

HORIZON IMPACT AWARD

EU
RESEARCH
& INNOVATION
SHAPES
A BETTER
WORLD



RULES OF CONTEST

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EU RESEARCH & INNOVATION SHAPES
A BETTER WORLD

Research and
Innovation

1. THEME: HORIZON IMPACT AWARD

1.1 Objectives pursued

The uptake of Research and Innovation (R&I) results created under the Framework Programme is important for the programme's success and is instrumental in contributing towards transformative impacts on the economy, society and policymaking. Impacts are seen as an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life.

The Commission will award on an annual basis a recognition prize to reward beneficiaries that have successfully used their research results to create value for society. The beneficiaries must be able to show proof of effective exploitation and uptake of their research results. This action aims to illustrate the wider socio-economic benefits of the EU investment in R&I and to encourage project beneficiaries to best manage and use their research results.

In particular, five winners will be selected by the evaluation jury for their achievements. The prizes are monetary and each of the five winners will receive EUR 10.000. The prizes will be awarded during the Award Ceremony with a selected audience of high-level representatives and promoters of innovation in industry and public sector. The Commission will further promote the winners by inviting them to provide testimony in other major events.

a. Expected results

With this award, the Commission aims to champion the uptake and use of EU funded project results, thus boosting their potential to achieve economic, societal, and/or policy impacts. It is expected that the award, through showcasing best practices, will create role models and inspire R&I beneficiaries to use their research results to create value for the society at large.

2. PRIZE AMOUNT(S):

Five awards of 10.000 EUR each.

3. DEADLINES & ADMISSIBILITY

Deadlines	
Opening of the submission:	13 February 2020
Closing date for submission:	15 April 2020 at 17:00:00 CET ¹

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. 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 [Funding and Tenders Portal](#) using the Participant Identification Code (PIC). The same administrative data must be used across all parts of the application.

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: 6 pages.

Participants will have to submit an annex consisting of a letter of support from at least one user or user community, stating the importance of the research work and how it was used to create concrete benefits for the specific user community. The user should not be an academic organization. The letter of support must be uploaded as a separate annex and does not count towards the page-limit for your prize application. This is a compulsory requirement.

NON-COMPULSORY: If the participants have previously created an audio-visual material (i.e. video) that reflects on how they used the research results to create societal benefits, they may include an online link to this already existing video (max 90 seconds). The video will not be evaluated as part of the application but it may be used by the Commission for its communication and publicizing activities in accordance with article 8.2.2. of Rules of Contest. Participants can include this link under the section 'Other Information' in the Template Part B. This is NOT a compulsory requirement.

4. ELIGIBILITY

4.1 Eligibility criteria

The contest is open to all legal entities (i.e. natural or legal persons, including international organisations) or groups of legal entities from FP7 or Horizon 2020 projects that have ended². Natural persons such as ERC principal investigators or MSCA fellows and legal entities principally created by past beneficiaries for the exploitation of the project results, are also eligible.

Participants must apply by using the Participant Identification Code (PIC) of the legal entity which was one of the beneficiaries listed in the Grant Agreement of the FP7/H2020 project. In the case of the ERC principal investigators or MSCA fellows, they can apply as individuals in their own name by creating a PIC corresponding to a natural person or use the PIC of the legal entity which was one of the beneficiaries listed in the Grant Agreement. In the case of a legal entity principally created for exploitation of the project results, the applicants can apply by using (or creating) a PIC of the new legal entity. In both cases, the applicant must provide a clear link to the project that is associated with the proposal through a detailed evidence included in the Part B of the application.

Please note, however, that special rules may apply for entities from certain countries and that an application will only be considered eligible if its content corresponds, wholly or in part, to the contest description for which it is submitted. (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):

- a) are subject to an administrative sanction (i.e. exclusion or financial penalty decision)³
- b) are in one of the following situations⁴:

² Refers to the end date of the project as in the Grant Agreement.

³ See Article 136(1) of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012 ('[EU Financial Regulation](#)') (OJ L 193, 30.7.2018, p. 1).

⁴ See Articles 136(1) and 141(1) [EU Financial Regulation](#).

- bankrupt, being wound up, having the affairs administered by the courts, entered into an arrangement with creditors, suspended business activities or subject to any other similar proceedings or procedures (including procedures for persons with unlimited liability for the participant's debts)
 - in breach of social security or tax obligations (including if done by persons with unlimited liability for the participant's debts)
 - guilty of grave professional misconduct⁵ (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award of the prize)
 - committed fraud, corruption, links to a criminal organisation, money laundering, terrorism-related crimes (including if done by terrorism financing), child labour or human trafficking (including persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award of the prize)
 - shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement or grant decision (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award of the prize)
 - guilty of irregularities within the meaning of Article 1(2) of Regulation No 2988/95 (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award of the prize)
 - created under a different jurisdiction with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award of the prize).
- c) have misrepresented information required for participating in the contest or fail to submit such information⁶
- d) were involved in the preparation of the prize documents and this entails a distortion of competition⁷.

5. AWARD CRITERIA

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

- 1. From results to societal benefits** – proven linkage between the FP-funded project result(s), uptake of it and creation of societal benefits. Applicants will need to demonstrate that they have directly exploited the R&I result or have played an active role in the uptake of the result by third parties. The direct and indirect exploitation of R&I results can take many forms among which are: influencing policy change, commercialization of a service or product, creating a start-up/spin-off, creation of a new standard, etc. The R&I results should benefit/address a well-defined population/target audience.

⁵ 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, violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain an advantage.

⁶ See Article 141(1) [EU Financial Regulation](#).

⁷ See Article 141(1) [EU Financial Regulation](#).

Applicants will need to demonstrate and provide evidence on the path from the project result(s) to impact. They will need to show how the exploitation/use of the results took place and who has benefitted from it.

- 2. Impact** – potential longer-term impact for the society, economy, and/or policymaking. Applicants must demonstrate the contribution of their reuse-uptake of research results in solving a societal challenge and generating economic, societal, and environmental or policy impact.

Applicants will need to demonstrate the delivered impact of their research result(s) and the expected long-term impact that is foreseen as an evolution of the existing impact. They will need to show the contribution of their use of research result(s) in solving societal issues.

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 30 eligible applications, there will be a pre-selection phase to select the best 30 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 April 2020 and July 2020.

The pre-selection panel/jury will evaluate each application against the two award criteria and score them as follows (half marks are possible decimals are not):

Criterion	Threshold	Maximum points
1. From results to societal benefits	5	8
2. Impact	5	8
Total	10	16

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 1 will be given a weight of 2 and the score for criterion No 2 will be given a weight of 1.5

The ten best ranked applicants will be invited as finalists for hearings in Brussels during June 2020.

On the basis of the evaluation by the jury (and after the mandatory checks: ethics review, security scrutiny, legal entity validation, non-exclusion, double funding and plagiarism, etc), the Commission will decide on the award of the prizes.

All participants will be informed on the outcome of their application in the third quarter of 2020.

8. OTHER CONDITIONS

8.1 Payment arrangements

The prize money (EUR 10,000) 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.

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 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 Horizon Impact Award 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.

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 Commission

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 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 Commission either in preparation of the award ceremony or during the award ceremony are the sole property of the Commission.

8.3 Dissemination and exploitation of results

The winner(s) must comply with the obligations set out in Title III of the Horizon 2020 Rules for Participation Regulation No 1290/2013⁸

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

8.4 Processing of personal data

8.4.1 Processing of personal data by the Commission

⁸ 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).

Any personal data will be processed by the Commission under Regulation No 2018/1725⁹ and in accordance with the Data Protection Notice published on the [Funding and Tenders Portal](#).

Without prejudice to the abovementioned data protection notice, for all finalist(s) and winner(s), the Commission publishes the following information:

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

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.

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 Integrity¹⁰.

For more information and best practice, see the [Funding and Tenders 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

⁹ Regulation (EU) No 2018/1725 of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (OJ L 295 21.11.2018, p.39).

¹⁰ 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 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 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 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 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 damages.

8.9 Checks, audits and investigations

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 may withdraw the prize after its award and recover all payments made, if it finds out that:

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

8.11 Administrative sanctions

If a participant is in one of the situations specified in section 4.2, the Commission may also impose administrative sanctions (i.e. exclude it from future EU contracts, grants and prizes and/or impose a financial penalty)¹¹.

8.12 Cancellation of the contest

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

- (g) no applications are received
- (h) the jury does not find a winner
- (i) the winner is not eligible or must be excluded

¹¹ See Articles 136(1) and 138 [EU Financial Regulation](#).

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 on how to apply, please see the [prize website](#).

In case of questions, please contact EC-HORIZON-IMPACT-AWARD@ec.europa.eu