Rules of Contest (RoC) for EDCTP2 Prizes

1.1.1 Theme EDCTP2 Prizes: Scientific Leadership Prize, Outstanding Female Scientist Prize, Outstanding Research Team Prize, and Dr Pascoal Mocumbi Prize

1.1.1.1 Objectives pursued

Specified under the detailed description of the EDCTP2 Prize.

1.1.1.2 Expected results

Specified under the detailed description of the EDCTP2 Prize.

1.1.2 Prize Amount

Specified under the detailed description of the EDCTP2 Prize.

1.1.3 Deadlines and Admissibility

Deadlines	
Opening of the submission:	Quarter 4 (2017)
Closing date for submission:	Quarter 1 (2018) at 17:00 CET ¹

Applications must be submitted by the (lead) contestant via EDCTPgrants, accessible on the call page, unless otherwise specified.

Applications must be readable, accessible and printable. Incomplete applications may be considered inadmissible if essential elements are missing (see section 6.2).

1.1.4 Eligibility criteria

The contestant for the first three prizes (Scientific Leadership Prize, Outstanding Female Scientist Prize, and Outstanding Research Team Prize) must be a resident of a sub-Saharan African country, an EU Member State, or a country associated to the Horizon 2020 programme.

The contest for the Dr Pascoal Mocumbi Prize is open to all contestants. Please note however that special rules apply for Israeli entities² and for Crimean legal persons and that entities from non-EU Member States that are covered by Council sanctions are not eligible to participate³ (see section 6.3).

The nomination of contestants who are currently employees of EDCTP, or serving on one of the EDCTP advisory (Scientific Advisory Committee) or governing (General Assembly and Board) bodies will not be permitted for any of the prizes.

Moreover, applicants that have already received an EDCTP prize cannot receive a second prize for the same activities.

1.1.5 Exclusion criteria

Contestants will be excluded if they (or for points (a)(b) a natural or legal person that assumes unlimited liability for the debts of the contestant; or for points (c)(d)(e)(f) a natural person who is a member of the administrative, management or supervisory body of the contestant, or who has powers of representation,

¹ Central European Time = Brussels local time.

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 <u>http://eeas.europa.eu/cfsp/sanctions/consol-list en.htm</u>.

decision or control with regard to that contestant $)^4$ are in one of the following situations:

- a. it is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations;
- b. it has been established by a final judgement or a final administrative decision that the applicant is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the authorising officer is located or those of the country of the performance of the contract;
- c. it has been established by a final judgement or a final administrative decision that the applicant is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:

(i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract, a grant agreement or a grant decision;

(ii) entering into agreement with other persons with the aim of distorting competition; (iii) violating intellectual property rights;

(iv) attempting to influence the decision-making process of the [Commission] [Agency] during the award procedure;

(v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;

d. it has been established by a final judgement that the applicant is guilty of any of the following
(i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;

(ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, and in Article 2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the legal provisions of the country where the authorising officer is located, the country in which the applicant is established or the country of the performance of the contract; (iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;

iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council;

(v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;

(vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;

- e. it has shown significant deficiencies in complying with the main obligations in the performance of a contract, a grant agreement or a grant decision financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors;
- f. it has been established by a final judgment or final administrative decision that the applicant has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;
- g. for the situations of grave professional misconduct, fraud, corruption, other criminal offences, significant deficiencies in the performance of the contract or irregularity, the applicant is subject to:
 (i) facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an

⁴ See Article 106 of Regulation (EU, EURATOM) 2015/1929 of the European Parliament and of the Council of 28 October 2015 amending Regulation (EU, EURATOM) No 966/2012 on the financial rules applicable to the general budget of the Union. (OJ L 286, 30.10.2015, p.1).

authorising officer of an EU institution, of a European office or of an EU agency or body; (ii) non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;

(iii) decisions of the ECB, the EIB, the European Investment Fund or international organisations;
(iv) decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law.
(v) decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.

Contestants will also be excluded if they misrepresent the information required as a condition for participating in the procedure or fail to supply that information.

1.1.6 Award Criteria

The prize will be awarded to the entry that in the opinion of the independent expert jury, the EDCTP Awards Panel, demonstrates to best address the following criteria specified under the detailed description of the EDCTP2 Prize.

1.1.7 Documents

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

Contestants 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.

1.1.8 Procedure

Applications will be evaluated by an independent expert jury, the EDCTP Awards Panel, between Quarter 2, 2018 and Quarter 3 — first individually (by each panellist separately) and then as a group (by the whole Awards Panel together).

The independent expert jury, the EDCTP Awards Panel, will evaluate each application against the [prize specific award criteria and score them out of a maximum of 5.

On the basis of the evaluation, the EDCTP2 Association will decide on the award of the prize.

The prize winner shall be notified through an official letter from the EDCTP Executive Director. This award letter shall clearly stipulate when the prize will be announced publicly, and the process and conditions for payment of the cash prize.

All contestants will be informed by Quarter 3, 2018.

1.1.9 Other Conditions

1.1.9.1 Liability

The EDCTP Association shall not be held liable for any damage caused or sustained by any of the participants, including any damage caused to third parties as a consequence of or during the implementation of the activities related to the contest.

1.1.9.2 Applicable law and competent jurisdiction

The contest is governed by the applicable Union law complemented, where necessary, by the law of Belgium. The competent national court of the Netherlands shall have sole jurisdiction to hear any dispute between the EDCTP Association and any participant concerning the interpretation, application or validity of the rules of this contest, if such dispute cannot be settled amicably.

For participants that are International organisations such disputes with the EDCTP Association relating to the contest must - if they cannot be settled amicably - be referred to arbitration.

The Permanent Court of Arbitration optional Rules for Arbitration involving International Organisations and States, in force at the date of entry into force of the Contest, will apply.

1.1.9.3 Payment arrangements

The prize money specified under the detailed description of the EDCTP2 Prize will be paid in one instalment after the award ceremony by bank transfer, provided all the requested documents have been submitted.

1.1.9.4 Publicity — Promoting the prize — Visibility of EDCTP/EU funding

Publicity by the winner(s): The winner(s) must 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 EDCTP Association 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 EDCTP logo and EU emblem;
- b) include the following text: "[name of prize winner] has been awarded the [name of the prize] which is part of the EDCTP2 programme supported by the European Union"; and
- c) when displayed together with another logo, the EDCTP logo and EU emblem must have appropriate prominence.

For the purposes of its obligations, the winner(s) of the prize may use the EDCTP logo and EU emblem without first obtaining approval from the EDCTP Association and the European Commission. This does not, however, give it the right to exclusive use. Moreover, the winner(s) of the prize may not appropriate the EDCTP logo, the EU emblem or any similar trademark or logo, either by registration or by any other means.

Publicity by the EDCTP Association and the European Commission: The EDCTP Association and the European Commission may use, for its communication and publishing activities, information relating to the action, documents notably summaries for publication and deliverables as well as any other material, such as pictures or audio-visual material that it receives from the winner(s) of the prize (including in electronic form).

The EDCTP Association will publish the name of the winner(s), their origin, the amount of the prize and its nature and purpose. The winner(s) may request the EDCTP Association to waive such publication if disclosure risks threatening its security and safety or harm its commercial interest.

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

1.1.9.5 Dissemination and exploitation of results

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

- The winners of the first three prizes (Scientific Leadership Prize, Outstanding Female Scientist Prize, and Outstanding Research Team Prize) should use their prize to further the research programmes of the winners as specified under the detailed description of the EDCTP 2 Prizes
- The winner of the Dr Pascoal Mocumbi Prize will not only allow rewarding of specific achievements but will also raise awareness with the general public on the prize winner, their specific achievements, and the EDCTP2 programme.

1.1.9.6 Processing of personal data

Processing of personal data by the EDCTP Association:

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).

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.

The EDCTP Association complies with the provisions of the "Wet bescherming persoonsgegevens (Dutch Law on protection of personal data)", dated 6 July 2000, which Act is based on Directive nr. 95/46/EG (PbEG L 281) and adapted to the General Data Protection Regulation dated 25 January 2012 (Com 2012 11 final; 2012/0011 COD). Registration with EDCTPgrants and grant proposal submission will involve the recording and processing of personal data. These data will be held securely, processed lawfully and retained for no longer than necessary by the EDCTP Association. Data may be used to compile lists, including project details, of EDCTP grants, which will be made publicly available. By submitting the application, the participants in the project give the EDCTP Association their consent to do so.

Processing of personal data by the European Commission:

Any personal data will be processed by the European Commission under EU Regulation No 45/2001 and according to the 'notifications of the processing operations' to the Data Protection Officer (DPO) of the Commission (publicly accessible in the DPO register).

Such data will be processed by the 'data controller' of the EDCTP Association and of the European Commission for the purposes of the award, implementation and follow-up of the prize or protecting the financial interests of the EU (including checks, audits and investigations; see below).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the privacy statement(s) that are published on the website(s) of the EDCTP Association and European Commission.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS). The winner(s) consent that the EDCTP Association and European Commission publish [es] (in whatever form and medium) 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.

Processing of personal data by the contestants:

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

The contestants may grant their personnel access only to data that is strictly necessary for the award, implementation or follow-up of the prize.

The contestants must inform the personnel whose personal data are collected and processed by the EDCTP Association and the European Commission. For this purpose, they must provide them with the privacy statement(s) (see above), before transmitting their data to the EDCTP Association.

1.1.9.7 Ethics

The activities must be carried out in compliance with:

- a) ethical principles (including the highest standards of research integrity as set out, for instance, in the European Code of Conduct for Research Integrity⁶ — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct); 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 contestants must ensure that the activities have an exclusive focus on civil applications.

The contestants 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.⁷

1.1.9.8 Conflict of interests

The contestants 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 EDCTP Association 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 EDCTP Association may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

1.1.9.9 Liability for damages

The EDCTP Association cannot be held liable for any damage caused to the contestants or to third parties as a consequence of the award or implementation of the prize, including for gross negligence.

The EDCTP Association cannot be held liable for any damage caused by any of the contestants, as a consequence of activities linked to the prize.

1.1.9.10 Checks, audits and investigations

The EDCTP Association, the European Commission, the European Anti-Fraud Office (OLAF) and the Court of Auditors may carry out checks, audits and investigations in relation to the prize.

1.1.9.11 Withdrawal of the prize — Recovery of undue amounts

The EDCTP Association may withdraw the prize and recover all payments made, if it finds out that:

- a) false information or fraud or corruption was used to obtain the prize; or
- b) the winner was not eligible or should have been excluded.

1.1.9.12 Contact

For more information, please see the EDCTP website at [http://www.edctp.org/prizes/]

In case of questions, please contact [info@edctp.org]

⁶ The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011. <u>http://www.esf.org/fileadmin/Public documents/Publications/Code Conduct ResearchIntegrity.pdf</u>

⁷ Declarations of the Commission (Framework Programme), OJ C373, 20.12.2013, p. 2

1.2 Evaluation rules

1.2.1 Selection criteria

- 1. *Financial capacity*: In line with the EU's Financial Regulation No 966/2012 and the Horizon 2020 Rules for Participation Regulation No 1290/2013. For grants, coordinators will be invited at the full proposal stage- to complete a self-assessment using an on-line tool.
- 2. *Operational capacity:* As a distinct operation, carried out during the evaluation of the award criterion 'Quality and efficiency of the implementation', experts will indicate whether the participants have sufficient operational capacity to carry out the proposed work, based on the competence and experience of the individual participant(s).
- 3. For prizes, neither financial capacity nor operational capacity is subject to evaluation.

1.2.2 Award criteria, scores and weighting

 Grant proposals will be evaluated by experts, on the basis of the **award criteria** 'excellence', 'impact' and 'quality and efficiency of the implementation' (see Article 15 of the Horizon 2020 Rules for Participation Regulation No 1290/2013). The aspects to be considered in each case depend on the type of action as set out in the table below, unless stated otherwise in the call conditions. For all proposals involving human participants, and/or human tissues, cells or personal data, the evaluation process will include an assessment of ethical issues.

	Award criteria				
Type of Action	Excellence	Quality and efficiency			
	The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work plan.	The following aspects will be taken into account:	of the implementation The following aspects will be taken into account:		
All Types of Action	Fit with the scope and objectives of the EDCTP2 Programme, the EDCTP strategic research agenda and the call topic description.	The extent to which the outputs of the proposed work would contribute, at the European, African and/or International level, to each of the expected impacts listed in the work plan under the relevant topic.	Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;		
	Importance, relevance/pertinence and clarity of the objectives. Soundness of the concept and credibility of the proposed approach/methodology.	Likelihood to result in major advances in the field.	Appropriateness of the management structures and procedures, including risk and innovation management, and how responsibilities for research data quality and sharing, and security will be met.		
			Complementarity of the participants within the consortium, and the extent to which the consortium as whole brings together the necessary expertise.		
			Appropriateness of the allocation of tasks and resources, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.		
			Feasibility and appropriateness of the methods and project management to achieve the objectives within the timeframe of the grant.		
			Compliance with national and international standards of research, Good Clinical Practice, ethics and safety related issues.		
			Participants have the operational capacity,		

Table 1. Award criteria per type of EU-funded EDCTP2 action

Research & Innovation Action (RIA)	Importance of the question being addressed and the rationale/need for the proposed clinical trial(s) or research study now. Excellence and appropriateness of the clinical trial design, including the proposed location(s) of the trial. Extent that the proposed trial will advance the field. In particular, how it differs from or complements any relevant planned, ongoing or recently completed trials internationally. Appropriate consideration of interdisciplinary approaches, and where relevant, use of stakeholder knowledge	Advancing the clinical development of new and improved products. Generalisability of the trial/study results beyond the immediate research setting in a way that will maximise the impact of the results. Contribution to improved disease management and prevention through changes in policy, with the ultimate goal of improving public health. Contribution to strengthening the capacity in sub-Saharan Africa to conduct clinical trials. Effectiveness and quality of the proposed measures to exploit and disseminate the project results (including management of IPR) to communicate the project activities to different target audiences, and to manage research data where relevant.	Competence of the participants and their investigators in conducting trials according to international standards of Good Clinical Practice (ICH-GCP). Involvement of sub-Saharan African researchers in the scientific leadership of the clinical trial. Arrangements and plans to take forward clinical development of the products under evaluation (where applicable).
Coordination & support action (CSA)	Clarity, pertinence and importance of the strategic vision. Soundness of the concept. Quality of the proposed coordination and/or support measures.	Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), and to manage research data where relevant. Sustainability of capacity beyond the end of the grant, where relevant. Contribution to networking, where relevant.	Quality of the leadership and a clear and effective governance structure.
Training & Mobility Action (TMA)	Suitability of the candidate, considering their track record, degree of independence and/or potential, and how the fellowship will further the individual's career. Quality of the project and its fit with the fellow's expertise and career development plan, including acquired competencies and skills to be developed further.	Contribution of the fellowship to the fellow's clinical research skills and career development. Contribution to strengthening clinical research capacity at the home or host organisation. Effectiveness of the proposed measures to exploit and disseminate results generated during the fellowship (including management of IPR), to communicate the fellowship activities, and, where relevant, to manage clinical data. Sustainability and retention of capacity post- award.	Suitability of the fellow's home organisation to support the fellowship project. Intention of the fellow's home organisation to develop and commit to a career post- fellowship or re-integration plan.

Scoring and weighting:
 Unless otherwise specified in the call conditions:

- Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the above table. For full proposals, each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.
- For the evaluation of first-stage proposals under a two-stage submission procedure, only the criteria 'excellence' and 'impact' will be evaluated. Within these criteria, only the aspects in bold will be considered. The threshold for both individual criteria will be 4. The overall threshold, applying to the sum of the two individual scores, will be set at the level such that the total requested budget of proposals admitted to stage 2 is as close as possible to three times the available budget, and in any case, not less than two and a half times the available budget. The actual level will therefore depend on the volume of proposals and funding request per proposal received. The threshold is expected to normally be set at 8 or 8.5.
- For the evaluation of first-stage proposals under a two-stage submission procedure, an arithmetic average (mean value) or median of the individual scores may be taken as the consensus score. The consensus report may consist of a collation of the individual evaluation reports or extracts from them. As part of the evaluation, a review committee may be convened to reach consensus on the applications proceeding to the second stage. For second-stage proposals as well as for single-stage evaluation procedures, unless otherwise indicated in the call text, the Coordinator has a 'right to reply' to the expert assessments (rebuttal procedure).
- If special procedures apply, they will be set out in the call conditions.

3. **Priority order for proposals with the same score:**

Unless the call conditions indicate otherwise, the following method will be applied (except for the first stage of two-stage calls, where proposals having the same score are kept together and no prioritisation is made).

If necessary, the EDCTP review committee will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the topic description of the call. The following approach will be applied successively for every group of ex aequo proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

- a) Proposals that address topics, or sub-topics, not otherwise covered by more highly-ranked proposals, will be considered to have the highest priority.
- b) These proposals identified under (a), if any, will themselves be prioritised according to the scores they have been awarded for the criterion *excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*.

If necessary, any further prioritisation will be based on the following factors, in order: relative number of sub-Saharan African countries involved; gender balance among the personnel named in the proposal who will be primarily responsible for carrying out the action; leverage of funding from third parties; quality of the networking activities.

If a distinction still cannot be made, the EDCTP review committee may decide to further prioritise by considering the potential for synergies between proposals, or other factors related to the objectives of the call or the EDCTP2 Programme in general. These factors will be documented in the report of the review committee.

- c) The method described in point (b) will then be applied to the remaining ex aequo proposals in the group.
- 4. For prizes, the award criteria, scoring and weighting will be set out in the Rules of Contest.

Evaluation procedure

- 1. Calls may be subject to either a one-stage or two-stage submission and evaluation procedure.
- 2. Proposals are evaluated by independent experts (see Article 15(7) Horizon 2020 Rules for Participation Regulation No 1290/2013 for exceptional cases). As part of the evaluation by independent experts, the EDCTP review committee will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions.
- 3. Proposal coordinators receive an Evaluation Summary Report (ESR), showing the results of the evaluation for a given proposal. For proposals that successfully pass the first stage of two-stage calls, common feedback is provided to all coordinators, but the first stage ESR is only sent after the second stage evaluation.
- 4. If special procedures apply, they will be set out in the call conditions.