

Barcelona Institute of Culture's Call for grants and subsidies for research and innovation projects under the Barcelona Science Plan for 2019

PREAMBLE

Acting through its Institute of Culture and in collaboration with the 'la Caixa' Bank Foundation, with which it has signed a collaboration agreement File No. 2018/699, Barcelona City Council has committed itself to **quality research tackling the issues that concern Barcelona's society**, through the Call for grant and subsidy applications from the Barcelona Institute of Culture (ICUB) for research and innovation projects under the Barcelona Science Plan for 2019. The aim is to promote research projects on ageing and quality of life, and mobility and environmental respect and protection, to be prepared through collaborative work between several entities.

The call, which has a budget of €900,000, is aimed at generating a **positive impact on society** given that it will provide scientific evidence for shaping future political decisions, strengthen the city's research network, through the establishment of synergies between research teams and with entities from the third sector taking part, and encourage open access among all citizens to the results of the research.

The call is enshrined in the **Barcelona Science Plan**, whose goal is to promote Barcelona as the European capital of research and innovation. Based on collaboration and consensus between research centres and companies, universities, authorities and the public, the plan rests on three key pillars: municipal support for research and innovation; the consolidation of Barcelona's scientific capital and the launch of an urban innovation laboratory.

It is therefore committed to **science as a source of knowledge** and rigour for taking on the great challenges of the social and environmental sustainability of the future.

PRELIMINARY NOTE

Mention is made throughout this call to the General Terms and Conditions regulating grants and subsidies from the Barcelona Institute of Culture for Research and Innovation Projects under the Barcelona Science Plan for 2019, as approved by the Barcelona Institute of Culture's Managerial Decree of 7 February 2019 and published in the Barcelona Official Province Gazette (BOPB) of 22 February 2019, and which became final on 22 March 2019, setting the framework for this call and which can be consulted from the link <https://bop.diba.cat/scripts/ftpisa.aspx?fnew?bop2019&02/022019003018.pdf&1>

Article 1. Aim of the call for grant and subsidy applications

The aim of this competitively based call is to award grants and subsidies to research and innovation projects within the grants and subsidies from the Barcelona Institute of Culture for

Research and Innovation Projects under the Barcelona Science Plan for 2019, under the provisions set out in its Terms and Conditions.

1. The projects must be original and aimed at one of the following subject areas, relating to Barcelona's sustainable development:

- a) ageing and quality of life,
- b) mobility and environmental respect and protection.

When dealing with the projects' scientific terms and implementation, the researchers shall have to contemplate the gender aspect.

2. Research projects shall be noted for:

- a) Resulting from the collaboration of at least three applicant institutions from the field of research and from the third sector or companies, working in cooperation to promote synergies and optimise designs, implementation and dissemination of the projects, so as to promote alliances between several players. The call shall positively appraise projects that incorporate an entity from the third sector as an applicant, and those that encourage interdisciplinarity.
- b) Aiming to provide scientific evidence for inspiring Barcelona's future political decisions.
- c) Being original, without prejudice to the fact that they may be registered or continue lines of research already engaged in by the applicants.
- d) Dealing with subjects from a local perspective, taking into account the context of Barcelona and its metropolitan area.
- e) Being implemented within a period of 18 months, as from the date of the award of the grant or subsidy to the project.

Article 2. Applicant entities' requirements

1. Applicant entities' requirements are governed by the regulations established under Condition 5 of the general terms and conditions regulating this call for grant and subsidy applications from the Barcelona Institute of Culture for Research and Innovation Projects under the Barcelona Science Plan for 2019.

2. Groups of at least three legally constituted and active legal persons, at least one of which must have its tax or business address in the Barcelona municipality, may apply for the financial aid.

3. Applicant entities, under their Articles of Association or regulatory rules, must have goals and aims that concur with those of these grants or subsidies. More specifically, applicants may be:

- Public Universities, their research institutes and private universities, under the provisions set out in Framework Act 6/2001 and which are registered with the register created by Royal Decree RD 1509/2008, of 12 September, regulating the Register of Universities, Centres and Qualifications.
- Public research bodies, identified under the provisions set out in Article 47 of Act 14/2011 of 1 June, on Science, Technology and Innovation.

- Other R&D centres with a legal personality and linked to the public authorities or with a majority public shareholding, irrespective of their legal personality.
- Non-profit public and private health entities and institutions, linked to or coordinated with the National Health System or the ICS, which carry out research work.
- Non-profit public and private entities that can contribute positively to the project's design, implementation, application and social impact.
- Companies and business associations, depending on their corporate purpose, linked to the project's content. These companies must have fewer than 50 workers and innovation as a priority aim. They shall have to state this information in the corresponding form and in the Statement of Compliance.
- Other organisations contributing to the scientific dissemination or outreach or carrying out support work for scientific and technological transfer.

4. Among the applicant entities, there must be at least two institutions that have research as their main activity. Entities belonging to different areas of research, for promoting interdisciplinarity, will be deemed an asset. If one of the applicant parties is an organisation from the third sector or companies, this too will be deemed an asset.

5. Changes shall not be accepted in entity-group composition during the lifetime of the projects.

6. Each applicant entity must identify a natural person linked to each of them, who will represent them before the Barcelona Institute of Culture.

7. One of the representatives of one of the institutions will take on the work of Main Researcher (MR) and the project's coordinator, and will therefore be specified. The entity the coordinator belongs to will be the project's leading entity. Communications between the municipal authority and the applicant entities have to be made through the coordinator.

8. Each MR and each representative of the applicant entities may enter the call for grant and subsidy applications with a single project.

9. All applicant entities taking part in the same project shall be jointly and severally liable before the municipal Authority and, where the financial aid is awarded, all three will be beneficiaries.

10. Attempts will be made to introduce gender balance in the teams that will be implementing the projects and in decision-taking positions.

Article 3. Application-submission deadline and method and documents to be presented

1. The deadline for presenting application forms and the corresponding documents is 30 working days, as from the day following the date of publication of the corresponding call.
2. Mandatory basic documents to be presented are as follows: a. Application for entering the call (Application form – Appendix 1*)
 - b. Project's Scientific-Technical Report, which will have to be in English and extend to a maximum of 15 pages (a page shall be understood as each side of a sheet of paper). . Single-spaced 11-point Times Roman font must be used. (For the purposes of presenting the

project's Scientific-Technical Report, applicants must follow the Guide set out in: Project description-Appendix 2*) This document must necessarily include:

1. A summary of the project, in a maximum of 300 words, written in Catalan or Spanish.
2. Project goals (general and specific) and the research questions.
3. Methodology planned.
4. Results expected from the research and details of what they can contribute to Barcelona, not just for political decision-making but also for citizens and knowledge.
5. Project-implementation timetable regarding the work plan and the tasks assigned to each entity.
6. Justification of the advantages to the applicants' cooperation for implementing the project as well as creating synergies.

In drafting this document, account must be taken of the gender perspective and discriminatory or sexist language must not be used.

- c. Agreement form between the various entities, specifying the terms and conditions of the agreement between the grouped entities promoting the project in the framework of grants and subsidies for research and innovation projects under the Barcelona Science Plan for 2019 (Agreement between the entities – Appendix 3*).
- d. Project financial feasibility plan, stating the general budget for its implementation and including a budget for each applicant entity and summary common budget for the entire project (Feasibility Plan – Appendix 4*). The amount applied for from the ICUB by each applicant entity as well as its planned expenses must be stated. Where beneficiaries, the partial amount of the amount awarded by the project, to be awarded to each of the applicant entities, will be allocated according to the amount stated in Appendix 4 by each of them.
- e. Curriculum vitae of the project coordinator of maximum four pages (a page shall be understood as each of the sides of a sheet of paper) (Appendix 5*).
- f. National ID of the legal representatives and supporting documents for their representation.
- g. Documents confirming the legal personality of all the entities as well as their registration with the corresponding register.
- h. Applicants' Tax ID details.

Where beneficiaries of the grant or subsidy, each of the applicants will have to produce:

- i. Declaration of Transparency following the model provided for, under Article 15(2) of Act 19/2014, of 29 December, on transparency, access to public information and good governance, for grants and subsidies amounting to €10,000 or more (Declaration of Transparency – Appendix 6*)
- j. Creditor's datasheet – Appendix 7* (bank details must be confirmed by each applicant entity, by presenting a form per applicant).

**Documents with an asterisk shall be made available to applicants once the call is open, on the City Council's e-Headquarters (<https://ajuntament.barcelona.cat/ca/informacio-administrativa/subvencions>).

*Where Appendix 1, Appendix 2 and Appendix 4 are not submitted, the application will be rejected.

The documents stated in letters f., g. and h. do not have to be produced where the Barcelona Institute of Culture has them in its possession, provided that no more than five years have passed since they were presented and they have not been amended. In that case, the applicant must state the means by which these documents were appendices.

The Barcelona Institute of Culture may request supplementary information that it considers necessary during the project's assessment process.

4. The mandatory method for filling in and presenting applications is through the City Council's e-Headquarters (<http://www.bcn.cat/tramits>), with applicants following the instructions stated in this procedures portal, under Article 14 of Act 39/2015, of 1 October, on the Common Administrative Procedure of Public Authorities.

5. As for monitoring information from the online file, this will only be received by the applicant leading entity.

6. Presentation of the application implies acceptance of the sending of communications, as provided for in this call, by the Authority to the email address that applicants must state, in this case that of the project coordinator. All notifications to be made regarding this call shall be made through the email address of the project coordinator, which is stated in Application Form – Appendix 1 document, by the leading entity.

Article 4. Amount of the grant or subsidy and budgetary allocation

1. For the purposes of dealing with applications corresponding to the Barcelona Science Plan's projects, the Barcelona Institute of Culture has authorised a budgetary allocation of €900,000 for 2019 and 2020, conditional on the existence of suitable and sufficient credit in the 2020 budget.

The maximum amount allocated to this call is €900,000 distributed as follows:

2019 €450,000

2020 €450,000

These amounts may be extended by the managing body during the award process, under Article 58 of Royal Decree 887/2006, of 21 July, approving the regulations of the General Act on Grants and Subsidies.

2. The grants and subsidies have a maximum of €150,000 per project. Where selected, projects will be wholly funded, in accordance with the grant or subsidy applied for, conditional on the existence of suitable and sufficient credit in the 2020 budget.

3. The aggregate amount of this financial aid shall be funded through budgetary allocation 1617 D/48000/33011 and with initiative code S.006.00614.461, of the planned income and expenses of Barcelona Institute of Culture for 2019 and 2020.

Article 5. Eligible and ineligible items for grants and subsidies

1. Under the provisions established in Condition 9 of the General Terms and Conditions governing this call, financial aid is allocated to covering expenses relating to the running of the awarded project during its implementation period. A distinction has to be made between direct and indirect expenses.

Indirect expenses make up 18% of the total financial aid.

- a) Subsidised expenses are regarded as those immediately linked to the funded projects, made during its implementation period.
- b) Financial aid applies to direct and indirect expenses items. Indirect costs are general expenses allocated to the entities managing the implementation of the project awarded which by their nature cannot be allocated directly. They have to meet real expenses for the initiative's implementation. As for indirect costs, each call sets the maximum percentage that beneficiary entities can allocate, which under no circumstances may exceed 18% of the validly justified costs, linked to the management of the projects awarded grants and subsidies.

2. Subsidised direct-expenses items are as follows:

- a) Staff expenditure. This includes the employment costs of the staff hired exclusively for the project's implementation (such as salary payments and Social Security contributions). Hired staff may be linked to part or all of the project duration. Under no circumstances will the costs of staff on an open-ended contract be funded.
- b) Expenses arising from the dissemination, advertising, preparation of educational and informative material, organisation of meetings of experts, conferences, day events and talks, workshops and other dissemination activities associated with the best implementation of the project. They shall specifically accommodate:
 - a. Travel, accommodation and living expenses of the experts who move to Barcelona to take part in the activities. The limit of the amount per person is set by the amounts provided for in Royal Decree 462/2002, of 24 May, for allowances for services, with a 25% increase on the amounts set, given the specific nature of Barcelona.
 - b. Expenses for disseminating the results include the proofreading of the texts and, if necessary, their translation; as well as publication expenses in science magazines and those arising from open-access publications.
 - c. Expenses arising from the activity's internationalisation.
- c) Expenses for acquiring scientific-technical equipment, such as software and bibliographical material.
 - a. Software acquired during the last three months of the project implementation may not be allocated to the grant or subsidy.

- b. Purchase or depreciation of inventoriable material (basically computer equipment) is excluded.
- c. Expenses arising from this item may not exceed 30% of the amount awarded.
- d) Acquisition of expendables, supplies and similar products.
- e) Expenses for travelling to, registering for and attending conferences, workshops, day events and talks connected to the project goals by members of the team that has obtained financial aid.

3. Where the amount of the expenses eligible for subsidies exceeds €30,000 in the event of costs for carrying out work or €15,000 in the event of supply of goods or provision of services by consultancy or technical support companies, beneficiaries shall have to take account of the provisions set out in Article 29(7) of General Grant and Subsidy Act 38/2003, of 17 November.

4. The following are items ineligible for grants or subsidies:

- a) Work-meal and living expenses, except where these are unequivocally linked to the holding of a conference, day event, talk or workshop.
- b) Formal responsibilities.
- c) Membership fees for national or international scientific societies.
- d) The sums approved in a direct-costs-of-implementation item may be allocated to any of the eligible expenses, according to the needs of the project. Under no circumstances may the variations change the total amount of the financial aid and their requirement shall have to be appropriately justified in the monitoring or justification documents.

Article 6. Procedure for selecting projects and awarding financial aid

1. Projects shall be selected and financial aid awarded under the procedure established in Conditions 6, 11 and 12 of the general terms and conditions regulating this call for grant and subsidy applications from the Barcelona Institute of Culture for Research and Innovation Projects under the Barcelona Science Plan for 2019.

2. In the first place, the Barcelona Institute of Culture must verify the admissibility of an application by considering:

- a. whether the application is complete and the documents are appropriate.
- b. whether it meets the requirements set out in these terms and conditions.

3. Where applications are not accompanied by the required documents, the ICUB must grant a maximum period of ten working days to amend them. Such cases exclude Appendix 1, Appendix 2 and Appendix 4 whose submission is mandatory for application acceptance.

Where the documents presented are incomplete or defective, the ICUB may require documents, amend or ask for any clarification it deems necessary which the applicant entities shall have to produce within a maximum of 10 working days.

Once this deadline has ended, no document will be admitted and the application will be directly excluded, under the provisions set out in Article 68 of Act 39/2015, of 1 October, on common administrative procedure.

4. Notifications shall be made through the email address provided in the application, so that the applicant can amend their documents within a period of ten working days, in accordance with the provisions set out under Art. 68 of Act 39/2015, of 1 October, on the common administrative procedure of public Authorities, approving the legal system of public authorities and common administrative procedure. Under no circumstances shall the replacement of projects already submitted be accepted.

5. The selection process will be carried out by the Assessment Committee based on reports from external, national and international experts, in the subject areas provided for in this call which will assess the projects remotely in accordance with the assessment criteria and scoring protocol set out in Article 7 of this call. Each project will be assessed by three randomly assigned experts according to subject area.

The Assessment Committee is made up of the following members:

- The President of the Barcelona Institute of Culture or the person they delegate,
- The highest representative of the Area of Health at Barcelona City Council or the person they delegate,
- The highest representative of the Area of Enterprise and Innovation at Barcelona City Council or the person they delegate,
- The highest representative of the Area of Ecology at Barcelona City Council or the person they delegate,
- A representative from the  Caixa' Foundation
- Three members of the Scientific Advisory Council at Barcelona City Council, appointed by the President of the ICUB.

For the correct running of the meeting, the following also shall be part of the Committee, as non-voting members:

- The Manager of the Barcelona Institute of Culture or the person they delegate,
- The Deputy Secretary of the Institute of Culture, who shall write up the minutes of the meeting.

6. The Assessment Committee shall convey the proposed provisional decision to the President of the ICUB. The resolution shall be published in the Official Province Gazette, on Barcelona City Council's web page and on the ICUB's web page, under the provisions established in Condition 13.

7. The maximum period for the final decision on this call is six months, as from the date of completion of the application submission deadline.

Article 7. Project assessment criteria

1. The assessment criteria established for this call are the ones stated in the following table. The scoring system for each criteria is from 0 to 10 and the percentage represents the weighting with respect to the final score.

<p>Technical and scientific quality: Clarity and relevance of the research goals and questions. Extent to which methodological consideration of the project represents an advance in existing knowledge in this subject area. Potential of the results to shape public policies in this area.</p>	0-10	35%
<p>Capacity of implementation: Clarity in the definition of a work plan. Feasibility of the projects and extent to which the activities detailed are suitable for achieving the goals and expected results. Adaptation of the resources applied for and time considered for the project implementation.</p>	0-10	25%
<p>Applicant team's adaptation: Curriculum Vitae of the Main Researcher. Relevance and complementarity of the applicant entities and their interdisciplinarity. Visibility of the cooperative work in the project design and implementation. Added value generated by synergies between research groups.</p>	0-10	25%
<p>Social impact: Description of the mechanisms, activities and social involvement through which the project will improve the capacity for revitalising and transforming the city. Inclusion of collaborations with social players of relevance to the city. Applicability of the proposals in the local ecosystem. Consideration of the environmental, social and gender implications in the project.</p>	0-10	15%

2. For the purposes of being awarded grants or subsidies, the projects shall have to obtain, as an overall score, at least 6 points out of 10.

Article 8. Feedback to applicants and challenges

1. Applicants will have a period of 10 working days, counting from the day following the date of publication of the call's results, to submit their challenges.
2. The Assessment Committee shall assess the challenges and convey them to the President for a decision on them, on the final publication of the results.
3. Unless declared otherwise by the applicant entities, the grant or subsidy shall be understood as accepted.
4. As feedback of the assessment process, applicants will be able to access their assessment results for each criterion.

Article 9. Responsibilities and obligations of the beneficiary entities

1. The obligations of the beneficiary entities are the ones set out under Condition 14.
2. Successful applicant entities have an obligation to carry out an interim financial audit (after 9 months, as from the date of the project's awarded grant or subsidy) and a final one (after 18 months as from the date of the project's awarded grant or subsidy), which shall have to be sent to justify the expenses.

Both the interim and final audits must specify each entity's expenses.

Article 10. Justification, monitoring and control

3. A monitoring report must be presented, in accordance with the content of the established guide, under the provisions established in Condition 18(5) of the Terms and Conditions regulating grants and subsidies from the Barcelona Institute of Culture for Research and Innovation Projects under the Barcelona Science Plan for 2019. In any case, the financial justification section includes duly ordered and scanned payment invoices and receipts, as an appendix.

This report must be delivered at the end of 9 months, as from the date of the project's awarded grants or subsidies. It will be reviewed by the ICUB, this being an essential requirement for making the second payment.

The monitoring report must contain the following information:

- a) List of the activities carried out and the extent of achievement of the proposed goals.
- b) List of the members making up the project during its implementation, with justification of possible amendments made.
- c) Financial justification of the activities carried out.

1. The final scientific-technical report, which is drafted in line with the content stated in Article 18(5) of the Terms and Conditions, must be presented by the coordinator within a period of three months as from the date of the project completion.

This report must contain the following information, in addition to the information listed in the monitoring report:

- a) Statement of the results achieved and considerations according to potential impact of the city's future transformation.
- b) Final composition of the research team, with express justification of staff changes regarding the initial application.
- c) Reflection on the main landmarks achieved or proposals and exploration, if necessary, of future initiatives linked to the project's consolidation.

Where there are any changes in the expenses attributed to the various direct-cost items, a specific justification will have to be made in the interim report, if necessary, and in any case in the final scientific-technical report.

3. The ICUB may require, where it deems fit, information on the project's activities and results at any time during its implementation, and at the request of the Scientific Council too.

Article 11. Payment

1. 50% of the amount of the financial aid is paid at the start of the project implementation and the remaining 50% at the halfway point
2. The second payment will be made once the interim financial audit has been validated.
3. Payments will be made by bank transfer to the bank account stated by each of the project's applicant entities through the form: Creditor details – Appendix 7.
4. Each beneficiary entity will receive two payments that will total the full amount awarded for each.
5. The effective award and payment of the grants or subsidies regulated in this call shall be subject to the effective existence of budgetary credit.

Article 12. Dissemination of the results and data policy

1. The results of the project shall have to be disseminated through a popular-science article to be open-access published through the municipal website, which must be delivered within a period of four months as from the date of project completion, together with a summary of the dissemination initiatives resulting from the project. This article shall be complementary to the delivery of the final scientific-technical report.
2. The research team shall have to disseminate the research through the usual channels for science and take part in citizen dissemination activities.
3. Scientific articles resulting from the research and participation in any dissemination activity must state that they are research funded by Barcelona City Council, including the following text: 'Project funded by Barcelona City Council under the framework of the Barcelona Science Plan'.
4. All data resulting from the research shall be published preferably using open-science channels and/or through the City Council's website.

Article 13. Legal system

The legal system governed by the regulations established under Condition 3 of the General Terms and Conditions grants and subsidies from the Barcelona Institute of Culture for research and innovation projects under the Barcelona Science Plan for 2019.

Grants and subsidies that are regulated in these terms and conditions shall be voluntary and temporary, are freely revocable and reducible in the circumstances provided for by the regulations on grants and subsidies and these regulatory terms and conditions, do not create any right to gaining further grants or subsidies in subsequent years and may not be adduced as a precedent.

Furthermore, they are subject to compliance with the general-interest purpose that the award is conditional on and are not returnable, without prejudice to the reimbursement inherent in breaching the terms and conditions and charges established on the award of the subsidies or grants.

Final Provision. Effects

The decision contained in this call comes into effect on the day after the date of its publication in the Official Province Gazette (BOP).