



European
Commission



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RULES OF THE CONTEST



1. COMBINED HEAT AND POWER (CHP) INSTALLATION IN A HOSPITAL USING 100% RENEWABLE ENERGY SOURCES

1.1 Objectives pursued

The integration and use of renewable energy in buildings for heat and power generation still encounter unsolved technological problems linked to the security and reliability of energy supply and related costs. Partly, it is due the intermittency of some renewable energy sources, such as solar or wind. The difficulty is even greater in cases where a 100% security of energy supply is essential such as for hospitals and especially when several renewable energy sources are used.

This inducement prize will reward a hospital that has an innovative and within its premises perfectly integrated combined heat and power (CHP) installation. This installation has to use at least three different European renewable energy technologies¹, include energy storage component(s) and be able to provide 100% of hospital's annual needs for energy consumption. In this context any renewable energy source is allowed.

The prize will induce innovative renewable energy solutions integrating several technologies into one energy system. Installing such kind of integrated equipment in the ecosystem of a hospital would not only ensure the security of its energy supply, but would also raise public awareness on renewable energy. Moreover, the prize aims to mobilise and enhance private and public investments for replication of similar solutions in Europe and worldwide.

1.2 Expected results

The prize winner will be the entrant (a hospital) that has installed and operated in its premises a new combined heat and power system integrating at least three different European renewable energy technologies² and with an innovative energy storage component. The proposed energy system solution shall be adaptable and replicable to other sites. Clear energy security and economic benefits shall be proven to assure these replications.

The prize will accelerate the introduction of renewable energy sources at larger scale. It will also encourage new venues for installing flexible and reliable CHP units from different renewable energy sources with zero carbon footprint. The contest gives as well a good opportunity to local small and medium-sized enterprises to demonstrate their expertise and know-how.

2. PRIZE AMOUNT³: 1.000.000 EUR

¹ Developed and produced in a Member State of the EU or in a country associated to Horizon 2020 programme.

² See footnote 1.

³ The budget amount is subject to the availability of the appropriations provided for in the draft budget for 2019 after the adoption of the budget 2019 by the budgetary authority or, if the budget is not adopted, as provided for in the system of provisional twelfths.

3. DEADLINES:

Deadlines	
Opening of the submission:	5 July 2016
Closing date for submission:	3 April 2019 at 17:00:00 CET ⁴
Award decision:	4 th quarter 2019

Applications must be submitted via the Participant Portal 'Submission Service', accessible via the contest page.

Applications must be readable, accessible and printable. Incomplete applications may be considered inadmissible if essential elements are missing (see General Annex B to the Main Work Programme).

The page-limit for this prize is: 50 pages (without annexes).

Participants can moreover declare their intention to participate by registering as 'contestants' via the functional [mailbox EC-LOWCARBON-PRIZE@EC.EUROPA.EU](mailto:EC-LOWCARBON-PRIZE@EC.EUROPA.EU) before 31 March 2017 with a short summary of their application including a brief description of the system to be installed and envisaged activities in the pursuit of the prize aim (no more than 2000 characters).

4. ELIGIBILITY:

4.1 Eligibility criteria

The contest is open to all legal entities (including natural persons) or groups of legal entities regardless of their place of establishment owning or operating a hospital, in the premises of which the requested application will be installed.

Please note however that special rules apply for Israeli entities⁵ and for Crimean legal persons and those entities from non-EU Member States that are covered by Council sanctions are not eligible to participate⁶ (see General Annex C to the Main Work Programme).

Contestants that have already received an EU or Euratom prize cannot receive a second prize for the same activities.

After the launch of the contest entries must install a new combined heat and power system integrating at least three different European renewable energy technologies⁷, with an energy storage component, annually generating at least 2 000 000 kilowatt-hour (kWh), and being able to provide 100% of hospital's annual needs for energy consumption. The system should have been operating in the hospital premises for at least six months at the submission of the application.

⁴ Central European Time = Brussels local time.

⁵ See Commission Guidelines on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards (OJ C 205 of 19.7.2013, pp. 9-11).

⁶ For the list of persons, groups and entities subject to EU financial sanctions, see http://eeas.europa.eu/cfsp/sanctions/consol-list_en.htm.

⁷ See footnote 1.

4.2 Exclusion criteria

Contestants will be excluded if they (or for points (a)(b) a natural or legal person that assumes unlimited liability for the debts of the contestant; or for points (c)(d)(e)(f) a natural person who is a member of the administrative, management or supervisory body of the contestant, or who has powers of representation, decision or control with regard to that contestant)⁸:

- a) it is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations.
- b) it has been established by a final judgement or a final administrative decision that the applicant is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the authorising officer is located or those of the country of the performance of the contract.
- c) it has been established by a final judgement or a final administrative decision that the applicant is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:
 - (i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract, a grant agreement or a grant decision;
 - (ii) entering into agreement with other persons with the aim of distorting competition;
 - (iii) violating intellectual property rights;
 - (iv) attempting to influence the decision-making process of the [Commission] [Agency] during the award procedure;
 - (v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure.
- d) it has been established by a final judgement that the applicant is guilty of any of the following:
 - (i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;
 - (ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, and in Article

⁸Article 105a, paragraphs 1 to 4, 6 and 7, except point (b) of the first subparagraph and the second subparagraph of that paragraph, paragraphs 8, 9, 11 and 13 to 17 of Article 106 and Article 108 of the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 218, 26.10.2012, p.1) shall apply to participants and winners. Article 107 shall apply to participants.

2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the legal provisions of the country where the authorising officer is located, the country in which the applicant is established or the country of the performance of the contract;

- (iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;
 - (iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council;
 - (v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;
 - (vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council.
- a) it has shown significant deficiencies in complying with the main obligations in the performance of a contract, a grant agreement or a grant decision financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors.
- b) it has been established by a final judgment or final administrative decision that the applicant has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95.
- c) for the situations of grave professional misconduct, fraud, corruption, other criminal offences, significant deficiencies in the performance of the contract or irregularity, the applicant is subject to:
- (i) facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;
 - (ii) non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;
 - (iii) decisions of the ECB, the EIB, the European Investment Fund or international organisations;
 - (iv) decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law;
 - (v) decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.

Contestants will also be excluded if they misrepresent the information required as a condition for participating in the procedure or fail to supply that information or they were previously involved in the preparation of prize documents where this entails a distortion of competition that cannot be remedied otherwise.

However contestants will not be excluded where:

- a) they have taken remedial measures⁹, thus demonstrating their reliability. This point shall not apply in the case referred to in point (d) above;
- b) such an exclusion would be disproportionate.¹⁰

4.3 Evidence upon request

Whenever requested by the contracting authority and where this is necessary to ensure the proper conduct of the procedure, the candidate or tenderer, as well as the entity on whose capacity the candidate or tenderer intends to rely, shall provide appropriate evidence that the contestant or a natural or legal person that assumes unlimited liability for the debts of the contestant; a natural person who is a member of the administrative, management or supervisory body of the contestant, or who has powers of representation, decision or control with regard to that contestant is not in one of the exclusion situations referred to in paragraph 4.2.

5. AWARD CRITERIA:

The prize will be awarded, after closure of the contest, to the entry that in the opinion of the jury demonstrates a solution that best addresses the following cumulative criteria:

1. A new combined heat and power system integrating at least three different European renewable energy technologies¹¹ with an energy storage component installed and operating in the hospital premises for at least six months at the submission of the application (maximum 20 points):
 - a. Power generation: from 1 to 5 points for installed higher than 2 000 000 kilowatt-hour (kWhe) per year electricity generation capacity;
 - b. Duration of operation: from 1 to 5 points for more than 3700 hours over the six months of operation period;
 - c. The innovative renewable energy solution including innovative energy storage component (maximum 10 points).
2. Reliability, easy maintenance and safety of operation (maximum 20 points):
 - a. Number of incidents stopping operation;
 - b. Number of health and safety incidents;

⁹ The measures which remedy the exclusion situation may include, in particular: measures to identify the origin of the situations giving rise to exclusion and concrete technical, organisational and personnel measures within the relevant business area of the economic operator, appropriate to correct the conduct and prevent its further occurrence; proof that the economic operator has undertaken measures to compensate or redress the damage or harm caused to the Union's financial interests by the underlying facts giving rise to the exclusion situation; proof that the economic operator has paid or secured the payment of any fine imposed by the competent authority or of any taxes or social security contributions.

¹⁰ In particular taking into account the seriousness of the situation, including the impact on the Union's financial interests and image, the time which has elapsed since the relevant conduct, its duration and its recurrence, the intention or degree of negligence, the limited amount at stake for point (b) above or any other mitigating circumstances, such as the degree of collaboration of the economic operator with the relevant competent authority and its contribution to the investigation as recognised by the contracting authority, or the disclosure of the exclusion situation by means of the declaration.

¹¹ See footnote 1.

- c. Duration of the interventions to repair or maintain the system.
- 3. CO2 emission reduction and sustainability aspects, potential energy savings (maximum 20 points):
 - a. Comparison of the new energy system to the old installation on the three parameters. If biomass is used as one of the energy sources, the sustainability of the distribution chain will be taken into account.
- 4. Minimal/non-invasive impact on premises (maximum 10 points):
 - a. Quality of the integration of the new energy system in the hospital premises.
- 5. Low operation and maintenance costs, with cost of the energy produced equal to or lower than the cost of the old installation (maximum 20 points):
 - a. Cost analysis.
- 6. Involvement of public (maximum 10 points):
 - a. Involvement and/or participation of potential users (e.g. medical staff and patients) and the neighbourhood (e.g. inhabitants, municipal authorities, NGOs) in the pursuit of the prize aim using any relevant methods (such as information, consultation, dialogue, collaboration, etc.);
 - b. Opinion of users and local community taken into account.

6. DOCUMENTS:

The mandatory supporting documents are set out in the application form.

Contestants may be asked at a later stage for further documents (for legal entity validation, bank account validation, ethics review, declaration of honour on exclusion grounds, etc.).

7. PROCEDURE:

Applications will be evaluated by independent evaluators between April and August 2019 first individually (by each expert separately) and then as a Jury (by all experts together).

The evaluation will be done according to the following process:

All submitted applications will be evaluated based on the submitted documentations and against all defined award criteria. Contestants must present their solutions in a manner as concise as possible using the prize entry template provided on the Participant portal.

The Jury may conduct on-site visits to verify the functioning of installations submitted by contestants.

The experts will score each application as follows with full and half points:

Criterion	Maximum points
1. A new combined heat and power system	20
2. Reliability, easy maintenance and safety of operation	20
3. CO2 emission reduction and sustainability aspects, potential energy savings	20

4. Minimal/non-invasive impact on premises	10
5. Low operation and maintenance costs, with cost of the energy produced equal to or lower than the cost of the old installation	20
6. Involvement of public	10
Total	100

Upon completion of their work, the members of the Jury shall sign a Jury report of all the applications examined, containing an assessment of their quality and identifying whom the prize may be awarded. All contestants will be informed at the latest **by the end of December 2019**.

On the basis of the evaluation, the Commission will decide on the award of the prize.

8. OTHER CONDITIONS:

8.1 Applicable law and competent jurisdiction

The contest is governed by the applicable Union law complemented, where necessary, by the law of Belgium. The General Court or, on appeal, the Court of Justice of the European Union, shall have sole jurisdiction to hear any dispute between the Union and any participant concerning the interpretation, application or validity of the rules of this contest, if such dispute cannot be settled amicably. For participants that are International organisations such disputes with the [Commission][Agency] relating to the Contest must - if they cannot be settled amicably - be referred to arbitration.

The Permanent Court of Arbitration Optional Rules for Arbitration Involving International Organisations and States in force at the date of entry into force of the Contest will apply.

8.2 Payment arrangements

The prize money EUR 1.000.000 will be paid in one instalment after the award ceremony by bank transfer, provided all the requested documents have been submitted.

8.3 Publicity — Promoting the prize — Visibility of EU funding

8.3.1 Publicity by the winner(s)

The winner(s) must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

Unless the Commission requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) must:

- (a) display the EU emblem and
- (b) include the following text:

'This action has been awarded the Horizon Prize for a Combined Heat and Power

(CHP) Installation in a

hospital using 100% Renewable Energy Sources from the European Union's Horizon 2020 research and innovation programme'.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of its obligations, the winner(s) may use the EU emblem without first obtaining approval from the Commission.

This does not, however, give it the right to exclusive use.

Moreover, the winner(s) may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

8.3.2 Publicity by the Commission

The Commission may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and deliverables as well as any other material, such as pictures or audio-visual material that it receives from the winner(s) (including in electronic form).

The Commission will publish the name of the winner(s), their origin, the amount of the prize and its nature and purpose— unless the winner has requested to waive this publication (because disclosure risks threatening its security and safety or harm its commercial interest).

Photos and videos taken by the Commission either in preparation of the award ceremony or during the award ceremony are the sole property of the Commission.

8.4 Dissemination and exploitation of results

The winner(s) must comply with the obligations set out in Title III of the Rules for Participation Regulation No 1290/2013¹².

8.5 Processing of personal data

8.5.1 Processing of personal data by the Commission

Any personal data will be processed by the Commission under Regulation No 45/2001¹³ and according to the 'notifications of the processing operations' to the Data Protection Officer (DPO) of the Commission (publicly accessible in the DPO register).

Such data will be processed by the '**data controller**' of the [Agency or the] Commission for the purposes of the award, implementation and follow-up of the prize or protecting the financial interests of the EU or Euratom (including checks, audits and investigations; see below).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their

12 Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).

13 Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).

personal data to the data controller, via the contact point indicated in the ‘service specific privacy statement(s) (SSPS)’ that are published on the Commission websites.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS). The winner(s) consent that the Commission publishes (in whatever form and medium) the following information:

- name
- Member State of origin (address or NUTS 2 region)
- their activities in relation to the award of the prize (via the summary for publication they provided)
- prize amount.

8.5.2. Processing of personal data by the contestants

The contestants must process personal data in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The contestants may grant their personnel access only to data that is strictly necessary for the award, implementation or follow-up of the prize.

The contestants must inform the personnel whose personal data are collected and processed by the Commission. For this purpose, they must provide them with the service specific privacy statement(s) (SSPS) (see above), before transmitting their data to the Commission.

8.6 Ethics

The activities must be carried out in compliance with:

- (a) ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity¹⁴ — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
- (b) applicable international, EU and national law.

No prize will be awarded for activities carried out outside the EU, if they are prohibited in all Member States.

The contestants must ensure that the activities have an exclusive focus on civil applications.

For more information and best practice, see the Online Manual, the sample application form for prizes and the guidance 'How to complete your ethics self-assessment'.

8.7 Conflict of interests

The contestants must take all measures to prevent any situation where the impartial and objective award of the prize is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must inform the Commission without delay of any situation constituting or likely to lead

14 The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.
http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf

to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The Commission may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

8.8 Liability for damages

The Commission cannot be held liable for any damage caused to the contestants or to third parties as a consequence of the award or implementation of the prize, including for gross negligence.

The Commission cannot be held liable for any damage caused by any of the contestants, as a consequence of activities linked to the prize.

8.9 Checks, audits and investigations

The Commission, the European Anti-Fraud Office (OLAF) and the Court of Auditors may carry out checks, audits and investigations in relation to the prize.

8.10 Withdrawal of the prize — Recovery of undue amounts

The Commission may withdraw the prize and recover all payments made, if it finds out that:

- (a) false information or fraud or corruption was used to obtain the prize or
- (b) the winner was not eligible or should have been excluded.

8.11 Exclusion and financial penalties

If a contestant is in one of the exclusion situations referred to in paragraph 4.2, the Commission may also impose:

- decisions excluding the contestants from all contracts, grants and contests financed from the EU or Euratom budget for duration not exceeding the duration, if any, set by the final judgement or the final administrative decision of a Member State and either five years for the cases referred to in paragraph 4.2 (d) or three years for the cases referred to in paragraph 4.2 (c), (e) and (f).and/or
- a financial penalty between 2% and 10% of the value of the prize on a contestant in one of the cases referred to in paragraph 4.2 (c), (d), (e) and (f).

8.12 Cancellation of the contest

The Commission may cancel the contest or decide not to award a prize — without any obligation to indemnify contestants —, if:

- (a) the objective of the contest has already been achieved
- (b) no applications are received
- (c) the jury does not find a winner or
- (d) the winner is not eligible or must be excluded

9. CONTACT:

In case of questions, please contact EC-LOWCARBON-PRIZE@EC.EUROPA.EU