



#EUIPAwards

European  
Innovation  
Council



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# HORIZON EUROPE

## Call for a prize — Rules of Contest

### The European Innovation Procurement Awards

HORIZON-EIC-2021-InnovationProcurementAwards

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## EUROPEAN INNOVATION COUNCIL AND SMEs EXECUTIVE AGENCY (EISMEA)

EISMEA | Innovation Ecosystems, SMP / Entrepreneurship and Consumers  
**01 EU and place-based Innovation Ecosystems**

### CALL FOR APPLICATIONS – RULES OF CONTEST

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## 0. Introduction

This is a call (contest)<sup>1</sup> for an EU recognition **prize** in the field of innovation procurement under the Horizon Europe.

The regulatory framework for this EU Funding Programme is set out in:

- Regulation 2018/1046 ([EU Financial Regulation](#))
- the basic act (Horizon Europe) Regulation<sup>2</sup>)
- the call is launched in accordance with the European Innovation Council (EIC) 2021 Work Programme<sup>3</sup> and will be managed by the European Innovation Council and SMEs Executive Agency ('Agency').

We invite you to read the **call documentation** on the Funding & Tenders Portal Topic page carefully, and in particular these Rules of Contest and the [EU Funding & Tenders Portal Online Manual](#).

These documents provide clarifications and answers to questions you may have when preparing your application:

- the [Call Document](#) (Rules of Contest) outlines the:
  - background, objectives, scope, activities that can be funded and the expected results (sections 1 and 2)
  - available budget and timetable (sections 3 and 4)
  - admissibility, eligibility and criteria for exclusion (sections 5, 6 and 7)
  - evaluation and award procedure (section 8)
  - award criteria (section 9)
  - other conditions (section 10)
  - how to submit an application (section 11)
- the [Online Manual](#) outlines the procedures to register and submit applications online via the EU Funding & Tenders Portal ('Portal').

## 1. Background

Public and private procurement represent an untapped potential to stimulate demand for innovation. The public and private sectors can offer new opportunities for suppliers, and provide better, more efficient services. Therefore, innovation procurement can boost transforming research into innovative solutions targeted at societal needs, and support innovative companies to commercialise their ideas.

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<sup>1</sup> For ease of reference and consistency on the Funding & Tenders Portal, the terms 'call', 'project' and 'participant' are used as equivalent to 'contest', 'application' or 'contestants/applicants'.

<sup>2</sup> Regulation (EU) of the European Parliament and of the Council establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013, for the period 2021-2027 (soon to be adopted).

<sup>3</sup> Commission Implementing Decision C(2021) 1510 of 17 March 2021 concerning the adoption of the work programme for 2021 and the financing decision for the implementation of the Horizon Europe programme.

## 2. Objectives – Themes and priorities – Activities– Expected results

### Objectives

The European Innovation Procurement Awards aim to recognise public and private buyers across Europe and Associated countries in their efforts to promote innovation procurement and the innovative ways the solutions are procured. It also aims to emphasise the importance of close buyer–supplier cooperation in bringing the innovative solutions to market.

### Expected results

The awards would stimulate innovation procurement; acknowledge and support the efforts done by procurers, SMEs and start-ups to bring products to the market in the innovative way; and build a community of European procurers to share, work together and inspire each other in the design of innovative procurement processes, and particularly in the delivery of public services.

The European Innovation Procurement Awards aim to **champion** powerful cases of public and private buyers on using innovation procurement practices. The Awards are a **prestigious recognition** for those who promote the use of innovation procurement and inspire others to do so. In addition to the monetary reward, the prizes bring **high visibility** in the form of renewed public interest and increased media coverage.

The Awards will raise the profile of public and/or private procurers that have developed and implemented innovative policies and tools to achieve more efficient and effective services; faced the covid-19 pandemic by the use of innovation procurement actions; and helped to open up connections with others and cooperate with them, thus inspiring and helping to identify best practices to be replicated across Europe.

The awards will feature the following three categories:

- **Innovation procurement strategy award:** to reward long-term strategy and/or action plan that triggers different innovation procurements and sustainable solutions and practices.
- **Facing societal challenges award:** to reward innovative procurement practices to tackle the Covid-19 pandemic.
- **Procurement leadership award:** to reward one or more outstanding individuals who empower their team to succeed and trigger innovation procurement practices.

Both winner and runner-up (ranked 2<sup>nd</sup>) in each category will be given the opportunity to **showcase** their experimentation and gain **inspiration** from experiences of other procurers – for example, to learn about new approaches through the exchange of good practices, initiatives, ideas, and innovations.

## 3. Available budget

Each of the three categories will reward one winner with EUR 75 000 and one runner-up (ranked 2<sup>nd</sup>) with EUR 25 000.

#### 4. Timetable and deadlines

Timetable and deadlines	
Call opening:	14 April 2021
<u>Deadline for submission:</u>	<u>29 July 2021 – 17:00 CET (Brussels)</u>
Evaluation:	August- November 2021
Information on evaluation results/ award:	November 2021

#### 5. Admissibility

Applications must be submitted before the **call deadline** (see *timetable section 4*).

Applications must be submitted **electronically** via the Funding & Tenders Portal Electronic Submission System (accessible via the Topic page in the [Search Funding & Tenders](#) section). Paper submissions are NOT possible.

Applications (including annexes and supporting documents) must be submitted using the forms provided *inside* the Submission System (⚠ NOT the documents available on the Topic page — they are only for information).

Applications must be **complete** and contain all the requested information and all required annexes and supporting documents:

- Application Form Part A — contains administrative information about the applicant organisations (*to be filled in directly online*)
- Application Form Part B — contains the technical description of the application (*to be downloaded from the Portal Submission System, completed and then assembled and re-uploaded as PDF in the system*)

Your application must be **readable, accessible, printable**.

Applications are limited to **15 pages** (Part B). Evaluators will not consider any additional pages.

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

 For more information about the submission process (including IT aspects), consult the [Online Manual](#).

## 6. Eligibility

### Eligible participants

In order to be eligible, the applicants must be:

- any public and/or private procurer, (including international organisations<sup>4</sup>), as well as individuals/natural persons;
- be established in one of the eligible countries, i.e.:
  - EU Member State (including overseas countries and territories (OCTs))
  - Associated Countries to Horizon Europe.

All applicants must register in the [Participant Register](#) — before the call deadline — and will have to be validated by the Central Validation Service (REA Validation). For the validation, you will be requested to upload documents showing legal status and origin.

### Specific cases

Entities without legal personality — Entities which do not have legal personality under their national law may exceptionally participate, provided that their representatives have the capacity to undertake legal obligations on their behalf, and offer guarantees for the protection of the EU financial interests equivalent to that offered by legal persons<sup>5</sup>.

EU bodies — EU bodies (with the exception of the European Commission Joint Research Centre) can NOT apply.

EU restrictive measures — Special rules apply for certain entities (*e.g. entities subject to [EU restrictive measures](#) under Article 29 of the Treaty on the European Union (TEU) and Article 215 of the Treaty on the Functioning of the EU (TFEU)*<sup>6</sup> and entities covered by Commission Guidelines No [2013/C 205/05](#)<sup>7</sup>). Such entities are not eligible to participate in any capacity.

 For more information, see [Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#).

### Eligible activities

Eligible activities, as set out in section 2 above, must:

- have taken place in an EU Member State or in an Associated Country.
- relate to completed or ongoing initiatives started by 1 January 2017. In case of ongoing initiatives, only work completed by the submission deadline will be considered for the prize.

An application can include different initiatives from the same applicant (e.g. projects run by different departments).

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<sup>4</sup> For the legal definition, see Article 156 EU Financial Regulation [2018/1046](#).

<sup>5</sup> See Article 197(2)(c) EU Financial Regulation [2018/1046](#).

<sup>6</sup> Please note that the EU Official Journal contains the official list and, in case of conflict, its content prevails over that of the [EU Sanctions Map](#).

<sup>7</sup> Commission guidelines No [2013/C 205/05](#) 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 (OJEU C 205 of 19.07.2013, pp. 9-11).

### Geographic location (target countries)

Applications must relate to activities in an EU Member State or in an Associated Country.

### Ethics and values

Activities must comply with the highest ethical standards and the applicable EU, international and national law on ethical principles.

Moreover, they must respect basic EU values (such as respect for human dignity, freedom, democracy, equality, the rule of law and human rights, including the rights of minorities).

The activities must comply with:

- ethical principles (including the highest standards of research integrity) and
- applicable international, EU and national law

and may not:

- aim at human cloning for reproductive purposes
- 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, which may be financed), or
- 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.

Moreover activities must have an exclusive focus on civil applications and no prize can be awarded for activities carried out outside the EU, if they are prohibited in all Member States.

Applications involving ethics issues will have to undergo an ethics review to authorise funding and may be made subject to specific ethics requirements.

### Security

Applications involving EU classified information must comply with Decision [2015/444](#)<sup>8</sup>. Applications that are too security-sensitive cannot be awarded a prize.

## **7. Exclusion**

Applicants which are subject to an **EU exclusion decision** or in one of the following **exclusion situations** that bar them from receiving EU funding can NOT participate<sup>9</sup>:

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant's debts)
- in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts)

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<sup>9</sup> See Articles 136 and 141 EU Financial Regulation [2018/1046](#).

- guilty of grave professional misconduct<sup>10</sup> (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the prize)
- committed fraud, corruption, links to a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the prize)
- shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement, prize, expert contract, or similar (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation 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/implementation 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/implementation of the prize).

Applicants will also be refused if it turns out that<sup>11</sup>:

- during the award procedure they misrepresented information required as a condition for participating or failed to supply that information
- they were previously involved in the preparation of the call and this entails a distortion of competition that cannot be remedied otherwise (conflict of interest).

## 8. Evaluation and award procedure

Applications will be subject to a formal evaluation by a **jury**.

If there are more than 60 applications in one category, there will be a pre-selection phase in that category to select the best 60 applications to pass to the jury review.

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

The pre-selection panel/jury will evaluate each application against the award criteria between August and November 2021.

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. If two or more applications still tie for any rank or category, the prize will be equally divided and awarded to all applications with the same score

In addition, the 6 best applications in each category will be invited for a hearing in

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<sup>10</sup> 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 advantage.

<sup>11</sup> See Article 141(1) EU Financial Regulation [2018/1046](#).

Brussels in October. This hearing may be also organized remotely.

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 awarding authority will decide on the award of the prize.

All applications will be informed about the evaluation result (**evaluation result letter**). Successful applications will be awarded the prize; the not successful ones will be rejected.

If you believe that the evaluation procedure was flawed, you can submit a **complaint** (following the deadlines and procedures set out in the evaluation result letter). Please note that notifications are deemed to have been accessed (and received) 10 days after sending and that deadlines will be counted from then (see also [Funding & Tenders Portal Terms and Conditions](#)).

## 9. Award criteria

If admissible and eligible, the applications will be evaluated and ranked against the following **award criteria**:

- **award criterion 1:** Transformation: adapting procurement practices towards innovation procurement, by introducing new processes and tools, by promoting the establishment of an innovation- friendly legal framework towards sustainable growth and development.
- **award criterion 2:** Uptake: the innovative way of procuring the solution is replicable and scalable, and, at the same time, contributes to achieving more efficient and effective services. Special attention should be paid to the promotion of best practices and to the efforts to share knowledge across stakeholders within the different territories, and to support capacity building.
- **award criterion 3:** Collaboration: the proven track of collaboration that led to the procured solution. Promotion of synergies and cooperation between actors from different countries and at different degrees of maturity in procurement practices.
- **award criterion 4:** Societal impact: practices with a positive quantitative and qualitative impact on society and people, with special emphasis on the support to the digital transformation and green deal priorities.

Award criteria	Minimum pass score	Maximum score
Transformation	5	10
Uptake	5	10
Collaboration	5	10
Societal impact	5	10
<b>Overall (pass) scores</b>	<b>20</b>	<b>40</b>

Maximum points: 40 points.

Individual thresholds: 5/10 points.

Overall threshold: 20 points.

Applications must pass both the individual thresholds AND the overall threshold. The prize will be awarded to the application with the best scores. Other applications will be rejected.

## 10. Other conditions

### Payment arrangements

The prize money will be paid to the prize winners after the award ceremony, provided all the requested documents have been submitted. In case of a group of winners, the payment will be made to the lead applicant.

### Communication — Dissemination — Visibility of funding

Prize winners 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.

Communication activities related to the prize (*including media interviews, press statements, presentations, etc., in electronic form, via traditional or social media, etc.*), must acknowledge EU support and display the European flag (emblem) and funding statement (translated into local languages, where appropriate):



Funded by the  
European Union



Co-funded by the  
European Union



Funded by the  
European Union



Co-funded by the  
European Union

The emblem must remain distinct and separate and cannot be modified by adding other visual marks, brands or text.

Apart from the emblem, no other visual identity or logo may be used to highlight the EU support.

When displayed in association with other logos (*e.g. of winners or sponsors*), the emblem must be displayed at least as prominently and visibly as the other logos.

For the purposes of these obligations, the winners may use the emblem without first obtaining approval from the awarding authority. This does not, however, give them the right to exclusive use. Moreover, they may not appropriate the emblem or any similar trademark or logo, either by registration or by any other means.

Any communication or dissemination activity related to the prize must use factually accurate information.

Moreover, it must indicate the following disclaimer (translated into local languages where appropriate):

“Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Innovation Council and SMEs Executive Agency. Neither the European Union nor the awarding authority can be held responsible for them.”

### IPR – Rights of use

The awarding authority does not obtain ownership of the results produced in the context of the prize.

The awarding authority has the right to use non-sensitive information relating to the prize and materials and documents received from the winners (*such as pictures or audio-visual material, in paper or electronic form*) for information, communication, dissemination and publicity purposes.

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

### Checks, audits and investigations

The awarding authority, the European Commission, the European Anti-Fraud Office (OLAF), the European Public Prosecutor's Office (EPPO) and the European Court of Auditors (ECA) may carry out checks, audits and investigations in relation to the prize.<sup>12</sup>

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<sup>12</sup> For the powers of OLAF, EPPO and ECA, see Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18/09/2013, p. 1), Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15/11/1996, p. 2), Council Regulation (EU) 2017/1939 of 12 October 2017 implementing enhanced cooperation on the establishment of the European Public Prosecutor's Office ('the EPPO') and Article 287 of the Treaty on the Functioning of the EU (TFEU) and Article 257 of EU Financial Regulation 2018/1046.

### Withdrawal of the prize – Recovery of undue amounts

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

- false information, fraud or corruption was used to obtain it
- the prize winners were not eligible or should have been excluded or
- the prize winners are in serious breach of their obligations under these Rules of Contest.

## **11. How to submit an application**

All applications must be submitted directly online via the Funding & Tenders Portal Electronic Submission System. Paper applications are NOT accepted.

You can access the Portal [here](#), or by clicking 'Apply now' on the official prize webpage.

Submission is a 2-step process:

### **a) create a user account and register your organisation**

To use the Submission System (the only way to apply), all participants need to [create an EULogin user account](#).

Once you have an EULogin account, you can [register your organisation](#) in the Participant Register. When your registration is finalised, you will receive a 9-digit participant identification code (PIC).

### **b) submit the application**

Access the Electronic Submission System via the Topic page in the [Search Funding & Tenders](#) section.

Submit your application in 3 parts, as follows:

- Part A includes administrative information about the applicant organisations . Fill it in directly online
- Part B (description of the action) covers the technical content of the application. Download the mandatory word template from the Submission System, fill it in and upload it as a PDF file
- Annexes (if any; *see section 5*). Upload them as PDF files.

The application must keep to the **page limits** (*see section 5*); excess pages will be disregarded.

Documents must be uploaded to the **right category** in the Submission System otherwise the application might be considered incomplete and thus inadmissible.

The application must be submitted **before the call deadline** (*see section 4*). After this deadline, the system is closed and applications can no longer be submitted.

Once the application is submitted, you will receive a **confirmation e-mail** (with date and time of your application). If you do not receive this confirmation e-mail, it means your application has NOT been submitted. If you believe this is due to a fault in the Submission System, you should immediately file a complaint via the [IT Helpdesk](#)

[webform](#), explaining the circumstances and attaching a copy of the application (and, if possible, screenshots to show what happened).

Details on processes and procedures are described in the [Online Manual](#). The Online Manual also contains the links to FAQs and detailed instructions regarding the Portal Electronic Exchange System.

## **12. Help**

Additional information can be found:

- [Online Manual](#)
- [The European Innovation Council website](#)
- [FAQs on the Topic page](#)
- [Portal FAQ](#) (for general questions).

Please also consult the Topic page regularly, since we will use it to publish call updates.

### *Contact*

For individual questions on the Portal Submission System, please contact the [IT Helpdesk](#).

Non-IT related questions should be sent to the following email address: EISMEA-EUIPAWARDS@ec.europa.eu.

Please indicate clearly the reference of the call and topic to which your question relates (*see cover page*).

## 13. Important



### IMPORTANT

- **Don't wait until the end** — Complete your application sufficiently in advance of the deadline to avoid any last minute **technical problems**. Problems due to last minute submissions (*e.g. congestion, etc.*) will be entirely at your risk. Call deadlines can NOT be extended.
- **Consult** the Portal Topic page regularly. We will use it to publish updates and additional information on the call (call updates).
- **Funding & Tenders Portal Electronic Exchange System** — By submitting the application, all applicants **accept** to use the electronic exchange system in accordance with the [Portal Terms & Conditions](#).
- **Registration** — Before submitting the application, all applicants must be registered in the [Participant Register](#). The participant identification code (PIC) (one per applicant) is mandatory for the Application Form.
- **Joint applications** — Joint applications by a group of applicants are admitted. In this case, you must appoint a lead applicant (coordinator) to submit the application and represent you towards the awarding authority. All applicants will be jointly responsible and must all fulfil and respect the conditions set out in these Rules of Contest.
- **No double funding** — There is a strict prohibition of double funding from the EU budget. Applications that have already received an EU prize cannot receive a second prize for the same activities.
- **Resubmission** — Applications may be changed and re-submitted until the deadline for submission. For first past the post prizes with cut-off dates, applications can be changed and re-submitted until the cut-off date; the re-submission may however let you use your position as first in place.
- **Rejection** — By submitting the application, all applicants accept the call conditions set out in these Rules of Contest (and the documents they refer to). Applications that do not comply with all the call conditions will be **rejected**. This applies also to applicants: All applicants need to fulfil the criteria; if any one of them doesn't, they must be replaced or the entire application will be rejected.
- **Cancellation** — The awarding authority may cancel the contest or decide not to award the prize — without any obligation to compensate participants (*e.g. no applications, jury cannot determine winner, winner is not eligible or must be excluded, objectives have already been achieved, etc*). In this case, you will be informed via a call update.
- **Language** — You can submit your application in any official EU language. However, for reasons of efficiency, we strongly advise you to use English. If you need the call documentation in another official EU language, please submit a request within 10 days after call publication (for the contact information, see *section 12*).

- **Transparency** — In accordance with Article 38 of the [EU Financial Regulation](#), information about EU prizes awarded and the winners (name, address and amount awarded) is published each year on the [Europa website](#).

The publication can exceptionally be waived (on reasoned and duly substantiated request), if there is a risk that the disclosure could jeopardise your rights and freedoms under the EU Charter of Fundamental Rights or harm your commercial interests.

- **Data protection** — Any processing of personal data in the context of this prize will be done in accordance with Regulation [2018/1725](#). It will be processed solely for the purpose of evaluating your application (and subsequent management of your prize and, if needed, programme monitoring, evaluation and communication). Details are explained in the [Funding & Tenders Portal Privacy Statement](#).

By submitting the application, all applicants accept that the awarding authority will publish information on the finalists and winners.