



European
Commission

EUROPEAN CAPITAL OF INNOVATION

A place to bring
ideas to life



EUROPEAN CAPITAL OF INNOVATION 2017

RULES OF CONTEST

Research and
Innovation

1. THEME: EUROPEAN CAPITAL OF INNOVATION AWARD 2017

1.1 Objectives pursued

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, followed by a second contest in 2016.

Building on the success of both editions, the award will continue in 2017 with a deeply renewed approach. It will provide European recognition to those cities that make the most to promote innovation within their communities. In particular, the European Commission will reward those cities willing to act as test-bed for innovative solutions, addressing local relevant challenges. The award bottom-up approach will be strengthened by particularly looking at citizens-driven initiatives and their concrete involvement. The winning city will be awarded both a title and a cash prize. A cash prize will be also provided to two runners-up, although these cities will not hold the Capital of Innovation title.

1.2 Expected results

The Commission plans to select the new European Capital of Innovation following a European-wide contest open 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 how applicant cities aim at:

- Turning into a test-bed for innovative solutions to local societal challenges;
- Including such solutions into their daily policies;
- Allowing citizens to contribute to and use such solutions.

Applications will have to clearly highlight the achieved and expected social and economic impact of their initiatives and provide relevant supporting elements.

2. PRIZE AMOUNT

First prize of EUR 1 000 000 EUR

Second prize of EUR 100 000

Third prize of EUR 100 000



3. DEADLINES & ADMISSIBILITY

Deadlines	
Opening of the submission:	22 March 2017
Closing date for submission:	21 June 2017 at 17:00 (Brussels time)
Award Ceremony	November 2017

Applications must be submitted by the participant via the Participant Portal Submission Service, accessible via the page <http://ec.europa.eu/icapital>

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 your prize application (Part B) is 30 pages.

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

4. ELIGIBILITY

4.1 Eligibility criteria

The contest is open to cities:

- established in an EU Member State or in a [country associated to Horizon 2020](#) and
- having a population above 100,000 inhabitants. In countries where there are no such cities, the biggest city is eligible¹.

Please note however that special rules apply for Israeli entities², for Crimean legal persons and for entities from non-EU Member States that are covered by Council sanctions³ (see [General Annex C to the Main Work Programme](#)).

Winners of former European Capital of Innovation contests are not eligible. This does not apply to runners-up. Please also be aware that participants that have already received an EU or Euratom prize cannot receive a second prize for the same activities.

¹ For the purpose of this competition a 'city' is an urban area over 100,000 inhabitants understood as an administrative unit governed by a city council or another form of democratically elected body, according to the latest Eurostat figures (for countries not covered by Eurostat, the European Commission may perform specific checks when assessing the eligibility criteria): http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=urb_cpop1&lang=en

² 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).

³ For the list of persons, groups and entities subject to EU financial sanctions, see http://eeas.europa.eu/cfsp/sanctions/consol-list_en.htm



Since the prize refers to a given year (2017), the actions proposed by each city in the submitted application must relate to completed or on-going initiatives started after 1st January 2016.

Each application must contain a specific commitment to apply signed by the city Mayor (or the equivalent highest political representative), as specified in the application form. Therefore, while an application can include different initiatives from the same city (e.g. projects run by different city departments) only one application per city (or metropolitan area) can be accepted.

4.2 Exclusion criteria

Participant will be excluded if they:

- are subject to an administrative sanction (i.e. exclusion)⁴
- are in one of the following situations⁵:
 - 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 misconduct⁶ by a final judgment or decision (including persons having powers of representation, decision-making or control)
 - 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

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

5 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).

6 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.



- 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 city entry that best addresses the following cumulative criteria:

1. **Experimenting** – innovative concepts, processes, tools, and governance models proving the city's commitment to act as a test-bed for innovative practices, and ensuring mainstreaming of these practices into the urban development process;
2. **Engaging** – increasing opportunities for a broader range of citizens and ensuring uptake of their ideas;
3. **Expanding** – outlining the city's potential to attract new talent, resources, funding, investments, and to become a role model for other cities;
4. **Empowering** – concrete and measurable impact directly connected to the implementation of innovative practices.

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 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 will consist of independent experts appointed by the Commission under Horizon 2020 rules.

The jury evaluation is planned to take place between June and September 2017.

The jury will evaluate each application against the 4 award criteria and score them as follows (half marks are possible; decimals are not):

Criterion	Threshold	Maximum points
1. Experimenting	3	5



2. Engaging	3	5
3. Expanding	3	5
4. Empowering	3	5
Total	12	20

At first, the experts will individually evaluate and score the received proposals. The (up to 10) highest scored entries will be shortlisted and invited as finalists for hearings in Brussels. For applications with the same score, the 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. On the basis of the jury evaluation, the Commission will decide on the award of the prize.

All participants will be informed towards the end of 2017 on the outcome of their application.

8. OTHER CONDITIONS

8.1 Payment arrangements

The prize money will be paid to each winner 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 winners

Both finalists and 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.

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 European Capital of Innovation Award 2017 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 finalists and winners 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). In order to better deal with press requests, it is recommended that all applicant cities appoint a dedicated spokesperson to directly react to specific queries.

The Commission will publish the name of both finalists and winners, 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.

8.2.3 Award ceremony

The award ceremony will take place in November 2017 in a prestigious European location. The Commission will inform the finalists about the event details (date and venue) in due time.

Before the ceremony, the (up to) 10 finalists will be asked to produce a short video to promote the city innovative achievements, which will be publicised after the hearings (relevant technical specifications will be provided by the Commission in due time).

At the ceremony all the 10 finalist cities will be invited. Their promotional videos will be introduced by a short speech of the city representative (ideally the city mayor or the equivalent highest political representative) and presented to the audience, before the announcement of the winners.

8.3 Dissemination and exploitation of results

The winners must comply with the obligations set out in Title III of the Horizon 2020 Rules for Participation Regulation No 1290/2013⁷ and the following additional obligations:

8.4 Processing of personal data

8.4.1 Processing of personal data by the Commission

Any personal data will be processed by the Commission under Regulation No 45/2001⁸ and in accordance with the [Participant Portal privacy notice\(s\)](#).

All finalists and winners consent that the Commission publishes the following information:

- name
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⁷ 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 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).



- 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.

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 Integrity⁹.

For more information and best practice, see the [Participant Portal Online Manual](#), the [Guidance — How](#)

⁹ European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011 http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf.



[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 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 damage caused to the participants or to third parties as a consequence of the prize, including for gross negligence.

The Commission 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

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:

- (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 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 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

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 <http://ec.europa.eu/icapital> or contact the prize helpdesk: RTD-I-CAPITAL@ec.europa.eu

In case of questions, please also contact the [Research Enquiry Service](#).