



European  
Commission

# EUROPEAN CAPITAL OF INNOVATION

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ideas to life



**EUROPEAN CAPITAL OF INNOVATION AWARD 2016**

**Rules of contest**

Research and  
Innovation

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## 1. Objectives

With their capacity to connect people, places, public and private actors, urban areas can substantially enhance innovation in Europe.

In 2014 the European Union acknowledged their role by awarding its first European Capital of Innovation ever. The award considers the city as a holistic system, including built environment, municipal authorities and citizens, organizations and public structures as a platform facilitating growth and developing creativity and innovation in its different meanings.

After the success of the first competition, the Commission intends to continue its initiative with a second edition of the award.

It will aim to provide European level recognition to those cities that make the most to promote innovation within their communities and thereby improve the quality of their citizens' lives. It will address the challenge of fostering innovation through actions at city level, by acknowledging innovative solutions to build up an innovation ecosystem and ideas to further expand and scale up these initiatives, thereby leveraging and inducing further systemic innovation in cities.

## 2. Expected results

The Commission plans to select the new European Capital of Innovation following a European-wide contest. The award is addressed to cities over 100.000 inhabitants from EU Member States and Associated Countries to Horizon 2020, the European research and innovation programme.

The award will look at proposals which should be focused on:

- Developing an effective innovation ecosystem that captures the five I's of an innovative, inspiring, interactive, integrated and impactful city;
- Reaching out to citizens' in a way which makes innovation visible.

The prize will reward innovative solutions and ideas to further scale up the city initiatives. Applications should therefore include innovation activities planned to be implemented until 31 December 2017, which will help scale up past and on-going achievements, thus contributing to the city's innovation ecosystem and innovation capacity building.

Entries will have to clearly highlight the achieved and expected social and economic impact of their initiatives and provide relevant supporting elements. The winning city will be awarded a prize of EUR 950,000. A second prize of EUR 100,000 and a third prize of EUR 50,000 are foreseen for two runner-ups.

### 3. Award criteria

The winner of the "**European Capital of Innovation Award 2016**" will be selected by an independent High Level Jury which will assess the cities' actual achievements and the potential intended scaling up activities against the following award criteria:

1. **Innovative** – in terms of concepts, processes and tools;
2. **Inspiring** – attracting talent, resources, funding, investment
3. **Integrated** – covering the entire innovation ecosystem and its links with Europe 2020
4. **Interactive** – facilitating the interactions within the innovation ecosystem, particularly ensuring citizens' involvement and engagement
5. **Impactful** - outlining the city's potential to realize the expected impacts of the prize and its current commitment towards future, sustainable plans based on the above mentioned achievements

#### 3.1. Evaluation process

The rules of the contest are established and published by the Commission, which will launch and manage the contest and award the prizes. Entries have to be submitted by the contestant (natural person) via the web-based submission forms on <http://ec.europa.eu/icapital>

The candidates will have to provide proof of eligibility and a written presentation of their achievements, which will be presented to a High Level Jury for evaluation.

The High Level Jury will consist of a group of independent experts from public bodies, business and academia appointed by the Commission. They will appraise the quality of the entries on the basis of a review of the written applications and submit to the Commission the final list of up to 3 selected cities to be awarded.

The evaluation of applications will be carried out between December 2015 and January 2016. There will be first a remote evaluation where the experts evaluate the applications individually at home; followed by a central evaluation in Brussels. Up to nine best applications of the central evaluation might be invited for a hearing in Brussels.

At the evaluation phase, the expert panel will assess each submitted solution against the award criteria and will then mark each solution up to a maximum number of 5 points.

The jury will evaluate each application against the 5 award criteria and score them as follows (only full points; no half marks or decimals):

Criterion	Threshold	Maximum points
INNOVATIVE	3	5
INSPIRING	3	5
INTEGRATED	3	5
INTERACTIVE	3	5
IMPACTFUL	3	5
<b>Total</b>	<b>15</b>	<b>25</b>

Upon completion of their work, the members of the panel shall sign a record of all the entries examined, containing an assessment of their quality and identifying those to which the prizes may be awarded.

All contestants will be informed about the outcome of the evaluation in spring 2016.

#### 4. Arrangements and final dates for the submission of entries

Deadlines	
Opening submission of applications	<b>1 July 2015 at 12:00 (Brussels time)</b>
Deadline for submission of applications	<b>18 November 2015 at 17:00 (Brussels time)</b>

Applications are submitted through the [Participant Portal](#).

## **5. Amount of prizes including specific amount for each prize**

First prize of EUR 950 000 EUR

Second prize of EUR 100 000

Third prize EUR 50 000

## **6. Arrangement for the payment of the prize to the winner after its award**

The award will be paid in one instalment. Prize money will be paid after the award ceremony by bank transfer, provided the winner has submitted the required evidence as regards eligibility.

## **7. Conditions for cancellation of the contest, if any**

The Commission has the right to terminate the contest before its closing date without any obligation to indemnify contestants in case the objective of the contest has been achieved by a non-registered or non-eligible contestant.

The Commission has the right to decide not to award any prize if no applications are received or if no applications are to be awarded by the contest jury.

## **8. Conditions for participation**

All information given by the contestant in the application must be correct and complete.

### **8.1. Eligibility criteria**

Contestants for the "**European Capital of Innovation Award 2016**" shall comply with the following eligibility criteria to participate:

1. The candidate cities must be established in an EU Member or in Associated Country and have a population above 100,000 inhabitants
2. The submission consists of a complete application.
3. The achievements must relate to completed or on-going initiatives started after 1st January 2012.
4. The achievements have not been previously awarded with a monetary prize by an EU institution.

## 8.2. Exclusion criteria

Contestant will be excluded from participating in the competition if they fall under any of the following situations<sup>1</sup>:

The contestant:

a) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

b) has been convicted of an offence concerning professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata;

c) has been guilty of grave professional misconduct proven by any means which the European Union bodies can justify including by decisions of the European Investment Bank and international organizations;

d) is not in compliance with all its obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which it is established, with those of the country of the authorising officer responsible and those of the country where the activity is to be implemented;

e) has been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such activity is detrimental to the Union's financial interests;

f) is subject to an administrative penalty for being guilty of misrepresenting the information required as a condition of participation in a procurement procedure or another grant award procedure or failing to supply this information, or having been declared to be in serious breach of its obligations under contracts or agreements covered by the Union's budget. Natural persons with power of representation, decision-making or control over one of the contestants that are legal entities, must not be in the situations referred to in b) and e) above:

Contestants must:

g) have no conflict of interests in connection with the prize; a conflict of interests could arise in particular as a result of economic interests, political or national affinity, family, emotional life or any other shared interest;

h) inform the European Commission, without delay, of any situation considered a conflict of interests or which could give rise to a conflict of interests;

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<sup>1</sup> Contestants which are in one of the situations referred to in Article 106(1) and Articles 107, 108 and 109 of the Financial Regulation are excluded from participating in the contest.

i) have not been granted, and will not grant, have not sought and will not seek, have not attempted and will not attempt to obtain, and have not accepted and will not accept any advantage, financial or in kind, to or from any party whatsoever, where such advantage constitutes an illegal practice or involves corruption, either directly or indirectly, inasmuch as it is an incentive or reward relating to the award of the prize;

In case of award of a prize, the following evidence shall be provided upon request and within the time limit set by the European Commission:

For situations described in (a), (b) and (e), production of a recent extract from the judicial record is required or, failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that those requirements are satisfied. Where the contestant is a legal person and the national legislation of the country in which the contestant is established does not allow the provision of such documents for legal persons, the documents should be provided for natural persons, such as the company directors or any person with powers of representation, decision making or control in relation to the contestant.

For the situation described in point (d) above, recent certificates or letters issued by the competent authorities of the State concerned are required. These documents must provide evidence covering all taxes and social security contributions for which the contestant is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions.

For any of the situations (a), (b), (d) or (e), where any document described in the two paragraphs above is not issued in the country concerned, it may be replaced by a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

If the contestant is a legal person, information on the natural persons with power of representation, decision making or control over the legal person shall be provided only upon request by the European Commission.

### **8.3. Sole liability of contestants**

The Commission may not be held responsible for any claim relating to the activities carried out in the framework of the contest by the contestant. The Commission shall not be held liable for any damage caused or sustained by any of the contestants, including any damage caused to third parties as a consequence of or during the implementation of the activities related to the contest.

### **8.4. Checks and audits**

The contestants accept that, if they are awarded a prize, the Commission, OLAF and the Court of Auditors may carry out checks and audits in relation to the contest and the received prize.



## **8.5. Publicity**

### 8.5.1. Publicity by the winner of the prize

The contestants accept, if they are awarded a prize, to 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 title of the 'European Capital of Innovation 2016' 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 of the prize 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 of the prize may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

### 8.5.2. 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 public deliverables as well as any other material, such as pictures or audio-visual material that it receives from the winner of the prize (including in electronic form).

The Commission will publish the name of the winner, its locality, the amount of the prize and its nature and purpose and that the contestant may request the Commission to waive such publication if 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.

## **8.6. Processing of personal data**

Registration and submission of application shall be made in writing, which implies by letter or by electronic means (as specified in the rules of the contest), provided that they are non-discriminatory in nature and ensure integrity, confidentiality and protection of personal data. All personal data contained in the application shall be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council (OJ L8 of 12.01.2001, p1) 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. Such

data shall be processed by the Controller solely in connection with the implementation and follow-up of the application of the winner, without prejudice to a possible transmission to the bodies in charge of a monitoring or inspection task in accordance with European Community and European Union legislation.

Contestants may, on written request, gain access to their personal data and correct any information that is inaccurate or incomplete. They should address any questions regarding the processing of their personal data to the Controller, via the contact person announced in the rules of the contest. Please send in addition a scanned copy of your letter to the email address announced in the rules of the contest.

Contestants may, at any time, lodge a complaint against the processing of their personal data with the European Data Protection Supervisor.

The Commission shall be authorised to publish, in whatever form and on or by whatever medium, the following information:

- The name of winner(s);
- The locality of winner(s);
- The general purpose of the activities of the winner(s) in relation to the award of the prize, in the form of the summary provided by the winner(s);
- The amount of the prize awarded.

### **8.7. 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.

If international organisations are eligible, this general rule may be complemented by the special conditions proposed in the model grant agreement on dispute settlement - arbitration and applicable law.

### **8.8. Applicability of penalties**

By virtue of Article 212 of Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of 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 with due regard to the principle of proportionality, a contestant which has committed irregularities or fraud, has made false declarations shall be liable to:

(a) administrative penalties consisting of exclusion from all contracts, grants and contests financed by the Union budget for a maximum of five years from the date

on which the infringement is established and confirmed following a contradictory procedure with the contestant; and/or

(b) financial penalties of 2% to 10% of the value of the prize.

In the event of another infringement within five years following the establishment of the first infringement, the period of exclusion under point (a) may be extended to 10 years and the range of the rate referred to in point (b) may be increased to 4% to 20%.

### **8.9. Dissemination and exploitation obligations**

Obligations regarding dissemination of results laid down in Title III of the rules for participation and dissemination in Horizon 2020 (Regulation 1290/2013) apply, as well as any additional rules provided in the Work Programme.