charitable Contribution.
    - **If a Request relates to a Patient Assistance Program,** then the proper type of Request is one for a **donation to an Independent Charity Patience Assistance Program**, not a Charitable Contribution.
- **Prohibited Purposes:** Charitable donations must not be used for capital campaigns or building funds, or any political or religious purpose.

Fellowships

Funding Requirements

- **Eligible Organizations:**

  1. **Medical societies** (e.g., ASCO, AAN, ASRM, ISDA, etc.) – defined as professional organizations which typically focus on advancing their profession as a primary goal
  2. **Academic medical centers and clinical centers**
  3. **Universities**
  4. **Other Scientific Organizations**
  5. **Patient advocacy organizations** (e.g., American Cancer Society, etc.) – defined as formally organized nonprofit groups that (i) concern themselves with medical conditions or potential medical conditions and (ii) have a mission and take action that seek to help people affected by those medical conditions or to help their families and caregivers
  6. **NIH** – The U.S. National Institutes of Health and similar federal or state agencies

- **Ineligible People and Organizations**
  - Fellowship grants may not be made to individual HCPs, physician group practices, physician-owned clinics, managed care organizations, pharmacy benefit managers or hospitals that are not academic medical centers.

Funding Requirements (cont.)

- **Types of Fellowships Eligible for Funding**
  - **Traditional clinical or research fellowships** - programs designed and delivered by medical societies, academic medical centers, or NIH (or similar federal/state agencies) to support advanced clinical and/or research work by graduates, post-graduates or fellows.
  - **Advocacy fellowships** – programs designed and delivered by health-related advocacy groups to support education, development, and training of health leaders on how to become effective advocates or improve their advocacy skills.
  - **Diversity, equity and inclusion fellowships** – programs designed and delivered by medical societies, academic medical centers, or NIH (or similar federal/state agencies) to support a wide variety of advanced clinical research or other work by graduates, post-graduate or fellows to address diversity, equity and inclusion issues in the medical profession and patient populations.
  - All fellowships must be based in the U.S.

Funding Requirements (cont.)

- **Selection of Fellows**
  - Fellows must be selected by the recipient or, if designated by the recipient, the institution at which they are being trained or by another independent selection organization. EMD Serono shall not be involved in selection of fellow.
  - In addition, if NIH or another similar federal or state agency is the recipient, fellows must be intramural physicians at those agencies.

- **Prioritization of Funding**
  - Reflecting our commitment to advance **diversity, inclusion and equality** in the practice of medicine, treatment of patients, and training of healthcare providers, we give priority to Requests for fellowship programs that:
    - Support the career development, training, and retention of HCPs who are members of gender, racial and/or ethnic groups that are **historically underrepresented** in academic medicine and biotech research, or
    - Support patient advocacy training relating in whole or part to serving **underserved patient populations** (based on race, ethnicity, gender, sexual identity/ preference, or socio-economic status).

Funding Restrictions (cont.)

Restrictions on Use of Fellowships Funds

- Fellowship funds may be used only for **direct expenses** associated with the Fellowship, such as salary, fringe benefits, textbooks, etc.,
  - Fellowship funds may be used to cover the costs of travel, lodging and registration for Fellows to attend major educational, scientific or policymaking meetings of national, regional or specialty medical associations.
- Fellowship funds may not be used to subsidize routine business expenses of an organization.
- Fellowship funds may not be used to pay for salary or any portion of a position that bills for services.
  - If the Fellowship position includes both billable services and non-billable research or teaching, then fellowship funds may only be used to fund the activities devoted to **non-billable teaching or research**.

Donations to Independent Charity Patient Assistance Programs

Per our long-standing **"As One for Patients"** initiative, EMD Serono supports patients who cannot afford their medicines and treatment through donations to independent charitable organizations who operate qualifying patient assistance programs. EMD Serono does not influence or control the eligibility criteria or any operational aspects of these programs or the organizations. EMD Serono will not receive any information about specific participants or selection determinations made by the organization.

Funding Requirements

- **Eligible Organizations:** An organization must be a bona fide Internal Revenue Code ("Code") Section 501(c)(3) non-profit organization and located within the United States.
- **OIG Opinion:** The organization must have a current, favorable Office of Inspector General (OIG) opinion that supports the organization's program and must operate its program in accordance with that OIG opinion.
- **Board of Directors:** The organization must be governed by an independent Board of Directors with individuals who are not affiliated with any other organization that donates funds to the organization or that may receive funds from the organization indirectly through patient payments for items or services. The administration and operation of the organization and its program must be at the sole discretion of the Board.

Funding Requirements (cont.) The Program:

- The program must provide support to financially qualified individuals who meet objective eligibility criteria, to help those individuals with their out-of-pocket medical expenses, including copayments, coinsurance, deductibles, health insurance premiums, and other medical needs to incidental medical expenses, such as travel.
- The program must be operated in accordance with all applicable rules, regulations, and laws, and within the guidelines of opinions issued by the OIG, including OIG's 2005 "Special Advisory Bulletin" relating to "Patient Assistance Programs for Medicare Part D Enrollees" ("Special Advisory Bulletin"), OIG's 2014 "Supplemental Special Advisory Bulletin" regarding "Independent Charity Patient Assistance Programs" ("Supplemental Bulletin"), and any and all OIG guidelines regarding independent charitable patient assistance programs, as well as the Advisory Opinion, identified on page 1, issued by OIG to the organization.
- The program must also be appropriately defined by the organization and not so limited that, if EMD Serono donates to it, it effectively results in EMD Serono subsidizing its own products.

Funding Restrictions

- An organization must not be:

  1. a private foundation as described in Section 509(a) of the Internal Revenue Code, or

  2. a donor-advised fund sponsoring organization as described in Section 4966(d)(1) of the Code

Accredited Continuing Education for Health Professionals

Eligibility Requirements

- **Eligible Organizations:** The only type of organization eligible to request this type of funding is an ***accredited CME provider.***

- **Eligible Activities:** The only type of activity eligible for this type of funding is ***accredited*** continuing education for healthcare providers. The activity can take the form of live or virtual CME seminars, satellite symposia, etc

How to register

04

EMD Serono

New users

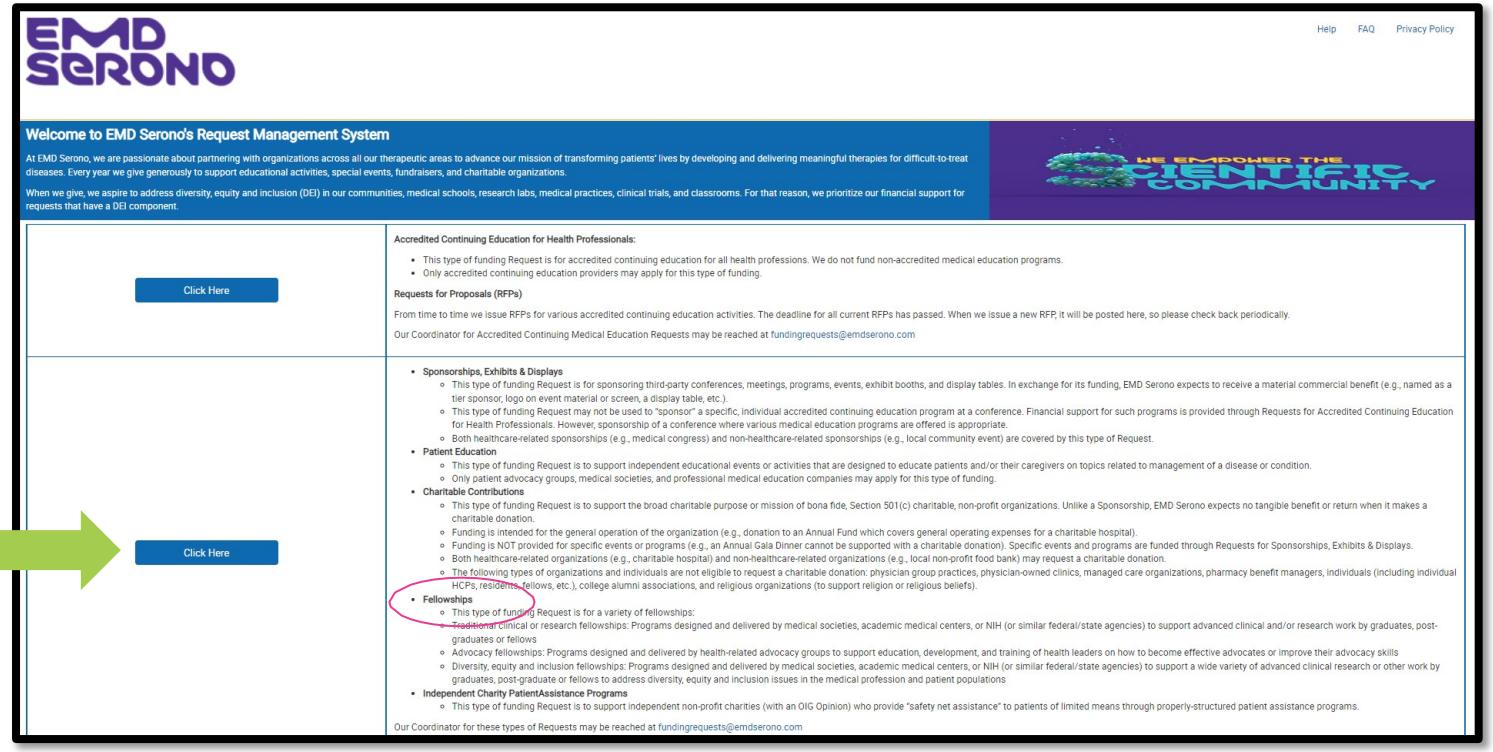
EMD Serono

New Users

For ALL types of Requests EXCEPT Accredited Medical Education (see slide 36 for Med Ed)

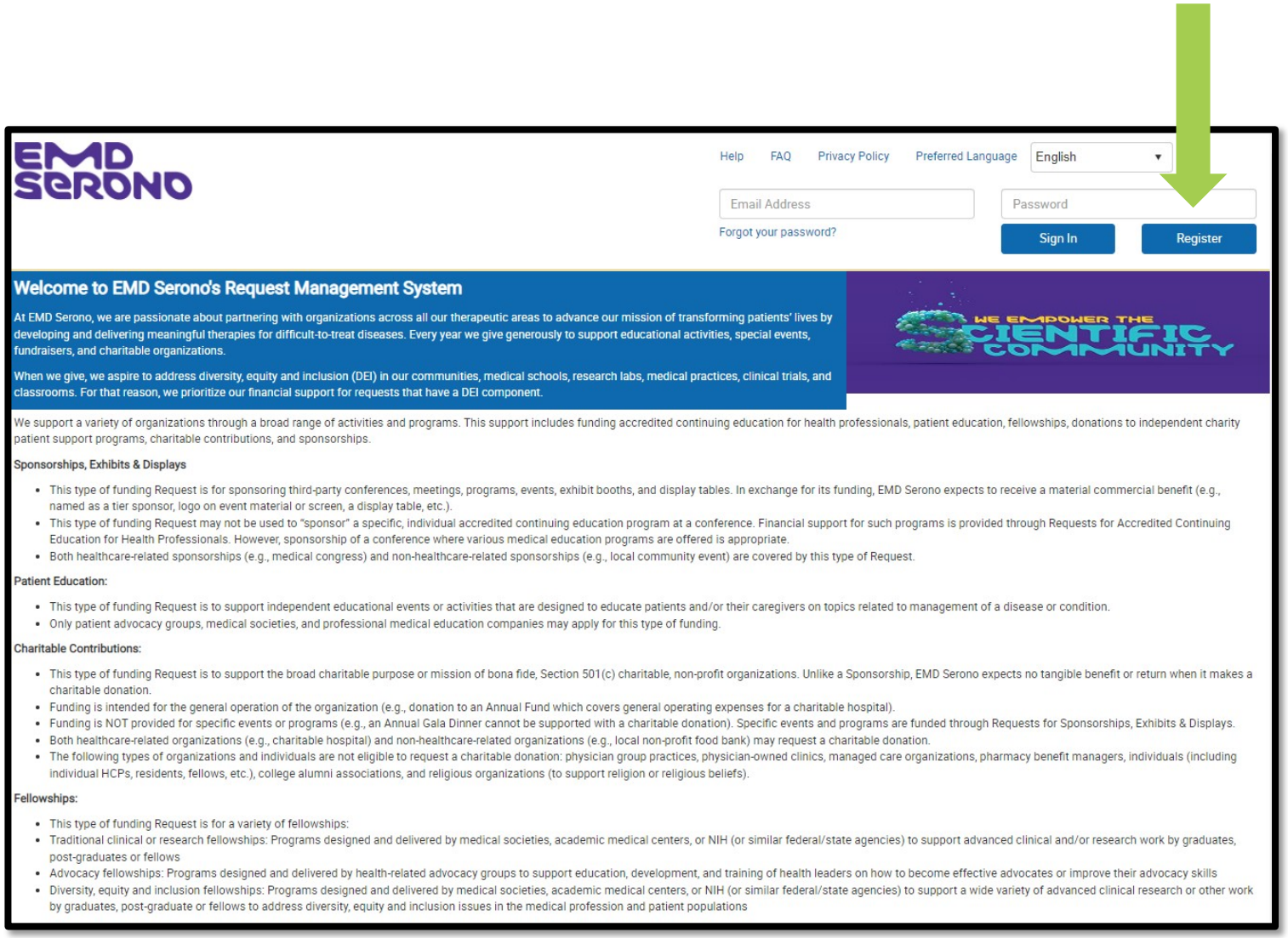
To register as a new user:

Step 1 – go to our website at www.grants.emdserono.com and **click** the second "Click Here" button on the left-hand side of the screen. This brings you to the part of the system where a funding request can be submitted.



New Users

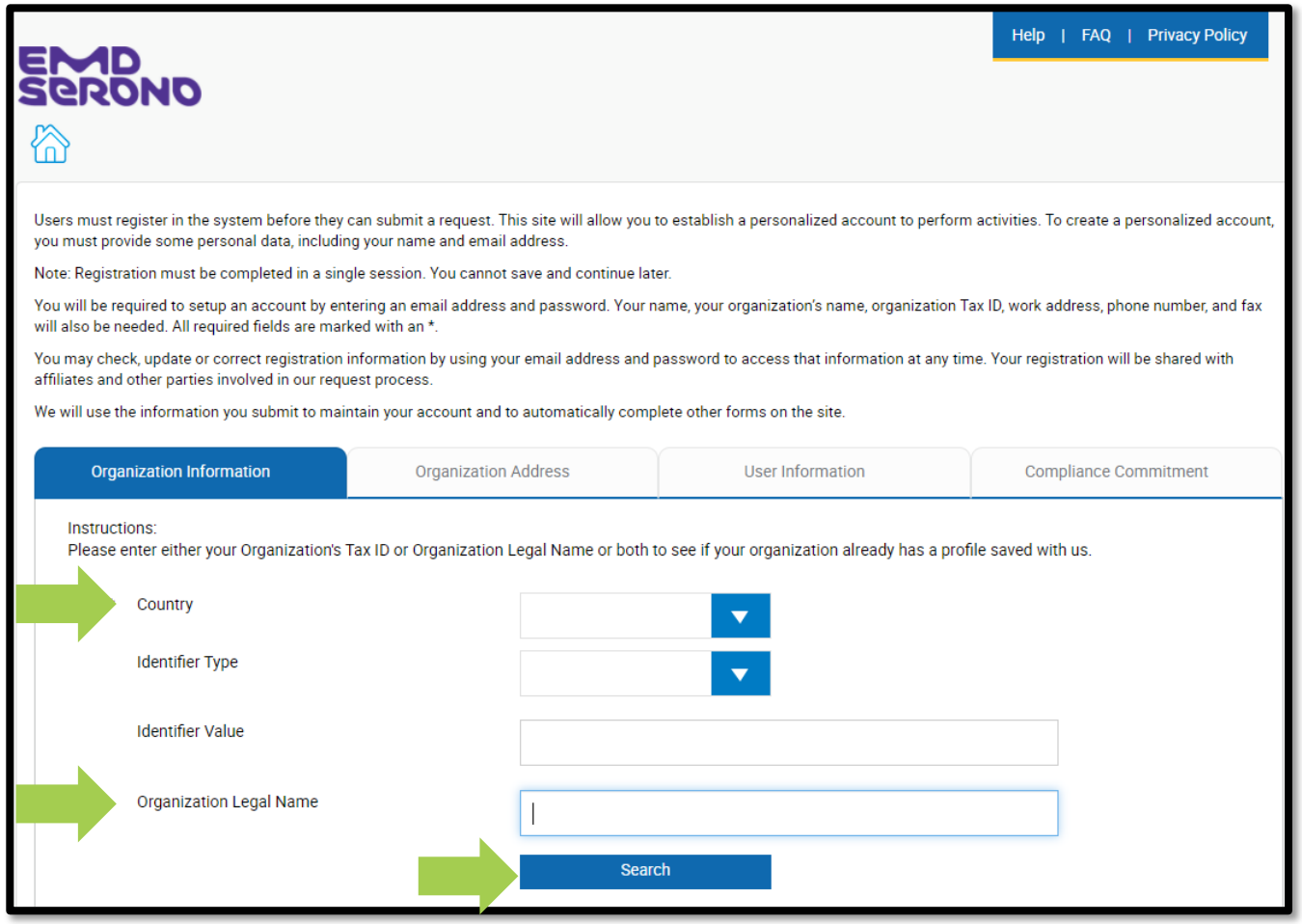
Step 2 – **Click** the "Register" button on the top right-hand side of the screen



New Users

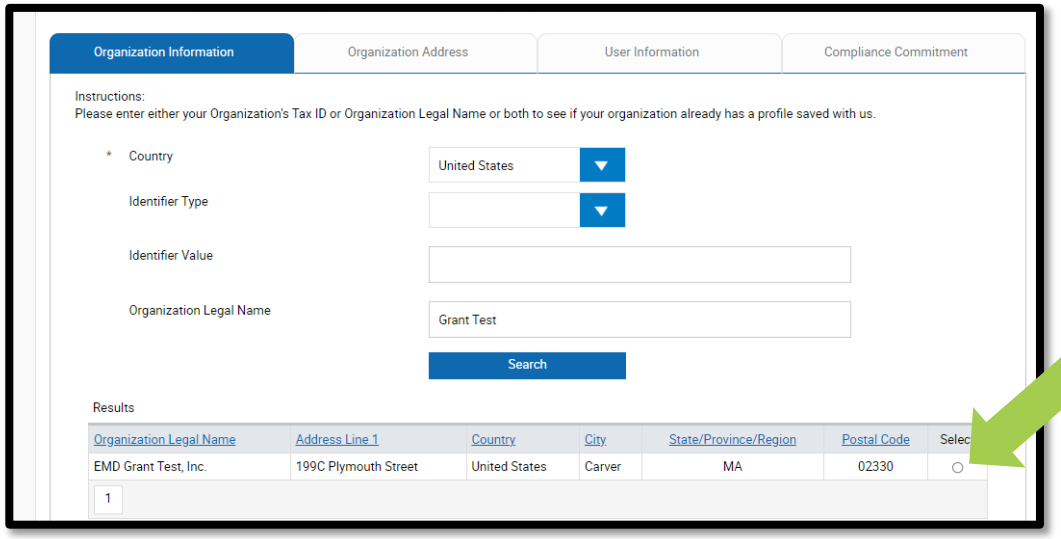
Step 3 – Search for your organization to make sure you don't already have a user account

- **Enter** the country (United States) and your organization's legal name (no need to fill out the other fields) and then **click** the "search" button

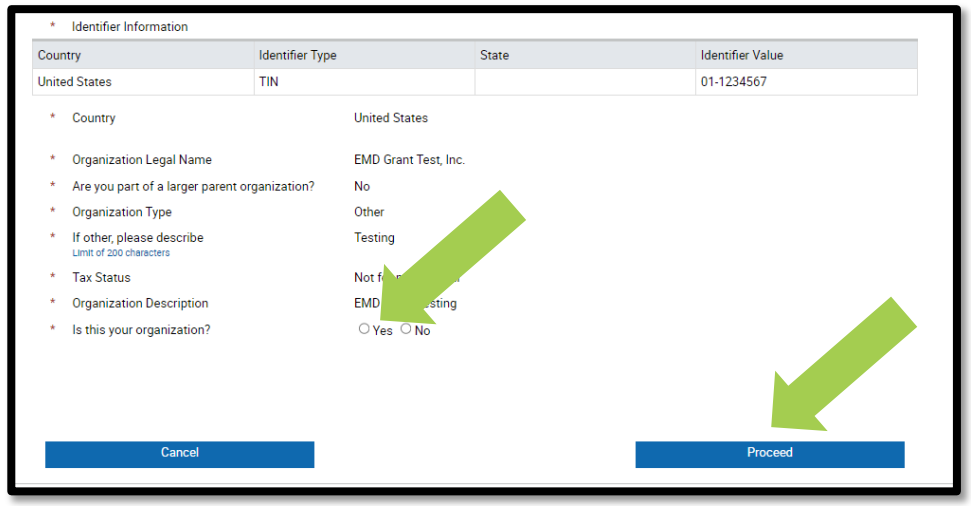


New Users

Step 4 – If your organization does appear in the search results, there is no need to create a new user or a new organization in the Request Management System.



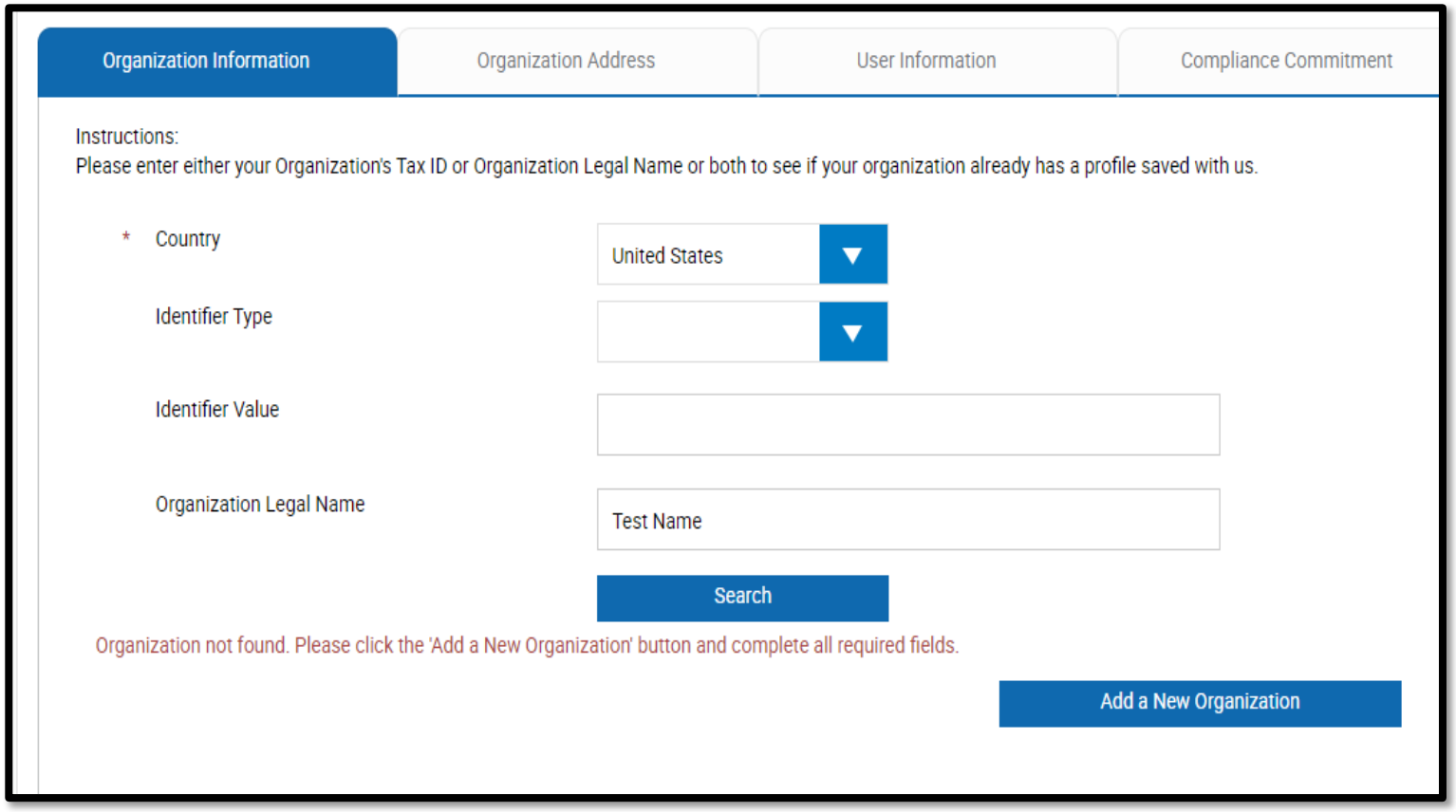
- **Click** the radio button under the "Select" column and your organization's information will automatically pop up.



- Then **click** the "Yes" radio button next to "Is this your organization?"
- Then **click** the "Proceed" button.
- Jump forward to page 18 for your next steps.

New Users

Step 5 – If your organization is not found, then **click** "Add a New Organization"

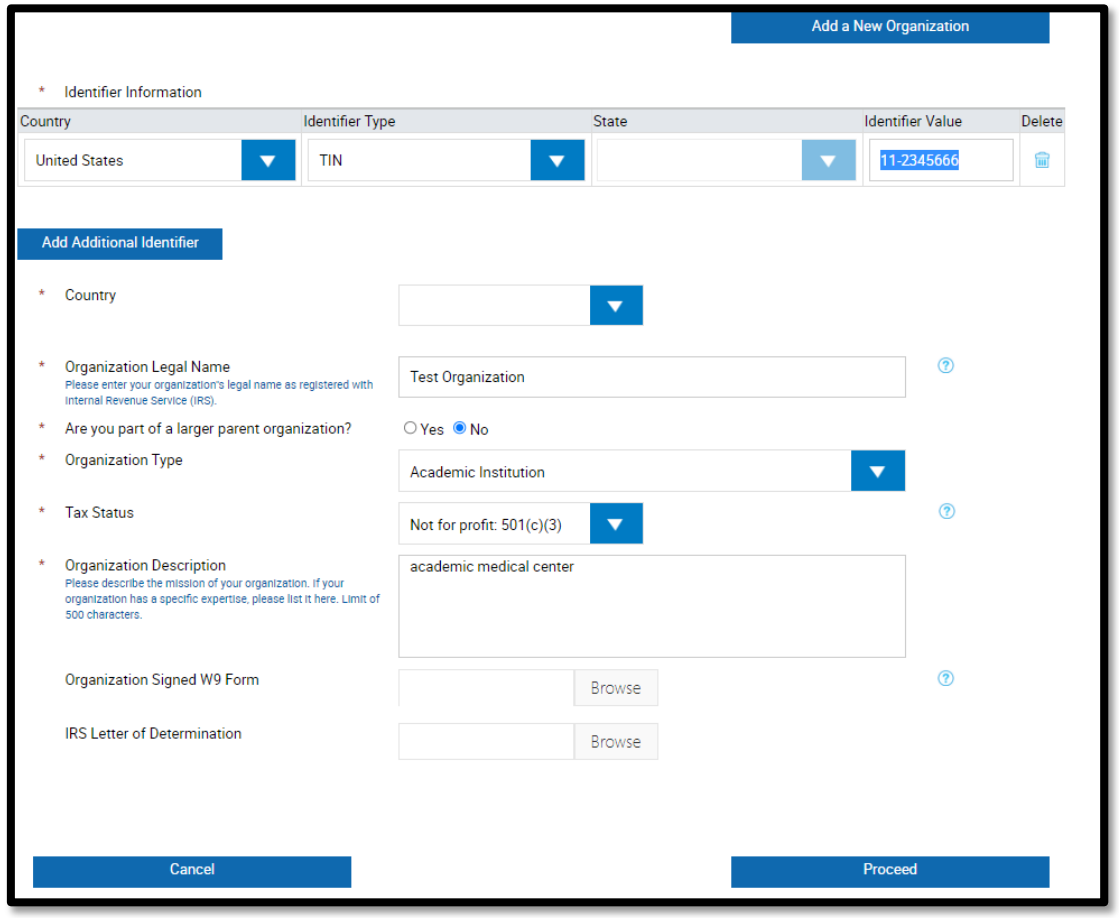


New Users

Step 6 – Fill out the "**Identifier Information**" at the top:

- Country - "United States"
- Identifier type - "TIN"
- State – LEAVE BLANK
- Identifier Value – type in your Federal Tax Identification #

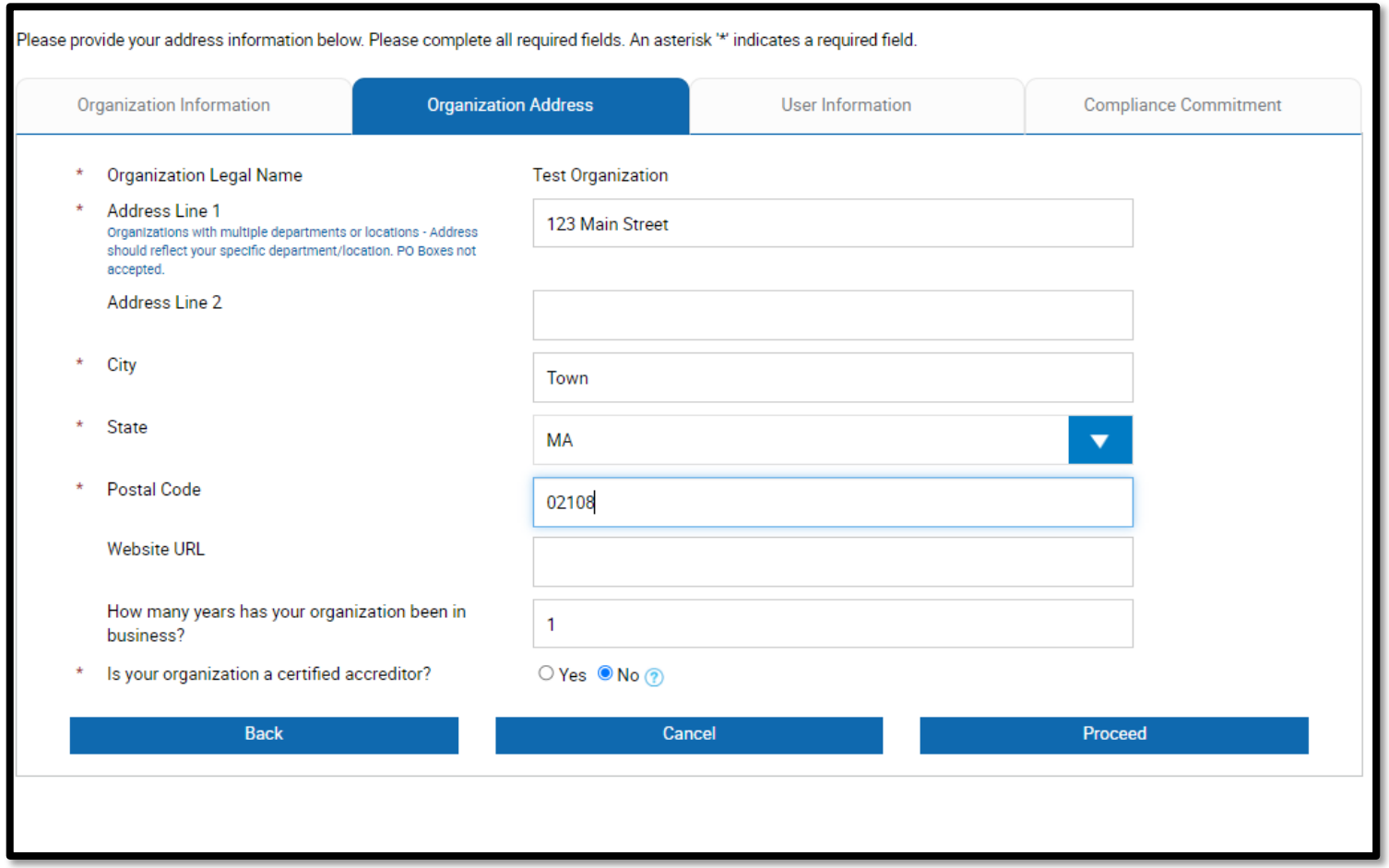
- Then fill out the "**Add Additional Identifier**" section
- Then upload a **signed W9 Form** (blank W9 form available at www.irs.gov/FormW9)
- Then **ONLY IF** you're a non-profit organization, upload your IRS Letter of Determination (i.e., non-profit status) (copy available at https://apps.irs.gov/app/eos/)
- **Click** "Proceed" when you're done



New Users

Step 7 – Fill out the "Organization Address" tab

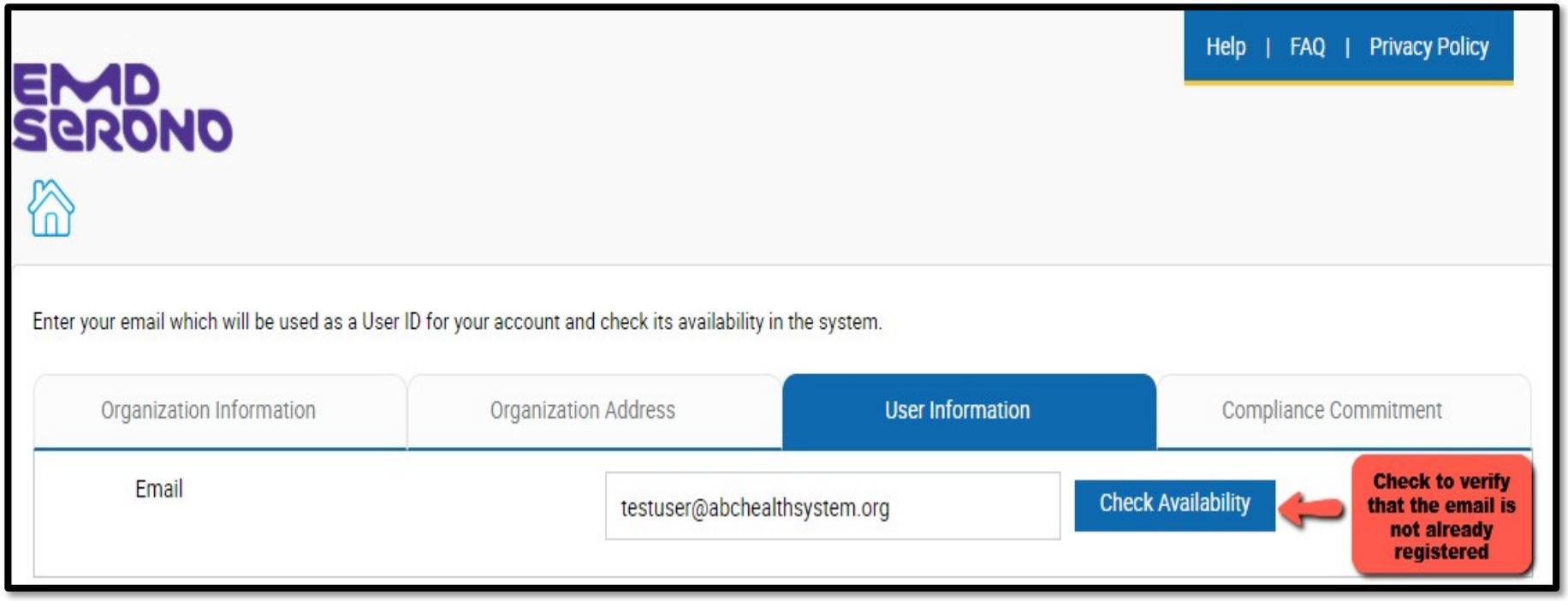
- If you do not have a website, leave this field blank (do not type in "none" or "N/A")
- The last question about being a "certified accreditor" does not apply to fellowships, so **click** the "no" radio button
- Then **click** "Proceed"



New Users

Step 8 – On the "User Information" tab, type in your email address

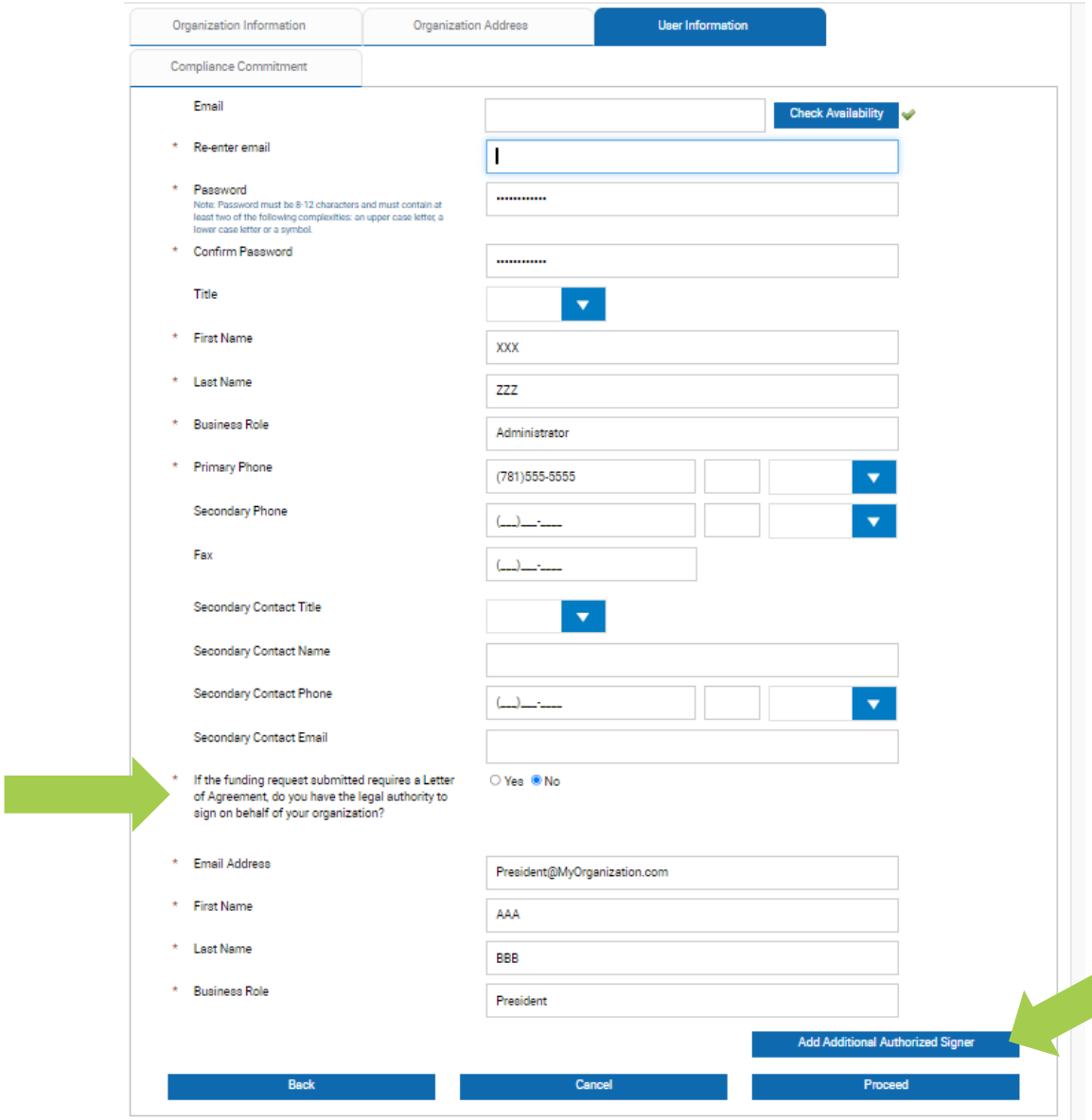
- **Click** "Check Availability" to make sure the email isn't already registered



New Users

Step 9 – Enter your email, a password, and the other information requested.

- For the question "If the funding request submitted requires a Letter of Agreement, do you have the legal authority to sign on behalf of your organization?"
- If someone besides you is the official signer for agreements, enter their contact information. If your Request is accepted, our system will automatically forward an Agreement to this person to sign. Otherwise, the Agreement will be sent to you to sign.

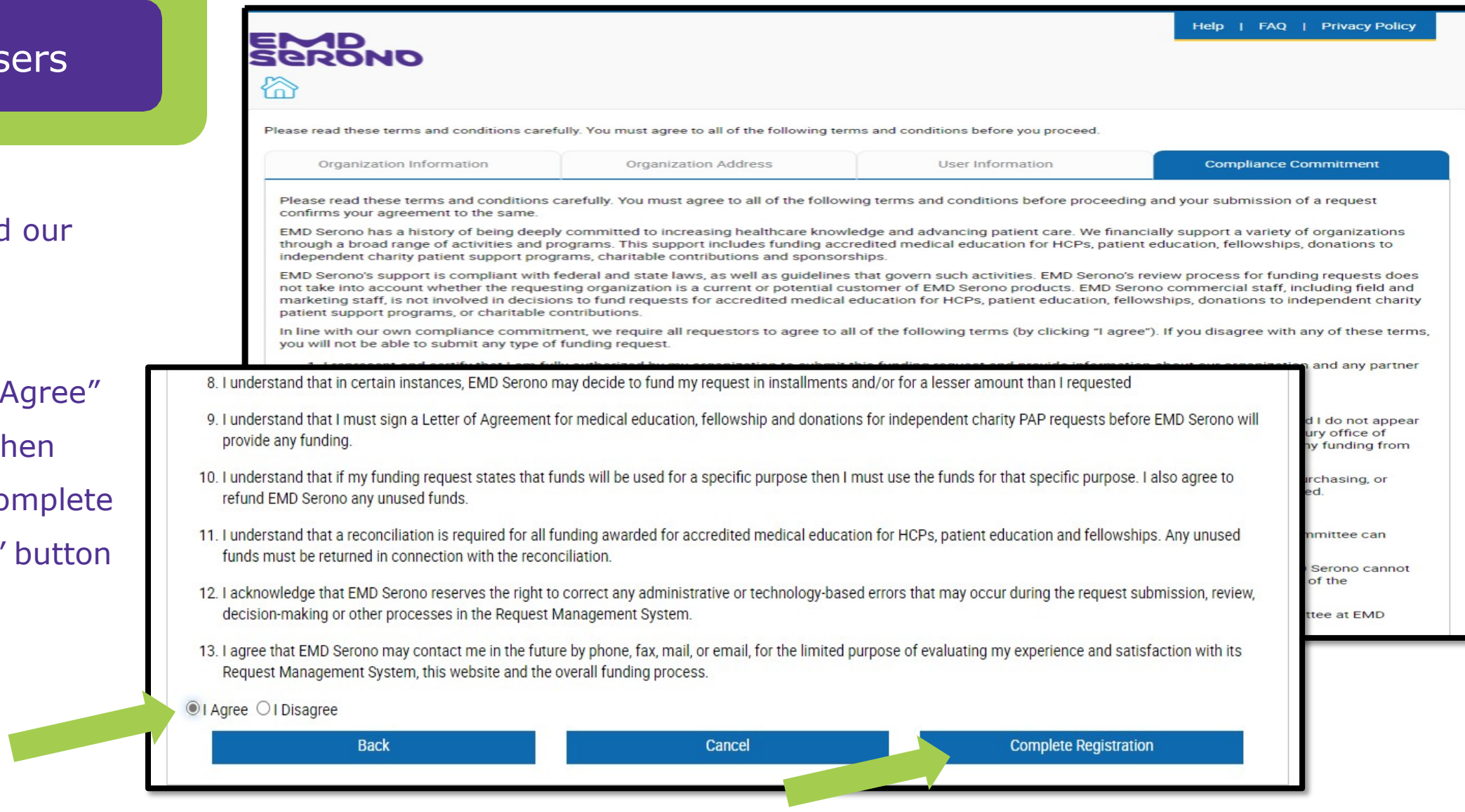


If a second person needs to sign agreements at your organization, click this button and add their contact information

New Users

Step 10 – Read our Compliance Commitment

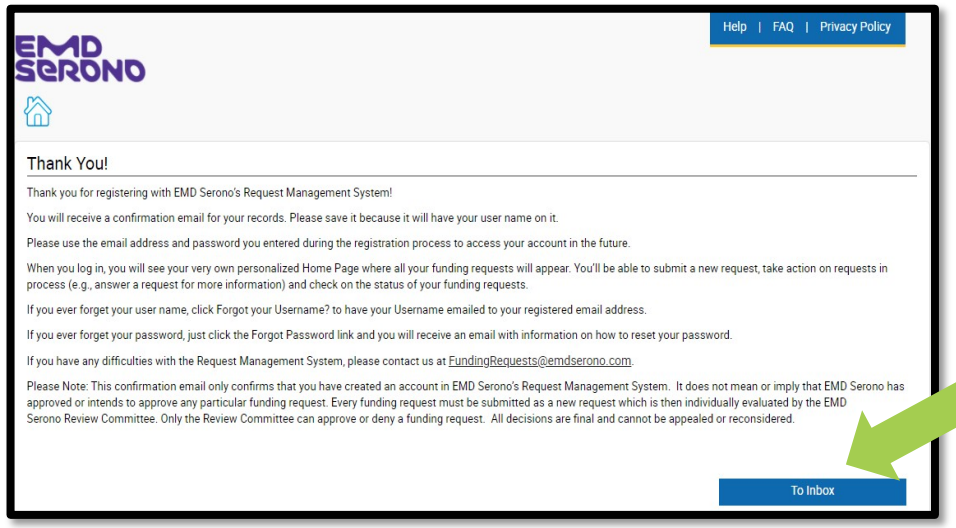
- **Click** the "I Agree" button and then **click** the "Complete Registration" button

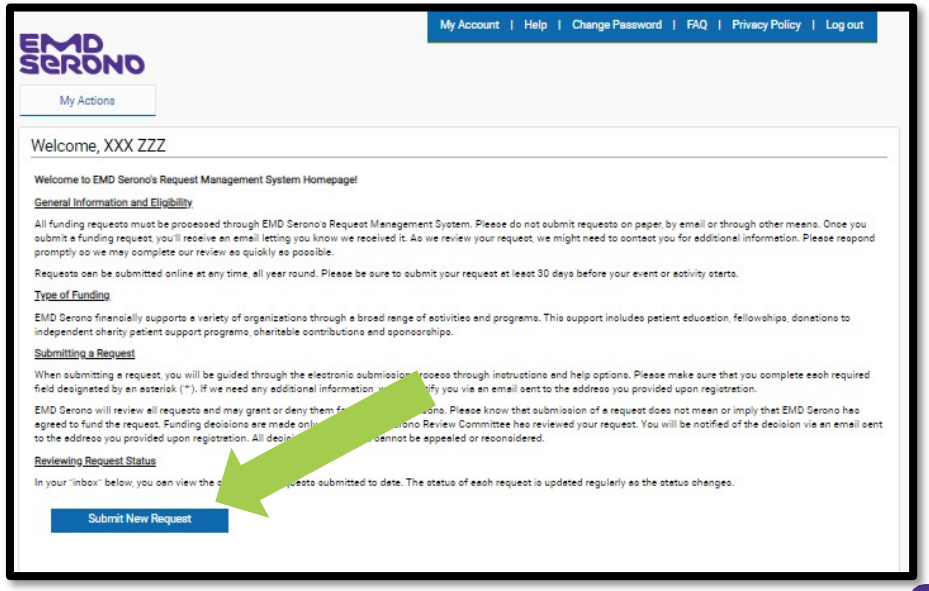


New Users

You are now registered. You will receive an email confirming your registration.

- To submit your Fellowship Proposal, **click** "To Inbox"
- On the next screen which appears, **click** "Submit New Request"



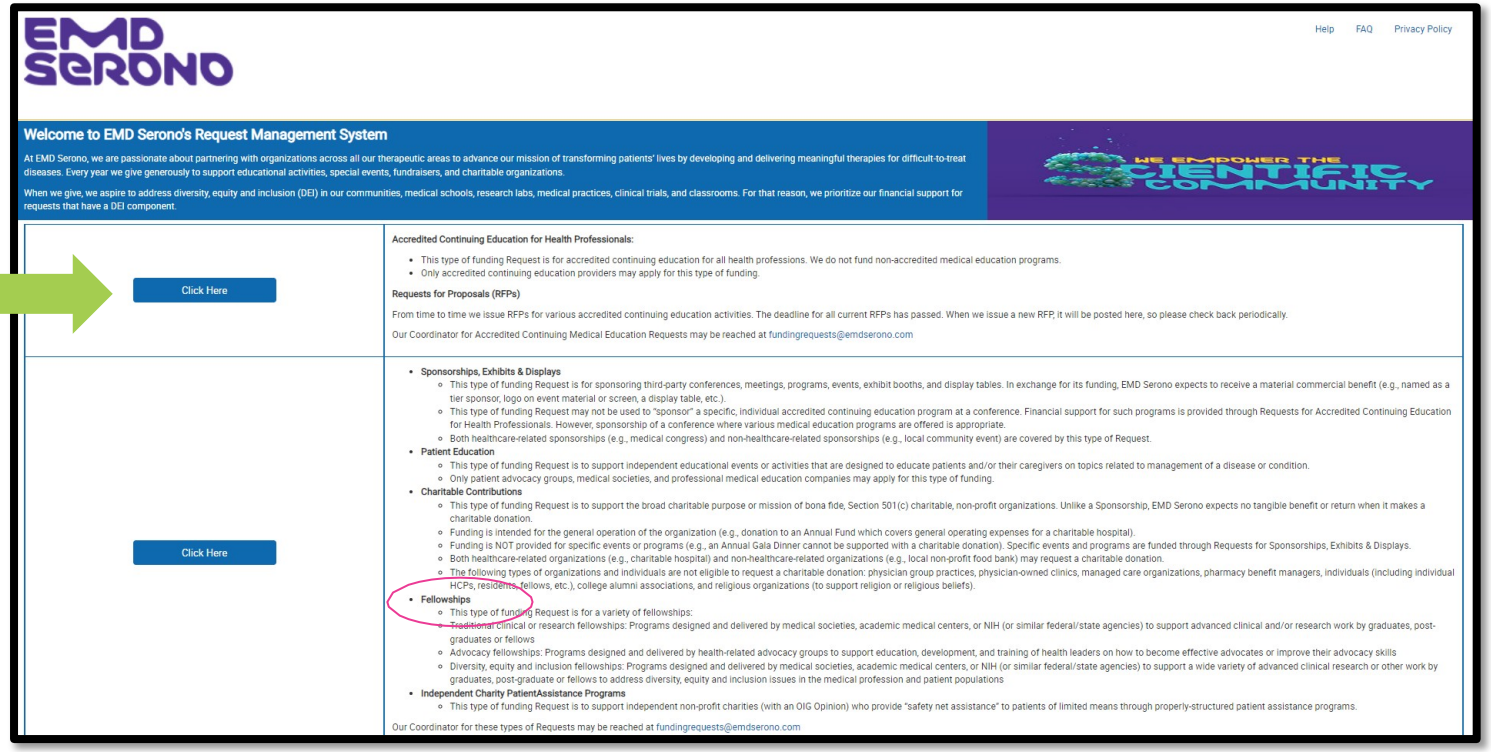


New Users

For Accredited Medical Education ONLY

To register as a new user:

Step 1 – go to our website at www.grants.emdserono.com and **click** the first "Click Here" button on the left-hand side of the screen. This brings you to the Medical Education portal. Follow the on-screen prompts.



existing users

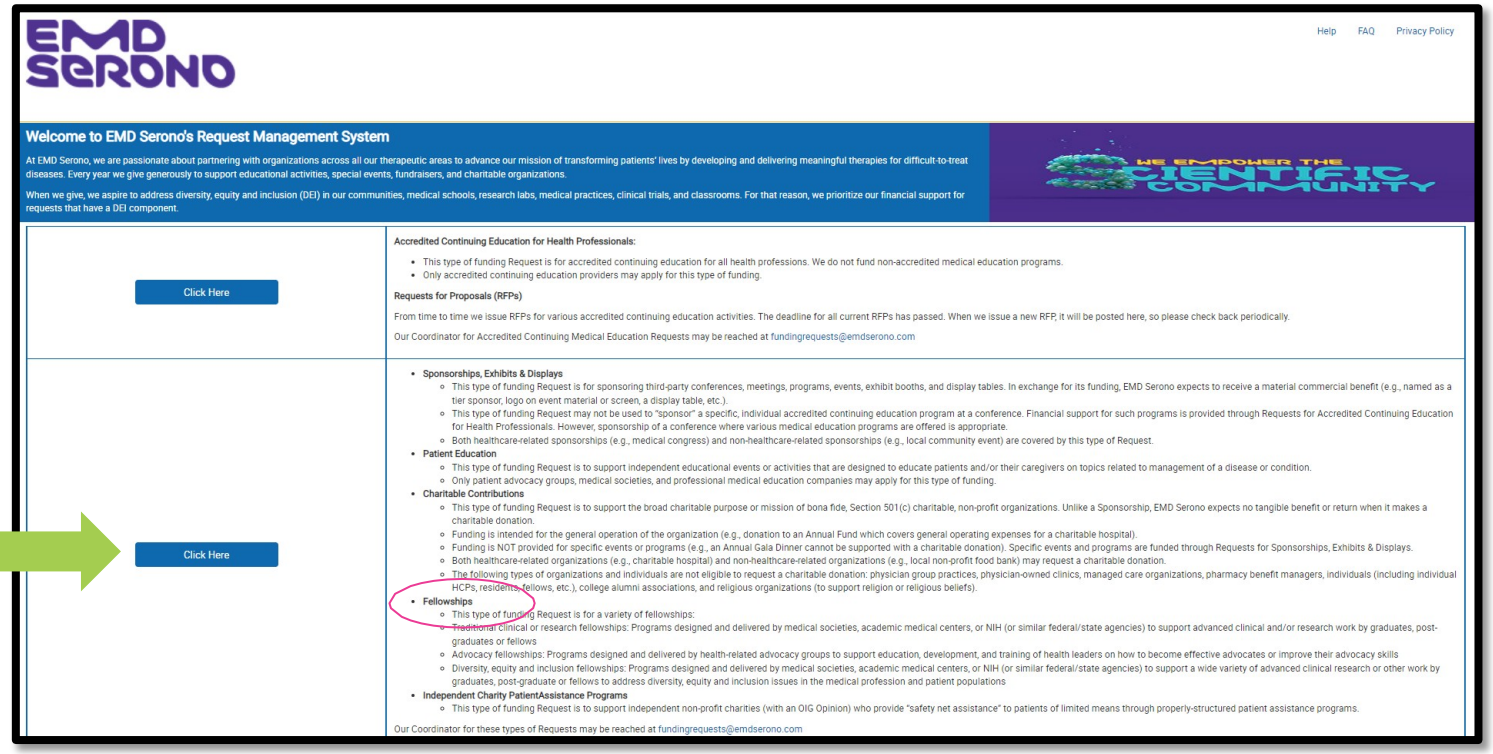
EMD Serono

Existing Users

Forgot Your Password?

Step 1 – Go to our website at www.grants.emdserono.com and **click** the second "Click Here" button on the left-hand side of the screen.

At the next screen, click "Forgot your password?" link



How to request funding

05

EMD Serono

Funding Requests

Online Submission

- All funding requests must be submitted online through EMD Serono's Request Management System at https://grants.emdserono.com
- You must register before you can submit a Request
- No Request should be sent via email

Timing

- All types of Requests should be submitted at least 45 days in advance

Selecting the Correct Type of Request

- Organizations often use **different funding terms** - such as "grant," "donation," "sponsorship," "charitable contribution" - interchangeably, without distinguishing between them.
- However, in our Request Management System, we use **standardized definitions** for each Request type and different requirements and restrictions apply to them.
- **Before you submit a Request**, please review our definitions, requirements and restrictions for the type of Request you're applying for and make sure you apply for the correct one. If you apply for the wrong type of Request, your Request will be denied.

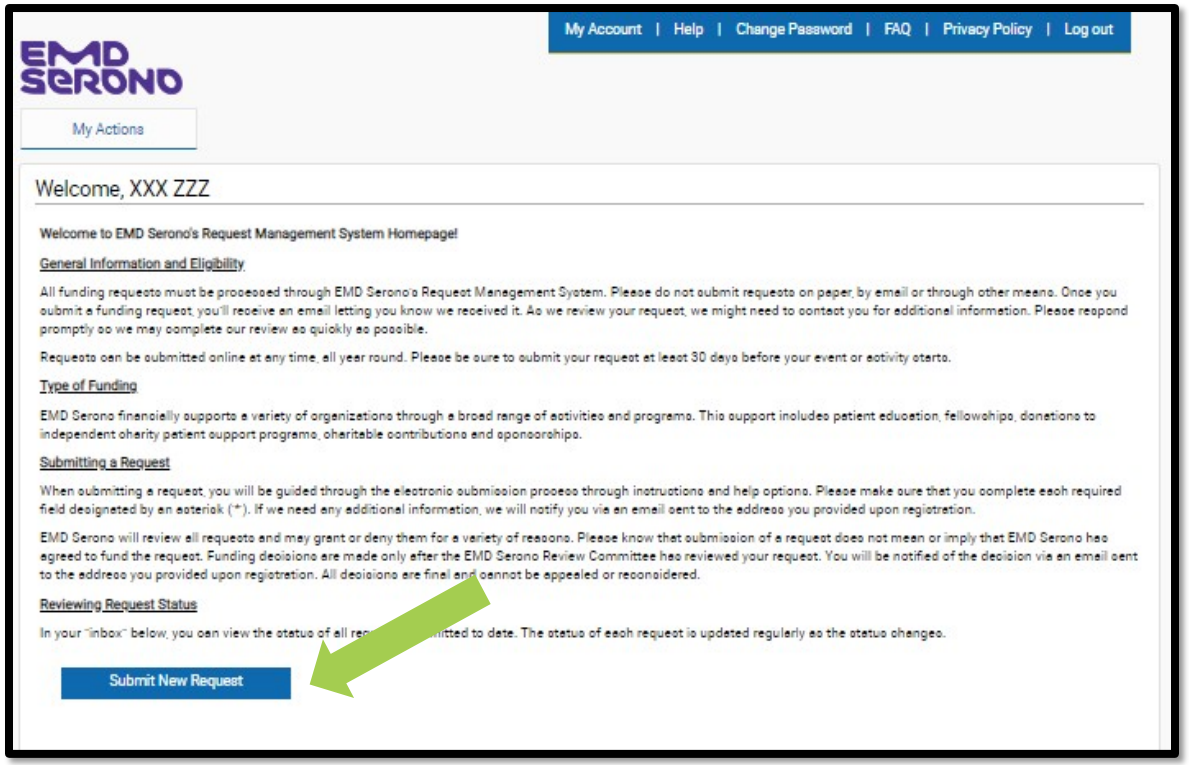
Funding Requests

How to Submit a Request for Each Type of Funding

- After logging in to the system, **Click** on "Submit New Request"
- The following slides walk you through how to apply for each type of funding Request.
- Each type has slightly different fields in the application process.

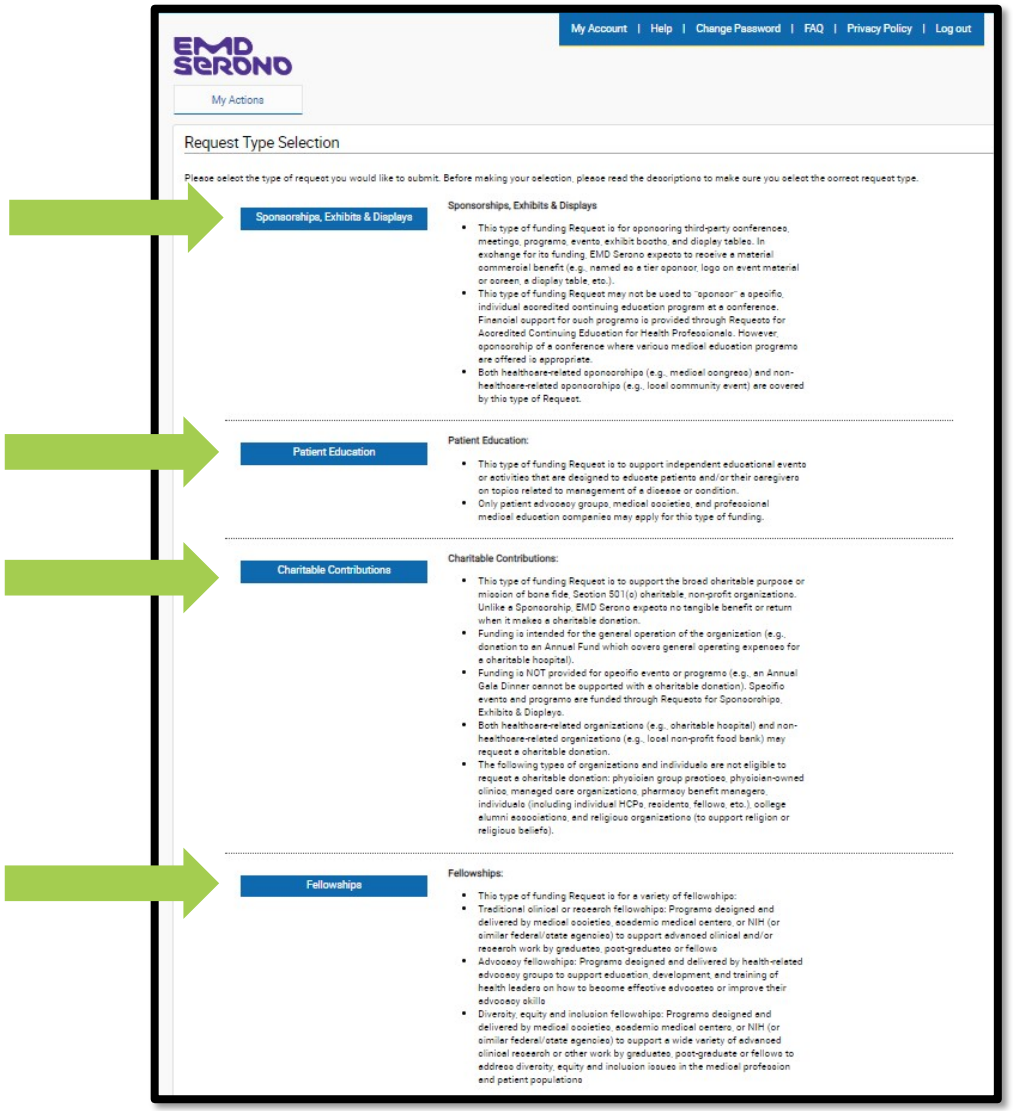
Confirmation Email

- Once your Request is submitted, you will receive a confirmation email.



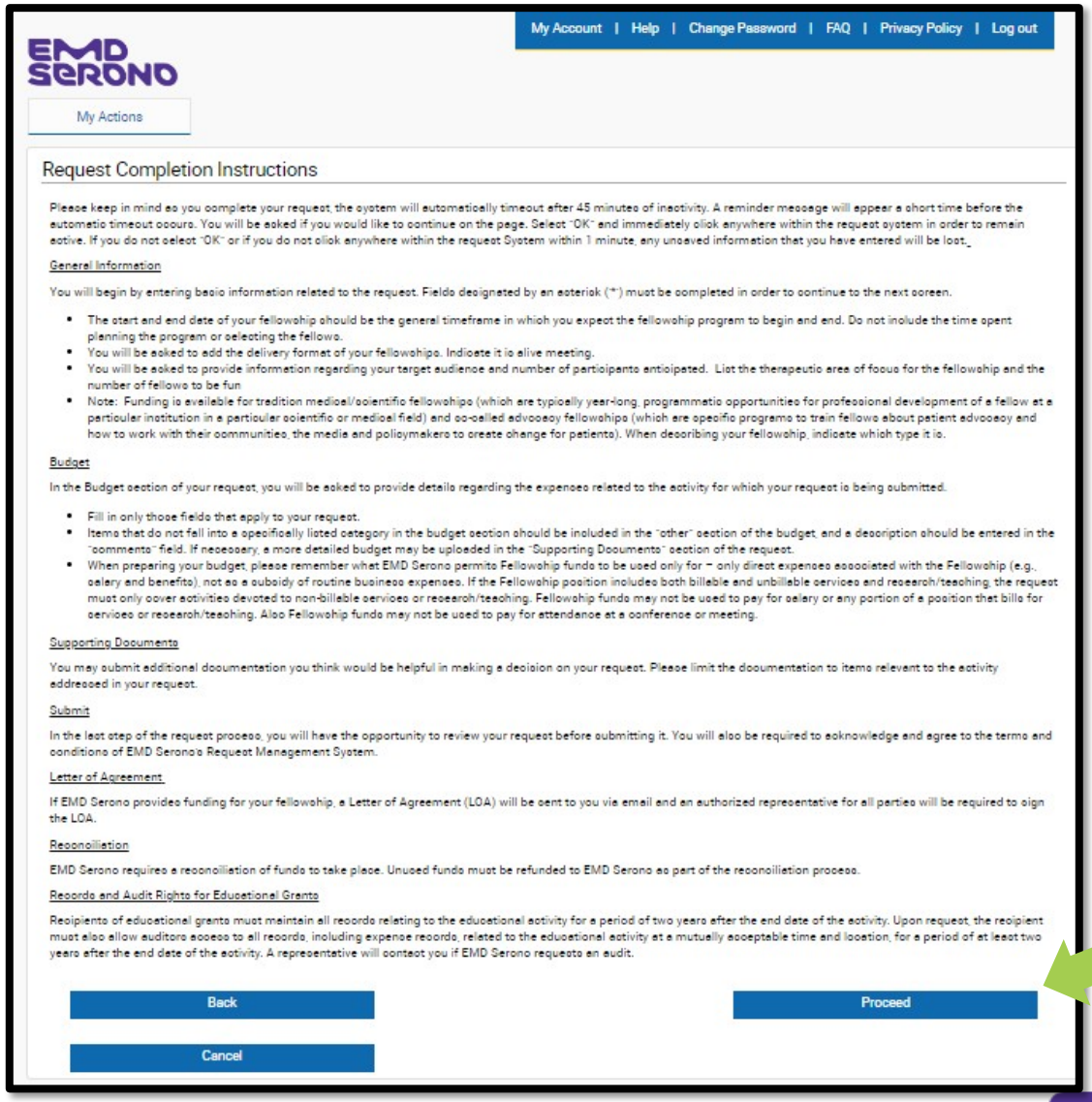
Funding Requests

- **Click** on the blue button for the type of funding request you want to make
  - For example, Sponsorship, Charitable Contributions, etc.



Funding Requests

- Read the “Request Completion Instructions” (they are slightly different for each type of Request)
- Then **click** the “Proceed” button
- You will then be brought to the “application” page for the type of Request you chose.



Amendments

You may amend your Request before it is approved

- You may amend your Request at any time before it is approved. The request will need to be returned to you to allow you to make changes.
- In order to do that, contact the EMD Request Coordinator at
  - Email: fundingrequests@emdserono.com
  - Phone: 212-589-3507

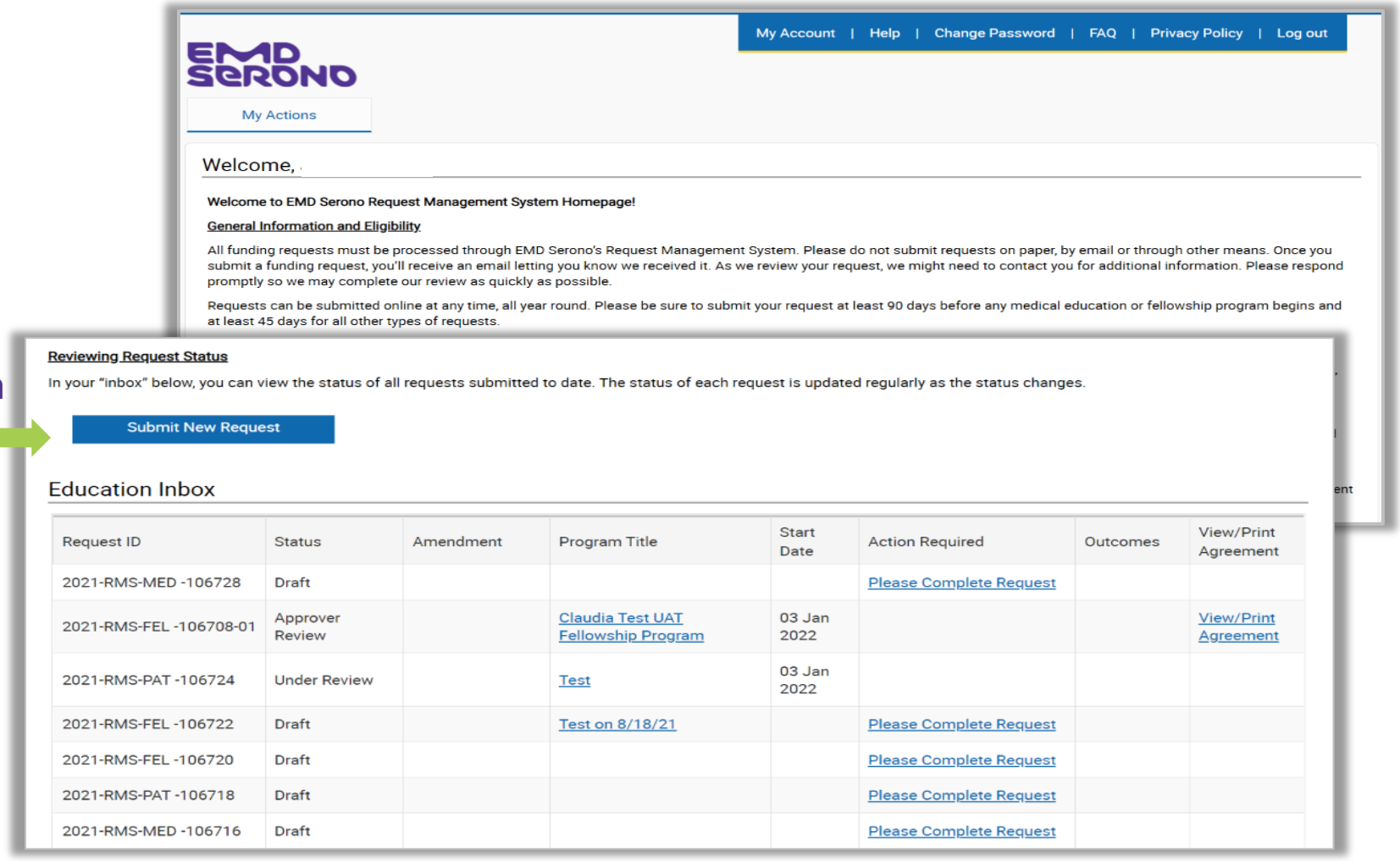
sponsorship requests

EMD Serono

Sponsorships

How to Submit a Request

- Once you have logged in, **click** on "Submit New Request" button



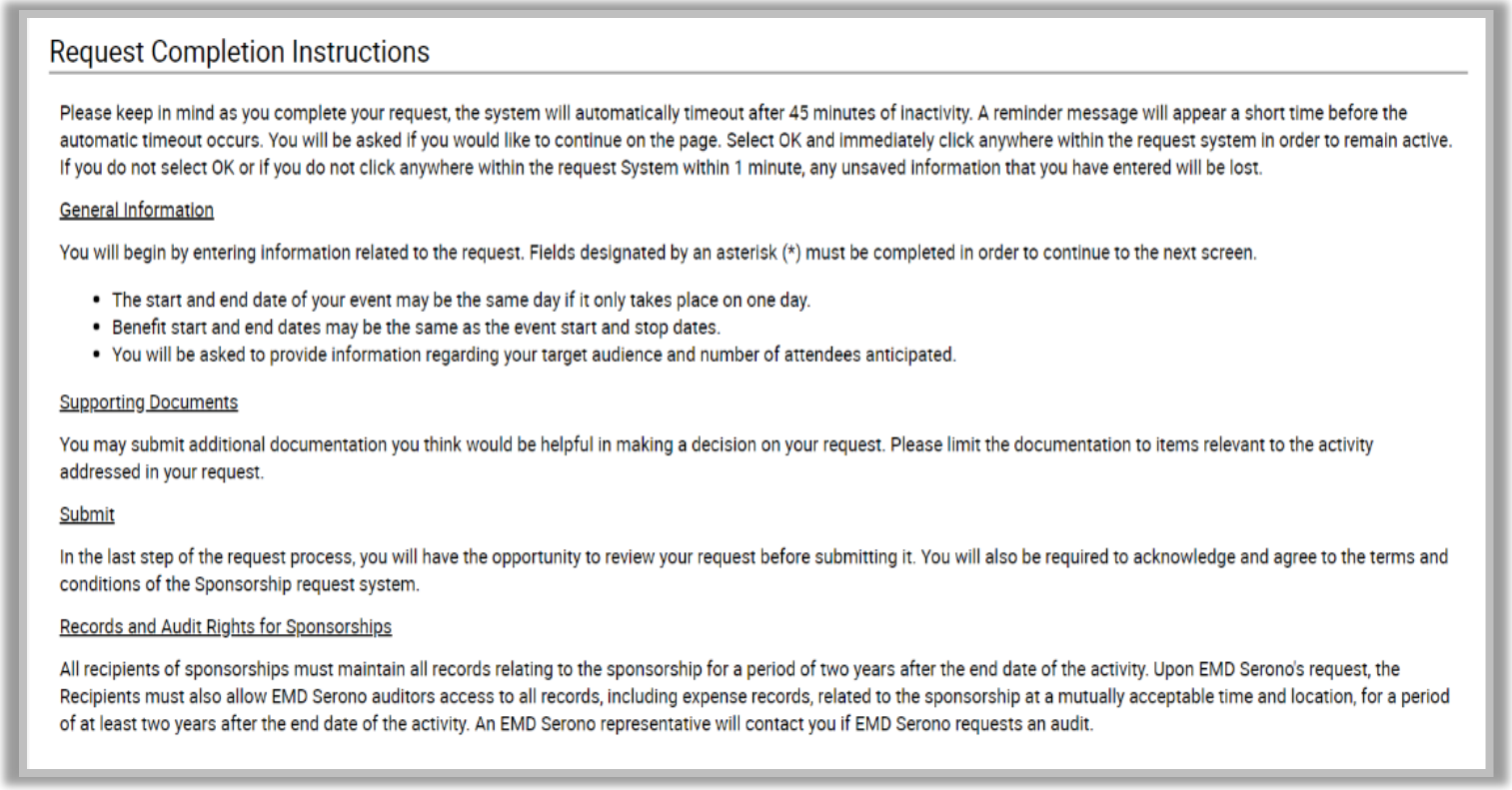
Sponsorships

How to Submit a Request

- On the "Request Type Selection" page, **click** on "Sponsorships, Exhibits & Displays"

Sponsorships

- Read the "Request Completion Instructions"
- Then **click** the "Proceed" button



Request Completion Instructions

Please keep in mind as you complete your request, the system will automatically timeout after 45 minutes of inactivity. A reminder message will appear a short time before the automatic timeout occurs. You will be asked if you would like to continue on the page. Select OK and immediately click anywhere within the request system in order to remain active. If you do not select OK or if you do not click anywhere within the request System within 1 minute, any unsaved information that you have entered will be lost.

General Information

You will begin by entering information related to the request. Fields designated by an asterisk (*) must be completed in order to continue to the next screen.

- The start and end date of your event may be the same day if it only takes place on one day.
- Benefit start and end dates may be the same as the event start and stop dates.
- You will be asked to provide information regarding your target audience and number of attendees anticipated.

Supporting Documents

You may submit additional documentation you think would be helpful in making a decision on your request. Please limit the documentation to items relevant to the activity addressed in your request.

Submit

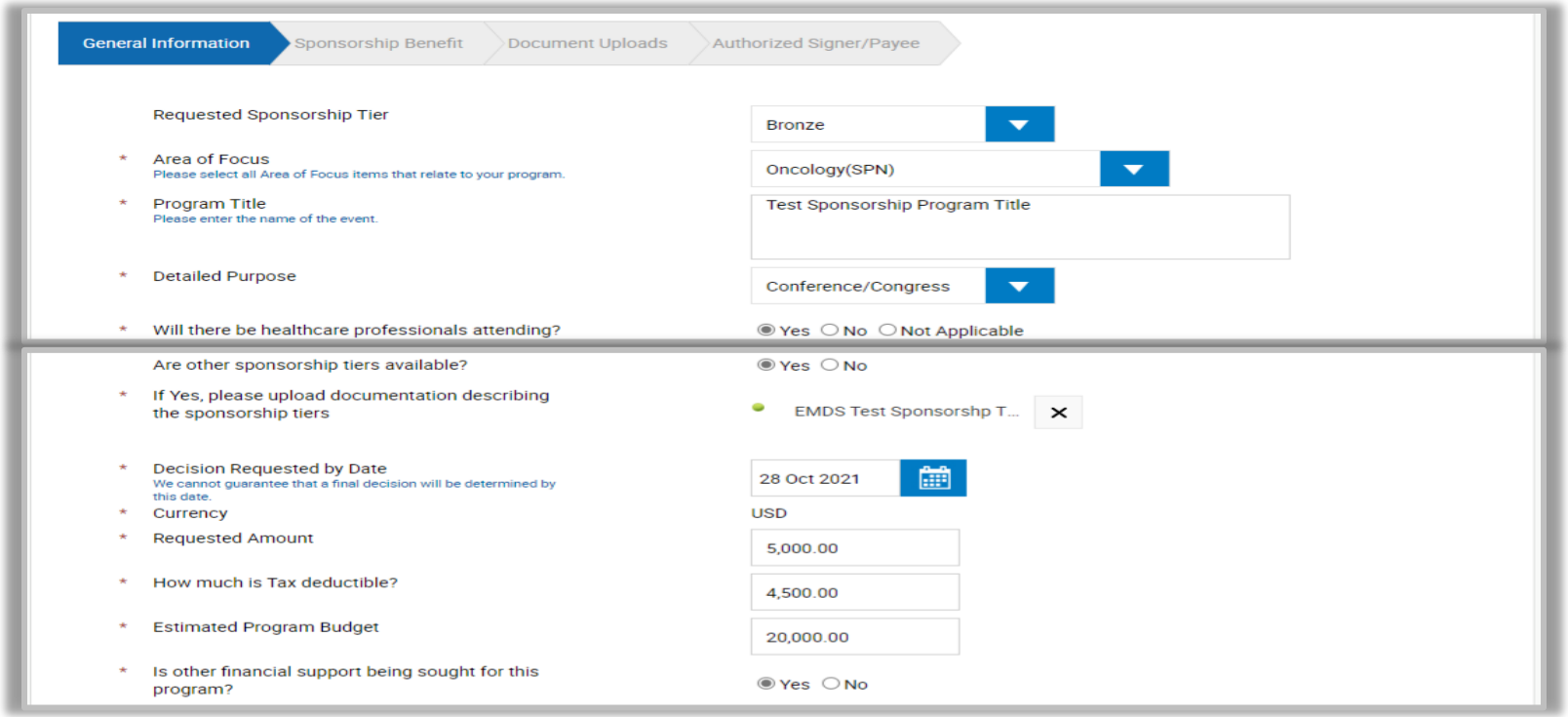
In the last step of the request process, you will have the opportunity to review your request before submitting it. You will also be required to acknowledge and agree to the terms and conditions of the Sponsorship request system.

Records and Audit Rights for Sponsorships

All recipients of sponsorships must maintain all records relating to the sponsorship for a period of two years after the end date of the activity. Upon EMD Serono's request, the Recipients must also allow EMD Serono auditors access to all records, including expense records, related to the sponsorship at a mutually acceptable time and location, for a period of at least two years after the end date of the activity. An EMD Serono representative will contact you if EMD Serono requests an audit.

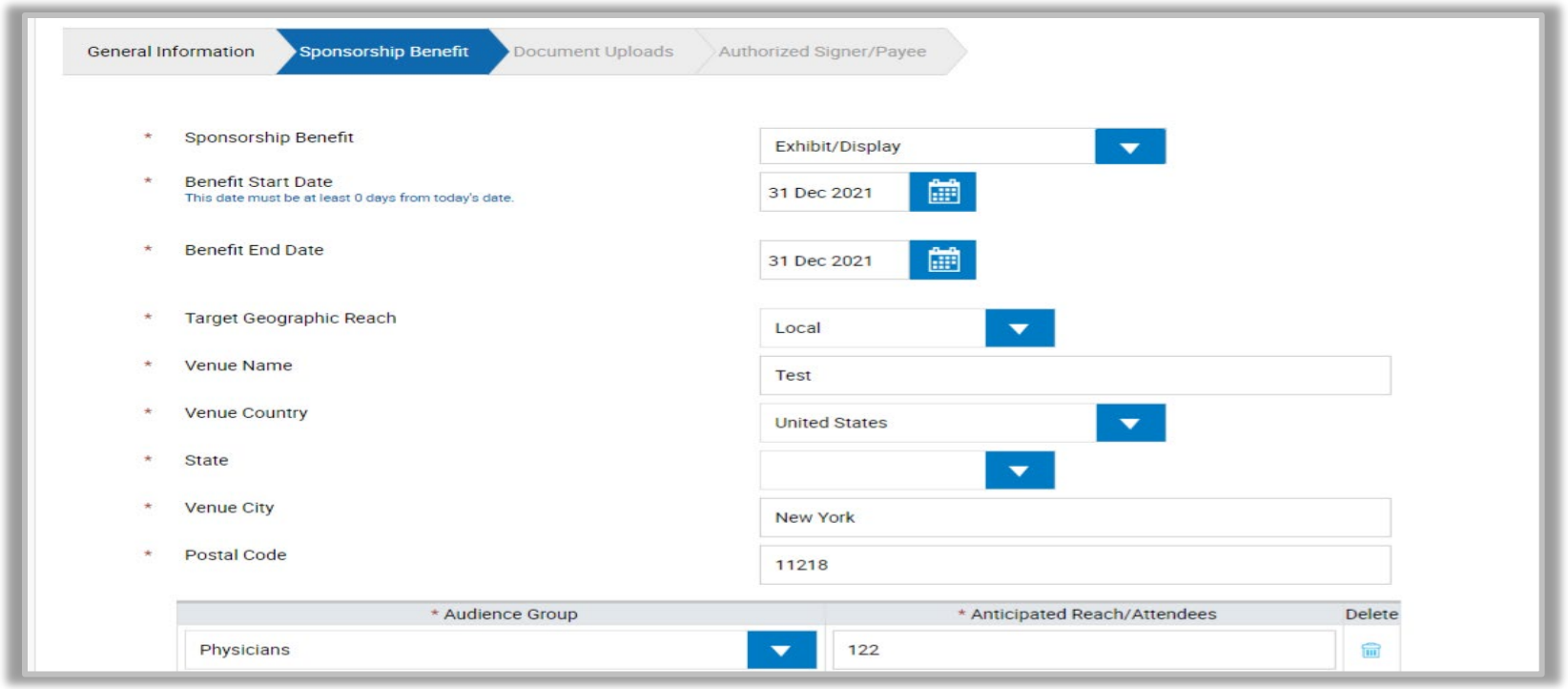
Sponsorships

- Complete the "General Information" tab
- **Tip:**
  - For the "If Yes, please upload documentation describing the sponsorship tiers" field, upload your event brochure or a pdf of your website where exhibit and display opportunities are described
- **Click** "Save and Proceed to Next Step"



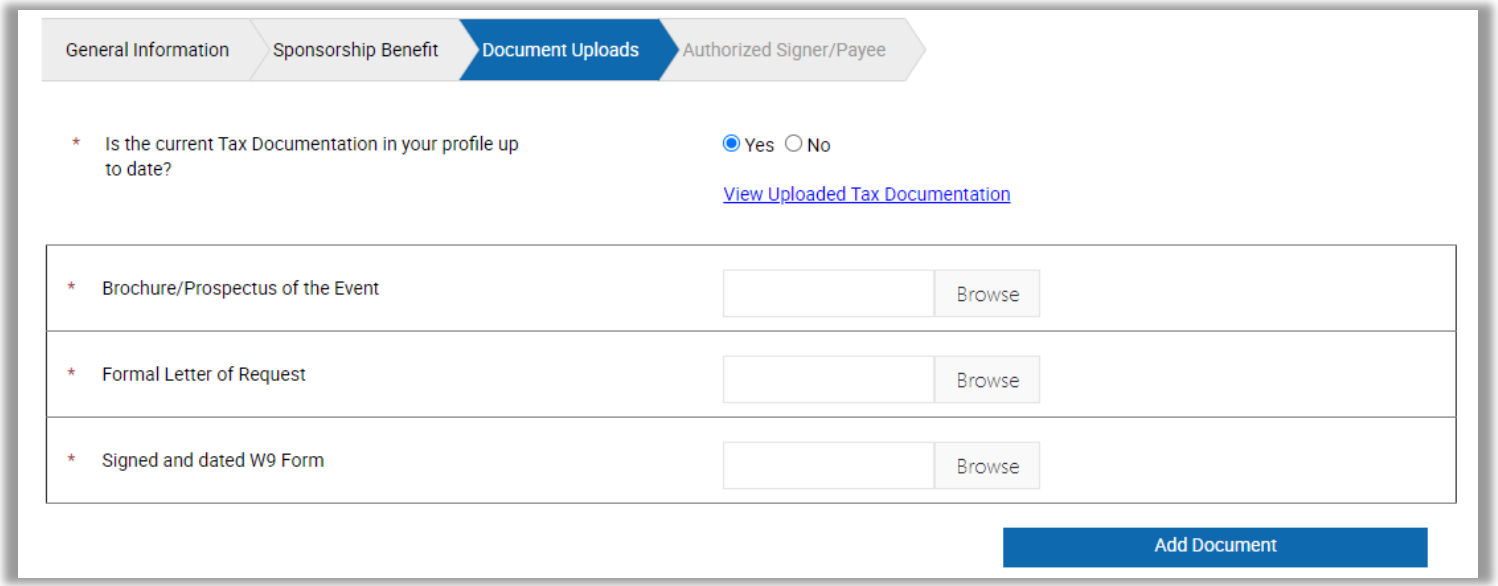
Sponsorships

- Complete the "Sponsorship Benefit" tab



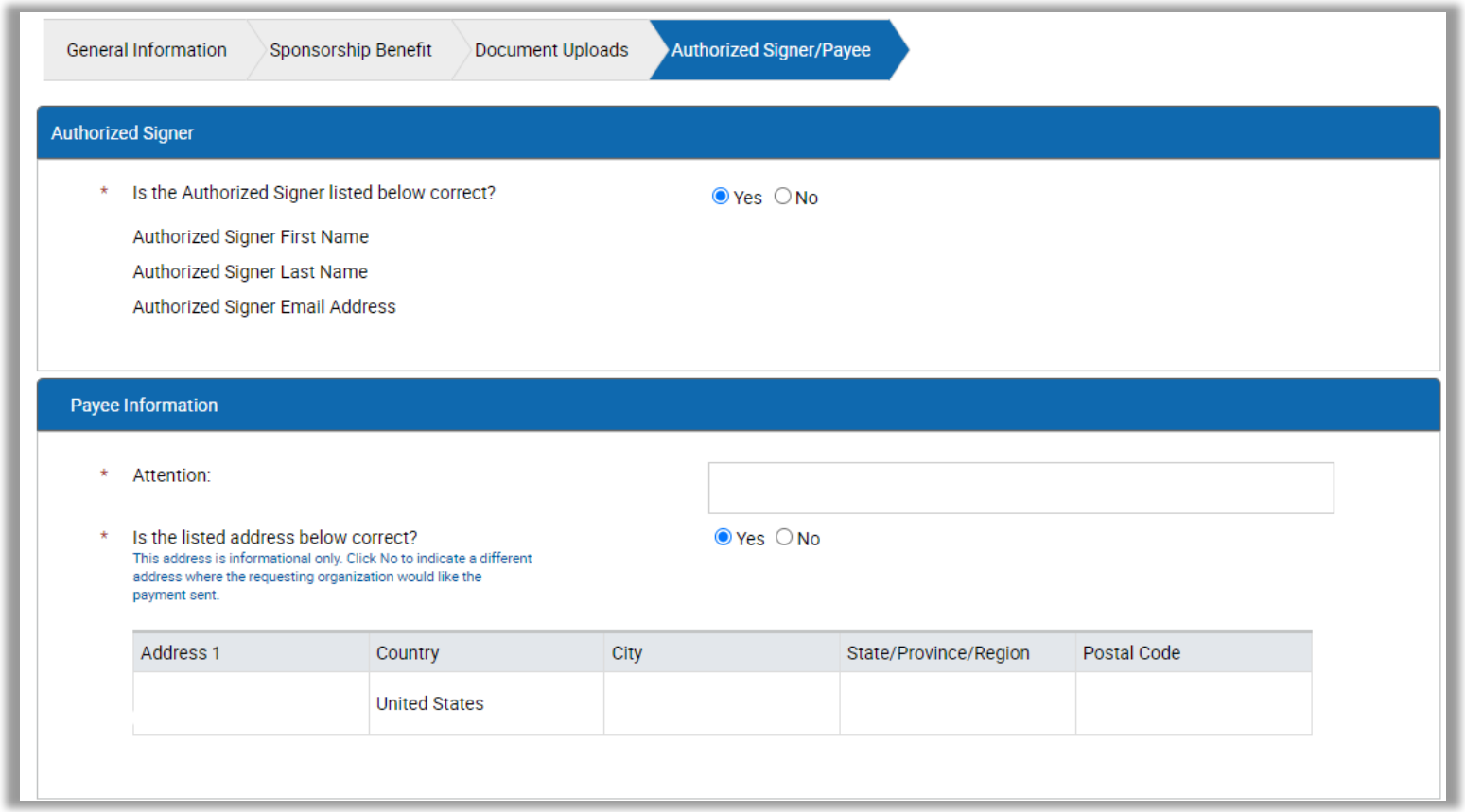
Sponsorships

- Complete the "Document Uploads" tab
- **Tip:** For the "Brochure/ Prospectus of Event" field, you may upload the same event brochure or a pdf of your website as on the prior tab. Or you may upload an additional document which describes the sponsorship benefits.
- **Click** "Save and Proceed to Next Step"



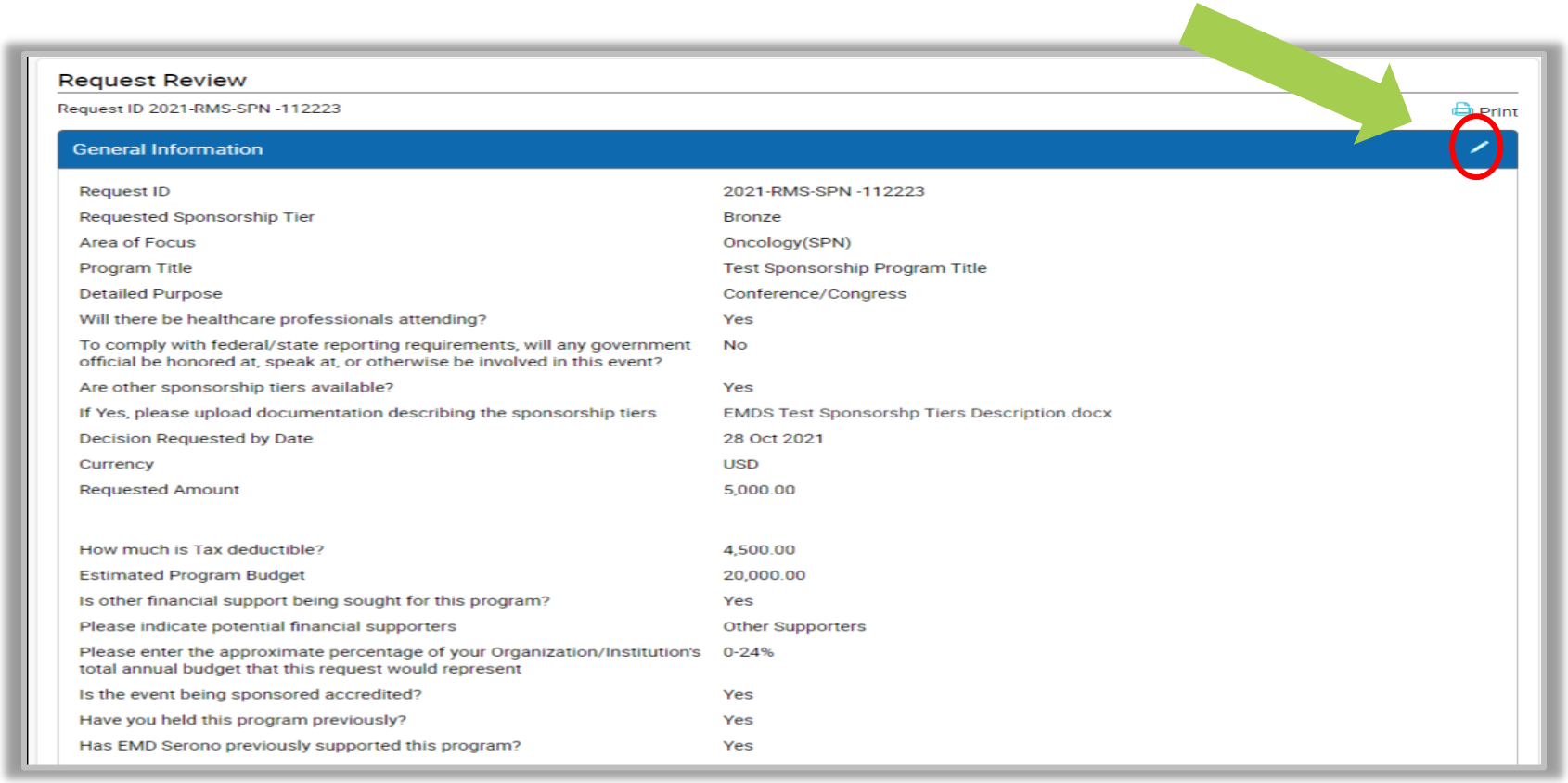
Sponsorships

- Complete the "Authorized Signer/Payee" tab
- **Tip:** If someone other than you will be signing the Agreement for funding, **click** the "no" button and enter that person's information
- **Note:** All payments are made by ACH transfers. If your request is approved, you will be contacted for your bank information



Sponsorships

- Review the entire request before you submit it
- If you need to revise a section, **click** on the "pencil" icon in the blue bar above the section



Request Review

Request ID 2021-RMS-SPN -112223

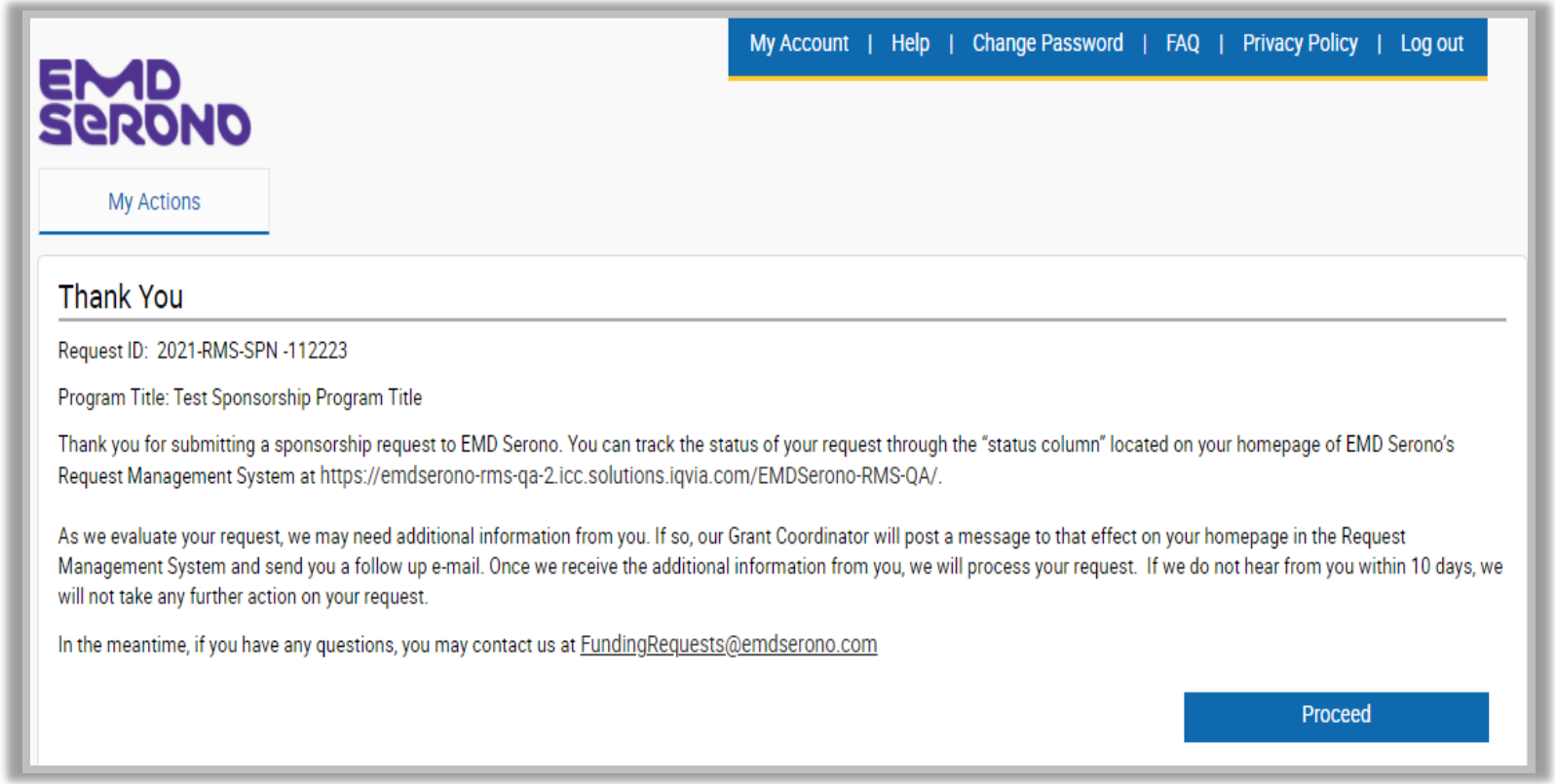
Print

General Information

Request ID	2021-RMS-SPN -112223
Requested Sponsorship Tier	Bronze
Area of Focus	Oncology(SPN)
Program Title	Test Sponsorship Program Title
Detailed Purpose	Conference/Congress
Will there be healthcare professionals attending?	Yes
To comply with federal/state reporting requirements, will any government official be honored at, speak at, or otherwise be involved in this event?	No
Are other sponsorship tiers available?	Yes
If Yes, please upload documentation describing the sponsorship tiers	EMDS Test Sponsorshp Tiers Description.docx
Decision Requested by Date	28 Oct 2021
Currency	USD
Requested Amount	5,000.00
How much is Tax deductible?	4,500.00
Estimated Program Budget	20,000.00
Is other financial support being sought for this program?	Yes
Please indicate potential financial supporters	Other Supporters
Please enter the approximate percentage of your Organization/Institution's total annual budget that this request would represent	0-24%
Is the event being sponsored accredited?	Yes
Have you held this program previously?	Yes
Has EMD Serono previously supported this program?	Yes

Sponsorships

- After submitting your Request, you will see a "Thank You" screen which acknowledges your submission
- If you want to go to your inbox, **click** the "Proceed" button



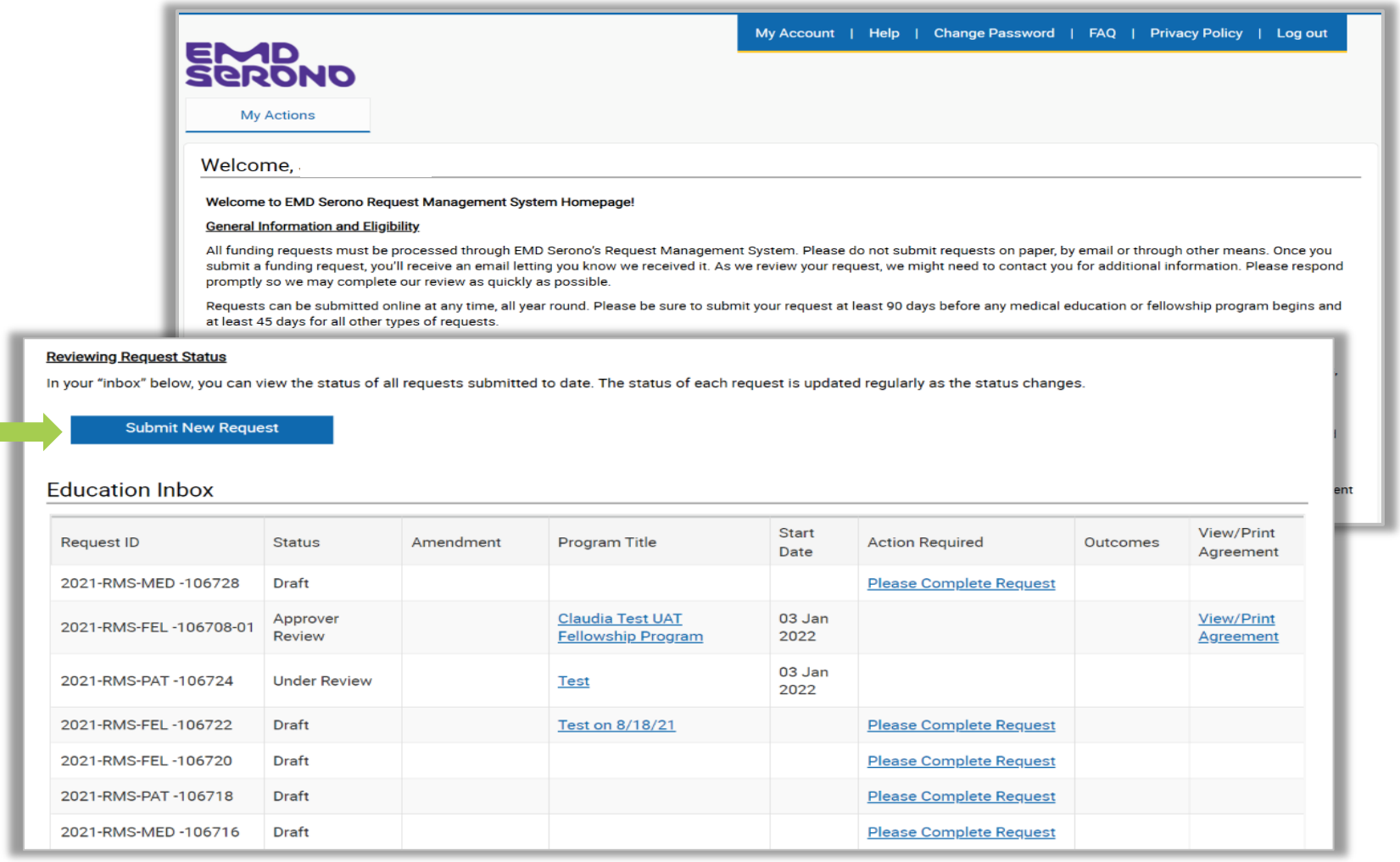
charitable contribution requests

EMD Serono

Charitable Contributions

How to Submit a Request

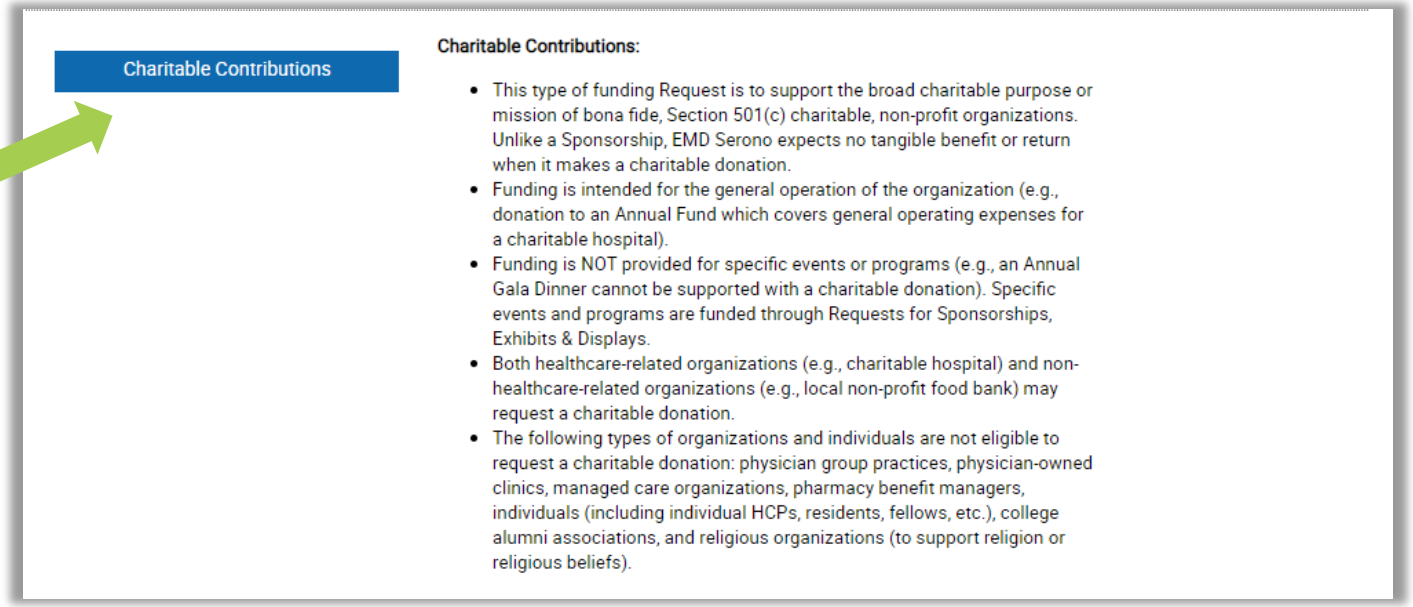
- Once you have logged in, **click** on "Submit New Request" button.



Charitable Contributions

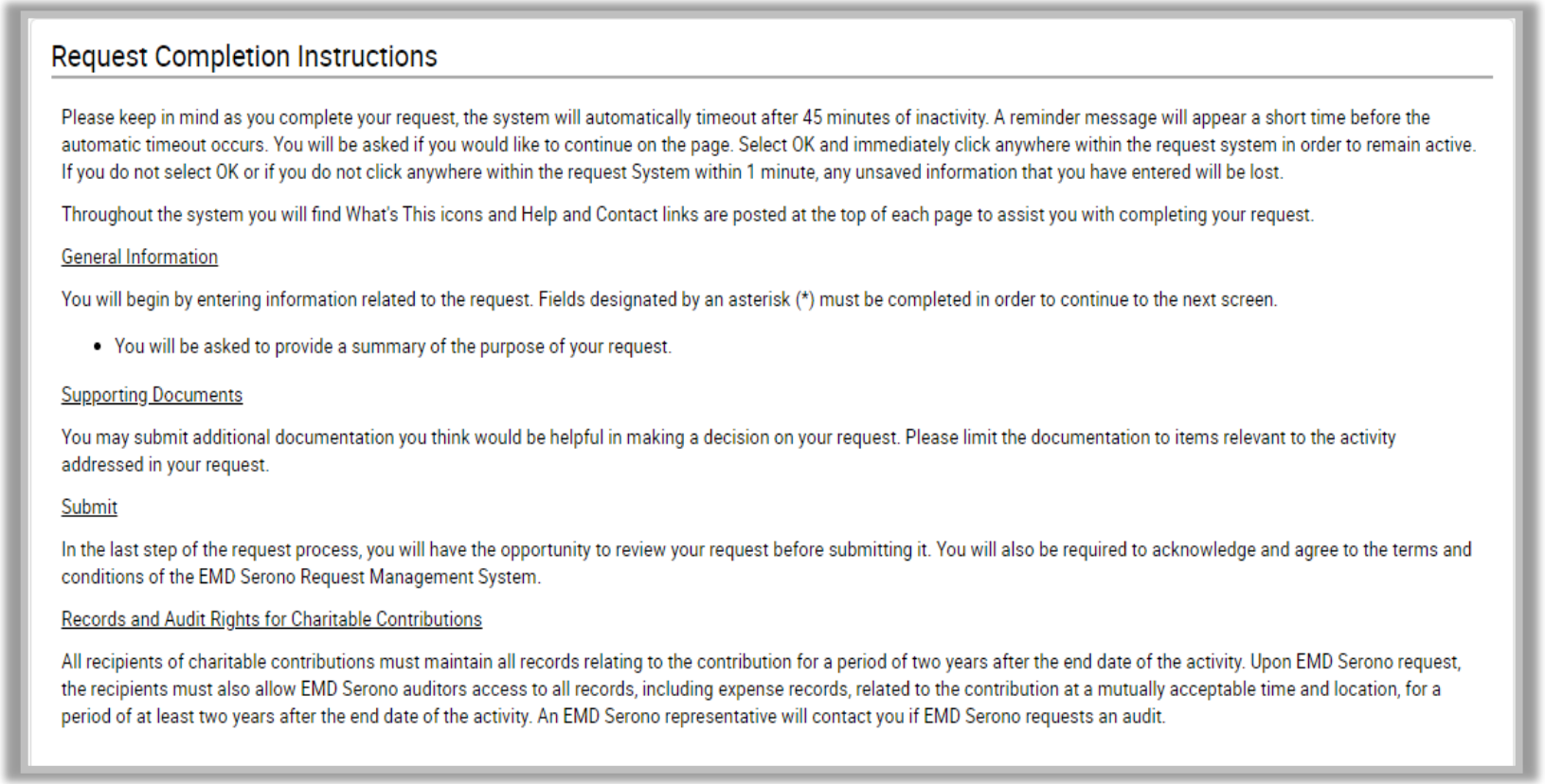
How to Submit a Request

- On the "Request Type Selection" page, **click** on "Charitable Contributions"



Charitable Contributions

- Read the "Request Completion Instructions"
- Then **click** the "Proceed" button



Request Completion Instructions

Please keep in mind as you complete your request, the system will automatically timeout after 45 minutes of inactivity. A reminder message will appear a short time before the automatic timeout occurs. You will be asked if you would like to continue on the page. Select OK and immediately click anywhere within the request system in order to remain active. If you do not select OK or if you do not click anywhere within the request System within 1 minute, any unsaved information that you have entered will be lost.

Throughout the system you will find What's This icons and Help and Contact links are posted at the top of each page to assist you with completing your request.

General Information

You will begin by entering information related to the request. Fields designated by an asterisk (*) must be completed in order to continue to the next screen.

- You will be asked to provide a summary of the purpose of your request.

Supporting Documents

You may submit additional documentation you think would be helpful in making a decision on your request. Please limit the documentation to items relevant to the activity addressed in your request.

Submit

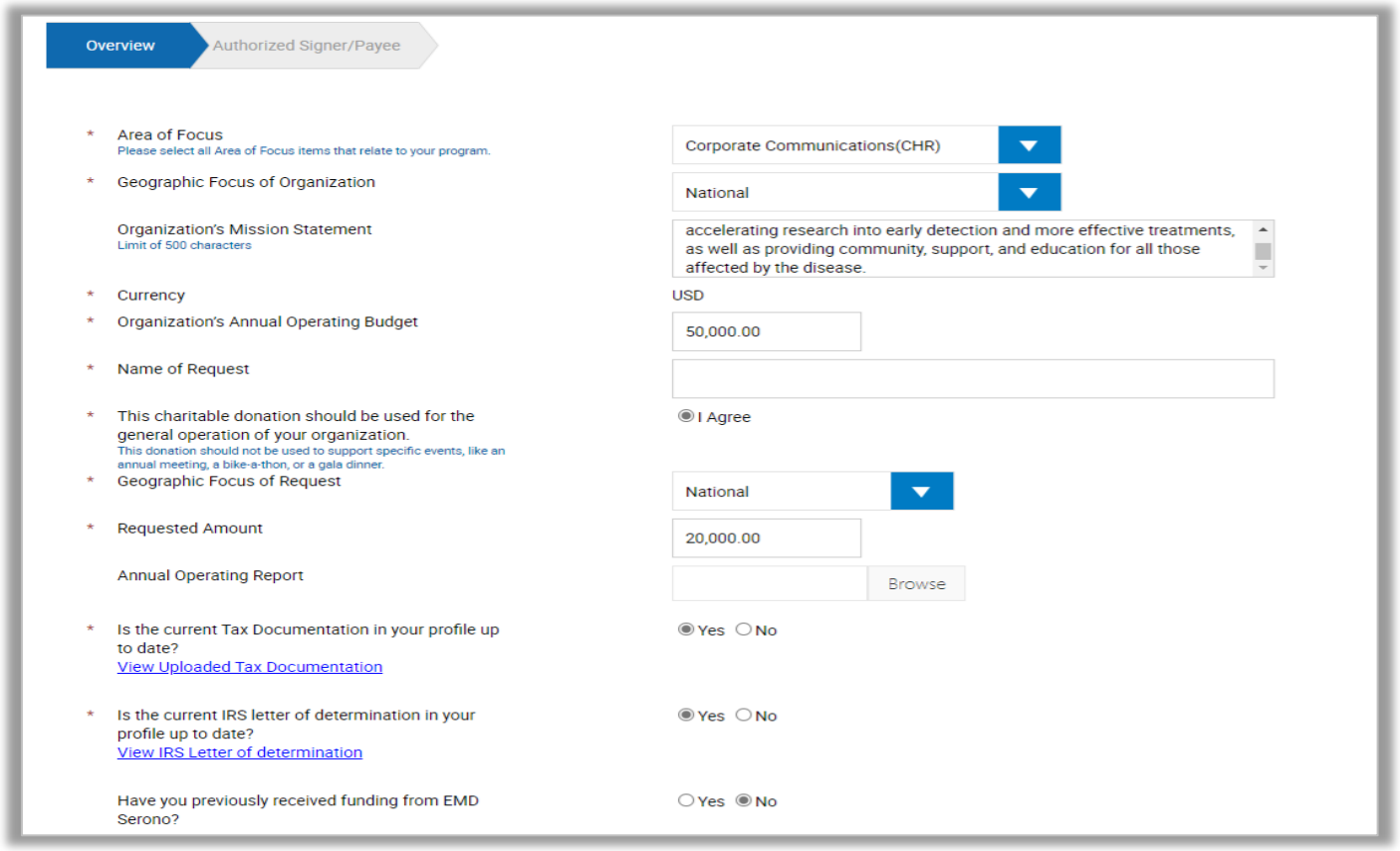
In the last step of the request process, you will have the opportunity to review your request before submitting it. You will also be required to acknowledge and agree to the terms and conditions of the EMD Serono Request Management System.

Records and Audit Rights for Charitable Contributions

All recipients of charitable contributions must maintain all records relating to the contribution for a period of two years after the end date of the activity. Upon EMD Serono request, the recipients must also allow EMD Serono auditors access to all records, including expense records, related to the contribution at a mutually acceptable time and location, for a period of at least two years after the end date of the activity. An EMD Serono representative will contact you if EMD Serono requests an audit.

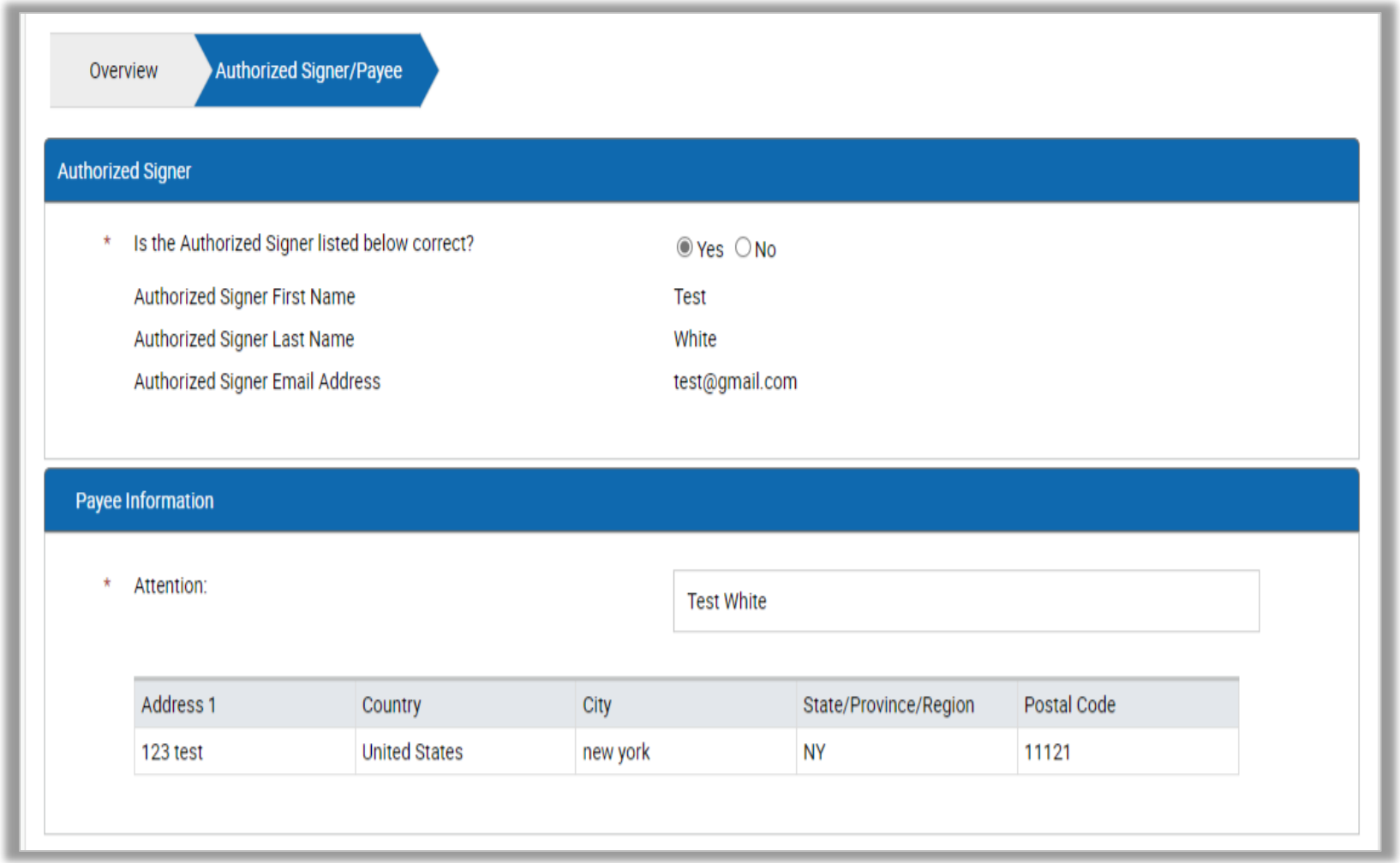
Charitable Contributions

- Complete the "Overview" tab
- **Tip:**
  - For the "Name of Request" field, type in **"Charitable Contribution for general operations"**
    - Do not type in a project name, program name, activity, or any description on how the funds will be used. Charitable contributions are not tied to any project, program, activity, event, etc.
  - For the "Geographic Focus of Request" field, provide information about the geographic reach of your organization (local, regional, etc.)
- **Click** "Save and Proceed to Next Step"



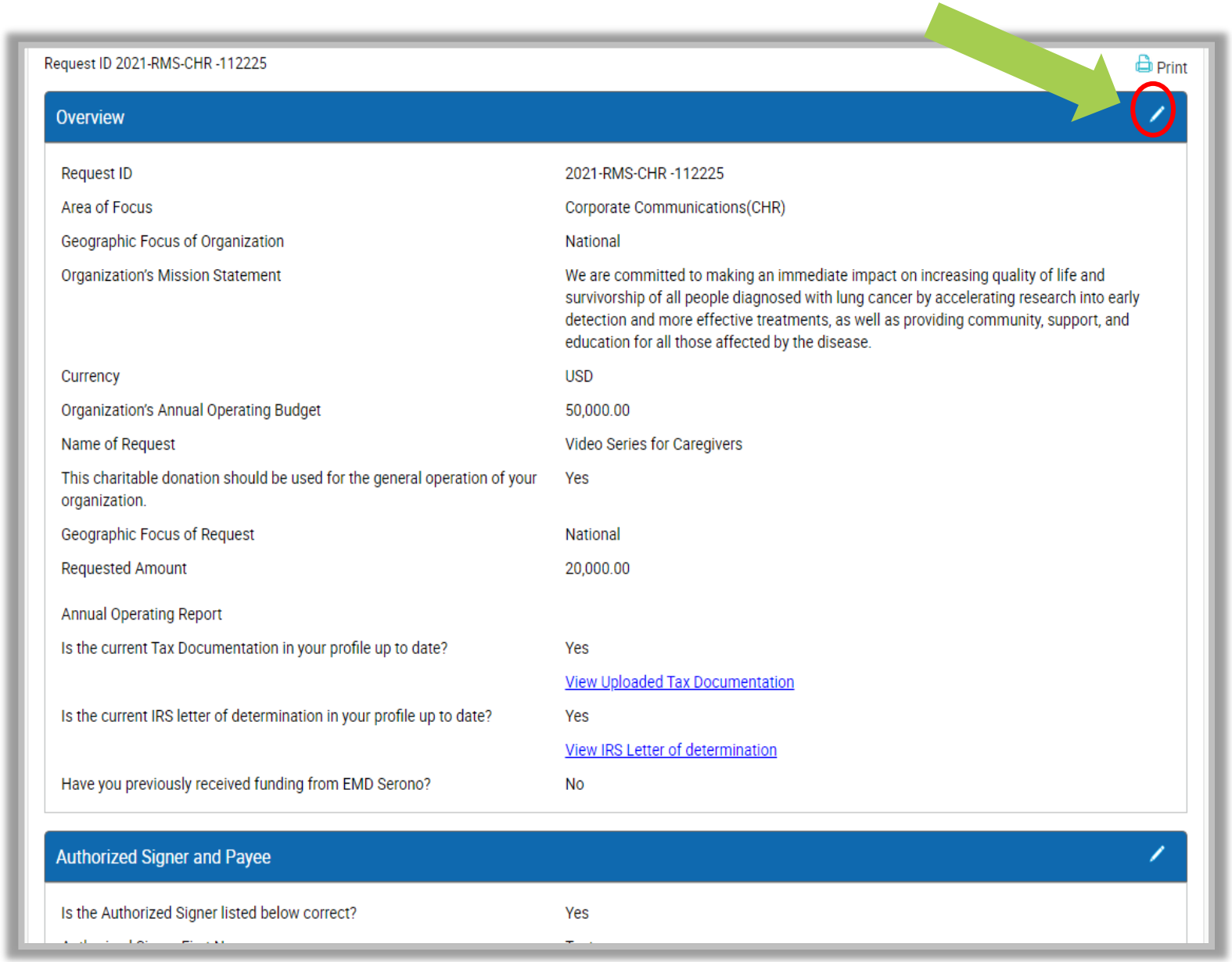
Charitable Contributions

- Complete the "Authorized Signer/Payee" tab
- **Tip:** If someone other than you will be signing the Agreement for funding, **click** the "no" button and enter that person's information
- **Note:** All payments are made by ACH transfers. If your request is approved, you will be contacted for your bank information



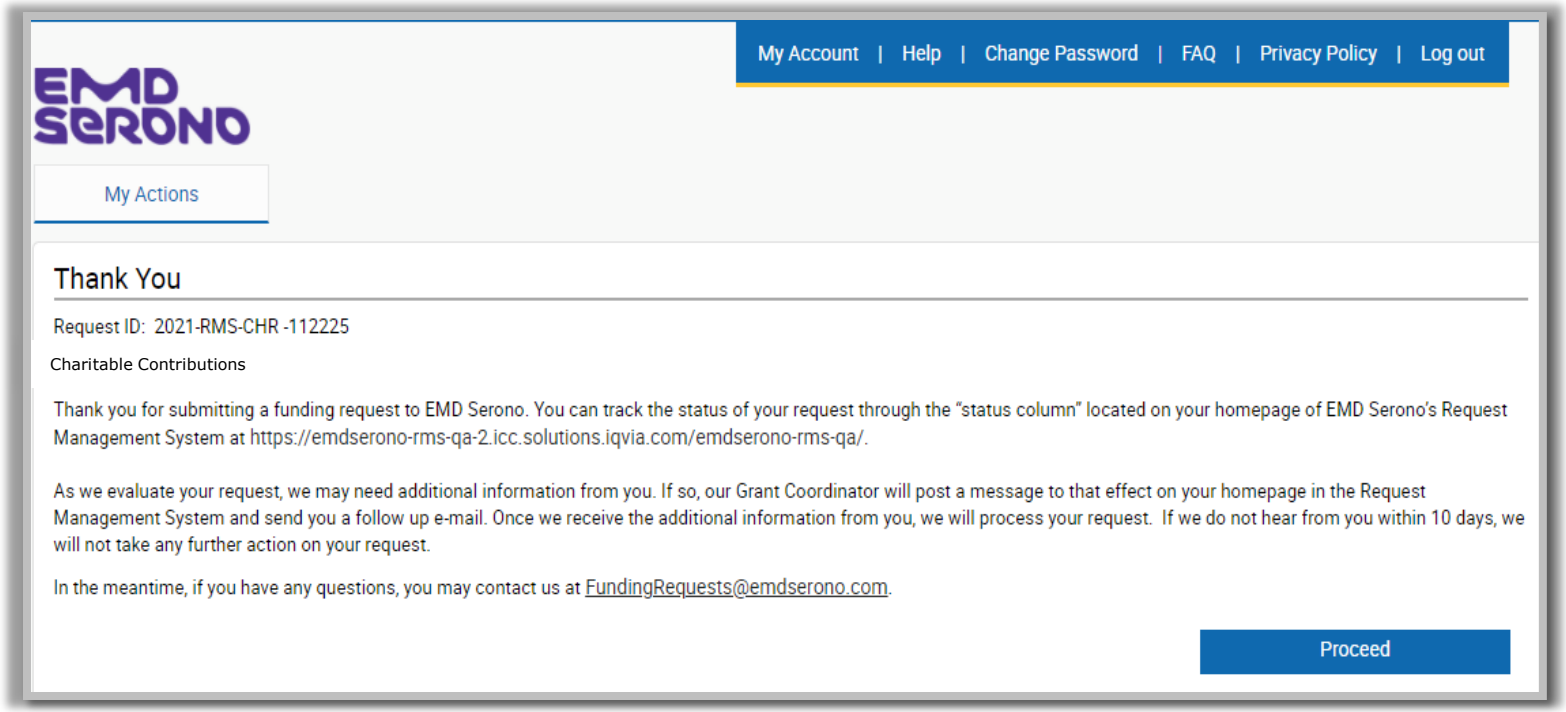
Charitable Contributions

- Review the entire request before you submit it
- If you need to revise a section, **click** on the "pencil" icon in the blue bar above the section



Charitable Contributions

- After submitting your Request, you will see a "Thank You" screen which acknowledges your submission
- If you want to go to your inbox, **click** the "Proceed" button



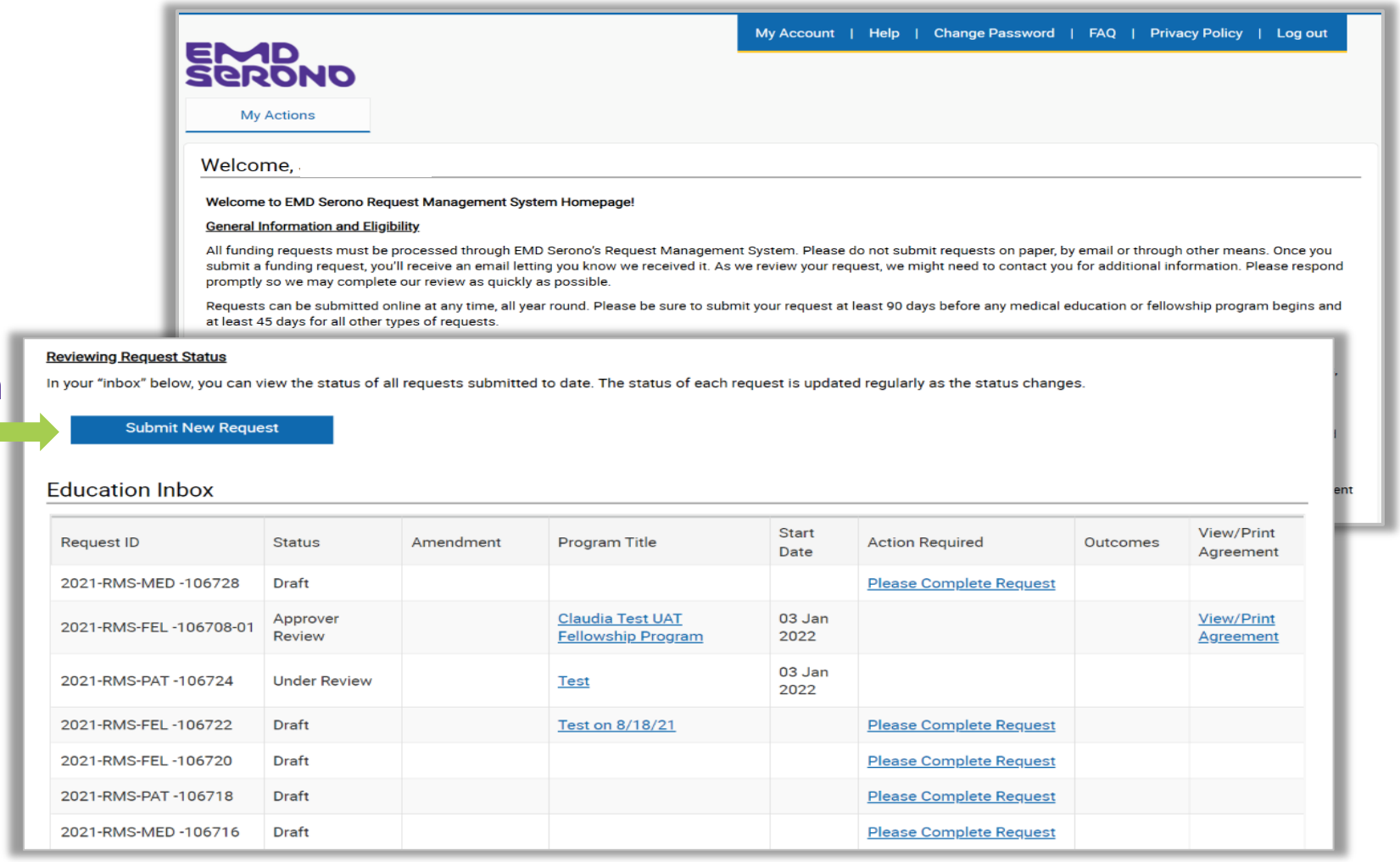
patient education requests

EMD Serono

Patient Education

How to Submit a Request

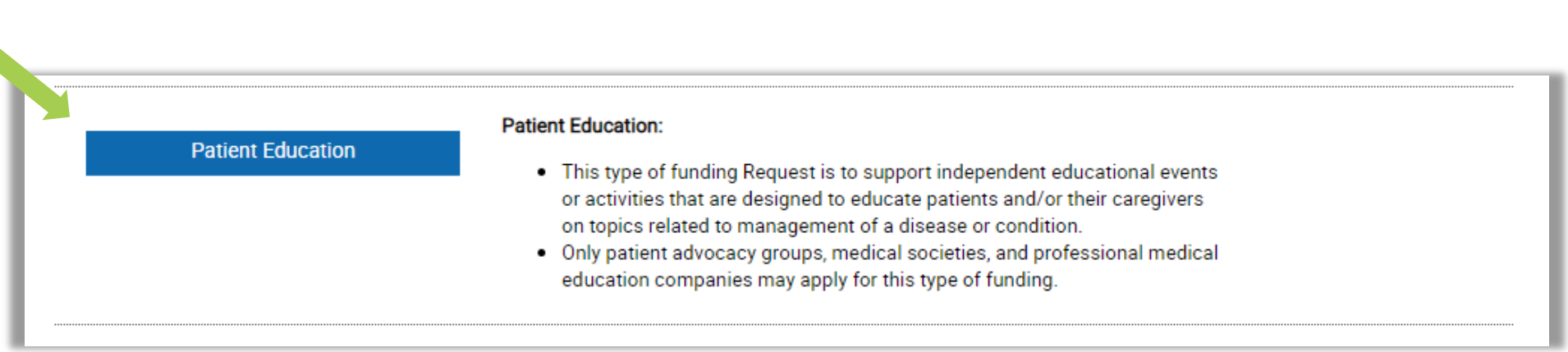
- Once you have logged in, **click** on "Submit New Request" button



Patient Education

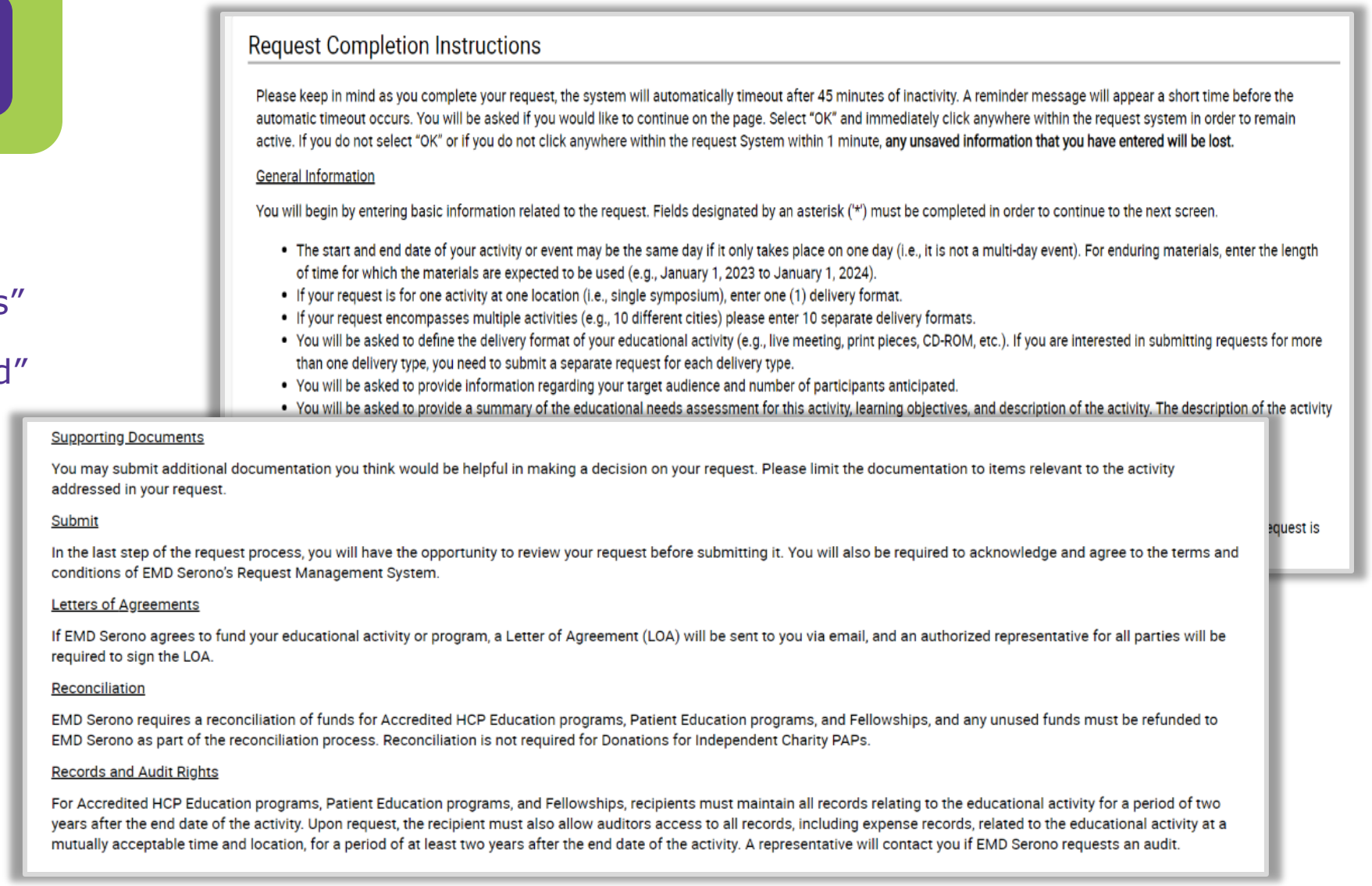
How to Submit a Request

- On the "Request Type Selection" page, **click** on "Patient Education"



Patient Education

- Read the "Request Completion Instructions"
- Then **click** the "Proceed" button



Request Completion Instructions

Please keep in mind as you complete your request, the system will automatically timeout after 45 minutes of inactivity. A reminder message will appear a short time before the automatic timeout occurs. You will be asked if you would like to continue on the page. Select "OK" and immediately click anywhere within the request system in order to remain active. If you do not select "OK" or if you do not click anywhere within the request System within 1 minute, **any unsaved information that you have entered will be lost.**

General Information

You will begin by entering basic information related to the request. Fields designated by an asterisk ('*') must be completed in order to continue to the next screen.

- The start and end date of your activity or event may be the same day if it only takes place on one day (i.e., it is not a multi-day event). For enduring materials, enter the length of time for which the materials are expected to be used (e.g., January 1, 2023 to January 1, 2024).
- If your request is for one activity at one location (i.e., single symposium), enter one (1) delivery format.
- If your request encompasses multiple activities (e.g., 10 different cities) please enter 10 separate delivery formats.
- You will be asked to define the delivery format of your educational activity (e.g., live meeting, print pieces, CD-ROM, etc.). If you are interested in submitting requests for more than one delivery type, you need to submit a separate request for each delivery type.
- You will be asked to provide information regarding your target audience and number of participants anticipated.
- You will be asked to provide a summary of the educational needs assessment for this activity, learning objectives, and description of the activity. The description of the activity

equest is

Supporting Documents

You may submit additional documentation you think would be helpful in making a decision on your request. Please limit the documentation to items relevant to the activity addressed in your request.

Submit

In the last step of the request process, you will have the opportunity to review your request before submitting it. You will also be required to acknowledge and agree to the terms and conditions of EMD Serono's Request Management System.

Letters of Agreements

If EMD Serono agrees to fund your educational activity or program, a Letter of Agreement (LOA) will be sent to you via email, and an authorized representative for all parties will be required to sign the LOA.

Reconciliation

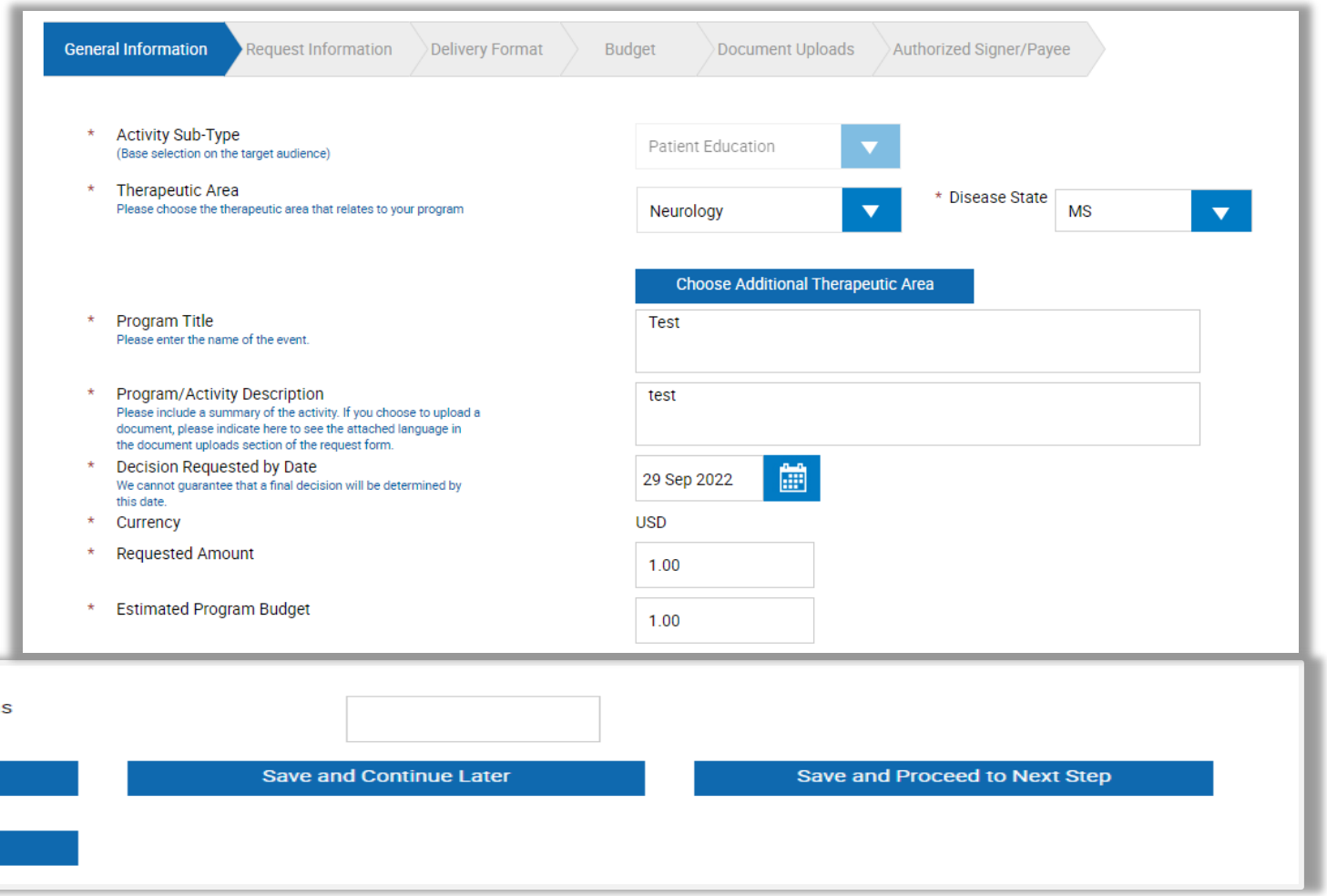
EMD Serono requires a reconciliation of funds for Accredited HCP Education programs, Patient Education programs, and Fellowships, and any unused funds must be refunded to EMD Serono as part of the reconciliation process. Reconciliation is not required for Donations for Independent Charity PAPs.

Records and Audit Rights

For Accredited HCP Education programs, Patient Education programs, and Fellowships, recipients must maintain all records relating to the educational activity for a period of two years after the end date of the activity. Upon request, the recipient must also allow auditors access to all records, including expense records, related to the educational activity at a mutually acceptable time and location, for a period of at least two years after the end date of the activity. A representative will contact you if EMD Serono requests an audit.

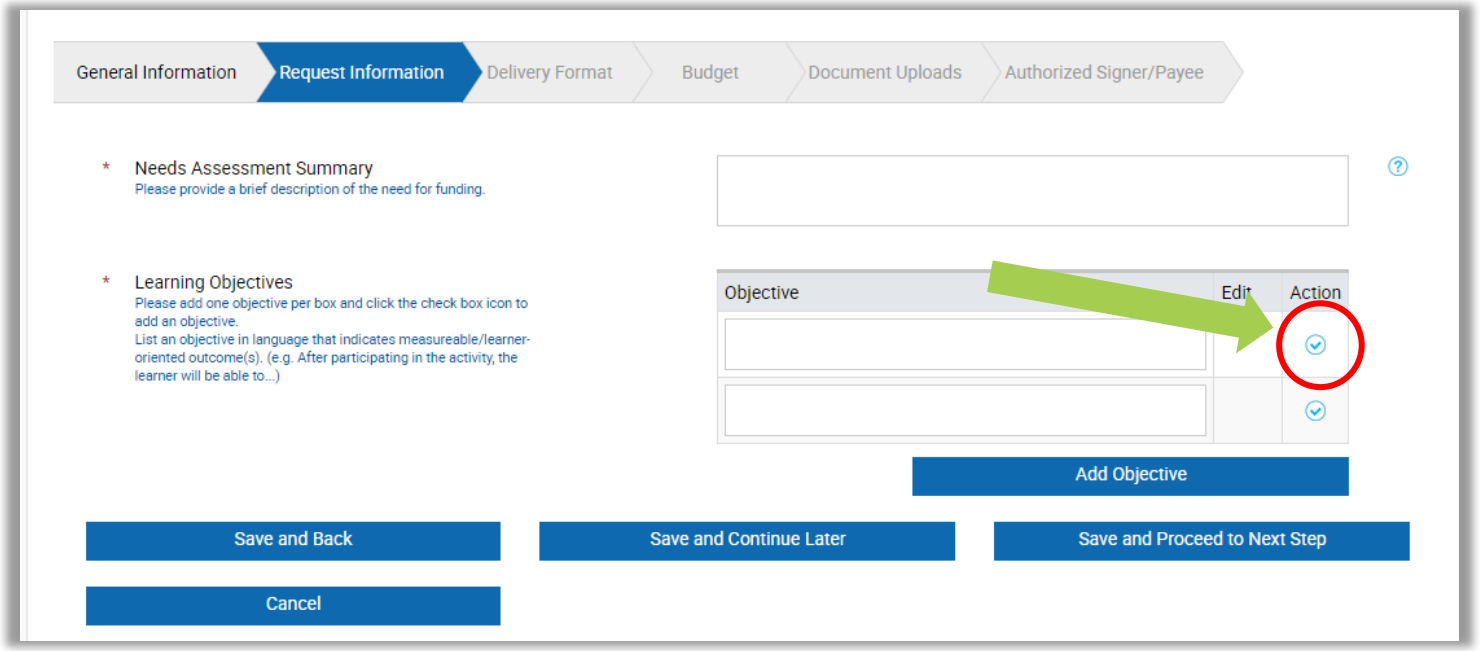
Patient Education

- Complete the "General Information" tab
- **Click** "Save and Proceed to Next Step"



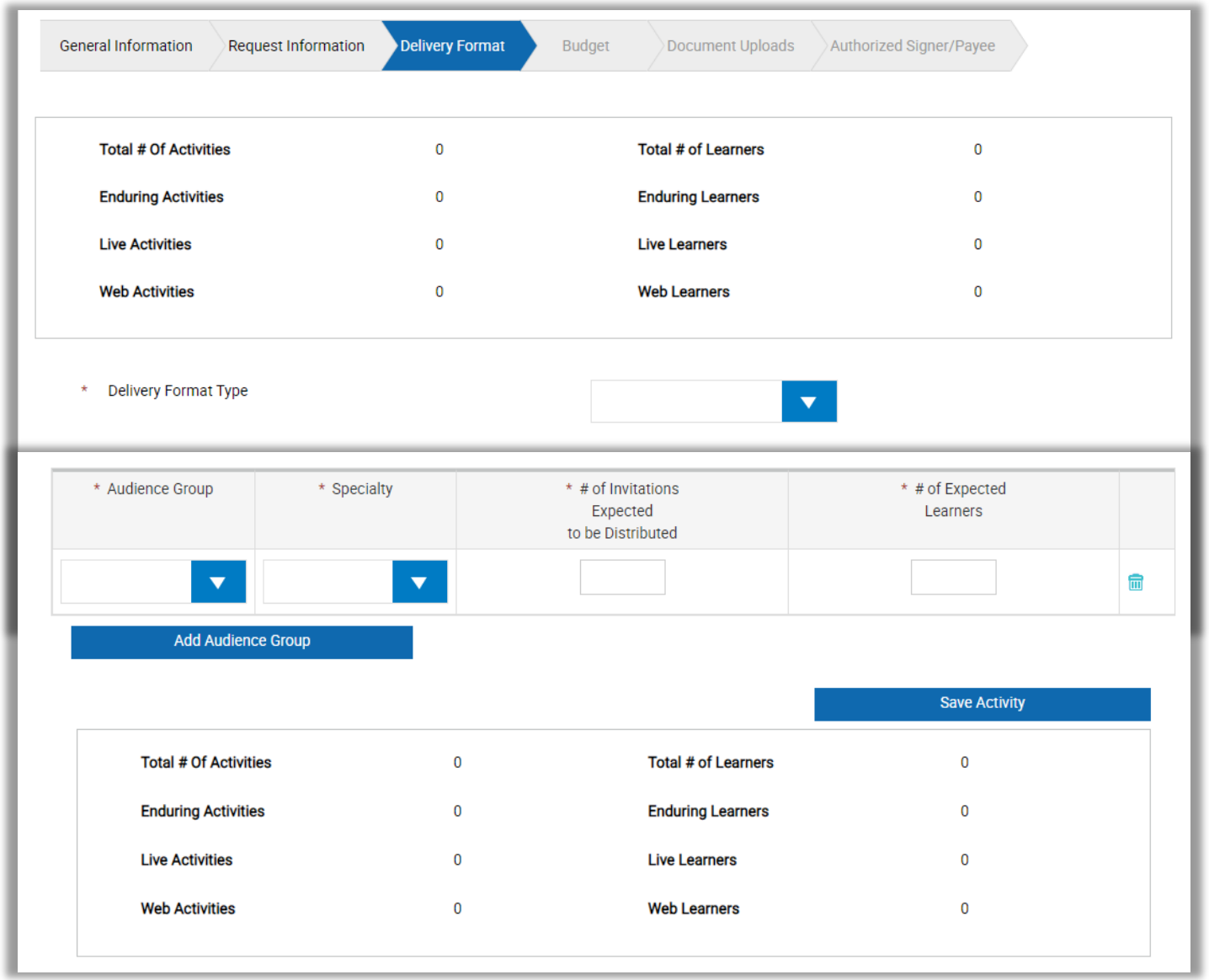
Patient Education

- Complete the "Request Information" tab
- **Tips:**
  - After typing in the Learning Objective, **click** the circle under the "Action" column on the far right
  - To add additional objectives, **click** "Add Objective"
- When done, **click** "Save and Proceed to Next Step"



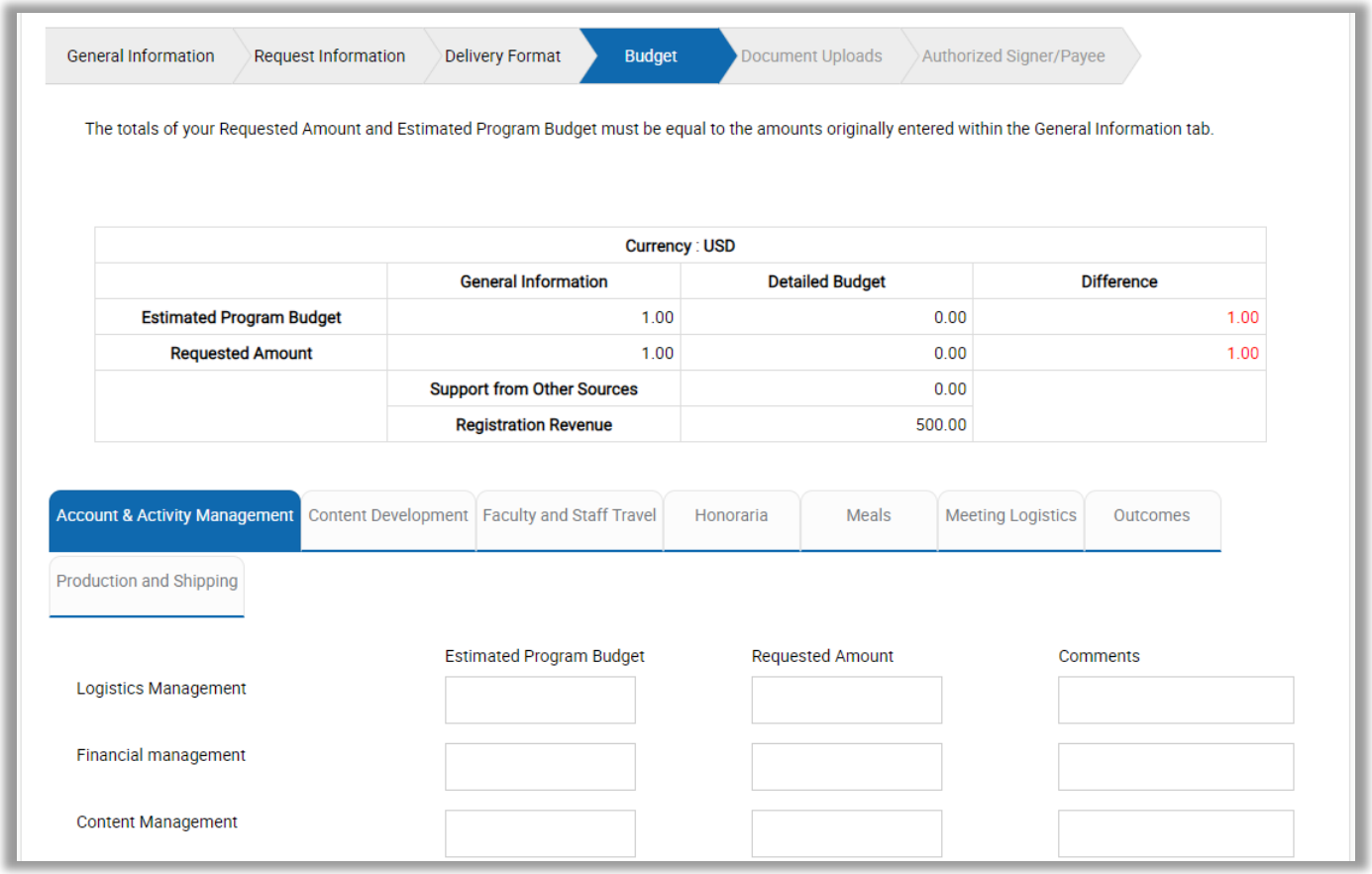
Patient Education

- Complete the "Delivery Format" tab



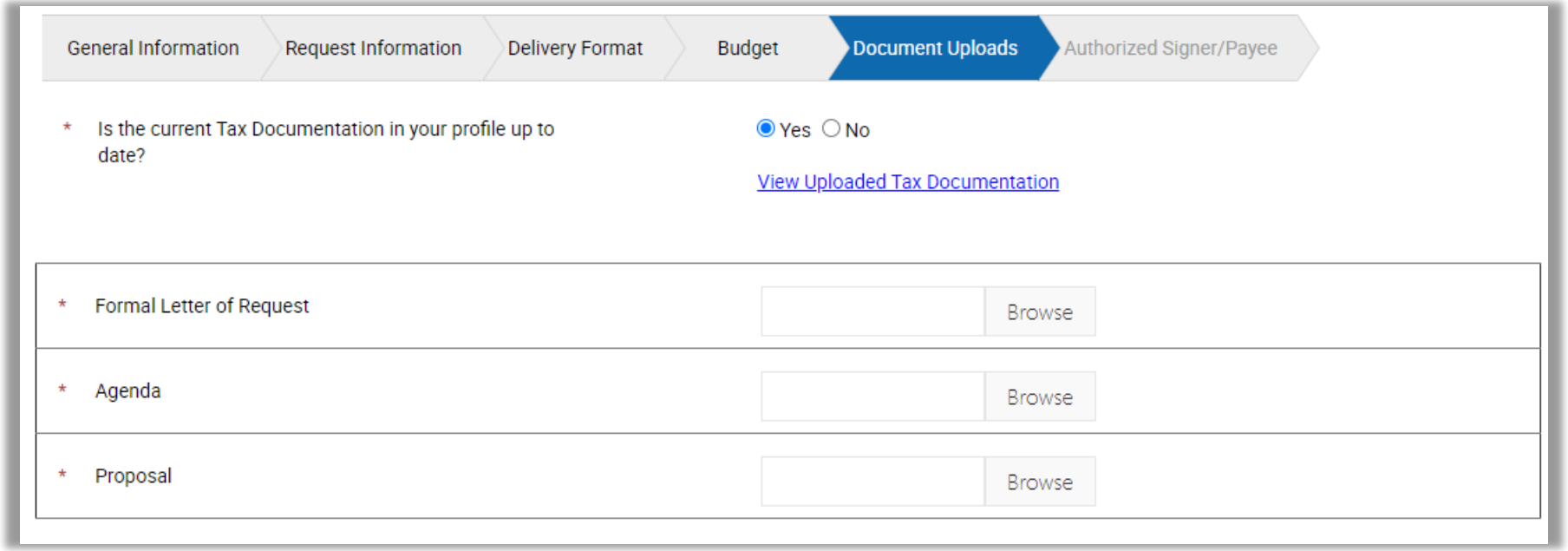
Patient Education

- Complete the "Budget" tab
- **Tips**:
  - There are separate tabs for:
    - Account & Activity Management
    - Content Development
    - Faculty & Staff Travel
    - Honoraria
    - Meals
    - Meeting Logistics
    - Outcomes
    - Production and Shipping
  - None of the tabs are mandatory, so only fill out the applicable ones; leave the rest blank
  - Amounts will be added up automatically



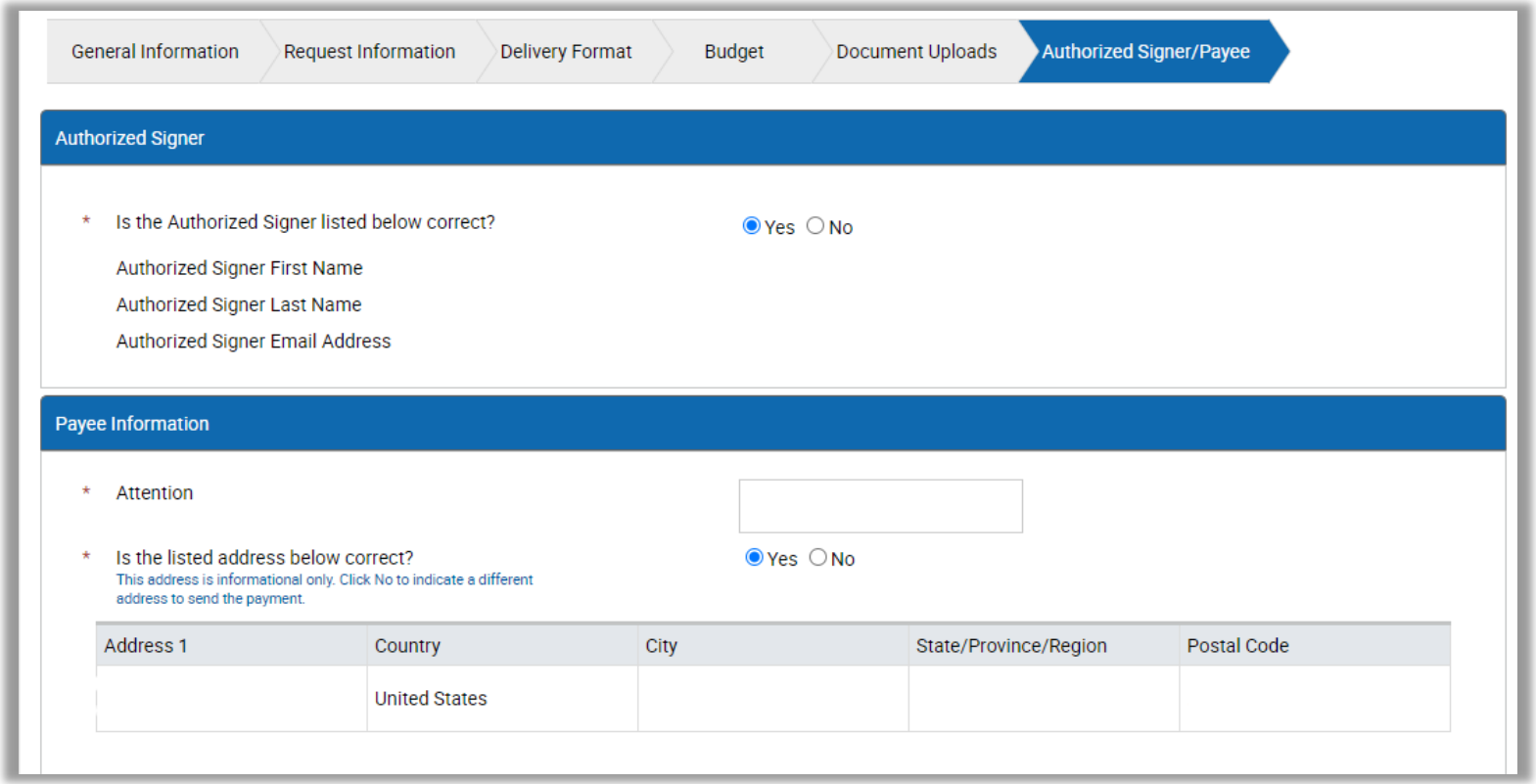
Patient Education

- Complete the "Document Uploads" tab



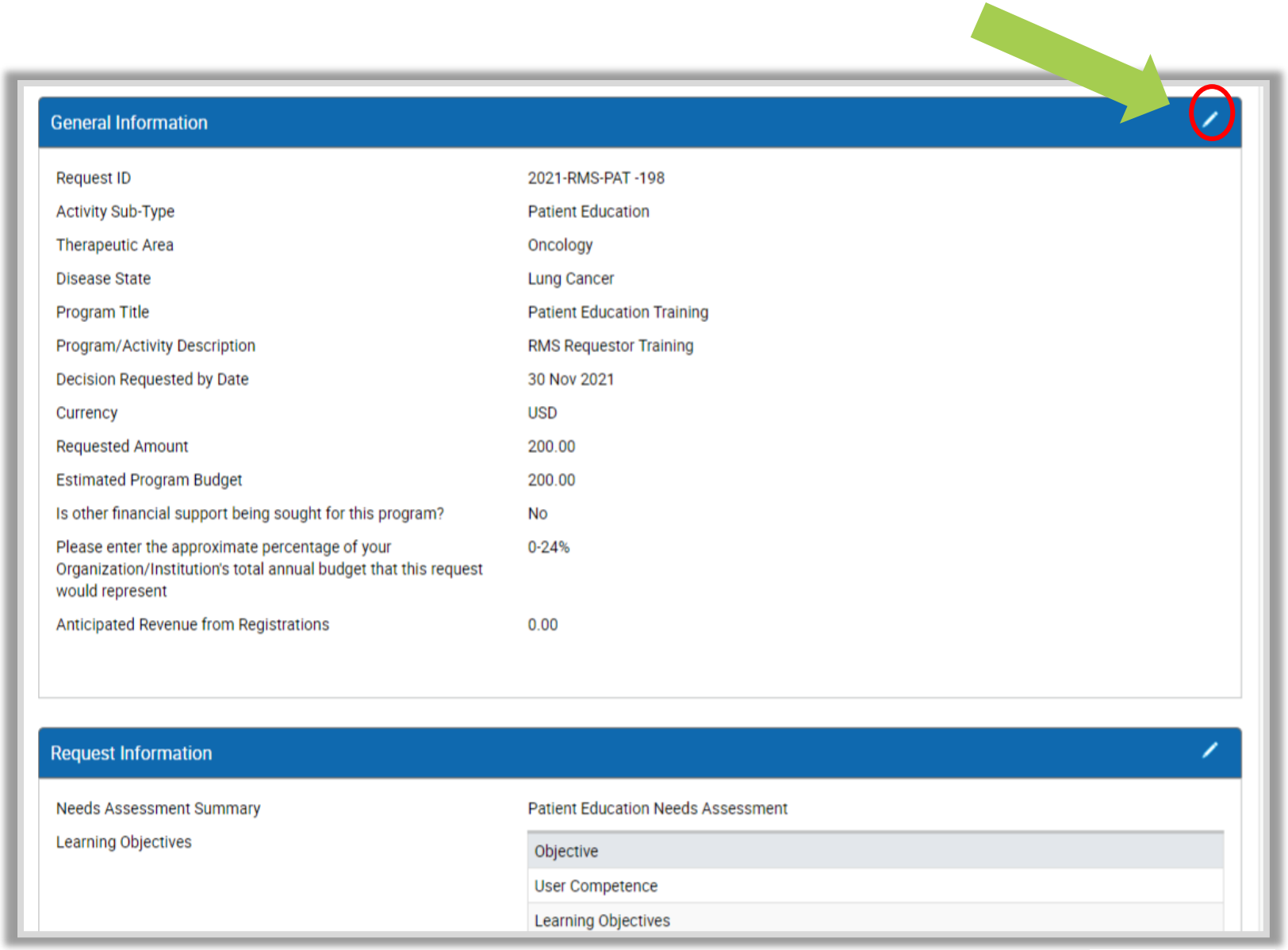
Patient Education

- Complete the "Authorized Signer/Payee" tab
- **Tip:** If someone other than you will be signing the Agreement for funding, **click** the "no" button and enter that person's information
- **Note:** All payments are made by ACH transfers. If your request is approved, you will be contacted for your bank information



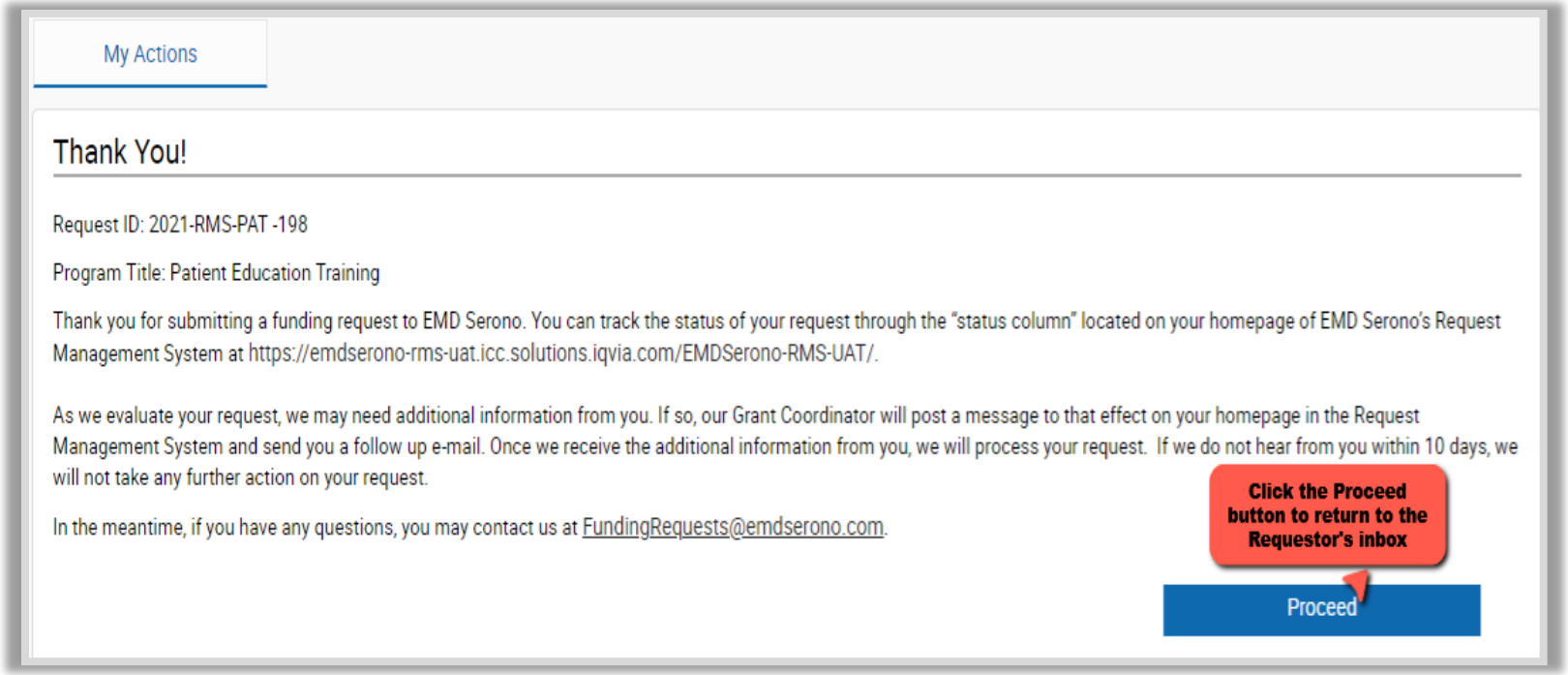
Patient Education

- Review the entire request before you submit it
- If you need to revise a section, **click** on the "pencil" icon in the blue bar above the section



Patient Education

- After submitting your Request, you will see a "Thank You" screen which acknowledges your submission
- If you want to go to your inbox, **click** the "Proceed" button



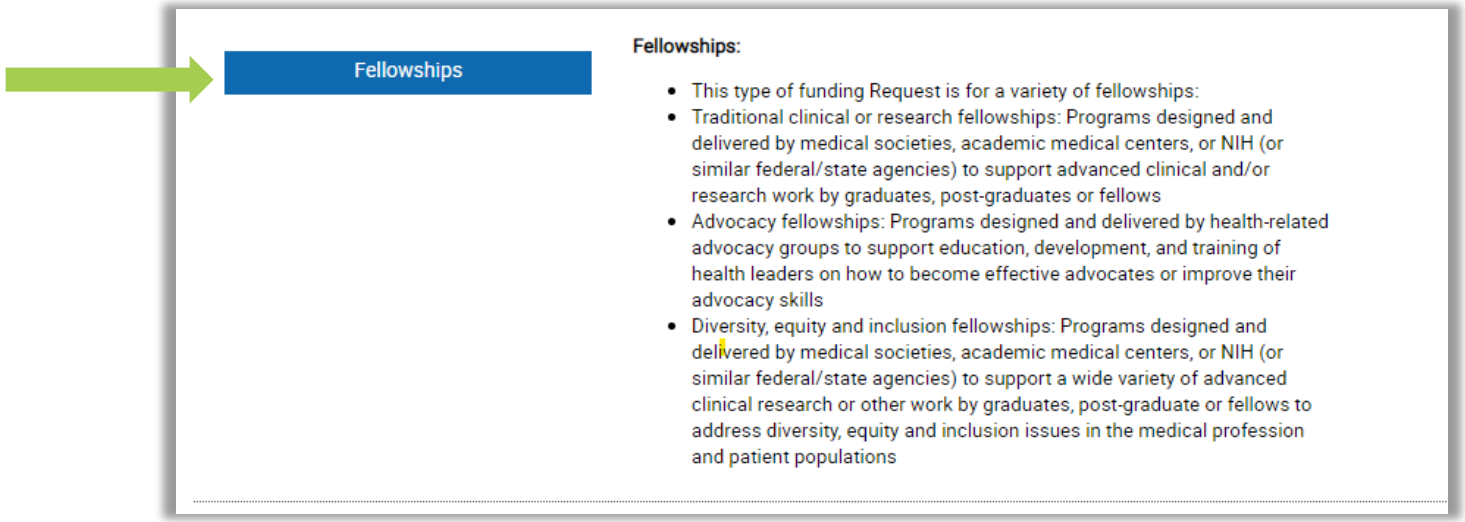
Fellowship Requests

EMD Serono

Fellowships

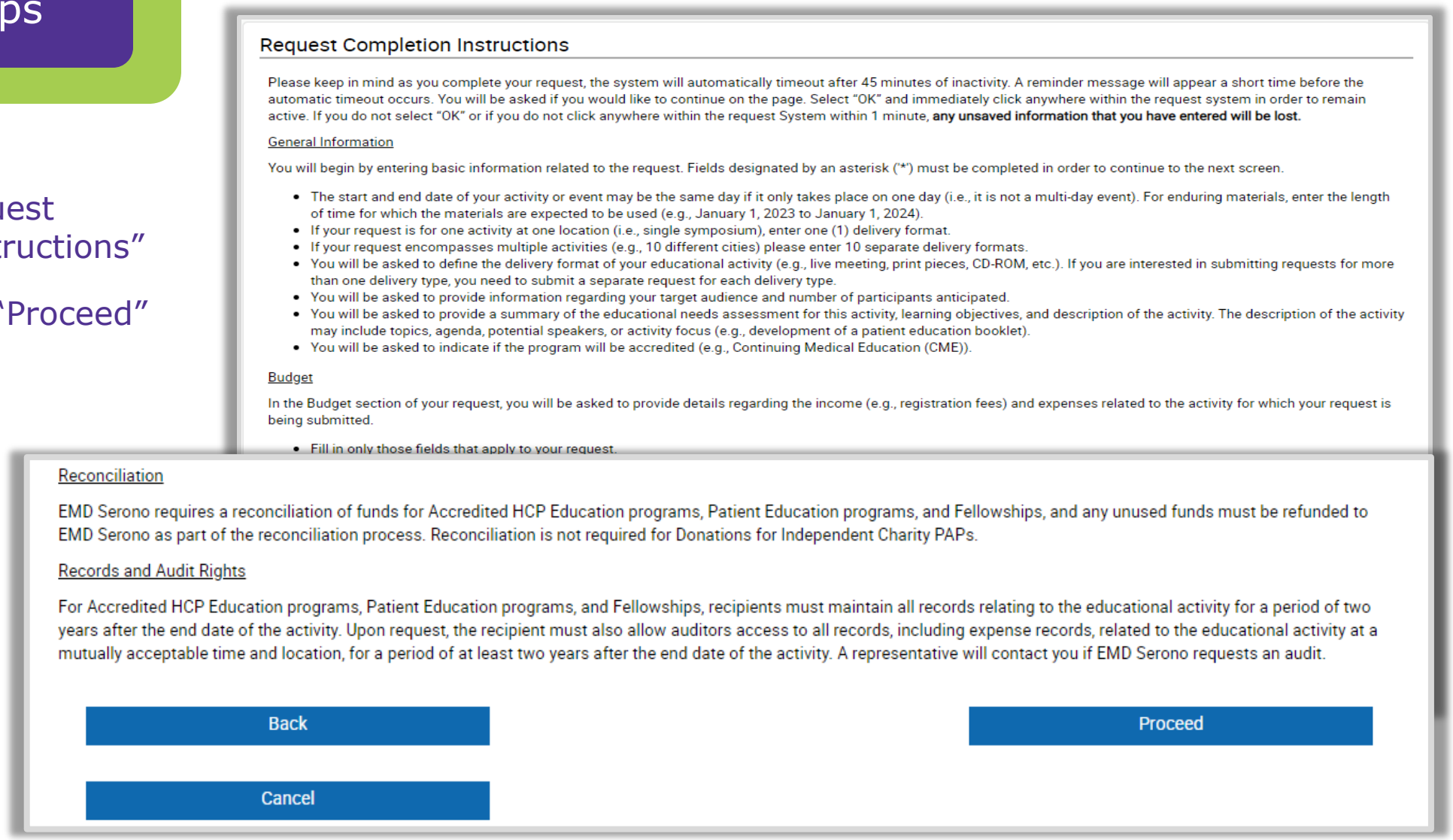
How to Submit a Request

- On the "Request Type Selection" page, **click** on "Fellowships"



Fellowships

- Read the "Request Completion Instructions"
- Then **click** the "Proceed" button



Request Completion Instructions

Please keep in mind as you complete your request, the system will automatically timeout after 45 minutes of inactivity. A reminder message will appear a short time before the automatic timeout occurs. You will be asked if you would like to continue on the page. Select "OK" and immediately click anywhere within the request system in order to remain active. If you do not select "OK" or if you do not click anywhere within the request System within 1 minute, **any unsaved information that you have entered will be lost.**

General Information

You will begin by entering basic information related to the request. Fields designated by an asterisk ('*') must be completed in order to continue to the next screen.

- The start and end date of your activity or event may be the same day if it only takes place on one day (i.e., it is not a multi-day event). For enduring materials, enter the length of time for which the materials are expected to be used (e.g., January 1, 2023 to January 1, 2024).
- If your request is for one activity at one location (i.e., single symposium), enter one (1) delivery format.
- If your request encompasses multiple activities (e.g., 10 different cities) please enter 10 separate delivery formats.
- You will be asked to define the delivery format of your educational activity (e.g., live meeting, print pieces, CD-ROM, etc.). If you are interested in submitting requests for more than one delivery type, you need to submit a separate request for each delivery type.
- You will be asked to provide information regarding your target audience and number of participants anticipated.
- You will be asked to provide a summary of the educational needs assessment for this activity, learning objectives, and description of the activity. The description of the activity may include topics, agenda, potential speakers, or activity focus (e.g., development of a patient education booklet).
- You will be asked to indicate if the program will be accredited (e.g., Continuing Medical Education (CME)).

Budget

In the Budget section of your request, you will be asked to provide details regarding the income (e.g., registration fees) and expenses related to the activity for which your request is being submitted.

- Fill in only those fields that apply to your request.

Reconciliation

EMD Serono requires a reconciliation of funds for Accredited HCP Education programs, Patient Education programs, and Fellowships, and any unused funds must be refunded to EMD Serono as part of the reconciliation process. Reconciliation is not required for Donations for Independent Charity PAPs.

Records and Audit Rights

For Accredited HCP Education programs, Patient Education programs, and Fellowships, recipients must maintain all records relating to the educational activity for a period of two years after the end date of the activity. Upon request, the recipient must also allow auditors access to all records, including expense records, related to the educational activity at a mutually acceptable time and location, for a period of at least two years after the end date of the activity. A representative will contact you if EMD Serono requests an audit.

Back | Proceed

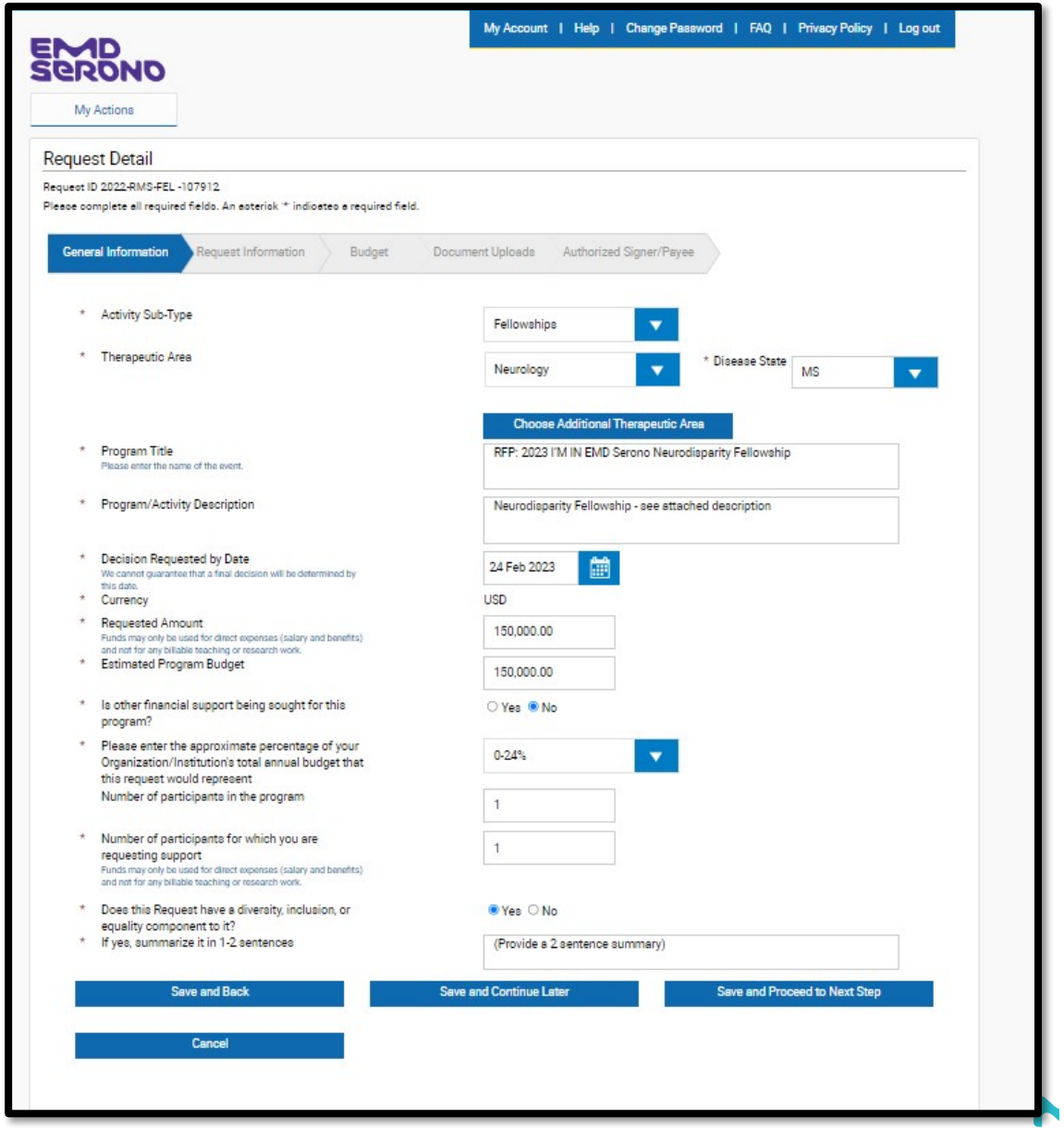
Cancel

Fellowships

- Complete the “General Information” tab
- **Click** “Save and Proceed to Next Step”

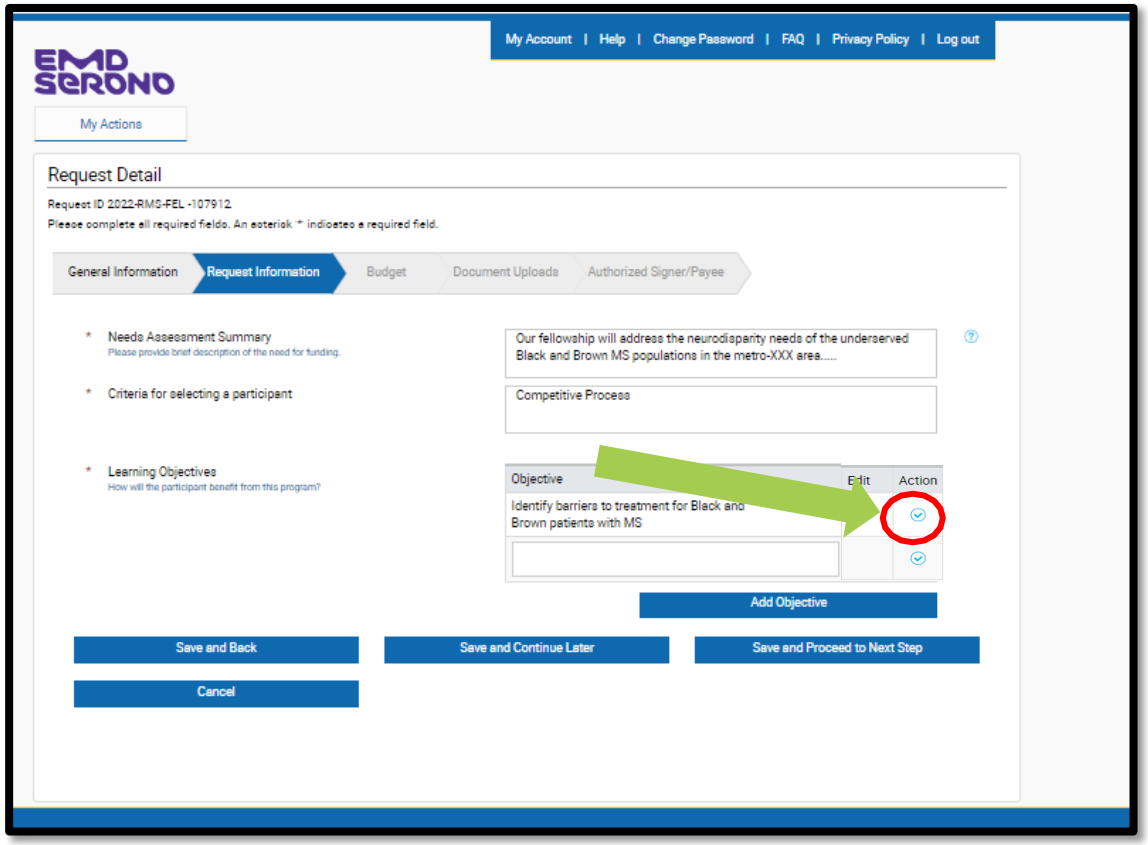
Fellowships

- Complete the “General Information” tab.
- **Click** “Save and Proceed to Next Step”



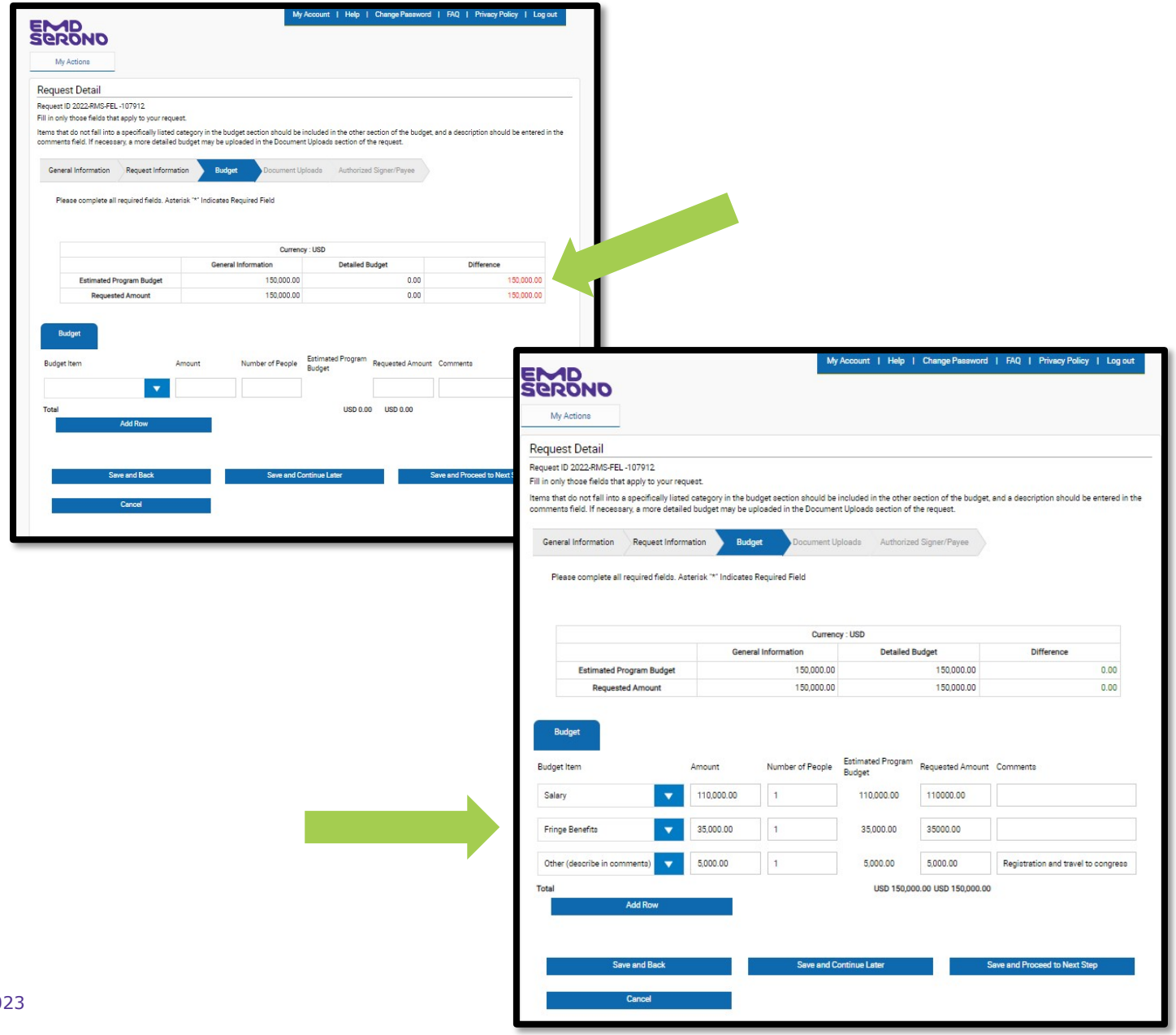
Fellowships

- Complete the “Request Information” tab. Fill out fields as indicated below:
  - Needs Assessment Summary: Tell us about the “need” your fellowship will address. You can also refer to an uploaded document (uploaded later on).
  - Criteria for selecting a participant: For compliance reasons, simply type “Competitive Process” and provide no further information
  - Learning Objectives: The system requires you to enter at least one Learning Objective.
  - **IMPORTANT:** You must type in an objective and then **click** the checkmark under the “Action” column on the far right. Once you do, a pencil icon will appear in the “Edit” column. If you wish, you may type in a second objective and then **click** the checkmark next to it.
- When done, **click** “Save and Proceed to Next Step”



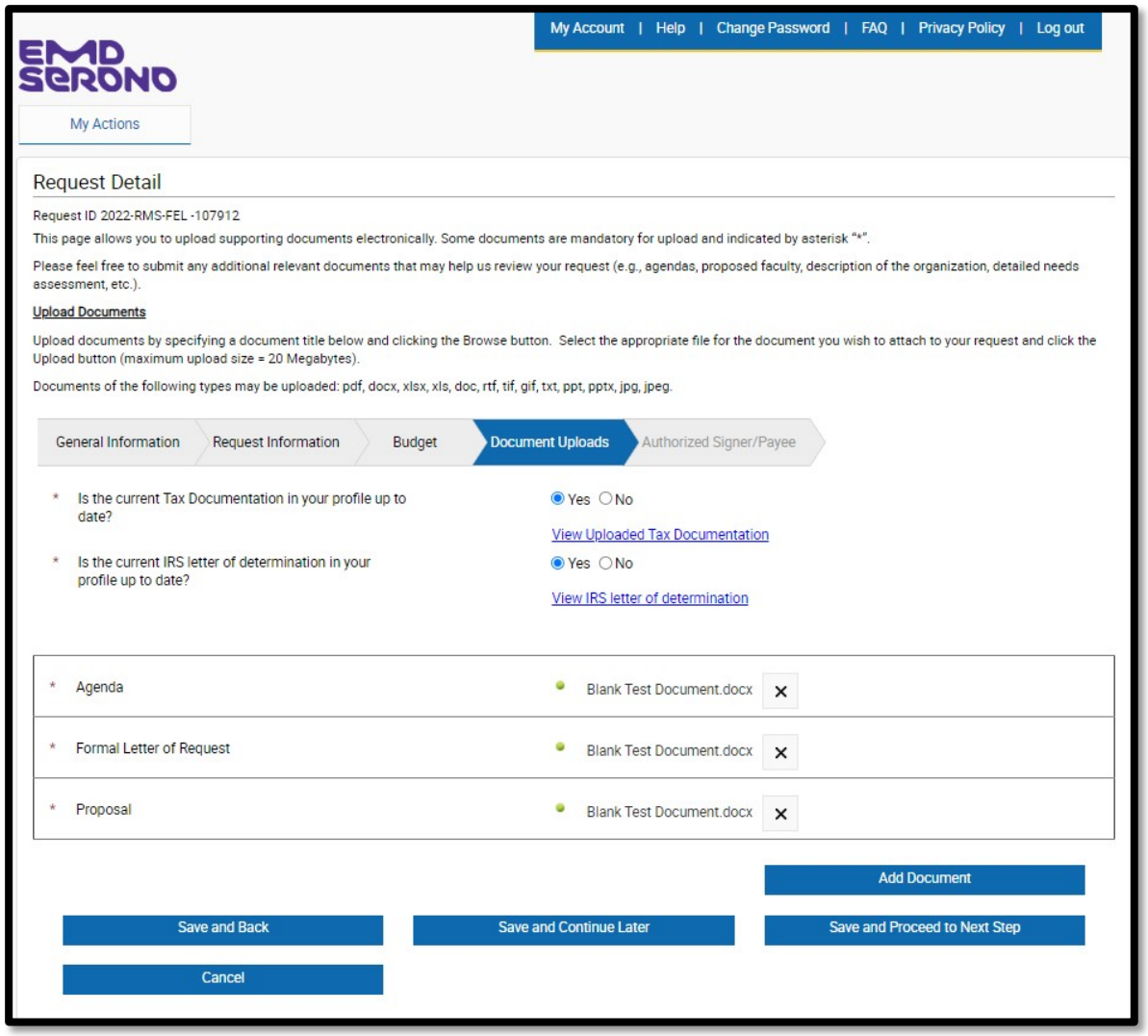
Fellowships

- Complete the “Budget” tab
- **Tips:**
  - The amount of the “Estimated Program Budget” and “Request Amount” will be pre-populated from the “Request Information” tab. The “Detailed Budget” column will show zeros and the “Difference” column will appear in red until you add your Budget Items.
  - Select “salary” from the “Budget Item” drop-down menu, enter the amount, # of people and requested amount (e.g., $110,000)
  - To add your second budget item, **click** “Add Row”. Add as many rows as you need to account for your full budget.
  - When done, the “Detailed Budget” column will be filled out and the “Difference” column will show zeros.
  - **Click** “Save and Proceed to Next Step”



Fellowships

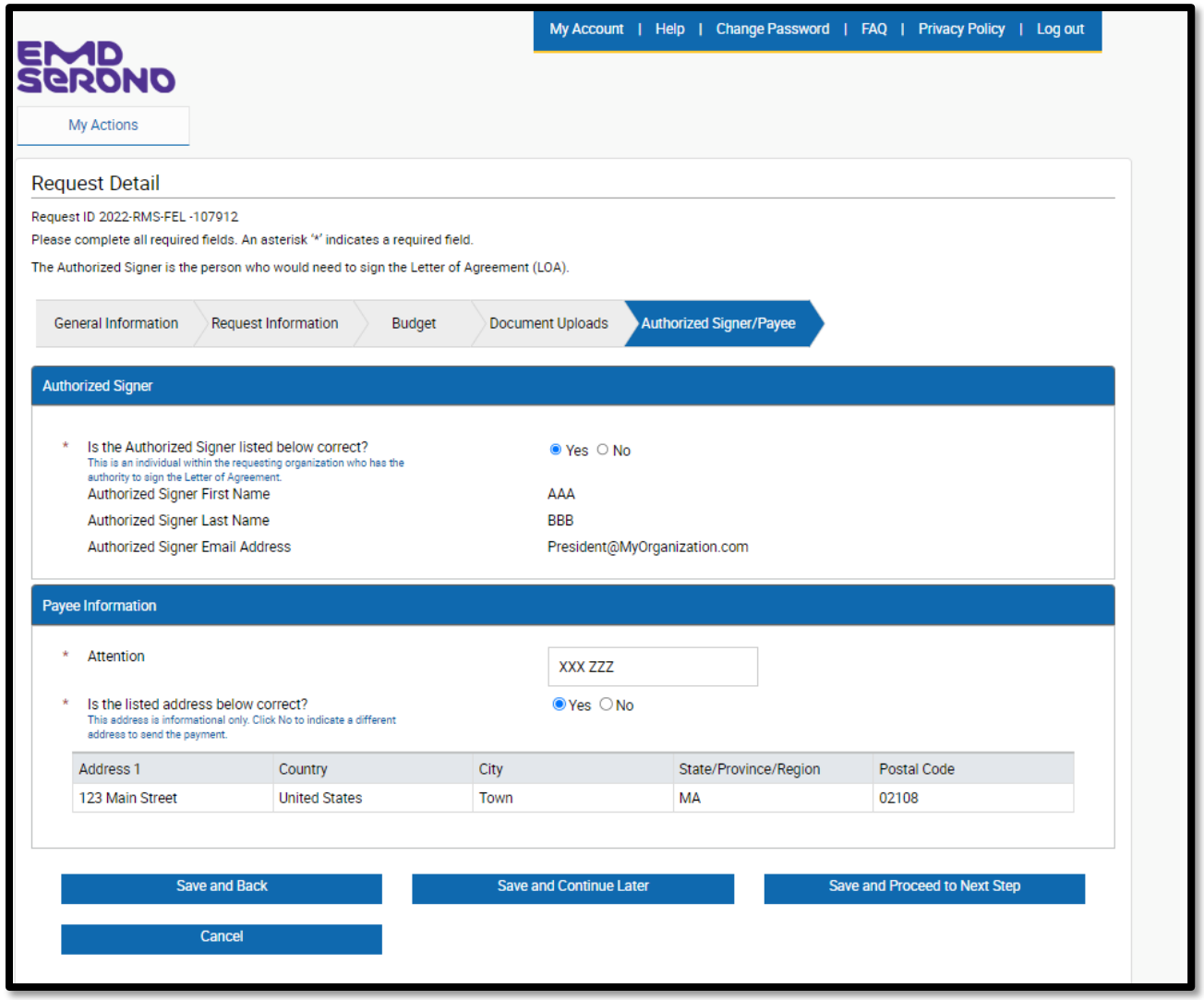
- Complete the “Document Uploads” tab
  - Agenda: Upload a document which describes the fellow’s activity during the fellowship.
    - If the agenda is covered in the document uploaded under “Proposal”, simply upload the **same document** for both fields.
  - Formal Letter of Request
  - Proposal: Often a “needs assessment” is included in the proposal.
  - Additional documents can be uploaded by **clicking** the “Add Document” box.



Fellowships

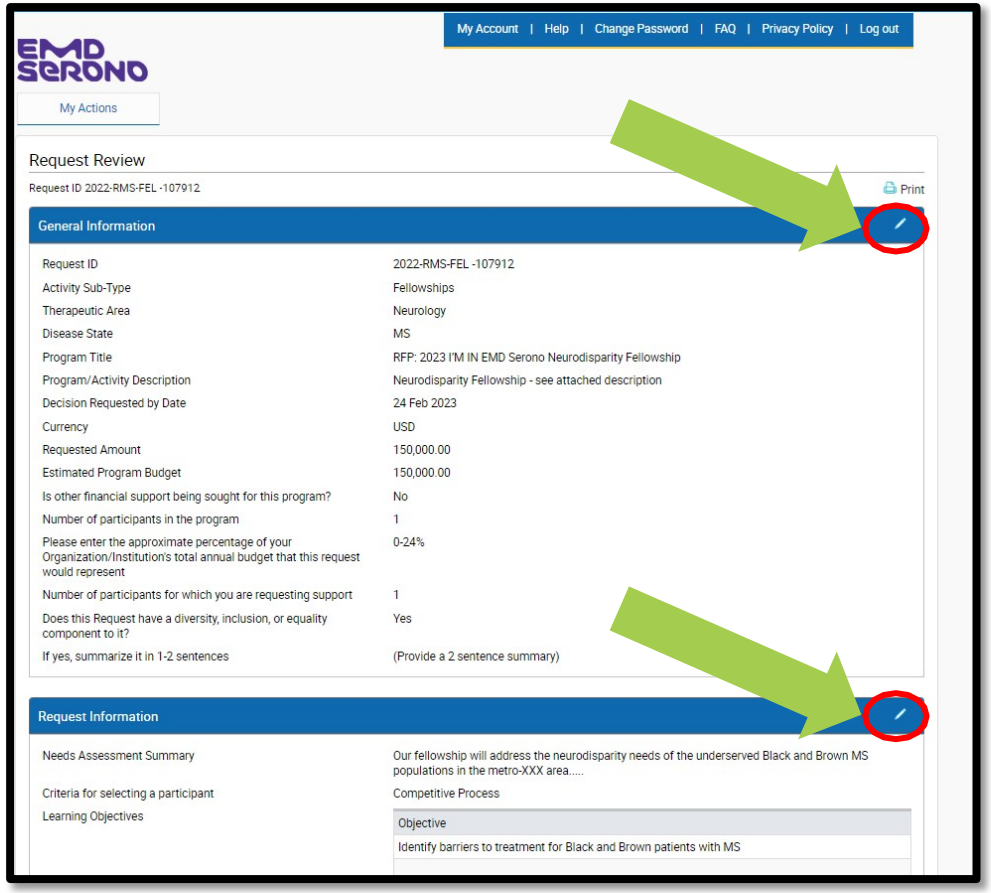
- Complete the “Authorized Signer/Payee” tab
- If someone besides you must sign the Fellowship Funding Agreement, list that person here.

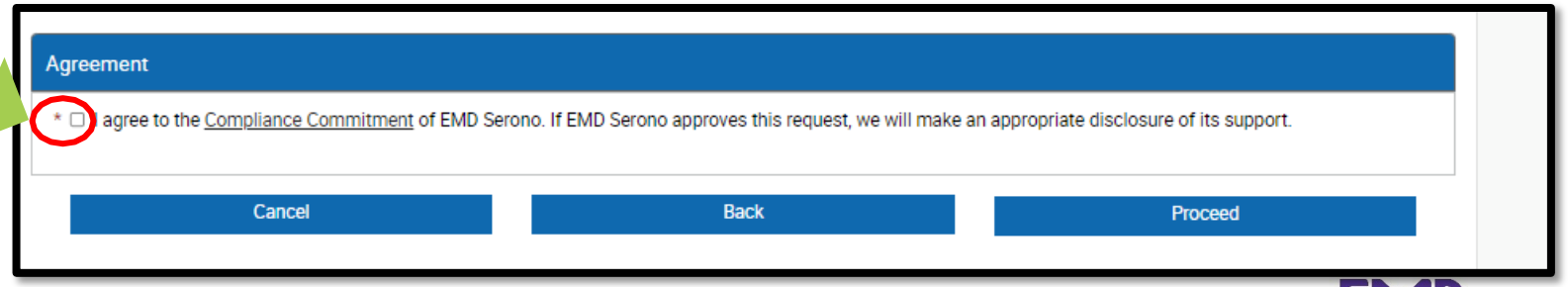
- **Note**: All payments are made by ACH transfers. If your request is approved, we will contact you for your bank information.



Fellowships

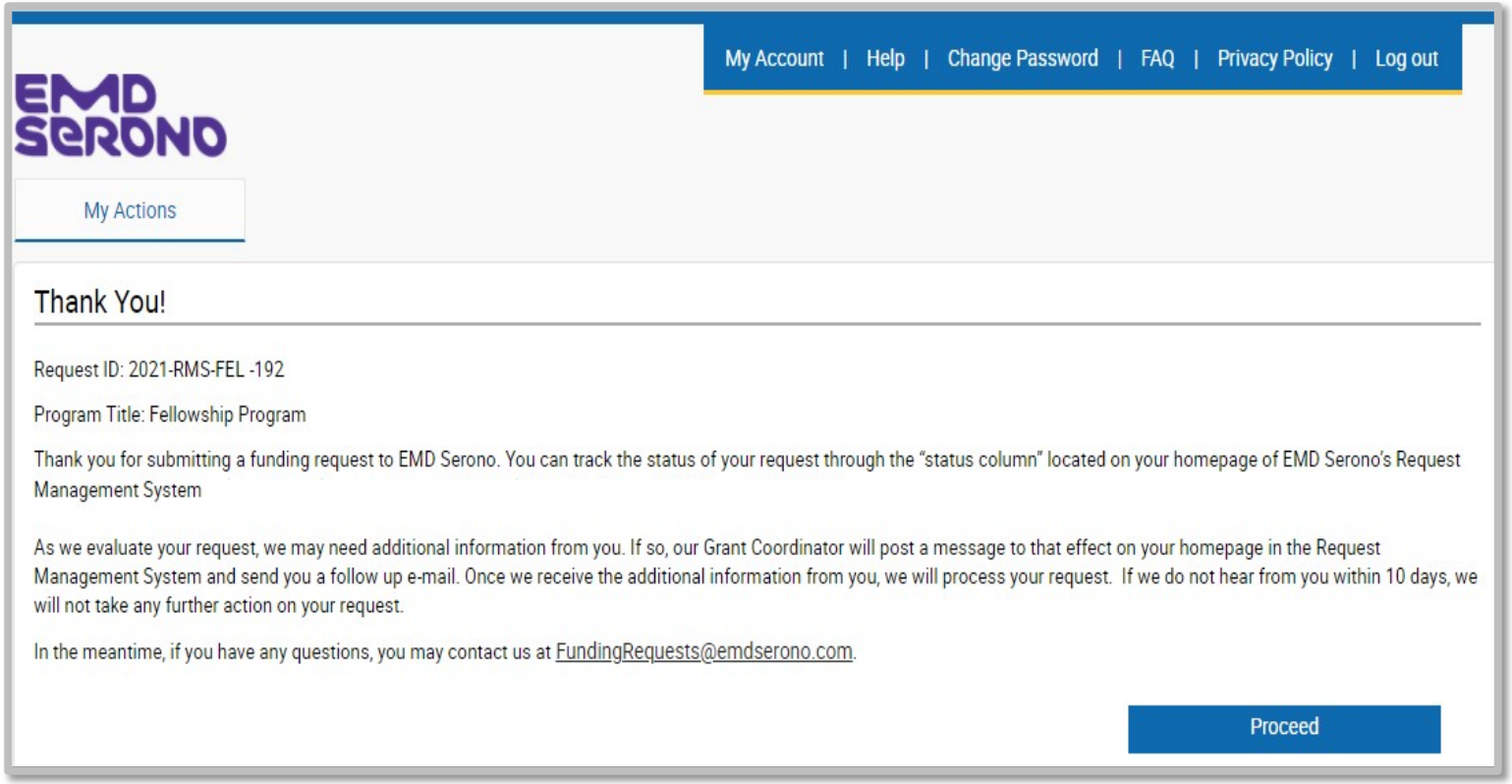
- On the “Review Request” page, review all the information to make sure it is correct.
- If you need to revise any information, **click** on the “pencil” icon in the blue bar on the far right-hand side
- At the bottom of the page, you must read and agree to our Compliance Commitment by **ticking the box** and then **click** “Proceed”.
- This submits your Proposal.





Fellowships

- After submitting your Request, you will see a “Thank You” screen which acknowledges your submission
- If you want to go to your inbox, **click** the “Proceed” button



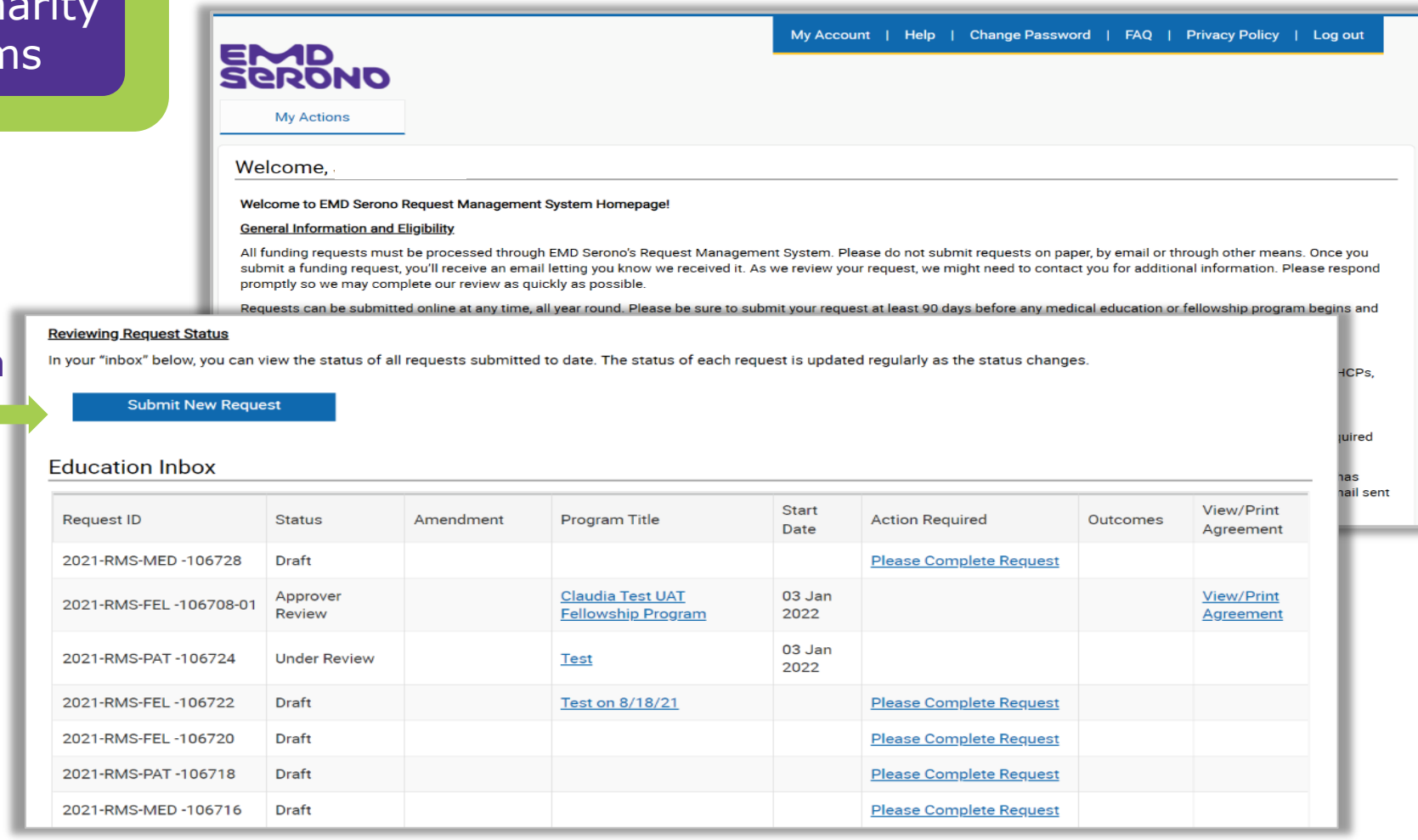
Donations to Independent Charity Patient Assistance Programs

EMD Serono

Donations to Independent Charity Patient Assistance Programs

How to Submit a Request

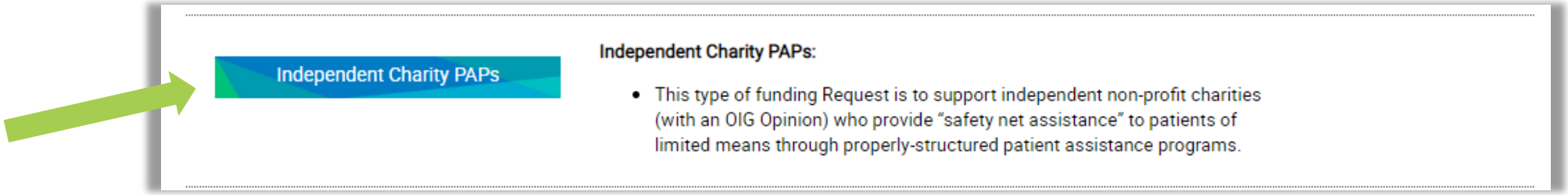
- Once you have logged in, **click** on "Submit New Request" button



Donations to Independent Charity Patient Assistance Programs

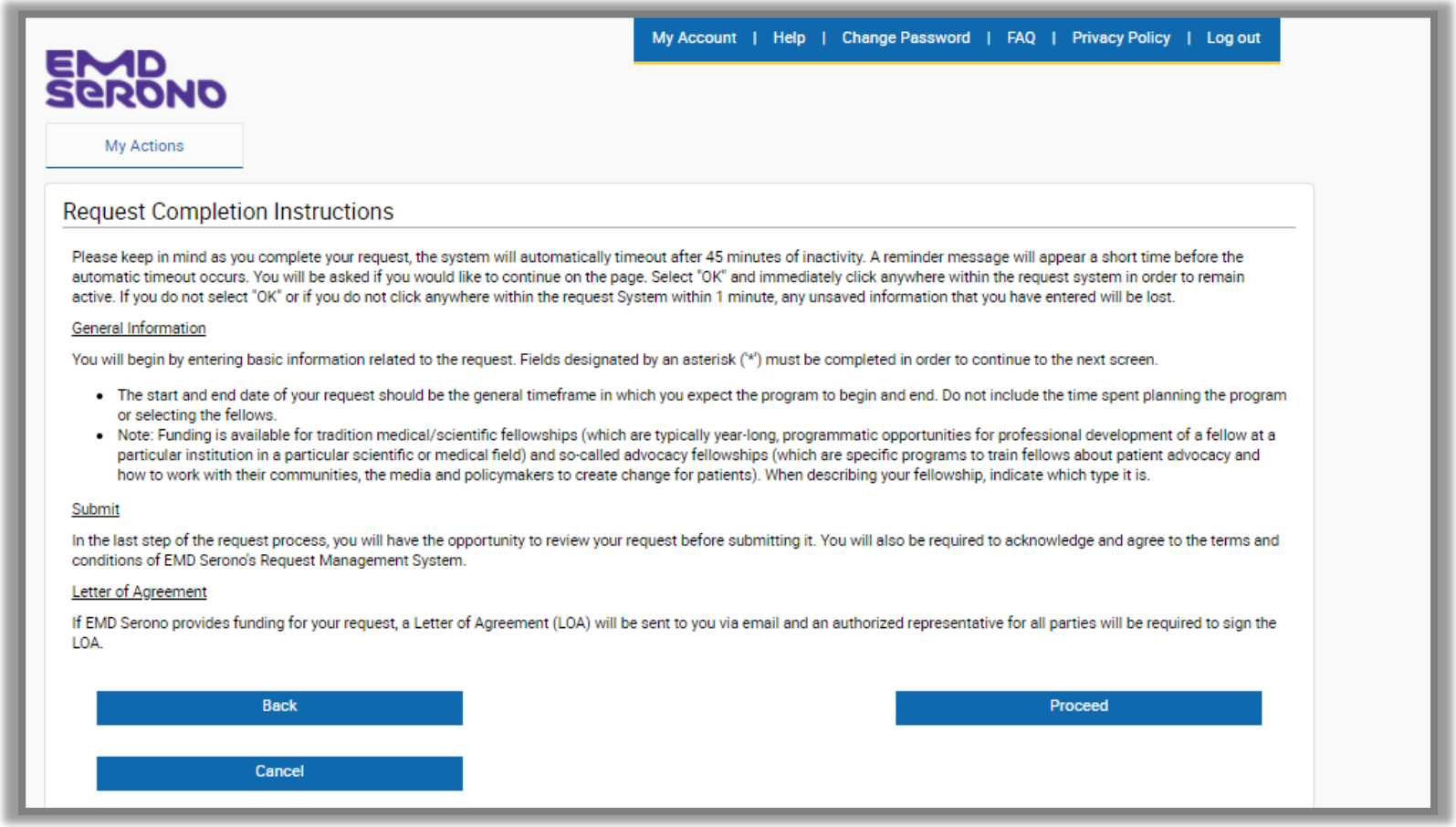
How to Submit a Request

- On the "Request Type Selection" page, **click** on "Independent Charity PAPs"



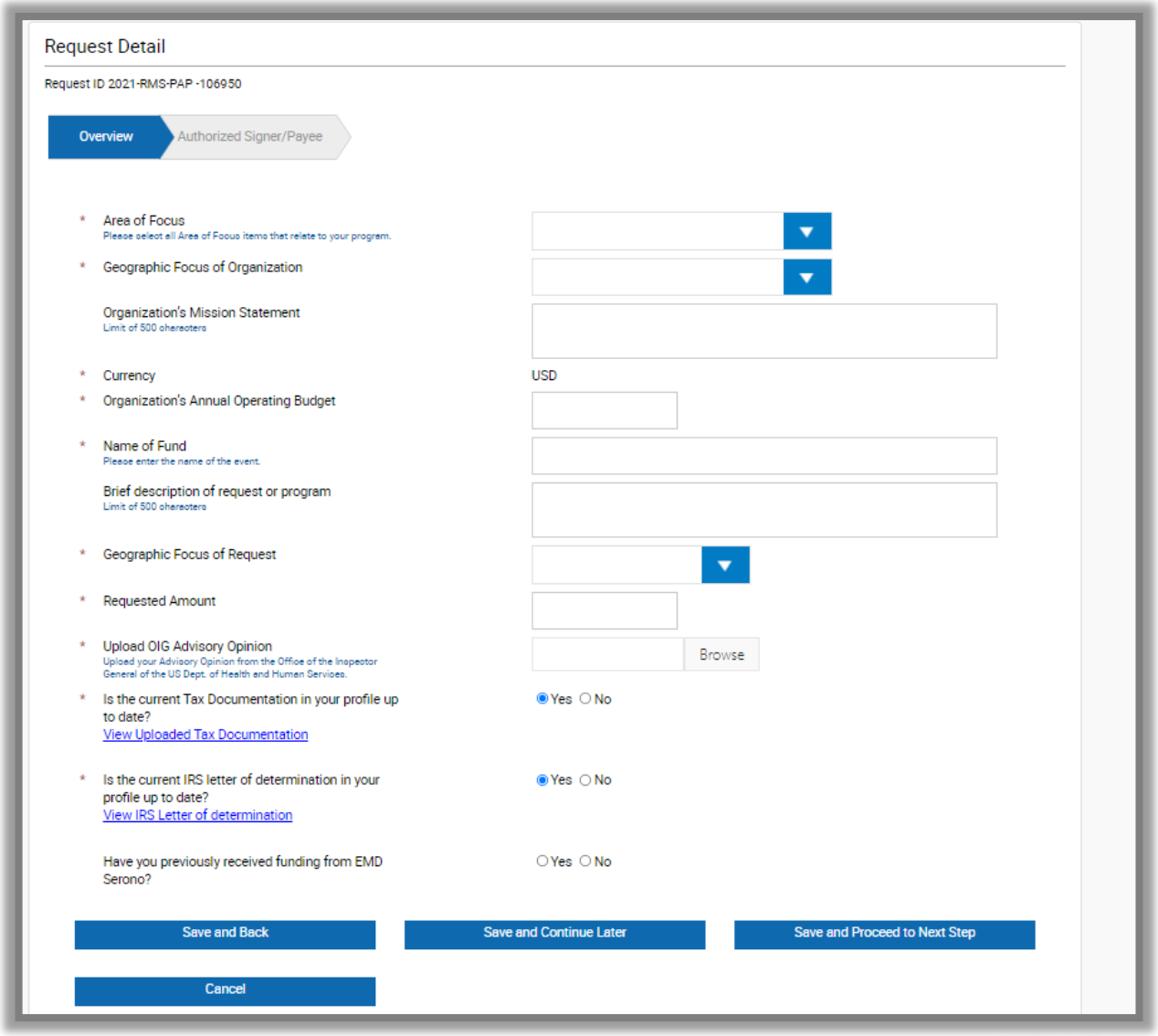
Donations to Independent Charity Patient Assistance Programs

- Read the "Request Completion Instructions"
- **Click** "Proceed"



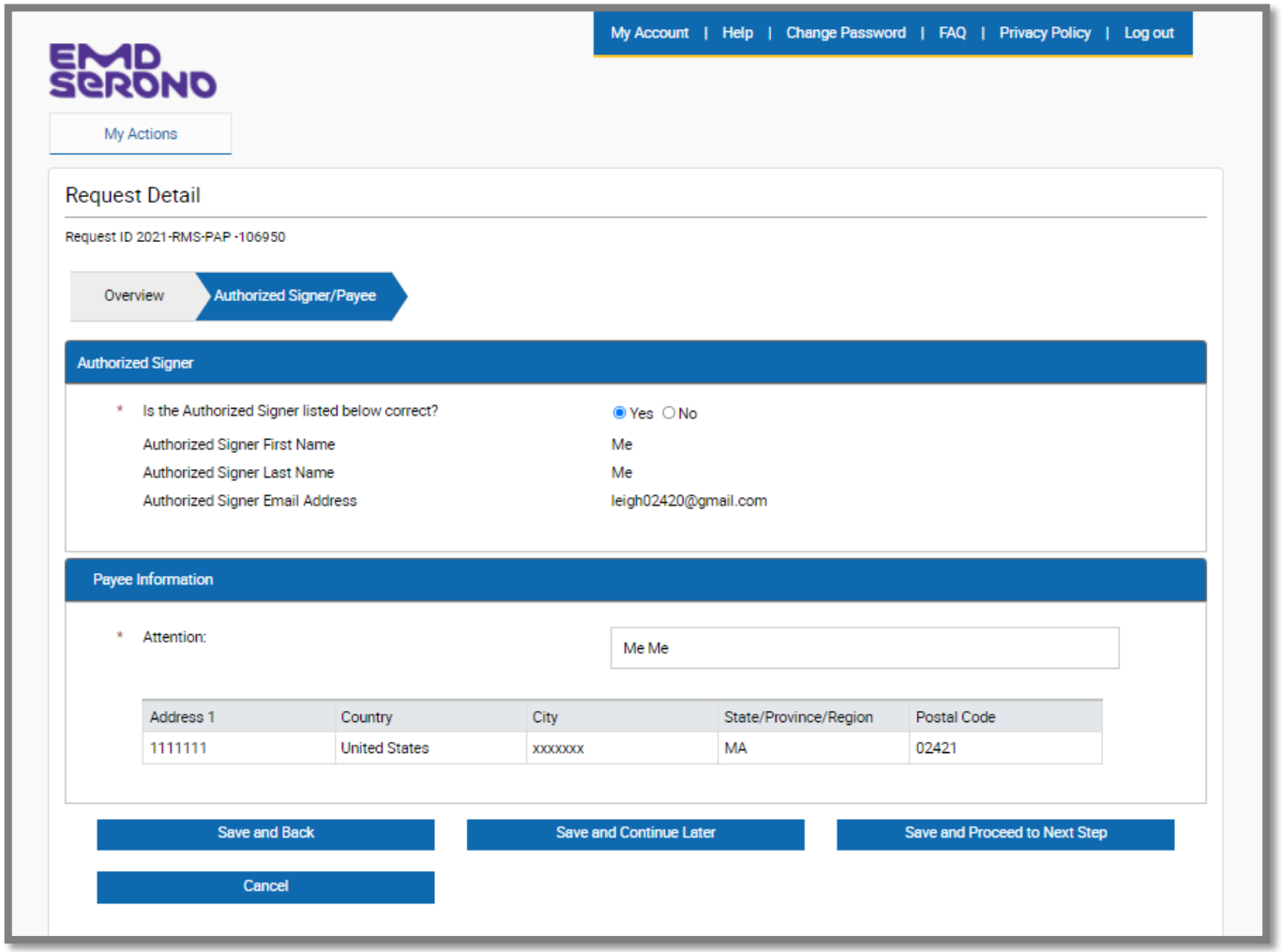
Donations to Independent Charity Patient Assistance Programs

- Fill out the Request Details
- **Click** "Save and Proceed to Next Step"



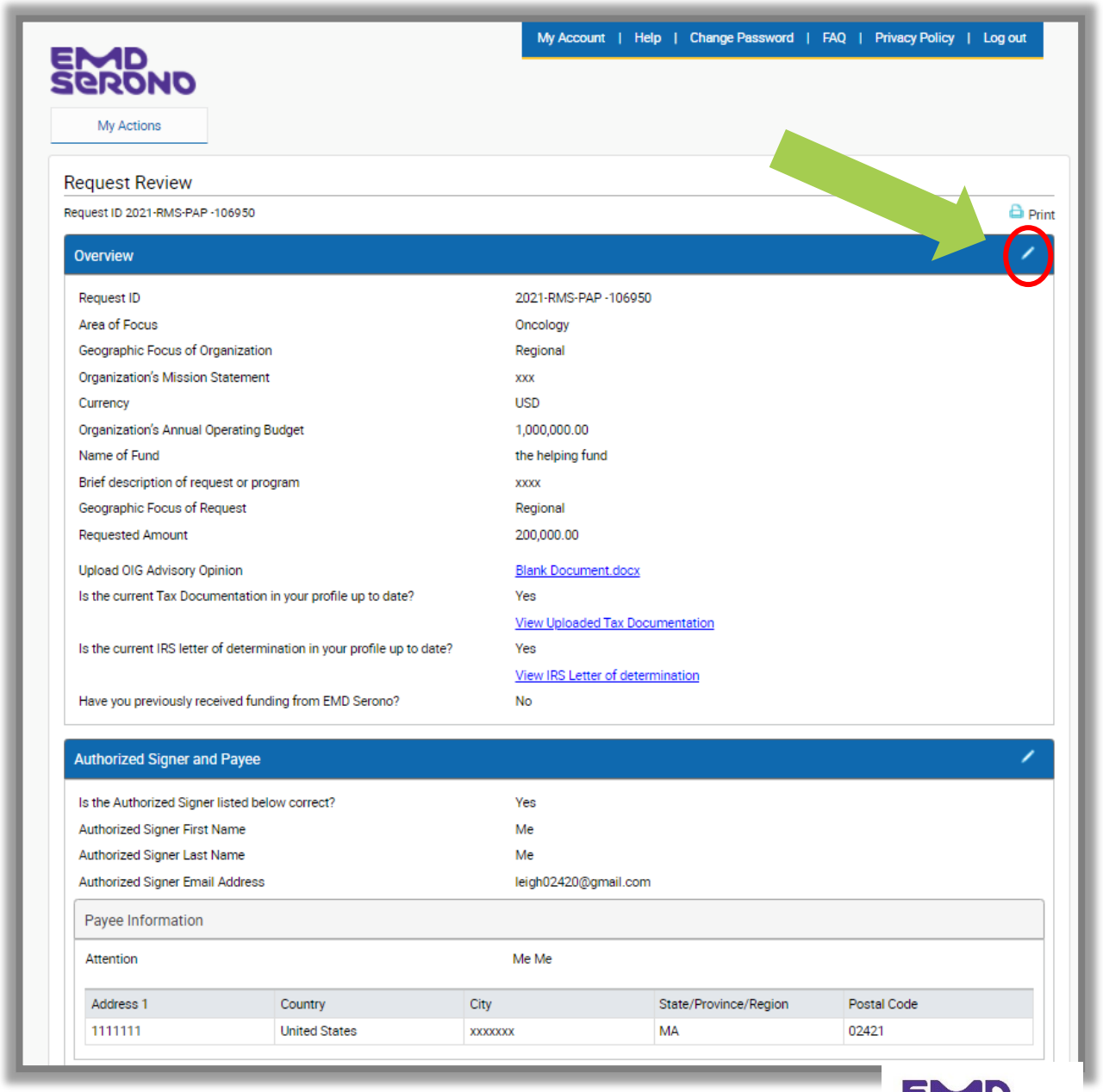
Donations to Independent Charity Patient Assistance Programs

- Complete the "Authorized Signer/Payee" tab
- **Tip:** If someone other than you will be signing the Agreement for funding, **click** the "no" button and enter that person's information
- **Note:** All payments are made by ACH transfers. If your request is approved, you will be contacted for your bank information
- **Click** "Save and Proceed to Next Step"



Donations to Independent Charity Patient Assistance Programs

- Review the entire request before you submit it
- If you need to revise a section, **click** on the "pencil" icon in the blue bar above the section



Donations to Independent Charity Patient Assistance Programs

- After submitting your Request, you will see a “Thank You” screen which acknowledges your submission
- If you want to go to your inbox, **click** the “Proceed” button

How requests are reviewed

06

EMD Serono

Review Process

Initial Review

- All Requests are reviewed by our Request Coordinator to confirm they are complete.
- If your Request is incomplete, our Request Coordinator will contact you with a Request for Additional Information.
  - Some common mistakes are:
    - Honoraria and travel expenses
    - Program details are incomplete
    - Missing documents
    - Including impermissible budget line items

Committee Review

- When your Request is complete, it will be evaluated by our Review Committee.
- Requests are evaluated on a rolling basis, according to the requirements and restrictions for each type of Request.
- The Committee prioritizes support for Requests that **advance dual purposes** - improving healthcare knowledge/ advancing patient care, while **also** advancing diversity, inclusion and equality in the practice of medicine, treatment of patients, and training of healthcare providers.
- You will be notified of the Committee's decision. All decisions are final and there is no appeal process.

How payment works

07

EMD Serono

Letter of Agreement

Funding Agreements (called a "Letter of Agreement") are required for these three types of Requests:

- Patient Education
- Fellowships
- Donations to Independent Charity Patient Assistant Programs

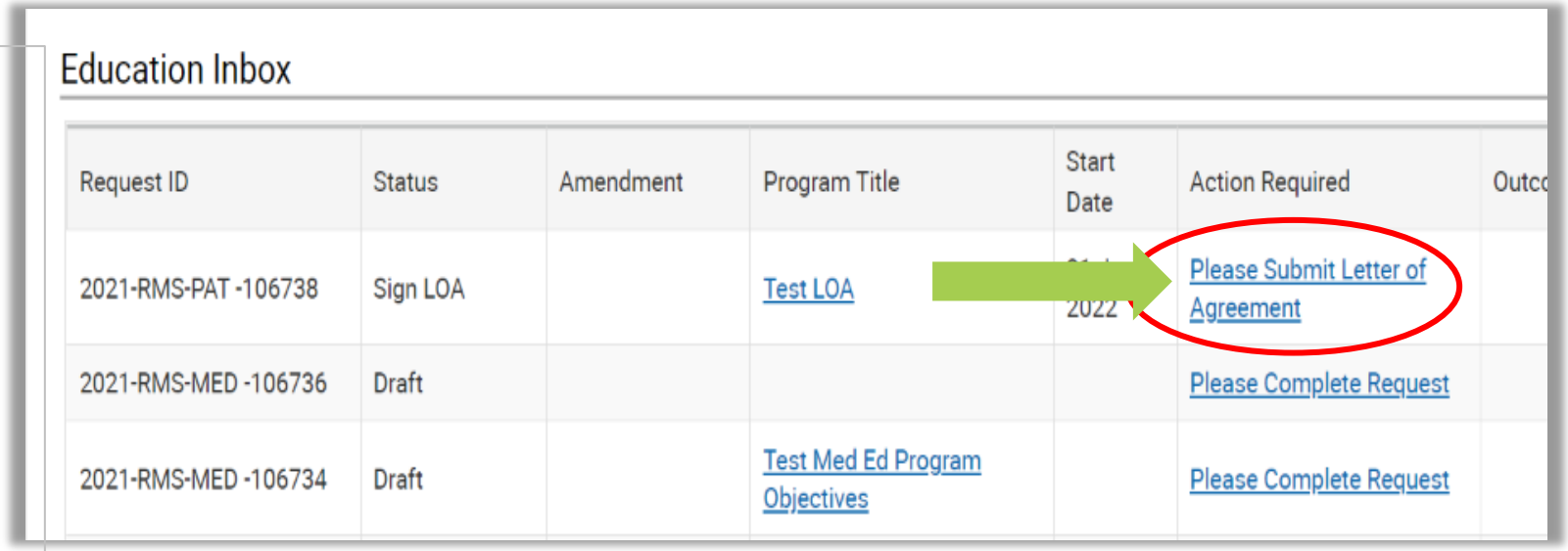
- A budget **reconciliation** is required for these three types of Requests, plus for Sponsorships/Exhibits

You will receive an email letting you know your funding agreement is ready to review and sign.

Letter of Agreement

How do I view and sign my Letter of Agreement?

- Navigate to your Inbox
- To sign the Letter of Agreement, **click** on "Please Submit Letter of Agreement"



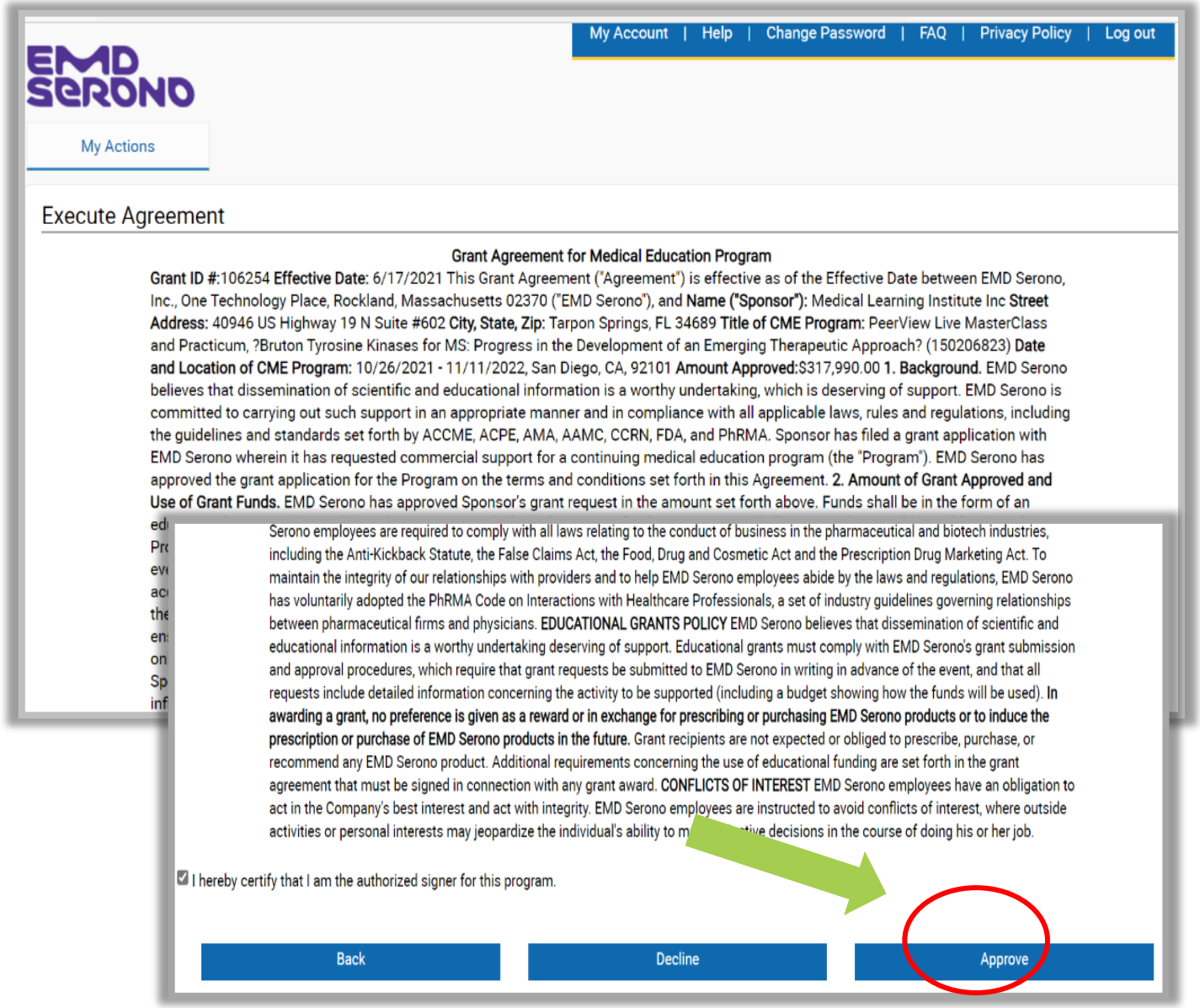
Education Inbox

Request ID	Status	Amendment	Program Title	Start Date	Action Required	Outcc
2021-RMS-PAT -106738	Sign LOA		Test LOA	2022	Please Submit Letter of Agreement	
2021-RMS-MED -106736	Draft				Please Complete Request	
2021-RMS-MED -106734	Draft		Test Med Ed Program Objectives		Please Complete Request	

Letter of Agreement

How do I view and sign the Letter of Agreement?

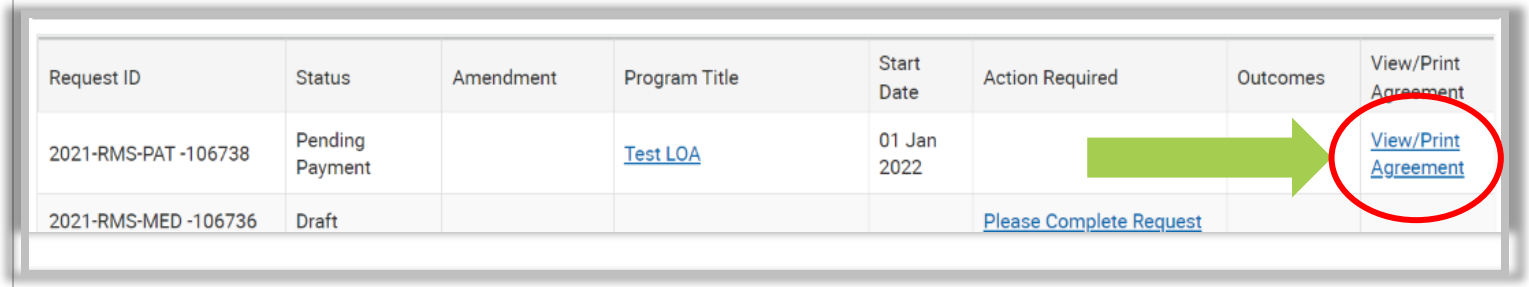
- Read the Letter of Agreement
- To accept it**, Click** "Approve". Your electronic signature will be placed on the bottom of the Agreement.
- If you do not agree to the Agreement, or would like to request a change, please contact our Request Coordinator, at fundingrequests@emdserono.com, or at (212) 589-3507. Please know that most terms are non-negotiable.



Letter of Agreement

How do I view and print the signed the Letter of Agreement?

- Navigate to your Inbox
- To read the Agreement, **click** on "View/Print Agreement"
- You can print a copy of the Agreement, if you want but this is not necessary. The Agreement will always be accessible to you via the system.



Request ID	Status	Amendment	Program Title	Start Date	Action Required	Outcomes	View/Print Agreement
2021-RMS-PAT -106738	Pending Payment		Test LOA	01 Jan 2022			View/Print Agreement
2021-RMS-MED -106736	Draft				Please Complete Request		

ACH Transfers

Method for Payment

- To increase security and reliability, all payments are made via electronic ACH transfers.
  - Checks are no longer used.
- If your organization has received funding from EMD Serono before, then we already have your banking information.
- Payment will be made via an ACH transfer within 2 to 3 weeks of signing the Letter of Agreement.

First-Time Funding Recipients

- If your organization has not received funding from EMD Serono before, then we will contact you to set up an ACH transfer.

Amending your request

EMD Serono

Amendments

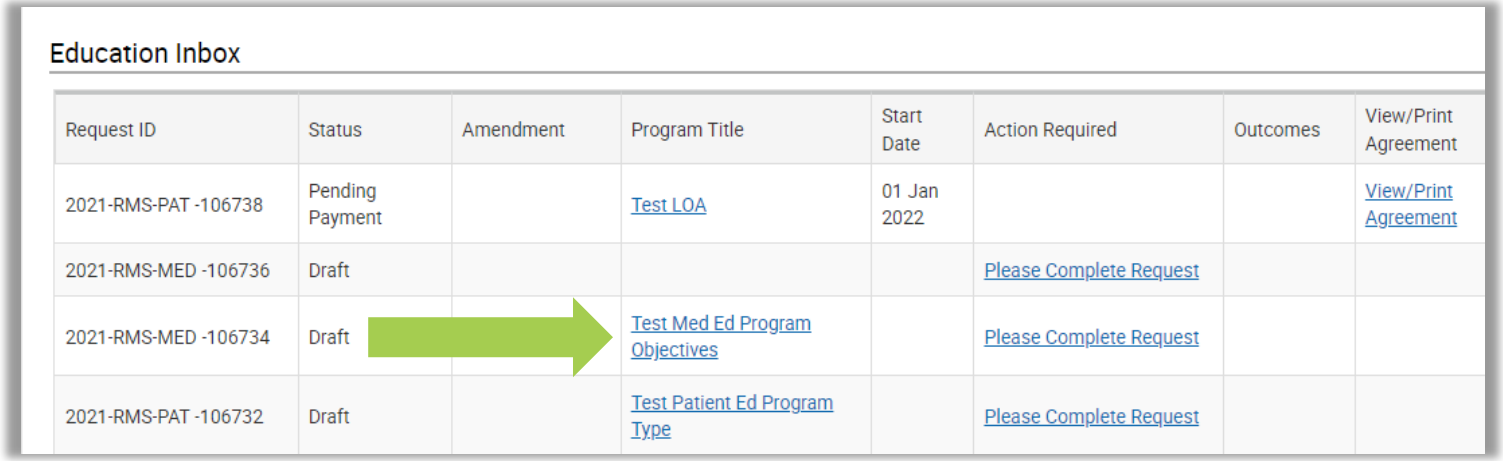
How do I amend my Request before it is approved?

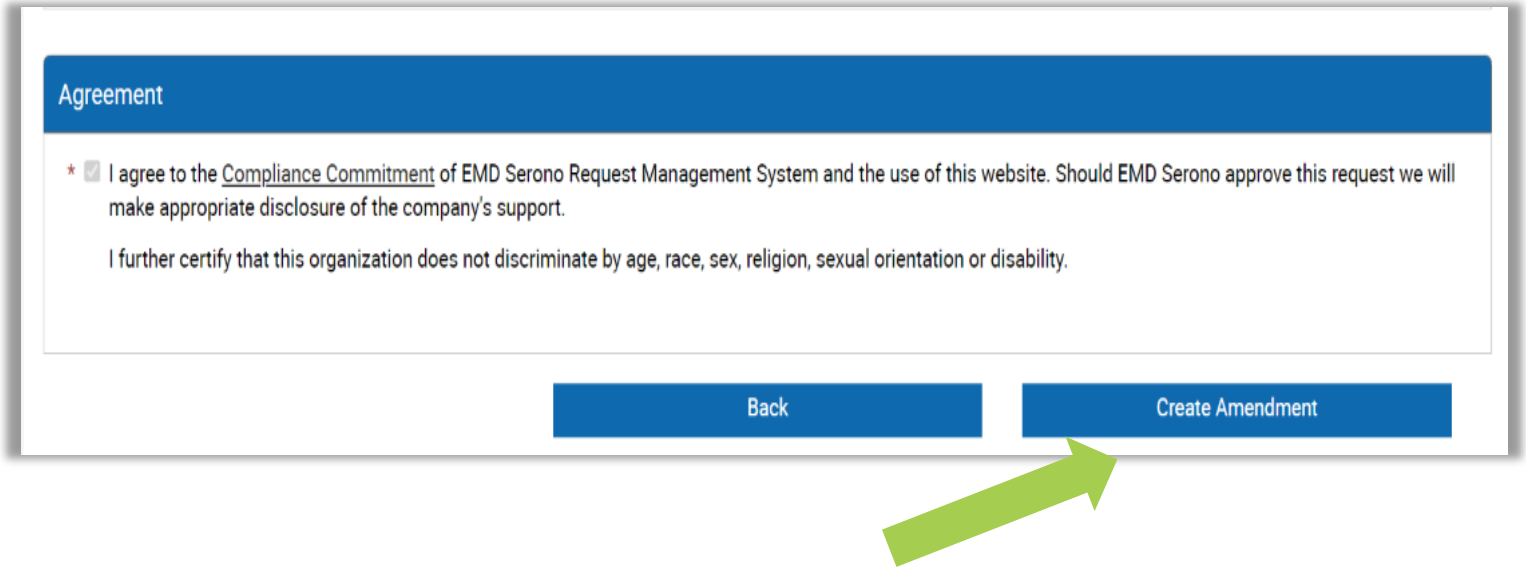
- You may amend your Request at any time before it is approved. The request will need to be returned to you to allow you to make any changes.
- In order to do that, contact the EMD Request Coordinator at
  - Email: fundingrequests@emdserono.com
  - Phone: 212-589-3507

Amendments

Proposing an amendment <u>after</u> your Request has been approved

- After your Request has been approved, you may propose an amendment to the scope, date, budget, audience, etc., but it will be subject to EMD Serono's discretion to approve it
- To amend your request after it is approved, navigate to your Inbox
- **Click** on Program Title. This will take you to the request page
- At the bottom of the page **Click** on "Create Amendment"

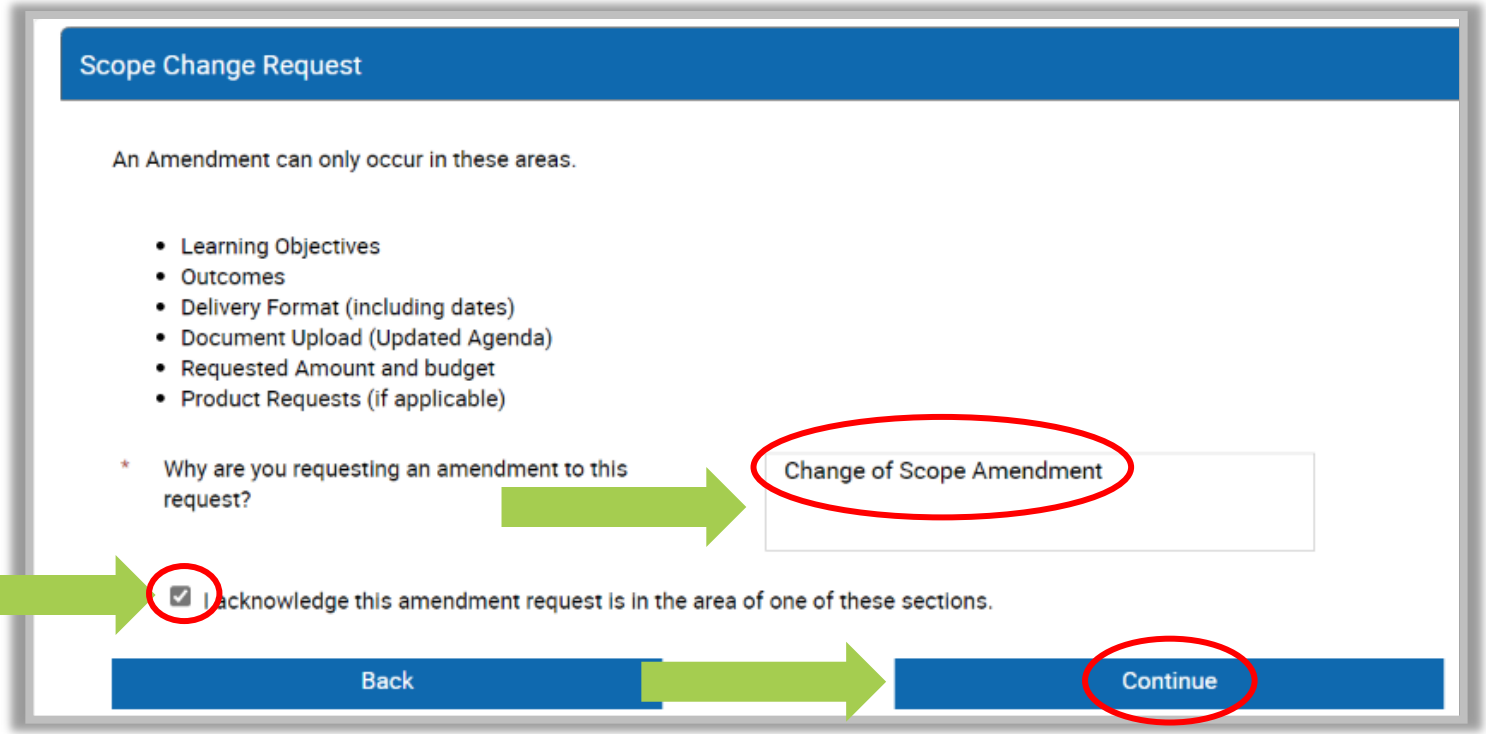




Amendments

Proposing an amendment <u>after</u> your Request has been approved

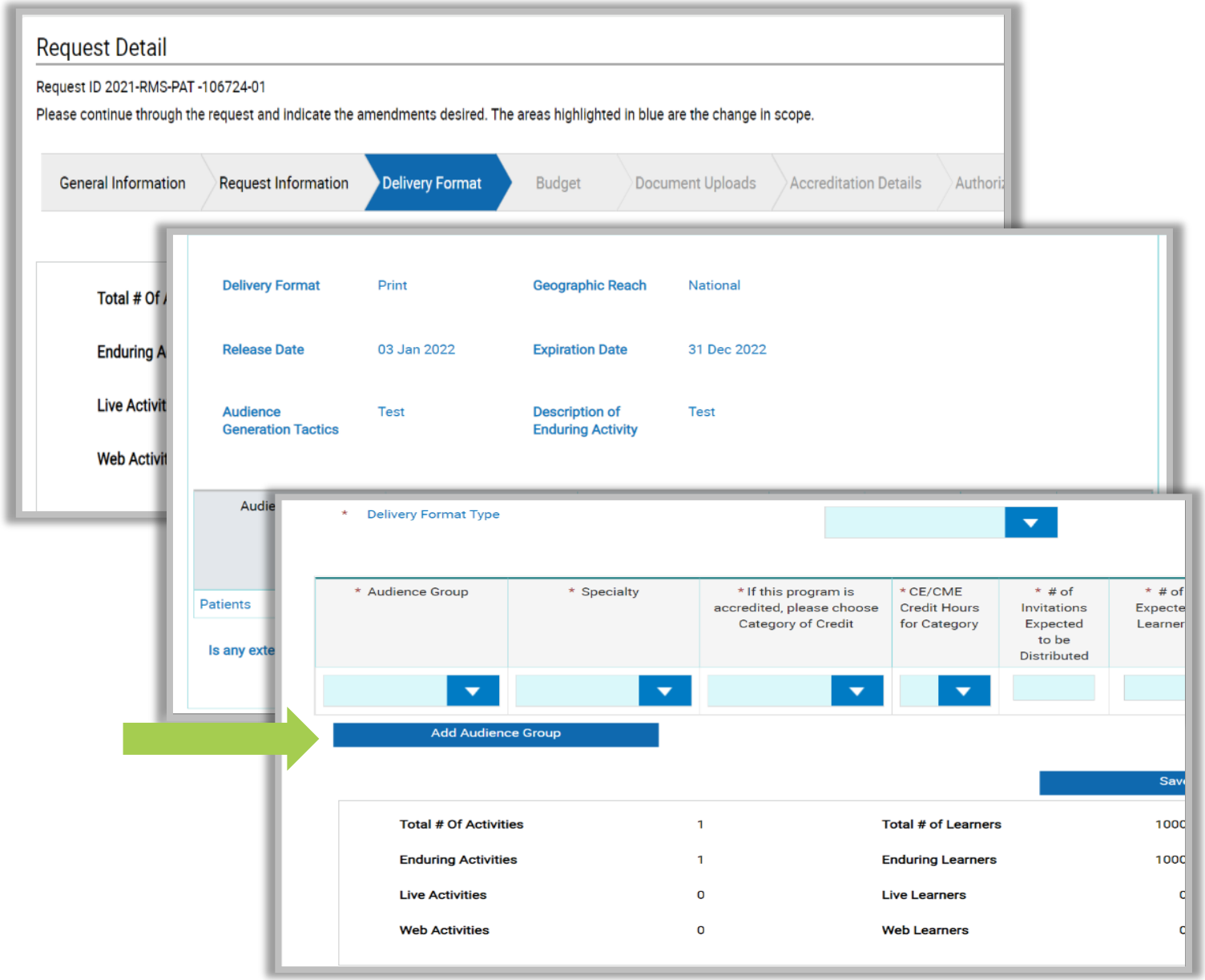
- You may amend the following parts of your Request:
  - Learning Objectives
  - Outcomes
  - Delivery Format (including dates)
  - Document Upload (updated agenda)
  - Requested Amount and budget
- In the field "Change of Scope Amendment" field, provide a reason for requesting the change
- **<u>Click</u>** the check box next to the acknowledgment statement
- **<u>Click</u>** "Continue".



Amendments

Proposing an amendment <u>after</u> your Request has been approved

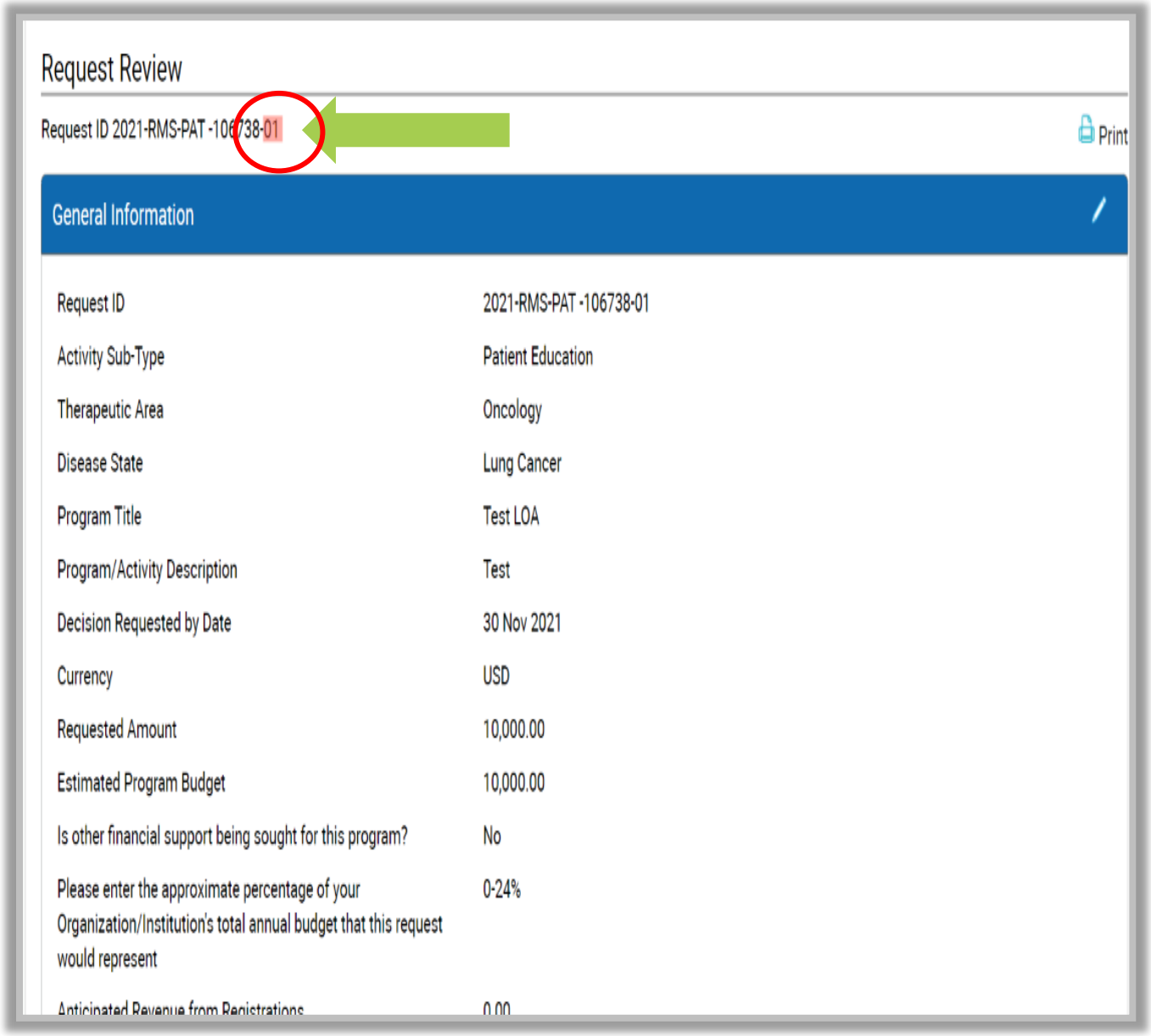
- As you proceed through each tab, only those fields that can be amended are highlighted in blue and open for editing
  - Learning Objectives
  - Outcomes
  - Delivery Format (including dates, location information and audience)
  - Document Upload (updated agenda)
  - Requested Amount and budget



Amendments

Proposing an amendment <u>after</u> your Request has been approved

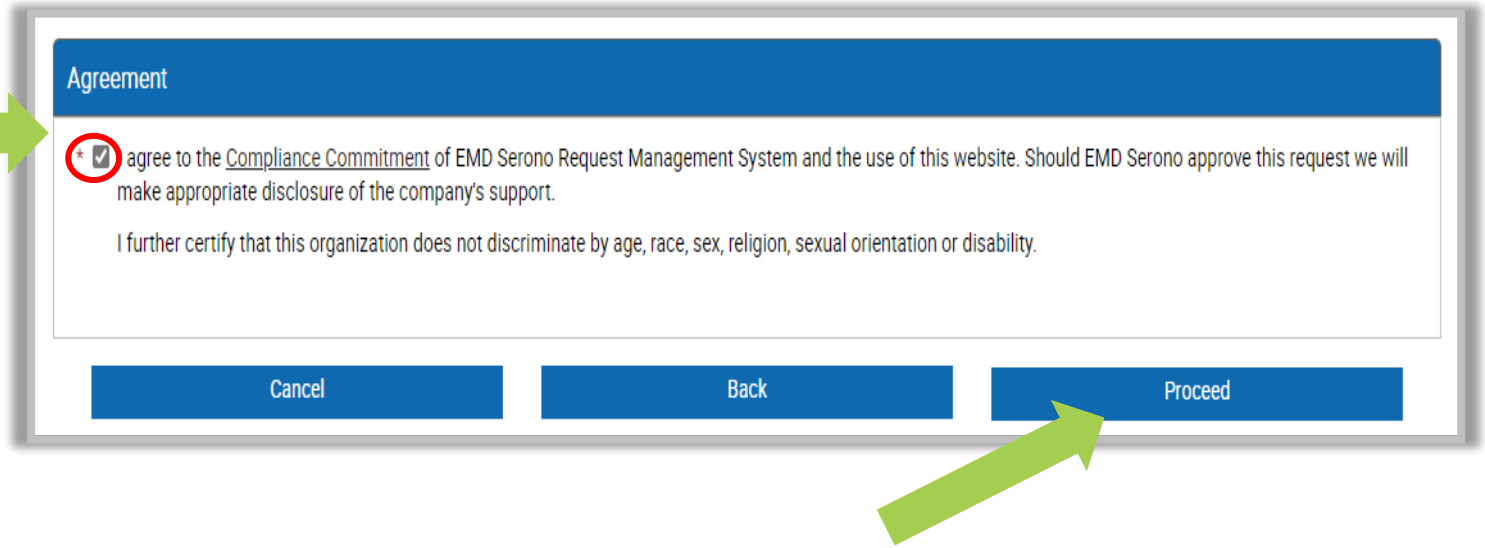
- After completing your amendment, double check it for accuracy
- **Note:** Your Request ID now has an extension of "01" indicating an amendment has been requested. If you request additional amendment, they will be sequentially numbered



Amendments

Proposing an amendment <u>after</u> your Request has been approved

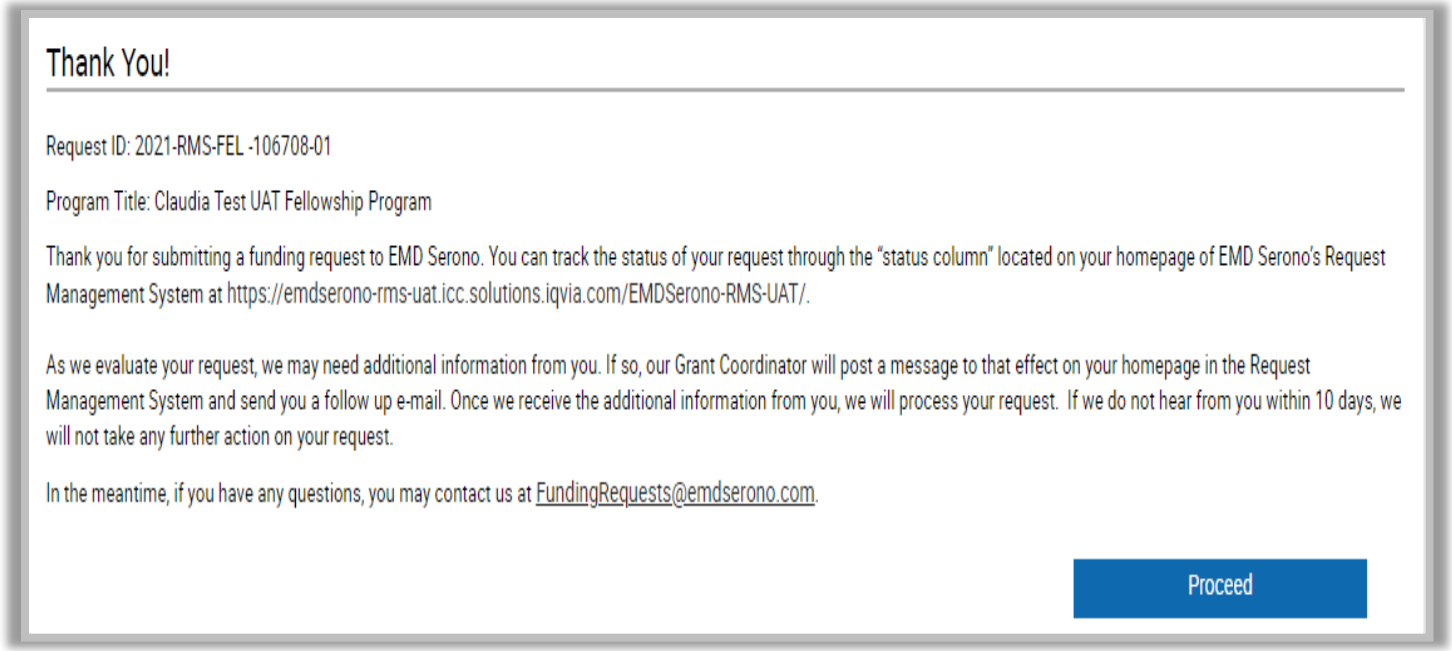
- At the bottom of the Request Review page, **<u>click</u>** the check box to accept the Compliance Commitment
- **<u>Click</u>** "Proceed" to submit the Amendment Request



Amendments

Proposing an amendment <u>after</u> your Request has been approved

- You will receive a Thank You! advising you the Amendment has been submitted
- If there are follow-up questions, the Request Coordinator will contact you



Thank You!

Request ID: 2021-RMS-FEL -106708-01

Program Title: Claudia Test UAT Fellowship Program

Thank you for submitting a funding request to EMD Serono. You can track the status of your request through the "status column" located on your homepage of EMD Serono's Request Management System at https://emdserono-rms-uat.icc.solutions.iqvia.com/EMDSerono-RMS-UAT/.

As we evaluate your request, we may need additional information from you. If so, our Grant Coordinator will post a message to that effect on your homepage in the Request Management System and send you a follow up e-mail. Once we receive the additional information from you, we will process your request. If we do not hear from you within 10 days, we will not take any further action on your request.

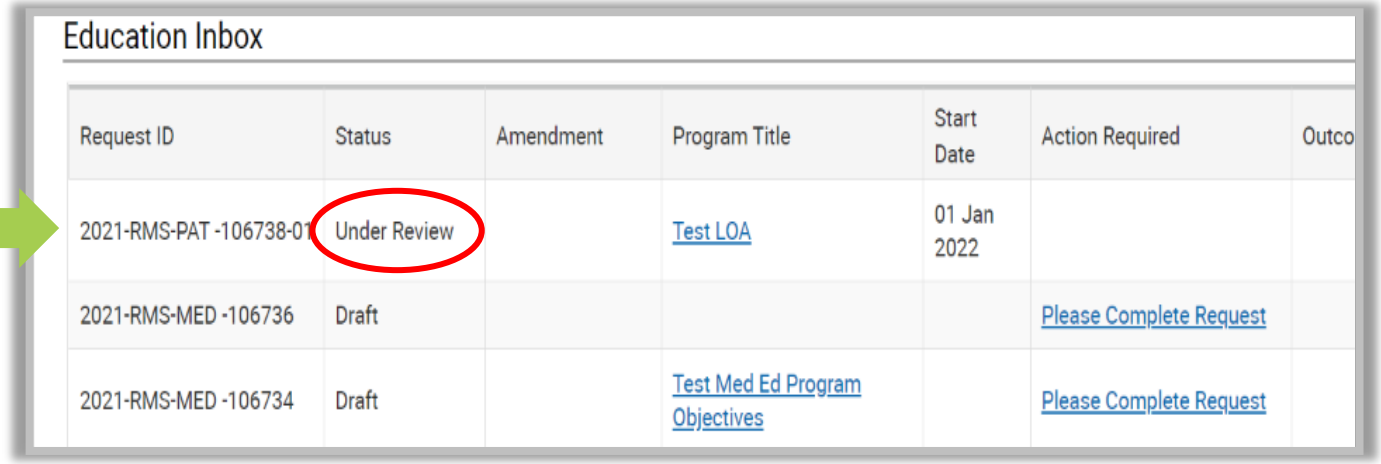
In the meantime, if you have any questions, you may contact us at FundingRequests@emdserono.com.

Proceed

Amendments

Proposing an amendment <u>after</u> your Request has been approved

- You can now see the status of your Amendment, "Under Review" in your Inbox
- You will be contacted through the system once we have made a decision on the amendment



Education Inbox

Request ID	Status	Amendment	Program Title	Start Date	Action Required	Outco
2021-RMS-PAT -106738-01	Under Review		Test LOA	01 Jan 2022		
2021-RMS-MED -106736	Draft				Please Complete Request	
2021-RMS-MED -106734	Draft		Test Med Ed Program Objectives		Please Complete Request	

How close out works

08

EMD Serono

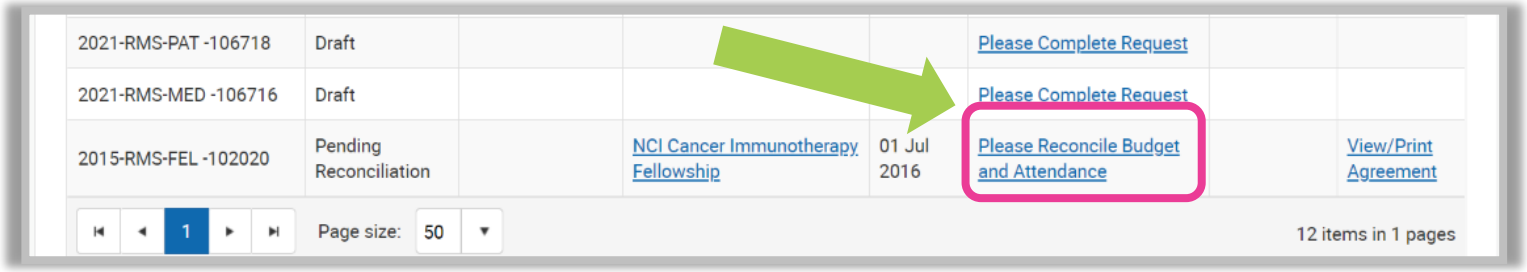
Reconciliation

- **Four types of Requests require a reconciliation**
  - Patient Education
  - Fellowships
  - Donations to Independent Charity Patient Assistant Programs
  - Sponsorships/Exhibits
- **You must reconcile (1) the number of attendee and (2) use of your funds**

Reconciliation

How do I reconcile my Request?

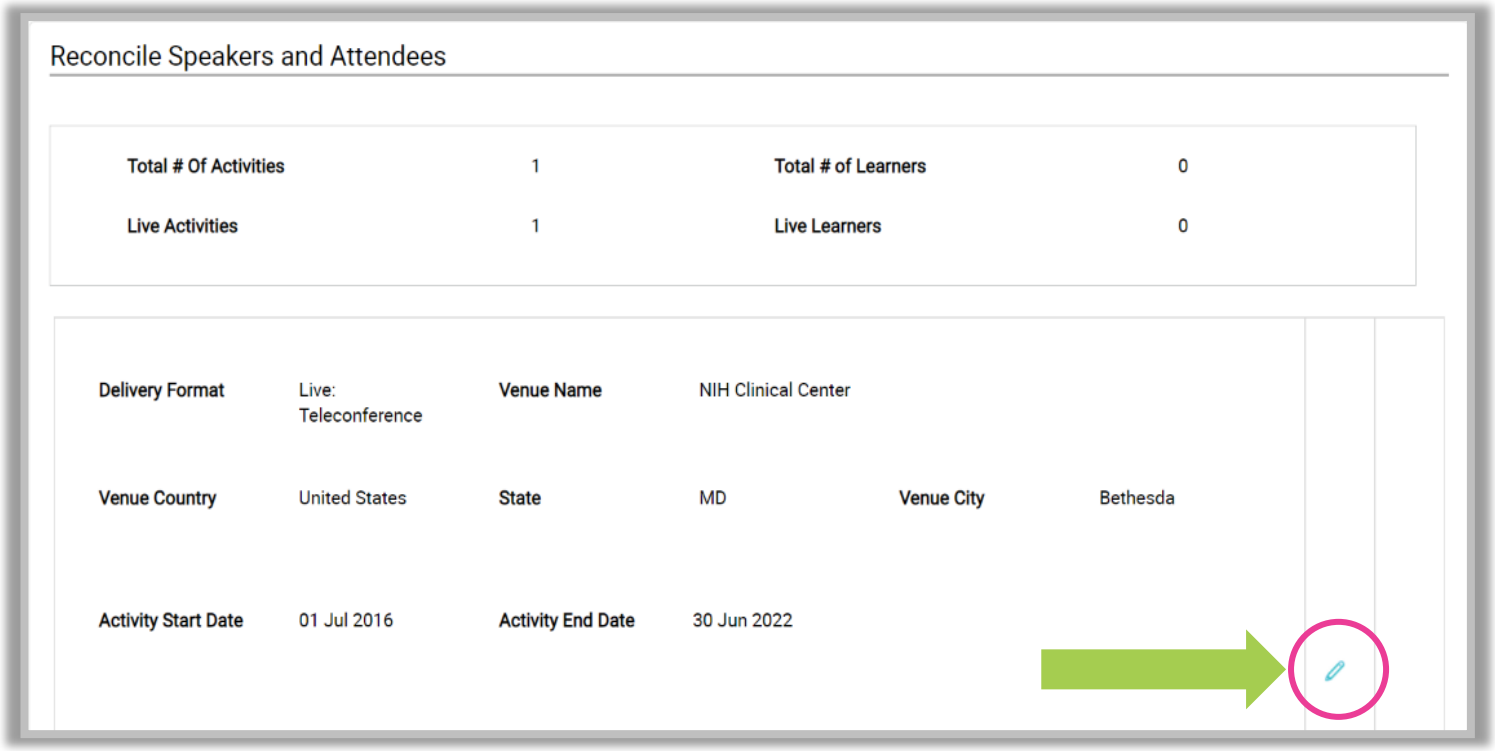
- Navigate to your Inbox.
- **Click** "Please Reconcile Budget and Attendance"



Reconciliation

How do I reconcile my Request?

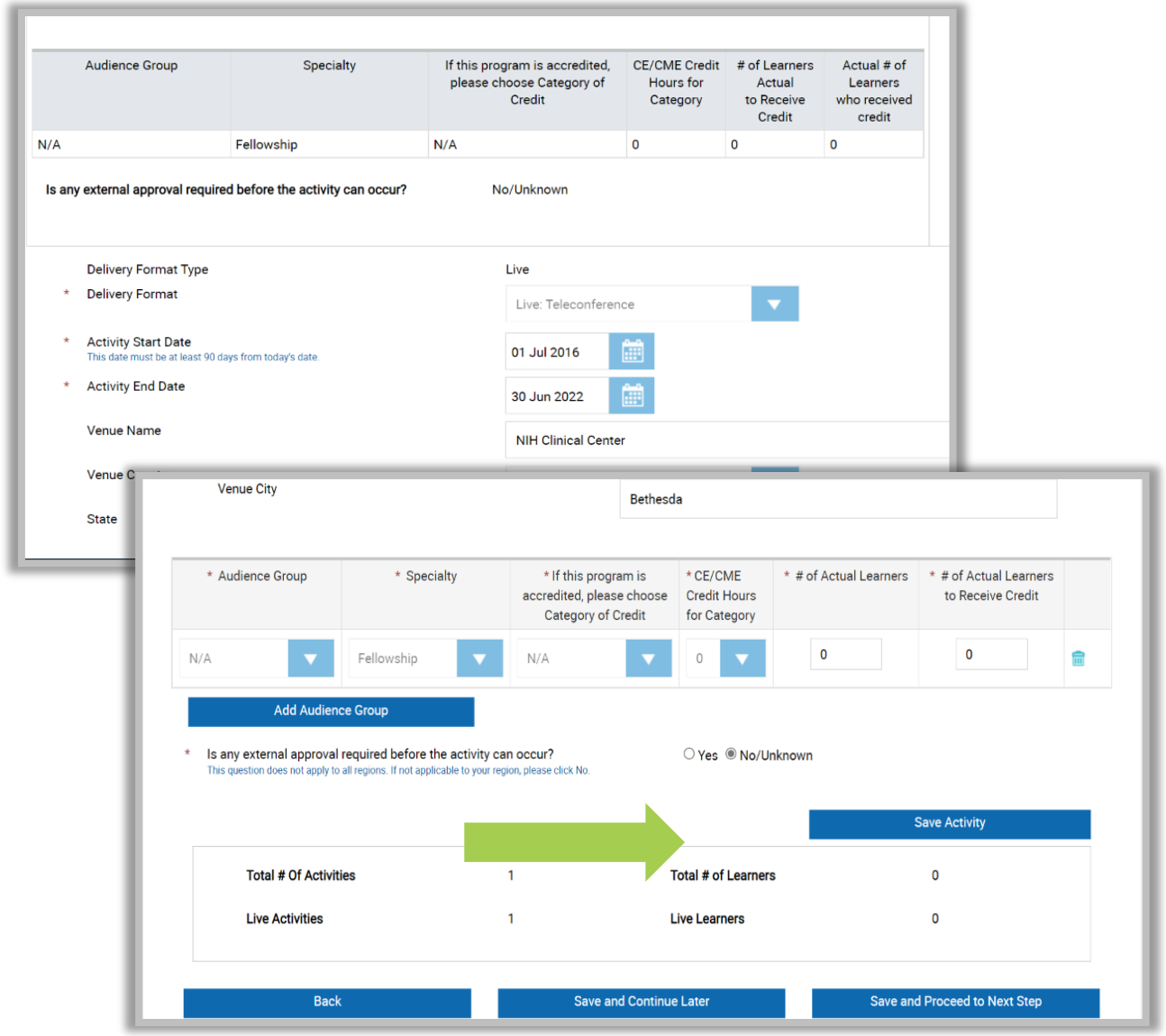
- **Click** on the pencil icon
- This will open the "Delivery Format" section of the Request



Reconciliation

How do I reconcile my Request?

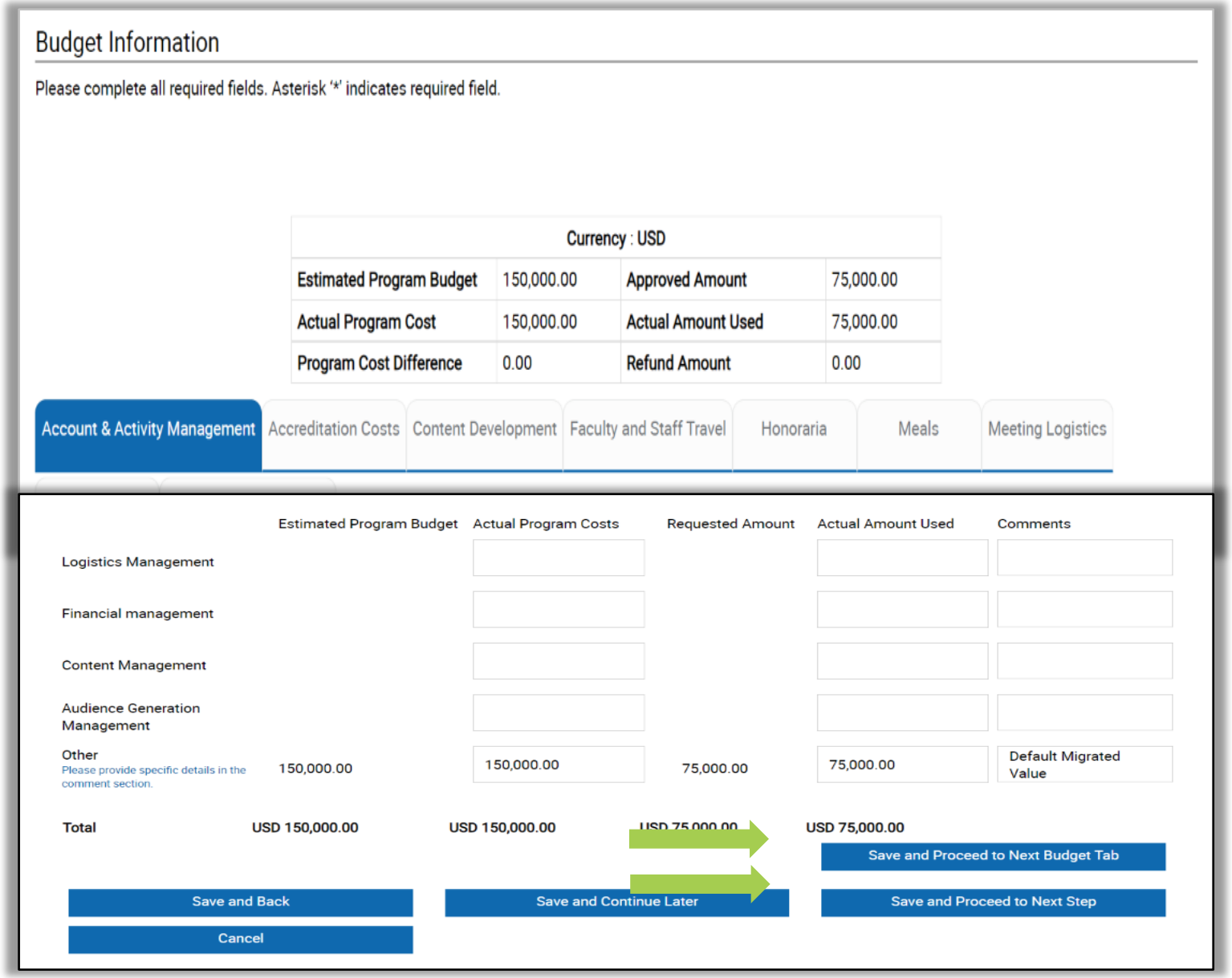
- **Step 1** – For **each** "Delivery Format," you must fill in the actual number of attendees/learners.
  - The "Total # of Learners" field will be blank and that's where you put the number of attendees/learners.
  - **Click** "Save Activity"
  - When complete **Click** "Save and Proceed to Next Step"
  - **Tip**: If you had more than one Delivery Format, you will need to submit information on each one.
  - **Tip**: You can add additional audiences by **Clicking** "Add Audience Group"



Reconciliation

How do I reconcile my Request?

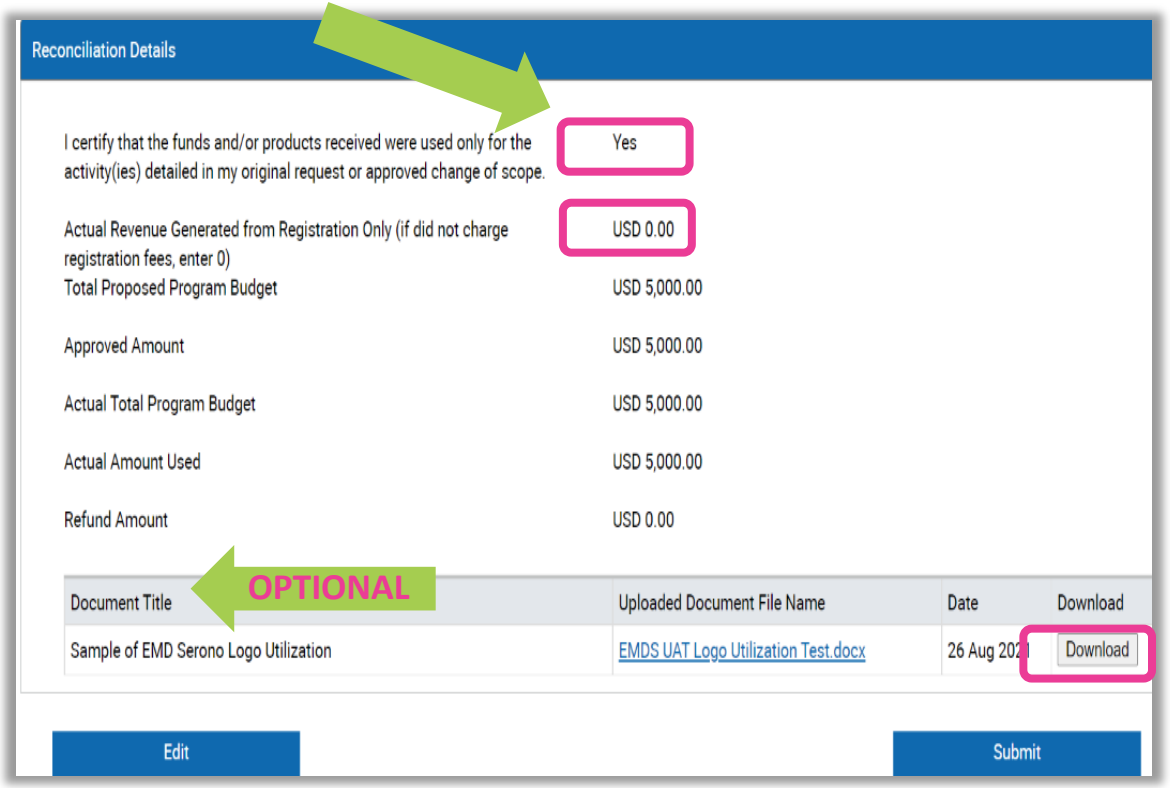
- **Step 2** – For each tab in the budget, put the actual cost for each line-item.
  - **Click** "Save and Proceed to Next Budget Tab" until all tabs are completed.
  - **Tip**: If there are no changes to the original budget, **Click** "Save and Proceed to Next Step" and original budget will be reconciled.



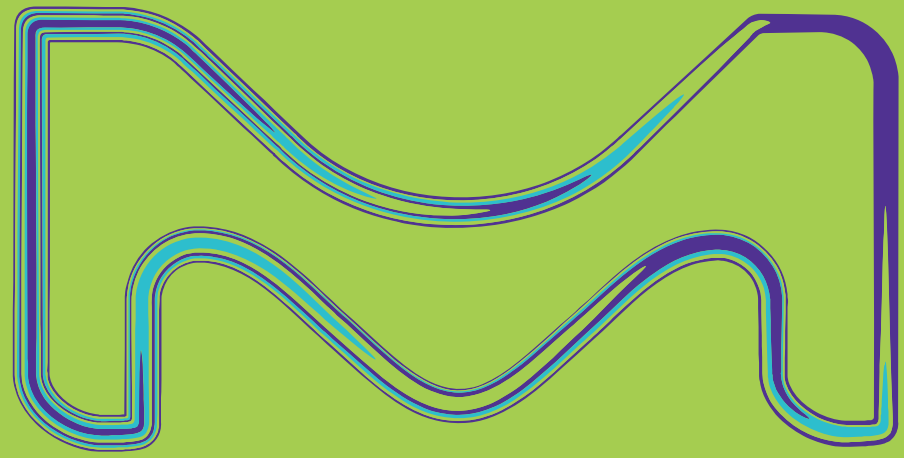
Reconciliation

How do I reconcile my Request?

- **Step 3** – At "Reconciliation Details" screen, **Click** "Yes" to certify the reconciliation.
- For the field "Actual Revenue Generated", fill in the amount of revenue generated from registration (if any). If none, enter zero.
  - If you didn't use all the funds, a refund is required. The system will automatically calculate it.
- **OPTIONAL FIELD** (only needed for Sponsorships): For the field "Sample of EMD Serono Logo Utilization", upload a copy of a brochure, sign, booth, etc. with our logo on it. This is to substantiate the benefit we received (for audit purposes).
- **Click** "Submit" when reconciliation is complete.



EMD Serono’s Request Coordinator

Email: fundingrequests@emdserono.com

Phone: 212-589-3507