



The EU Framework Programme
for Research and Innovation

HORIZON 2020



H2020 Programme

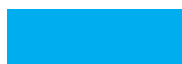
Model Rules of Contest

for Prizes

Version 4.1
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Disclaimer

This document is aimed at assisting participants for EU prizes. It shows the full range of provisions that may be used in rules of contest, and is provided for information purposes only. The legally binding rules of contest will be those published for each prize.



HISTORY OF CHANGES		
Version	Publication date	Changes
1.0	13.12.2013	▪ Initial version (published as part of WP 2014-2015 (General Annex F))
2.0	n/a	▪ Not applicable
3.0	26.09.2015	▪ Formatting changes. Presentation adapted to layout for Horizon prizes.
4.0	21.04.2017	▪ Evaluation procedure updated. Small linguistic corrections.
4.1	20.07.2017	▪ Small change in the presentation of the eligibility rules (no specific reference to the countries for which special eligibility rules may apply; replaced by a general reference).

[prize logo]

RULES OF CONTEST

1. THEME: [INSERT NAME OF THE PRIZE]

1.1 Objectives pursued

The objectives of the prize are:

- [insert objective from work programme/call]
- [same for all objectives]

1.2 Expected results

[insert text from work programme/call]

2. PRIZE AMOUNT(S): [INSERT AMOUNT] EUR

[OPTION for SEVERAL PRIZES: [INSERT AMOUNT] EUR]

3. DEADLINES & ADMISSIBILITY

Deadlines	
Opening of the submission:	dd Month yyyy
[OPTION for best-in-class or first-past-the-post prizes, if registration of interest foreseen: Deadline for registration of interest:	dd Month yyyy]
Closing date for submission:	[OPTION 1 for recognition and best-in-class prizes: dd Month yyyy at hh:mm:ss CET ¹][OPTION for first-past-the-post prizes: n/a]

Joint applications by a group of participants are admitted. In this case, the participants must appoint a 'lead participant' to represent them towards the [Commission/Agency]. The participants will be jointly responsible and must all fulfil and respect the conditions set out in these Rules of Contest.

Applications must be submitted by the (lead) participant via the **Participant Portal Submission Service**.

[OPTION for first-past-the-post prizes: The deadline for submission is replaced by monthly cut-off dates that trigger evaluation. Proposals can be changed and re-submitted until the cut-off date, but will get a new submission date (and may therefore lose their first place).]

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](#)).

¹ Central European Time = Brussels local time.

The page-limit for your prize application (Part B) is: [insert number] pages.

[OPTION for best-in-class or first-past-the-post prizes, if registration of interest foreseen: Participants must moreover declare their intention to participate by registering their interest via [insert adress of functional mailbox] by the above-mentioned deadline.]

Sample application forms will be available on the [Participant Portal Reference documents page](#).

4. ELIGIBILITY

4.1 Eligibility criteria

[OPTION 1 by default: The contest is open to all legal entites (i.e. natural or legal persons, including international organisations) or groups of legal entities.] [OPTION 2 if provided in the work programme/call: The contest is open to any legal entity (including natural persons) or group of legal entities established in an EU Member State or in a [country associated to Horizon 2020](#).] [OPTION 3 if provided in the work programme/call: The contest is open to [insert eligibility criteria from WP/call].]

Please note however that special rules may apply for entities from certain countries (see [General Annex C to the Main Work Programme](#)).

Please also be aware that participants that have already received an EU or Euratom prize cannot receive a second prize for the same activities.

4.2 Exclusion criteria

Participants will be excluded if they (or one of them):

- are subject to an administrative sanction (i.e. exclusion)²
- are in one of the following situations³:
 - bankrupt, being wound up, having their affairs administered by the courts, entered into an arrangement with creditors, suspended business activities or subject to any other similar proceedings or procedures under national law (including persons with unlimited liability for the participant's debts)
 - declared in breach of social security or tax obligations by a final judgment or decision (including persons with unlimited liability for the participant's debts)
 - found guilty of grave professional misconduct⁴ by a final judgment or decision (including persons having powers of representation, decision-making or control)

² See Articles 131(4) and 106(1) Financial Regulation.

³ See Articles 138(2) and 106(1), 107 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).

⁴ Professional misconduct includes: violation of ethical standards of the profession, wrongful conduct with impact on professional credibility, false declarations/misrepresentation of information, participation in a cartel or other agreement distorting competition,

- convicted of fraud, corruption, involvement in a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including persons having powers of representation, decision-making or control)
- shown significant deficiencies in complying with main obligations under a procurement contract, grant agreement or grant decision financed by the EU or Euratom budget (including persons having powers of representation, decision-making or control)
- found guilty of irregularities within the meaning of Article 1(2) of Regulation No 2988/95 (including persons having powers of representation, decision-making or control)
- have misrepresented information required for participating in the contest or fail to submit such information
- were involved in the preparation of the prize documents and this entails a distortion of competition.

5. AWARD CRITERIA

The prize will be awarded to the entry that best addresses the following cumulative criteria.:

1. **[list the essential/specific award criteria from the work programme/call]**
2. [...]
3. [...]
4. **[same for all other essential/specific award criteria from the work programme/call].**

6. DOCUMENTS

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

Participants 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

If there are more than [insert number] of applications, there will be a pre-selection phase to select the best [20/[insert other number]] applications to pass to jury review. Otherwise, all applications will pass directly to jury review.

The pre-selection panel and jury usually have a different composition, but jury members may participate in the pre-selection panel.

The jury evaluation is planned to take place between [month yyyy] and [month yyyy].

violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain an advantage.

The pre-selection panel/jury will evaluate each application against the [insert number] award criteria *[OPTION for recognition and best-in-class prizes]*: and score them as follows (half marks are possible decimals are not):

Criterion	Threshold	Maximum points
1. [insert award criterion]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
2. [insert award criterion]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
3. [insert award criterion]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
4. [insert award criterion]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
5. [insert award criterion]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
6. [same for other award criteria]	[insert threshold, e.g. 3]	[insert max points, e.g. 5]
Total	[insert total, e.g. 18]	[insert total, e.g. 30]

[additional OPTION for prioritisation rules for ex aequo proposals (for recognition and best-in-class prizes)]: For applications with the same score, the pre-selection panel/jury will determine a priority order according to the following approach: The score for the criterion No [insert number] will be given a weight of 2 and the score for criterion No [insert number] will be given a weight of 1.5.] *[additional OPTION if ex aequo winners should share the prize (for recognition and best-in-class prizes)]*: If two or more applications tie for the first rank, the prize will be equally divided and awarded to all.]

[additional OPTION if prototyping/on-site-visit/demonstration/hearing]: The *[OPTION 1 for recognition and best-in-class prizes]*: [3][other number] best applications][*OPTION 2 for first-past-the-post prizes*: application] will be invited [as finalists] [to submit a prototype][to demonstrate their solution][for an on-site visit][and][for a hearing with the jury].

[additional OPTION for special evaluation procedures (if foreseen in the work programme)]: [In addition,] [insert special procedures and indicative timing].]

On the basis of the evaluation by the jury, the [Commission][Agency] will decide on the award of the prize.

All participants will be informed [insert indicative date, e.g. 'at the end of 2016'] on the outcome of their application.

8. OTHER CONDITIONS

8.1 Payment arrangements

[OPTION 1 by default]: The prize money (EUR [insert amount]) will be paid to the (lead) participant in one instalment after the award ceremony by bank transfer, provided all the requested documents have been submitted.]

[OPTION 2 for special payment schemes]: [insert other payment arrangements.]

8.2 Publicity — Promoting the prize — Visibility of EU funding

8.2.1 Publicity by the winner(s)

[Both finalist(s) and] [The] winner(s) must promote the prize 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/Agency] 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/activity/person was [finalist for/winner of the [insert prize name] 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 their obligations, the [finalist(s) and] winner(s) may use the EU emblem without first obtaining approval from the [Commission/Agency].

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

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

8.2.2 Publicity by the [Agency or the] Commission

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

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

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

8.3 Dissemination and exploitation of results

[OPTION if appropriate: The winner(s) must comply with the obligations set out in Title III of the Horizon 2020 Rules for Participation Regulation No 1290/2013⁵ [and the following additional [dissemination]/and] [exploitation] obligations:

- [insert additional obligation from work programme/call]
- [same for further additional obligations].

For more information and best practice, see Articles 23a-31 of the [H2020 AGA — Annotated grant agreement.](#)

⁵ 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).

8.4 Processing of personal data

8.4.1 Processing of personal data by the [Agency and the] Commission

Any personal data will be processed by the [Agency or the] Commission under Regulation No 45/2001⁶ and in accordance with the [Participant Portal privacy notice\(s\)](#).

All [finalist(s) and] winner(s) consent that the [Agency or the] Commission publish/es] 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

in whatever form and medium.

8.4.2. Processing of personal data by the participants

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

8.5 Ethics

The activities must be carried out in compliance with:

- (a) ethical principles (including the highest standards of research integrity) 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 participants must ensure that the activities have an exclusive focus on civil applications.

The participants must ensure that the activities do not:

- (a) aim at human cloning for reproductive purposes
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads) or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

⁶ 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).

Research activities involving human embryonic stem cells (hESC) are moreover subject to the conditions set out in the [Statement of the Commission related to research activities involving human embryonic stem cells](#).

The participants must respect the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity⁷.

For more information and best practice, see the [Participant Portal Online Manual](#), the [Guidance — How to complete your ethics self assessment](#) and the [Guidance note — Research focusing exclusively on civil applications](#).

8.6 Security

The activities must be carried out in compliance with Commission Decision [2015/444](#), i.e. security-sensitive information must be **EU-classified**, if its unauthorised disclosure could adversely impact the interests of the EU or of one (or more) of its Member States. Applications that are too security-sensitive cannot be awarded a prize.

For more information and best practice, see the [Guidance — Guidelines for the classification of information in research projects](#), the [Guidance — Guidelines for the handling of classified information in EU research projects](#), the [Guidance note — Potential misuse of research results](#) and the [Guidance note — Research involving dual use items](#).

8.7 Conflict of interests

The participants 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 [\[Commission//Agency\]](#) without delay of any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The [\[Commission//Agency\]](#) 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 [\[Commission//Agency\]](#) cannot be held liable for any damage caused to the participants or to third parties as a consequence of the prize, including for gross negligence.

The [\[Commission//Agency\]](#) cannot be held liable for any damage caused by any of the participants in the context of the prize.

8.9 Checks, audits and investigations

⁷ European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2017 http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf.

The *[Agency or the]* Commission, the European Anti-Fraud Office (OLAF) and the European 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/Agency]* may withdraw the prize after its award and recover all payments made, if it finds out that:

- (a) false information, fraud or corruption was used to obtain it
- (b) a winner was not eligible or should have been excluded
- (c) a winner is in serious breach of its obligations under these Rules of Contest.

8.11 Administrative sanctions

If a participant has committed irregularities or fraud or has made false declarations, the *[Commission/Agency]* may also:

- (a) exclude the participant from all future contracts, grants and contests financed from the EU or Euratom budget for a maximum of five years (or 10 years in case of repetition) and/or
- (b) impose a financial penalty between 2% and 10% of the value of the prize (or between 4% and 20% in case of repetition).

8.12 Cancellation of the contest

The *[Commission/Agency]* may cancel the contest or decide not to award the prize — without any obligation to compensate participants —, if:

- (a) no applications are received
- (b) the jury does not find a winner
- (c) the winner is not eligible or must be excluded *[OPTION for best-in-class and first-past-the-post prizes: or*
- (d) the objective of the contest has already been achieved.]

8.13 Complaints

Complaints against decisions negatively affecting the rights of a participant or winner can be brought before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 of the Treaty on the Functioning of the EU (TFEU).

9. CONTACT

For more information, please see the **prize website**.

In case of questions, please contact *[the Research Enquiry Service/insert functional mailbox]*.