

# Health Research 2018 Call for Proposals Rules for Participation



# Rules for Participation

**Health Research 2018  
Call for Proposals**

**"la Caixa" Banking Foundation**

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## 0 Definitions

In this call for projects, the following terms have the meaning that is defined below:

**Agreement:** the agreement to be signed by the "la Caixa" Banking Foundation and the Host Institution if the Proposal is awarded.

**Application or Proposal:** the proposal of a Project submitted within the framework of this Call.

**Call:** this open call for proposals (2018), which aims to allocate funds to support basic, clinical and translational biomedical research projects.

**Cooperating Organizations (or "COs"):** non-research performing civil society organization and/or companies that carry out activities of the Project.

**Host Institution:** the Research Performing Institution based in Spain or Portugal that acts as a coordinating institution of the Project.

**Institution:** any Research Performing Institution or Cooperating Organization that carries out activities of the Project.

**Principal Investigator (or "PI"):** the researcher of the Research Performing Institution, responsible for the execution of the activities of the Project that are carried out in the institution to which they belong. In the case of the Host Institution, this is also the Project Leader.

**Project Leader (or «PL»):** Principal Investigator of the Host Institution, responsible for presenting the Proposal to the Call and coordinating the overall execution of the Project.

**Projects:** research projects that are granted in this Call, which can be "Individual Projects" (if led by a single Research Performing Institution) or "Research Consortium Projects" (if led by a Research Consortium). In both cases proposals may also include Cooperating Organizations.

**Research Consortium (or "RC"):** a group of Research Performing Institutions that collaborate in a Project, composed by a minimum of two Research Performing Institutions and a maximum of five.

**Research Performing Institution (or "RPI"):** any non-profit institution dedicated to research according to its statutes or as part of its usual activity (research centers, universities, hospitals, etc.) that carries out activities of the Project.

**Selection Committee:** one of the five multidisciplinary committees that will evaluate the projects pre-selected for each Thematic Area by the peer review process.

**Team Members:** all the members of the Research Performing Institutions or Cooperating Organizations that carry out specific activities of the Project. Members of other institutions not included in the proposal cannot be included as team members.

**Thematic Area:** each of the five categories detailed in section 3.3 of this Call.

## 1 Preamble

“Changing lives, building futures”

The "la Caixa" Banking Foundation firmly believes that scientific progress and excellence in research are fundamental to the advancement of our society and to find solutions to the main challenges facing humanity. These societal challenges require cutting-edge and groundbreaking research projects, in which relevance and excellence come together to contribute to the advancement of the frontiers of science and generate positive social impact.

One of the main priorities of the "la Caixa" Banking Foundation, as set out in the Strategic Plan of the 2016-2019, is to consolidate the support to biomedical research aimed at facing the most serious illnesses. During this period, the strategy of the "la Caixa" Banking Foundation in biomedical research is to support groundbreaking projects in order to increase the competitiveness of research in Spain and Portugal towards the European and international benchmarks of scientific excellence, enhancing the importance of its scientific and medical impact beyond its borders. The "la Caixa" Banking Foundation promotes projects with both basic research and a clinical and translational perspective. The "la Caixa" Banking Foundation supports the transfer of knowledge and technology to society, fosters the principles of Responsible Research and Innovation, and believes that international collaborations of excellence improve health research.

In this regard, the "la Caixa" Banking Foundation launches an open call to select outstanding biomedical research projects that aim to address some of the main health challenges currently faced by our society.

## 2 Timeline

The dates and timeline included in these rules for participation are expressed in European Central Time (CET).

Opening of the Call	Deadline for Applications	Proposal Preselection	On-site assessment by Selection Committees	Resolution announcement	Execution of Selected Projects
November 8, 2018 at 14h	January 15, 2019 at 14h	From February to June 2019	June 6 and 7, 2019	July 2019	From September 2019 to September 2022

Any of these dates may be subject to change due to organizational reasons.

## 3 General framework of the call

**3.1** The fundamental aim of this call for projects is to foster research in **groundbreaking and highly relevant** projects that lead the advancement of knowledge and offer solutions related to some of the most important health problems of our century. The "la Caixa" Banking Foundation seeks research projects of **scientific excellence** in its field, with **potential value** and a **high social impact**. The "la Caixa" Banking Foundation encourages projects with an innovative focus that cross the boundaries between different areas of research, aimed at new and emerging research fields and/or including unconventional approaches to problems of health. The Call aims to support **basic, clinical and translational research projects**. We understand translational research as the cross-talk between basic and clinical research, in order to transfer laboratory results to patient care and to use the knowledge obtained from clinical practice in the generation of new scientific advances.

**3.2** Projects eligible for this call must be led by **non-profit Research Performing Institutions (Host Institutions) based in Spain or Portugal**.

**3.3** The Projects must be submitted in one of the following five **Thematic Areas**:

- a) **Neuroscience\***.
- b) **Infectious diseases**.
- c) **Oncology**.
- d) **Cardiovascular and metabolic diseases**: projects in cardiovascular diseases and metabolic diseases associated with cardiovascular risks or alterations.
- e) **Enabling technologies\***: projects developing health-facilitating technologies focused on the four previous thematic areas, in the following technological fields: micro and nanoelectronics, computational science, big data, photonics, nanotechnology, biotechnology, advanced materials and advanced manufacturing systems.

\*The Francisco Luzón Foundation will co-fund one project on Amyotrophic Lateral Sclerosis (ALS).

**3.4** The Projects shall have a **duration of up to 3 years** and may be submitted as Individual or Research Consortium projects, as defined in section 0.

- **Individual** projects are submitted by a sole Research Performing Institution (RPI), in this case also the Host Institution.
- **Research Consortium** projects are submitted by a Research Consortium (composed by a minimum of 2 and a maximum of 5 RPIs, including the Host Institution).

**3.5** The Projects will be **coordinated by the Host Institution**. Additionally, both Individual and Research Consortium projects may also include **Cooperating Organizations** (as describe in section 0, non-research performing civil society organization, patients associations and/or companies that carry out activities of the Project).

**3.6** The fact that the Proposals are submitted as Individual or Research Consortium projects, and classified as Basic, Clinical or Translational **will not in any case be a selection criterion** during the evaluation process.

## 4 Funding

**4.1** For the 2018 call, grants may be awarded up to a maximum of **€15,000,000\*** to support the selected Projects. The intention is to distribute this amount approximately equitably amongst the different Thematic Areas, but the final distribution will always depend on the quality and the specific characteristics of the Projects presented in this Call.

\* This amount is subject to final approval by "la Caixa" Banking Foundation.

**4.2** The economic amount of the grants for the Projects is detailed below:

a) The **Individual Projects** can request a **grant up to a maximum of €500,000**.

b) The **Research Consortium Projects** can request a **grant up to a maximum of €1,000,000**.

**4.3** The correct allocation of the **budget, adjusted to the activities** to be developed in the Project, **will be a strictly evaluated criterion** during the selection process.

**4.4** The **grant will be awarded to the Host Institution**, which will be **responsible for distributing the budget** to the other Institutions, as detailed in the Application form for this Call.

**4.5** The **grant will be distributed** during the total duration of each Project, based on the budget submitted and the Agreement.

**4.6** When **preparing the budget**, the following **criteria and requirements** must be taken into account:

a) Projects that request a grant of more than €500,000 must include in their budget the cost of an **external audit** that must be done by the Host Institution at the end of the duration of the Project, as provided in the section 13.1 of these rules for participation.

b) Both **Research Performing Institutions and Cooperating Organizations must carry out activities of the Project** and, therefore, have an assigned budget.

c) **Established companies**, or any other for-profit entity of the Cooperation Institutions, **may only receive Project funds if they are subcontracted** by a Research Performing Institution.

d) When appropriate, the **Research Performing Institutions and the Cooperating Organizations not located in Spain or Portugal** may receive **up to 30%** of the total budget of the Project.

**4.7** The grant will cover the costs related to the Project as long as they are **adequately justified**. The Proposal budget may include the following items:

a) **Direct costs:**

- Personnel
- Travel
- Equipment
- Consumables
- Publications
- Dissemination and social engagement activities
- Other direct costs
- Indirect costs
- Subcontracting audits
- Others subcontracting

b) **Indirect costs (overheads):** a maximum of **10%** of the direct costs (without taking into account subcontracting) of the budget of the grant:

$$\text{Indirect costs}_{\text{max}} = 0.1 \times (\text{Direct Costs} - \text{Subcontracting})$$



## 5 Eligibility criteria

**5.1** The **Host Institution** must be a **Research Performing Institution** (a non-profit institution dedicated to research in accordance with the definition of section 0) **based in Spain or Portugal**. The Host Institution will act as a coordinating institution.

**5.2** Both Individual Projects and Research Consortium Projects proposals must include a Project Leader (PL). In the case of Research Consortium Projects, the Application must also include a Principal Investigator (PI) for each of the Research Performing Institutions (RPI) of the Research Consortium.

**5.3** People who act as PL and PI **must be of legal age and may be of any nationality**.

**5.4** The PL **must have a minimum of 6 years of experience in postdoctoral research**. Therefore they must have finished their doctoral degree (PhD) at least 6 years before the closing date of the Call (taking as a reference the date which appears on the doctoral degree).

**5.5** Within the same Call, **each PL can only present a single proposal as a PL**; however, they can collaborate on other Projects as PI of a RPI of the Research Consortium or as a Team Member.

**5.6** The PLs of Projects awarded with a grant from the Health Research Call will **not be allowed to submit new Proposals as PLs in the two editions following the same call**, since their grant would still be within the period of execution. They will however be able to do so in the third edition after their award, coinciding with the last year of execution of the Awarded Project.

**5.7** The PL that submits a proposal to the current edition of the Health Research Call and obtain a score of less than 5.50 in the remote evaluation phase, will not be able to submit proposals as PL to the next edition of the Call.

**5.8** The PL **must be linked**, either by statute, work contract or other type of collaboration, within the framework of this Project, to the **Host Institution** when applying for the grant. The PL may also be legally linked to private foundations or non-profit organizations through which the research activities of the Host Institution are carried out or managed, in accordance with the current legislation.

**5.9** The Host Institution must be **willing to support the PL, the Team Members and the Research Consortium**, if necessary, throughout the Project period and **provide the appropriate scientific and administrative environment** to carry out the Project.

The Project Leader **must provide the *Host Institution Statement*** signed by the legal representative of the Host Institution, the PL, the PIs of each RPI and the legal representatives of the COs (if applicable).

**5.10** All the Institutions and Team Members of the Project must follow the **ethical principles and the highest standards of integrity in research and scientific best practices**, as described, for example, in the [Code of Conduct for the integrity of the research-ALLEA](#).

**5.11** The Host Institution **shall represent** all the Institutions of the Project before the "la Caixa" Banking Foundation. The physical person who will act on their behalf will be the PL.

**5.12** The PL and the Host Institution are responsible for **guaranteeing the implementation of the Project in accordance with the initial conditions** stated in the Application and the Agreement.

**5.13** There is no limit to the number of Projects that a Host Institution can submit or for which it may receive grants as a Host Institution or as a member of a Research Consortium.

**5.14** The Proposal must be a **groundbreaking and innovative project related to the objectives and Thematic Areas** of the grant.

**5.15** Neither the Proposals submitted to the Call nor the activities associated with the granted Projects cannot be already funded through another grant (from the "la Caixa" Banking Foundation or from any other institution) at the time of submission of the Proposal.

**5.16** The following Projects are not eligible:

a) Projects whose results are **subject to rights**, of any nature, **held by for-profit organizations** before the submission of the Proposal (including without limitation assignments, licenses, first-refusal rights, distribution agreements, etc.)

b) Projects that **evaluate the efficacy or safety of products**, therapies, medical devices or diagnostic systems of **for-profit organizations**.

**5.17** It is mandatory for all the Team Members to be professionally linked, either as service providers or through other professional collaborations, to any of the Research Performing Institutions or Cooperating Organizations of the Proposal.

**5.18** Any other condition indicated in any of the clauses of these rules for participation (including but not limited to the “Definitions” and “Application submission” sections) will be considered a criterion of eligibility, since full compliance with them is mandatory for all participants.

## 6 Application submission

**6.1** The Application will be submitted electronically through the application submission link of the “la Caixa” Banking Foundation Call for Projects website: <https://www.convocatoriaslacaixa.org/Convocatorias/?idioma3>

**6.2** The Proposals must be completed with all the information requested and submitted before the closing date of the Call (see clause 6.7). Incomplete Proposals may be declared ineligible to participate in this Call.

**6.3** The whole process of submission and selection of applications, including the interview, will be carried out in English. Documents or statements must be submitted in English. Any document initially written in any other language must be accompanied by its translation into English.

**6.4** On the Application form, applicants must select the Thematic Area (described in point 3.3) in which they prefer their Proposals to be evaluated.

**6.5** The following information will also need to be provided for the best assignment of the evaluators to each project:

- a) **Research discipline(s)**
- b) **Basic/Clinical/Translational nature of the project** (more than one option may be selected)
- c) **Keywords:** for a better description of the Project.

**6.6** The Proposal form must include descriptions of the following aspects:

- **General data and project information:** classification of the Host Institution, classification of the application, acronym, title, scientific abstract and lay summary.

- **Scientific excellence and impact:** State of the art; preliminary data; project aims and objectives; transformative approach and expected results; methodology and scientific approach; work plan; timeline and budget; study limitations and contingency plan; scientific and social relevance; ethical, social, legal and environmental project implications; dissemination, social engagement and knowledge transfer.
- **Project Leader:** relevance and research experience in relation with the proposal.
- **Research Consortium (if applicable):** description of the contribution of each member of the Research Consortium.
- **Principal Investigators (in the case of Research Consortiums):** relevance and research experience in relation with the proposal.
- **Research team:** brief description of the relevance, experience and contributions of the Team Members of the Host Institution and each Research Performing Institution (where applicable).
- **Other members of the Project:** brief description of the role and relevance of the main Team Members of the Cooperating Organizations.
- **Budget:** detail and justification of the Project budget.

#### 6.7 Figures and documents of the Project:

- Graphics and additional figures to support the Proposal description (optional).
- Gantt Diagram for the Project (mandatory).
- "Budget distribution" template (mandatory).
- Ethics issues Checklist template (mandatory).
- CV template of the PL and the PIs of the Research Performing Institutions if applicable (mandatory).
- Recommendation letters supporting the exceptional nature of the professional career of the PL, and the PIs of the Research Performing Institutions (if applicable) will be accepted (optional)
- "Host Institution Statement" signed by the legal representative of the Host Institution, the PL, the PIs of each RPI and the legal representatives of the Cos, if applicable (mandatory). Each Principal Investigator must be authorized to sign the aforementioned declaration on behalf of the Institution to which they belong.

#### 6.8 The online platform will be open for Applications from November 8, 2018 at 14h until the closing of the Call, on January 15, 2018 at 14h, Central European Time (CET).

## 7 Evaluation criteria

**7.1** The evaluation criteria used for this Call are the following:

**7.1.1 Scientific excellence and impact (Weight: 75%):**

7.1.1.1 Project Quality (30%)

- Novelty of the concept and the research.
- Clarity and coherence of the objectives.
- Relevance and transformative approach of the concept towards the challenges of its own field of action.
- The extent to which the proposal goes beyond the state of the art and demonstrates groundbreaking potential, novelty and high relevance.

7.1.1.2 Scientific approach and work plan (20%)

- Feasibility and rigor of the methodology and the work plan in accordance with the objectives and expected results.
- Proper justification of the timescales, resources and budget necessary to carry out the proposal.
- Limitations of the study and contingency plan.

7.1.1.3 Impact (Weight: 25%)

- Scientific impact and social relevance: the extent to which the results of the Project can make a positive, relevant and innovative difference.
- Ethical considerations: detailed analysis of the ethical, legal, social and environmental implications of the execution of the Project and/or the potential implantation of its results in the society.
- Dissemination and transfer: suitable description of the mechanisms, actions and activities of dissemination, communication, social implication, valorization and transfer of the results of the Project.

**7.1.2 Project Leader and Team (Weight: 25%):**

7.1.2.1 Project Leader and Research Team of the Host Institution (25% in Individual projects or 12.5% in Research Consortium projects)

- Professional trajectory and research potential of the PL.
- Adequacy of the role and capacity of the research team members to support the Project execution.

- Suitability and contributions of the other Cooperating Organizations of the Project.

#### 7.1.2.2 Research Consortium, if applicable (12.5%)

- Professional trajectory and research potential of the PIs of each Research Performing Institution of the Research Consortium.
- Adequacy of the role and capacity of the Team Members of the Research Performing Institutions of the Research Consortium.

## 8 Evaluation procedure

### 8.1 The Project evaluation procedure will consist of the following phases:

a) **Phase of eligibility - Analysis of eligibility criteria:** All applications received will be reviewed to ensure the fulfilment of the criteria published in the rules for participation of this Call. In the event that an Application is dismissed, the "la Caixa" Banking Foundation will send an email notification to the applicant explaining the reasons.

In accordance with section 10 of these rules for participation, the applicant will have 7 calendar days to redress. These will be resolved by a Redress Committee of the "la Caixa" Banking Foundation and the resolution will be sent to the applicant via email in the period indicated in section 10. This resolution will be final and will not be subject to new allegations. Further details on this procedure can be found in clause 10.

b) **Peer review pre-selection process:** All applications that pass the eligibility phase will enter the peer review pre-selection process formed by three or four international experts with extensive experience in the discipline(s) and in the Thematic Area of the application. The evaluation criteria (see Section 7) will be applied to each Project. The applications that obtain the best scores of each Thematic Area of the Call will pass to the next phase. The "la Caixa" Banking Foundation will notify the applicants if they have been shortlisted by email. The scientific evaluation of the Project is not subject to redress.

c) **Selection Committees:** There will be five Selection Committees, one for each Thematic Area of this Call. Each Selection Committee will be composed by 8 to 12 internationally renowned experts with extensive experience in the Thematic Area of the Application, as well as in evaluation and selection processes.

If the Application is pre-selected, the applicants will be called for a face-to-face interview before the corresponding Selection Committee.

The interviews will be held in Barcelona. All the interviews will take place in person and will be carried out in English. They cannot be carried out on the phone or using other audiovisual and/or telecommunication media.

The presentation of the Proposal will be carried out by the LP. If needed, they may be accompanied by up to 4 Team Members or PIs that they deem necessary. However, if attendance at the interview entails travel or accommodation expenses, applicants may receive **compensation limited solely to the LP**. The reimbursement policy will be sent to these applicants for clarity.

At the end of this phase, each Selection Committee will rank the pre-selected Proposals based on the criteria of evaluation of this Call (see section 7). **The scientific evaluation of the Projects is not subject to appeals.**

**8.2** Under no circumstances may the applicant contact the evaluators involved in the selection process in order to obtain information on any aspect related to the Call. If this happens, the applicant may be excluded from the call or any other future call of the "la Caixa" Banking Foundation.

## 9 Selected projects

**9.1** The Executive Committee of the "la Caixa" Banking Foundation will collect the Proposals selected by the Selection Committees and will approve and announce the final list of awarded Projects.

**9.2** The outcome of the decision will be published on the website of the "la Caixa" Banking Foundation and the applicants will be notified through the email address provided by the PL in the online application.

**9.3** Eligible applicants may receive more information on the evaluation of their Proposal at the end of the selection process of the Call.

**9.4** In the event that a selected Project waives the grant, it will be offered to the applicants in the reserve list in the corresponding order.

**9.5** The Projects must follow the internal rules of their Institutions regarding the requirements of the ethics committees. The approval of the corresponding ethics committees must be obtained before signing the Agreement. The awarded Projects will also have to receive the **approval of an external ethics committee** under the responsibility of the "la Caixa" Banking Foundation.

**9.6** The grant will be awarded to the selected Projects under the same conditions as defined in the Proposal and may not be modified in any way.

## 10 Redress procedure

**10.1** In the event that an Application is dismissed within the phase of eligibility, the "la Caixa" Banking Foundation will send an email notification to the applicant explaining the reasons. Within seven calendar days from the date the notification is sent, applicants may submit the necessary technical document rectifications by sending an email to [healthresearch@fundaciolacaixa.org](mailto:healthresearch@fundaciolacaixa.org) where they will have to include an explanatory text along with the documents that the applicants consider appropriate.

**10.2** A Redress Committee of the "la Caixa" Banking Foundation will resolve on the request for redress. The resolution will be sent by email within fifteen calendar days from the date of receipt of the rectification. This resolution will be deemed final and will not be subject to appeal.

**10.3** The redress process will be strictly confidential.

**10.4** The redress procedure is strictly limited to the analysis of the eligibility criteria. The selection process will not be subject to redress nor will the technical and scientific assessment of the evaluators be called into question. The "la Caixa" Banking Foundation is in no case responsible for comments from the experts evaluation. The evaluation and selection processes in themselves guarantee the independence and objectivity of the evaluation.

## 11 Considerations for the project implementation

**11.1** The "la Caixa" Banking Foundation fosters the **principles of Responsible Research and Innovation (RRI)**. These principles take into account gender equality in research and innovation (R&I), as well as other inclusion issues; open access to scientific results, ethics and research integrity and the engagement of social stakeholders in the design and performance of R&I.



**11.2** Cases of **scientific misconduct** that may arise during the evaluation of a Proposal and throughout execution of the awarded Project or once completed, must be communicated immediately by the Institution to the "la Caixa" Banking Foundation.

**11.3** The selected Projects must include a **management plan for the research data** within the six months following the date of notification of the award of the grant; a data management plan describes the management of the data collected, processed and/or generated by the Project.

**11.4** The "la Caixa" Banking Foundation supports the principles of **open access**, following the principle of "as open as possible, as closed as necessary". With regard to publications, all the Institutions of the Project must follow the [open access policy of the "la Caixa" Banking Foundation](#).

If human genotype and/or phenotype data are generated in the framework of the Project, the Institution is obliged to deposit them as a priority in the European Genome-phenome Archive (EGA) <https://ega-archive.org/> repository.

**11.5** In all dissemination and communication of the Project, the "la Caixa" Banking Foundation will be stated as funding organization of the Project.

## 12 Policy of the grant

**12.1** The Institutions are obliged to explicitly **acknowledge** that their activity has received support from the "la Caixa" Banking Foundation. This shall be done, if possible and unless the "la Caixa" Banking Foundation asks otherwise, in all communications, disclosures and activities, as well as in all equipment, infrastructure and main results funded by the grant. These communication and disclosure materials shall be submitted to "la Caixa" Banking Foundation for prior review and approval.

**12.2** The logo of the "la Caixa" Banking Foundation and the reference to the contribution of the "la Caixa" Banking Foundation must appear in a way that is easily visible to the public and is sufficiently prominent (taking into account also the nature of the activity or the object), always subject to the previous revision and approval of the "la Caixa" Banking Foundation.

**12.3** Scientific articles and any other scientific communication published as a result of these research grants must include the following text *"The project leading to these results has received funding from "la Caixa" Banking Foundation under the project code <CODE ASSIGNED TO AWARDED PROJECTS>".* The selected applicants must notify the "la Caixa" Banking Foundation in advance of the publication of any of these articles.

**12.4** Should there be results that are protected or protectable and/or registered or registrable as intellectual/industrial property or other types or modes, as a result of the research carried out in the awarded Project within the framework of this call, the Host Institutions agree to inform the "la Caixa" Banking Foundation.

**12.5** If any Project on amyotrophic lateral sclerosis (ALS) is partially funded by the Francisco Luzón Foundation, the obligations that the Institutions must meet before the "la Caixa" Banking Foundation in accordance with clauses 11.5, 12.1 to 12.4, 13.6 and 14.1, must also be met before the Francisco Luzón Foundation.

**12.6** The Host Institution and the PL shall ensure that all Institutions and Team Members, as well as their successors and assignees (to the extent possible), apply the terms established in this rules for participation to its activities and publications.

## **13 Grant management and obligations of the Host Institution and of the Project Leader (PL)**

**13.1** The Host Institution will manage and administer the amounts that the "la Caixa" Banking Foundation allocates for the grant and will be responsible for the distribution of the budget to the other Institutions, where applicable. To this end, the "la Caixa" Banking Foundation:

(a) will request Host Institutions with a Project with a budget greater than €500,000 to provide an external audit report (agreed-upon-procedures report) on their justifying account detailing the expenses incurred during the Project and the procedures applied by the auditor to validate the correct allocation of them according to the approved budget; all of the above in order to justify the costs of the activities of the Project carried out by the Host Institution as well as by any other Institution of the Project receiving funds in accordance with the budget (with respect to the part of the audit on the expenses of such Institutions, such

audit may be commissioned to the external auditor of the Host Institution or to another auditor with experience in the field).

The report must be submitted at the end of the Project period and the cost of the same must be included and allocated to the Project budget, as indicated in clause 4.6. of this Call.

(b) may request Host Institutions with a Project with a budget equal to or less than €500,000 to provide an audit report and/or statement, as well as any additional information, documentation and/or clarification that the "la Caixa" Banking Foundation may deem pertinent to allow its auditors and/or advisors to evaluate the correct allocation of the grants awarded. The cost of this audit report and/or statement will be paid by the "la Caixa" Banking Foundation, subject to prior approval of the corresponding budget, unless irregularities are detected as a result of it, in which case the Host Institution would bear the cost.

The request mentioned in paragraph (b) above may take place at any moment and may also apply to projects with budgets over €500,000 in addition to the audit report indicated in paragraph (a) above.

**13.2** At the request of the "la Caixa" Banking Foundation and/or as established in the Agreement, the PL must provide a scientific-technical summary as well as any other information that the "la Caixa" Banking Foundation deems necessary, or he/she must authorize the Host Institution to provide it.

**13.3** At the request of the "la Caixa" Banking Foundation, the selected applicants must certify, with original or certified documents, the files and documents included in the Application. Likewise, the "la Caixa" Banking Foundation may request the original certificates of any data mentioned in the Application.

**13.4** The Project must comply with the ethical principles of the European Union, the Spanish, Portuguese and international laws applicable in this field, as well as the Charter of Fundamental Rights of the European Union. All applicants (including, but not limited to, awarded applicants) warrant that the Projects comply with and will continue to comply with the applicable regulations and that the Projects (including, but not limited to, their Proposal and eventual execution) do not infringe nor will infringe any rights of third parties, including, but not limited to, intellectual/industrial property rights and/or prior commitments or agreements. In this regard, all the applicants will hold the "la Caixa" Banking Foundation harmless from and against any damages resulting from a breach of this warranty.

**13.5** The awarded Projects will be carried out in accordance with the Proposals approved and cannot be modified in any way (including, but not limited to, structural changes). All Projects that receive the grant will be subject to monitoring and interim evaluation.

**13.6** All awarded Projects will be regulated in an Agreement signed between the Host Institution and the "la Caixa" Banking Foundation. The signature of the Agreement is a mandatory requirement to receive the grant.

**13.7** The Projects that receive the grant will have to present the following complementary documentation before the signature of the Agreement:

- Certificate from the Spanish Tax Agency or the equivalent Portuguese authority that certifies that the Host Institution fulfills its tax obligations and, for Portuguese Institutions, that it is resident for tax purposes in Portugal.
- Certificate of the Spanish Social Security or the equivalent Portuguese authority that certifies that the Host Institution fulfills its obligations in accordance with current labor regulations

## **14 Confidentiality. Privacy and data protection policy**

**14.1** The Institutions authorize the "la Caixa" Banking Foundation to access, use and share the information of the Proposals, including any and all documents referred to therein, whether submitted at the time of the Application or at a later stage, for the purposes of this Call and to the extent necessary, including, but not limited to, the evaluation, selection and monitoring of the Projects. The Institutions warrant that the "la Caixa" Banking Foundation that such information and documentation can be shared and used for these purposes. To the extent that the identifying and/or professional information of natural persons linked to the Projects (including the PLs, the PIs, the other Team Members and representatives), the Institutions, when submitting the Proposals, warrant having informed those persons on the information indicated in clause 14.3 below and, where applicable, having obtained the necessary consent of those persons for their inclusion in the Proposals.

**14.2** The "la Caixa" Banking Foundation fully complies with the legislation in force in the field of personal data protection. All Institutions must also comply with the regulations applicable in this field.

**14.3** Any and all personal data collected within the framework of this Call (including the ones submitted in the Proposal) will be processed for the purpose of managing the participation of Institutions in it, being the basis of such processing the performance of the

resulting relationship, and such data will be stored until the end of the applicable statutory limitation periods.

Personal data will only be communicated if needed to comply with legal obligations. The "la Caixa" Banking Foundation hires service providers (of technological and evaluation services) located outside the European Economic Space, with all guarantees required by applicable regulations. The data subjects can ask for more information and/or exercise their rights of access, rectification, erasure, restriction, portability and objection before the Data Protection Officer of the "la Caixa" Banking Foundation at the post address Avinguda Diagonal 621 - 629, 08028 Barcelona, or at the e-mail address [dpd@fundacionlacaixa.org](mailto:dpd@fundacionlacaixa.org). Data subjects are also entitled to lodge a complaint before the Spanish Data Protection Agency.

## 15 Additional comments

**15.1** The submission of an Application for this Call entails all the applicants' express acceptance of these rules for participation as well as the criteria and decisions that may be made by the "la Caixa" Banking Foundation if questions arise on how to interpret the requirements and the terms and conditions of this document.

**15.2** The detection of non-compliance of these rules for participation, regardless of when they occur and the status in which the Application is found within the grant awarding process or the execution of an awarded project will entitle the "la Caixa" Banking Foundation to reject the application or cancel the awarded grant.

Should the grantee not comply with the obligations mentioned above, or with any other obligation included in these rules for participation of the Call, the "la Caixa" Banking Foundation reserves the right to act as it deems appropriate, including requesting the return of the received amounts.

**15.3** Further detailed information and documents regarding this Call for Proposals can be found at the [website of the "la Caixa" Banking Foundation](#).

