

## **GUIDELINES GOVERNING THE AWARDING OF GRANTS FOR THE PUBLICATION OF ILLUSTRATED WORKS ABROAD**

### **1. Purpose**

1.1 The purpose of these guidelines is to govern the awarding of grants to cover expenses incurred in compensating illustrators of illustrated works, when the works meet the following conditions:

- published in a language other than Catalan or Occitan (in its Aranese variant)
- published as a print book
- has commercial distribution
- identifies the authorship of the illustrations and text
- the illustrator is an individual residing officially in Catalonia or the Balearic Islands. Deceased authors will be considered residents of Catalonia or the Balearic Islands if they lived most of their lives in said territories.

Self-published works are not eligible.

Books sold exclusively through digital platforms are not considered to be distributed commercially, and are therefore not eligible. Nor will applications be accepted that plan to publish the translated work exclusively "print on demand".

Agendas, calendars and other merchandising products are not eligible.

Expenses for using digital files (artwork/data fees) are not eligible.

The work the grant application refers to must be under one of the following three types of contract:

- Work commissioned by a foreign publisher to an illustrator who resides in Catalonia or the Balearic Islands. In this case, the work must be published and distributed abroad and must be published under a contract between the foreign publisher that publishes the original work and the illustrator.
- **Rights acquired** to a work already published, illustrated by an individual who resides in Catalonia or the Balearic Islands. In this case, the work must be published and distributed outside of Catalan-speaking areas and must be published under a licensing contract between the owner and/or representative of the author and the work and the publisher that acquires the rights.
- **International joint publication** illustrated by an individual who resides in Catalonia or the Balearic Islands. In this case, the work must be published and distributed abroad and must be published under a contract between the foreign publisher that publishes the original work and the Catalan publisher, with the understanding that the Catalan/Occitan (in its Aranese variant) version of the work will be the source text for the rest of the editions.

The work to which the grant application pertains must be published after the grant is awarded.

1.2 The grants awarded in accordance with these guidelines are considered de minimis aid, governed by Commission Regulation (EU) 1407/2013 of 18 December 2013 on the application

of Articles 107 and 108 of the Treaty on the Functioning of the European Union to de minimis aid (OJ L352, 24.12.2013).

### **1 bis. Publication**

With regard to the publication of the guidelines and call for grants, applicants are subject to the provisions of article 68.5 of the Statute of Autonomy of Catalonia and any regulations regarding grants.

### **2. Recipients**

2.1 Publishers, self-employed individuals or legal entities, public or private, Spanish or foreign, that have planned to publish or jointly publish illustrated works illustrated by an individual who resides in Catalonia or the Balearic Islands are eligible for these grants.

2.2 For joint publications, only the publishers not publishing the work in Catalan or Occitan (in its Aranese variant) are eligible.

2.3 Publishers with debts payable to the Consorci de l'Institut Ramon Llull (hereinafter Institut Ramon Llull) recognised by its Director in a final ruling, are not eligible for these grants.

### **3. Requirements and Conflicts**

#### **3.1 Requirements**

To qualify as a grant recipient, applicants must meet the following requirements and conditions. The requirements in each case will be determined based on the specific circumstances and must be accredited under the terms specified in point 7.

a) Fulfil the requirements and general conditions set out in article 13 of Law 38/2003 of 17 November (General Subsidies Act - BOE no. 276 of 18/11/2003).

b) Be current on all tax obligations to the Government of Catalonia and the Spanish State, as well as any Social Security obligations. If the applicant's tax residence is located outside Spain, an affidavit of liability must be provided to that effect.

c) Submit an affidavit listing any other public or private grants the applicant has applied for and/or received for the same activity, indicating the awarding entities and the amount requested and/or received.

d) If any elements eligible for intellectual property protection are used in the pursuit of the grant-funded activity, applicants must comply with any applicable regulations.

e) For Spanish self-employed individuals, applicants must be registered with the Economic Activities Tax Register, when required.

f) For non-profit organisations, applicants must be registered with the applicable registry.

g) For organisations with 50 or more employees, applicants must comply with the legally required quota of positions allocated to people with disabilities as per article 42.1 of Royal Legislative Decree 1/2013 of 29 November 2013 approving the recast General Law on the Rights of Persons with Disabilities and their Social Inclusion, or the exceptional alternative compliance measures in Royal Decree 364/2005 of 8 April and Decree 86/2015 of 2 June.

h) For organisations with 25 or more employees, indicate the measures in place to prevent and handle cases of sexual harassment and gender-based harassment in the workplace, and to intervene in their work centres, in line with social stakeholders, as per the provisions of Law 5/2008 of 24 April on the right of women to eradicate gender-based violence, modified by Law 17/2020, of 22 December.

- i) Comply with the provisions of article 36.4 of Law 1/1998 of 7 January on linguistic policy, and, for companies with establishments open to the public in Catalonia, comply with the provisions of articles 32.1 and 32.3 of said law.
- j) For foundations and associations, the applicant's bylaws must have been adapted according to the first transitional provision of Law 4/2008 of 24 April of the third book of the Civil Code of Catalonia on legal entities, and Law 5/2011 of 19 July amending the former.
- k) For foundations, the applicant must have met its duty to submit annual accounts to the supervisory body, as per article 336-3 of Law 4/2008 of 24 April of the third book of the Civil Code of Catalonia.
- l) For companies or organisations, applicants must not have been fined for or found guilty of workplace practices that are considered discriminatory on the basis of sex or gender, penalised by means of a final administrative ruling or judicial sentence, as per article 11.1 of Law 17/2015 of 21 July, on effective equality between women and men.
- m) For companies and organisations, the applicant must comply with the conditions laid out in Law 19/2020, of 30 December, on equal treatment and non-discrimination, and not promote inequalities based on any of the motives set forth in article 1 of said law.
- n) Submit an affidavit of liability listing any other de minimis grants received and/or applied for over the course of this and the two previous fiscal years. This must include any de minimis grants awarded for the activity to which the application pertains, or other activities, by any public administration in Spain and/or that receives funding from the European Union.
- o) Grant applicants must adhere to the Code of ethics enclosed as an annex.
- p) Grant applicants must respect gender equality as established in Law 17/2015 of 21 July, on effective equality between women and men.
- q) Applicants must have a deal for commercial distribution to bookshops.

### 3.2 Conflicts

These grants are not in conflict with other grants, aid, income or resources provided for the same purpose by the Government of Catalonia, associated entities, participated entities, other administrations, public or private entities.

The sum of all aid, income and resources may not exceed the total cost of the activity.

## 4. Amount

4.1 The grant awarded may cover up to 100% of the eligible expenses, as established in point 5.

4.2 The minimum incurred and substantiated expenditure required in order to consider the objective and purpose of the grant fulfilled is 80%. Failure to reach this threshold shall lead to revocation of the grant awarded.

4.3 If the difference between the estimated cost and the final, substantiated cost of the grant-funded activity does not exceed 20%, there will be no reduction in the amount of the grant awarded. This threshold only applies if the aim and purpose of the grant have been fulfilled.

4.4 The total grant awarded plus any other de minimis aid from the public administration awarded over the course of this and the two previous fiscal years may not exceed €200,000.

## 5. Eligible expenses

5.1 Compensation for the illustrator is considered an eligible expense.

When the author and illustrator of the work are the same person, their full compensation is an eligible expense. If they are two different people, only the illustrator's compensation is eligible.

5.2 An incurred expense is one that has been paid out by the end of the grant justification period.

5.3 Any VAT the grant recipient is unable to recover or offset is considered an eligible expense.

## **6. Applications**

6.1 Only one application per publisher and call. If the applicant is requesting a grant for a series, the works will be considered one application.

6.2 Applications and other formalities associated with the procedure for awarding grants and submitting justification documents must be submitted as follows:

a) For Spanish applicants:

Self-employed individuals, electronically using the Institut Ramon Llull online system.

Legal entities, electronically using the Institut Ramon Llull online system.

a) For foreign applicants:

Self-employed individuals, electronically using the Institut Ramon Llull online system.

Legal entities, electronically using the Institut Ramon Llull online system.

6.3 Spanish citizens and foreign residents of Spain who submit applications online must provide authentication using e-signature systems, as per article 58 of Decree 76/2020 of 4 August, on digital administration, and in line with any criteria established by competent authorities in the Government of Catalonia.

Non-resident foreigners who submit applications online must identify themselves on the online system with a username and password, as per the Institut Ramon Llull e-signature and identification policy. Institut Ramon Llull shall securely provide a username and password to anyone interested after verifying their identity.

6.4 If the online system is inoperative due to unforeseeable circumstances, users will be shown a message notifying them of said circumstances whenever technically possible. If the system is inoperable on the last day to submit any given paperwork, a further 24 hours will be added to the deadline once the system is fully operational.

## **7. Documents to submit with the application**

7.1 To apply for a grant from Institut Ramon Llull, candidates must submit the application form provided, attaching the project for the activity and the following documents, depending on the type of contract:

a) Work commissioned by a foreign publisher

1). Complete, detailed budget for the project (on the form)

2) Signed contract with the illustrator. The documents submitted must specifically note the illustrator's compensation for their author's rights

- 3) Illustrator's CV
- 4) Mock-up of the work
- 5) Catalogue of the publisher that will publish the work

b) Licensing of rights to a published work

- 1). Complete, detailed budget for the project (on the form)
- 2) Signed contract transferring rights. The documents submitted must specifically note the illustrator's compensation for their author's rights.
- 3) Illustrator's CV
- 4) Original copy of the work
- 5) Catalogue of the publisher that will publish the work

c) International joint publication

- 1). Complete, detailed budget for the project (on the form)
- 2) Signed joint-publication contract. The documents submitted must specifically note the illustrator's compensation for their author's rights.
- 3) Illustrator's CV
- 4) Mock-up of the work
- 5) Catalogue of the publishers that will publish the work

To speed up the process, the documents set out in point 11.5 may be submitted with the application.

7.2 The requirements laid out in points 2.2 and 3.1 must be accredited with an affidavit of liability submitted with the application form, which must also include express authorisation to check the applicant's tax information, when necessary.

By submitting a grant application, applicants are providing consent for the competent entity to check the information provided on the application or attached affidavits.

Any essential inaccuracies, falsities or omissions in any data or documents submitted with the grant application will void the application procedure from the time they are discovered and the party concerned has been notified, and, as a result, the grant application will be rejected. Said circumstances may also constitute grounds for revoking a grant awarded if they are discovered afterwards.

## **8. Deadline for applications**

The deadline for applications is established in the call for proposals.

## **9. Assessment criteria**

The criteria used for awarding the grants are as follows:

- a) Overall interest of the proposal.  
Assessment: up to 10 points.
- b) Catalogue and professional record of the applicant.  
Assessment: up to 10 points.

c) Professional record of the illustrator.

Assessment: up to 10 points.

d) International reach of the proposal.

Assessment: up to 10 points.

e) The fact that the original text of the work is in Catalan or Occitan (in its Aranese variant): 5 points.

The maximum score possible is 45 points.

The minimum score required to be awarded a grant is 18.50 points.

For work commissioned by a foreign publisher, the maximum score possible is 40 points.

For work commissioned by a foreign publisher, the minimum score required to be awarded a grant is 16.50 points.

## **10. Awarding procedure**

10.1 Grants are awarded according to competitive tendering procedure with a preliminary stage, in which the provisional resolution and final resolution are drafted, and a granting stage, in which the resolution awarding the grant is issued.

10.2 The examining body is the individual serving as the head of the Institut Ramon Llull management.

10.3 Applications are examined by an assessment committee appointed as part of the grant-call process, which will include external experts.

10.4 After the applications have been evaluated by the assessment committee, the examining body proposes a provisional resolution on the awarding of the grants, as per the assessment committee's report and the provisions of point 11, when applicable. Proposed recipients are then contacted to submit additional documents, and, based on said documents, the provisional resolution and any verifications required as per point 11, the examining body will draft the final resolution to award the grants and take it to the decision-making body.

The resolution proposal for the awarding of grants is normally based on the reports issued by the assessment committee. If the proposing body does not base its decision on the abovementioned reports, it will provide reasons for this divergence.

10.5 The awarding of these grants may be subject to a partial or total reduction in the amount awarded, prior to the final resolution awarding grants, as a result of restrictions arising from the need to meet budget stability and financial sustainability goals.

## **11. Provisional resolution proposal and additional documents**

11.1 Applicants will be notified of the provisional resolution proposal for the awarding of grants via the Institut Ramon Llull online noticeboard and the physical noticeboard at its headquarters

in Barcelona (Avinguda Diagonal, 373, 08008 Barcelona). This publication is in lieu of individual notification and has the same effects.

11.2 The provisional resolution proposal contains a list of proposed grant recipients.

11.3 The proposed grant recipients must submit the documents required in point 5 of these guidelines, if not submitted previously with the application, within 10 working days of the day after the provisional resolution proposal is made public. The provisional resolution proposal contains the notification to submit these documents.

Applicants have the same time period to submit any appeals, which will be taken into account in the final resolution.

The grant shall be deemed tacitly accepted unless the applicant submits an appeal within the abovementioned 10-day period.

11.4 Within the 10-day period established in the previous section, proposed grant recipients may also withdraw their applications.

11.5 The documents to which point 11.3 refers, which must be submitted if they weren't attached with the application, are as follows:

For foreign applicants:

Photocopy of a document accrediting the applicant's identity. For legal entities, proof of the individual's powers to act on behalf of the organisation must be provided along with the individual's passport.

It is not necessary to provide these documents if they have been provided previously within the past five years and have not changed. If that is the case, please clearly note the date they were provided and procedure they were submitted for. If the examining body, for causes beyond its control, cannot obtain the documents submitted previously, the applicant must re-submit them within 10 days.

For Spanish applicants:

a) Spanish ID of the individual signing the application. It is not necessary to provide this if the applicant authorises Institut Ramon Llull to verify their identity with the authorities. This authorisation is included in the application form.

b) Proof of registration in the Economic Activities Tax Register (official certificate), if required. Applicants may authorise Institut Ramon Llull to obtain this information electronically from the authorities. In this case, it is not necessary to provide documents that can be obtained with this consent. This authorisation is included in the application form.

c) Organisations not registered with the Companies House, Catalan Ministry of Justice Registry of Associations or the General Registry of Cooperatives of the Government of Catalonia must provide proof of registration with the corresponding registry and the legal representation that empowers the individual applicant to act on its behalf.

d) If the organisation is not required to be registered with any public registry, proof must be provided of its legal identity and the legal representation that empowers the individual applicant to act on its behalf.

It is not necessary to provide the documents above if they have been provided previously within the past five years and have not changed. If that is the case, please clearly note the date they were provided and procedure they were submitted for. If the examining body, for causes beyond its control, cannot obtain the documents submitted previously, the applicant must re-submit them within 10 working days.

The examining body will, with authorisation from the applicant when necessary, check the following data and compliance with the following requirements:

- a) Identification details of the signatory.
- b) For legal entities, identification details, its powers and fiscal identification document, with the corresponding registries.
- c) For self-employed individuals, data regarding registration with the Economic Activities Tax Register.
- d) For foundations, that the applicant has met its duty to submit annual accounts to the supervisory body.
- e) For foundations and associations, that the applicant's bylaws have been adapted according to the first transitional provision of Law 4/2008 of 24 April of the third book of the Civil Code of Catalonia.

If the examining body, for causes beyond its control, cannot obtain official proof of the data above and compliance with the requirements above, the applicant must submit them within 10 working days.

The examining body will not officially check legal powers of representation if the documents are submitted electronically and the e-signature also proves that the signatory is legally empowered to act on behalf of the entity they represent.

11.6 The documents established in point 11.5 must be submitted electronically with digitised copies, as per point 6 and current administrative procedures valid at the time of the call.

11.7 The examining body may ask applicants to provide any additional documents deemed necessary to accredit the data in their application.

## **12. Rejection and withdrawal**

12.1 Any applications that do not meet the unrectifiable requirements or deadline will be rejected.

12.2 The following shall be deemed withdrawal of an application:

- a) Failure to submit any of the documents listed in point 7 or to meet any of the rectifiable requirements within 10 working days of notification to do so.
- b) Failure to submit any of the documents that may be requested under the terms of point 11.3.

12.3 Prior to awarding the grants, the examining body will rule on the rejection or withdrawal of applications and applicants will be notified of said rulings via the Institut Ramon Llull online noticeboard and the physical noticeboard at its headquarters in Barcelona (Avinguda Diagonal, 373, 08008 Barcelona). This publication is in lieu of individual notification and has the same effects. This notification must be cited in any appeals lodged.



12.4 Notwithstanding the provisions of point 11.4, any applicant may withdraw their grant application in writing before the grants are awarded and the examining body must accept it.

### **13. Resolution and publication**

13.1 The individual serving as Director of Institut Ramon Llull shall issue a resolution within six months of the date of the grant call. The parties concerned will be notified of the resolution with the same conditions and effects as laid out in point 12.3 regarding rejection and withdrawal.

13.2 The resolution will expressly state that the award is a de minimis grant.

13.3 The publication or notification of the final resolution will state that it does not exhaust the administrative channels and may be appealed and any that such appeals must be lodged with the President of the Institut Ramon Llull Board of Directors within one month of the day following publication of this resolution. The one-month term ends on the same date the resolution was published.

13.4 If no final resolution has been handed down and notified by the time this period has elapsed, applicants are to interpret this administrative silence as a rejection of their applications.

### **14. Advertising**

14.1 Institut Ramon Llull must post a list of the grants awarded, available to the general public, on the noticeboards established in point 12.3 and for grants in excess of €3,000, notification must also be included in the Official Gazette of the Government of Catalonia, including the call, programme, budget line item the grants fall under, recipients, amount awarded and the purpose or purposes the grant will be used to fulfil.

14.2 Institut Ramon Llull must post information on its grant-awarding activity on the Transparency Portal, as per article 15 of Law 19/2014, of 29 December, on transparency, access to public information and good governance.

14.3 It must also post information in the National Grants Database on the calls and resolutions to award grants, as per article 18 of Law 38/2003, of 17 November (General Subsidies Act), amended by Law 15/2014, of 16 September.

### **15. Payment**

15.1 Payment in full shall be processed once all the supporting documents for the grant-funded activity and the expenditure incurred have been submitted, as per the terms in point 16.

15.2 Prior to recognising each payment obligation, the examining body will officially confirm grant recipients are up to date with all tax and Social Security obligations, both with the Government of Catalonia and the Spanish State. Applicants grant consent for Institut Ramon Llull to check this information by signing the application form.

If the grant recipient's tax residence is not in Spanish territory, along with the supporting documents, a certificate of residence for tax purposes from the competent tax authority in the country of residence must be submitted.

## **16. Justification**

16.1 As per point 4.2, the minimum incurred and substantiated expenditure required in order to consider the objective and purpose of the grant fulfilled is 80%. Failure to reach this threshold shall lead to revocation of the grant awarded.

Point 4.3 provides that if the difference between the estimated cost and the final, substantiated cost of the grant-funded activity does not exceed 20%, there will be no reduction in the amount of the grant awarded. This threshold only applies if the aim and purpose of the grant have been fulfilled.

16.2 The supporting documents for grants awarded must be submitted between the day after the resolution awarding the grants is posted and 30 November the year after the call.

Recipients must, in order for payment of the total sum of the grant to be processed, submit to the Institut Ramon Llull an account justifying expenses incurred, with receipts.

The account must include the following supporting documents:

1. A report explaining achievement of the purpose of the grant-funded action, activity or project, noting the activities carried out and the results achieved.

2. 5 copies of the published book. If the book published cannot be physically delivered to Institut Ramon Llull due to the limitations caused by the Covid-19 pandemic, an affidavit stating that the work has been published must be submitted along with the digital file of the body of the work and photos of the front and back covers and acknowledgements page featuring the Institut Ramon Llull logo.

Furthermore, the 5 copies of the published work required must be sent by post to Institut Ramon Llull as soon as the pandemic allows.

3. A financial report on the cost of the activities carried out, as per the sample form provided, containing:

a) A breakdown of the expenses arising from the grant-funded activity, identifying the creditor, invoice number or equivalent legal documents of record for mercantile trading, the amount, date of issue and, if applicable, date of payment.

b) Digitised copies of the invoices or equivalent legal documents of record for mercantile trading or administrative documents, as well as proof of payment in the form of a bank extract or, for cash payment, documents accrediting the creditor received the amount in question.

An expense is considered to have been paid out for the purposes of its grant eligibility if the right to collect the grant is transferred to the creditors as compensation for the expense incurred or by extending the creditors a commercial paper, backed by a financial entity or insurance company.

c) An affidavit from the recipient swearing at least the following:

- That the digitised copies of the proof of expenses paid out are exact copies of the original documents, which are in the recipient's possession.

- That the eligible expenses have been claimed with the various sources of funding in a manner that does not exceed their total.
- That the sources of funding do not exceed the actual cost of the grant-funded activity.
- That there is a separate accounting system or that the expenses are assigned an accounting code shared by all transactions associated with the grant-funded activity.

d) If the grant is awarded based on a budget, a document must be provided that indicates and, if necessary, justifies any deviations from the original budget.

e) A detailed list of other income or grants that funded the activity with the amount and origin of each one. If the proof of expenditure is partially offset by other grants, the exact amount or percentage attributed to each one must be indicated, as well as the organisation that awarded them.

f) Any quotes that the grant recipient is required to request, as per article 31.3 of Law 38/2003 of 17 November (General Subsidies Act). (Proof of having requested at least three quotes and the report reflecting the final choice, if necessary, as per point 17.f).

16.3 The invoices, whether full or simplified, must meet the requirements of the Regulation on invoicing obligations, approved by Royal Decree 1619/2012, of 30 November. The description of the transaction must provide sufficient information regarding the object and period to which the invoice pertains to allow for proper verification of its connection with grant-related expenditure. If it is not clear enough, the delivery notes or other supporting documents must be provided. The unit price for the transaction must be clearly stated in all cases.

If any of the invoices requested do not include VAT, the recipient must specify the regulation that justifies VAT exemption, as per article 6.1.j. of the Regulation on invoicing requirements.

If a grant recipient is subject to the general pro-rata VAT scheme, as noted on their application form, they must submit their certificate from the Tax Agency and/or a copy of their annual tax declarations using the corresponding forms.

If a grant recipient is subject to the special pro-rata VAT scheme, as noted on their application form, they must submit their certificate from the Tax Agency and a list of the invoices associated with the project, as well as a copy of the VAT book in which they are accounted for.

Register receipts will not be accepted as justification of expenses.

16.4 All documents provided as proof of payment (bank statements and/or bank receipts) must include the following information:

- Identity of the payee and the payer. The payer must be the grant recipient, and the document must list their Tax ID number (NIF) and company name.

- The goods or services and invoice number(s) to which the payment corresponds. If the payment document does not list the invoice(s), supporting documents must be attached in order to verify the link between the expense and the payment.

If payment is made by order cheque, draft, note receivable or similar, a copy of the document and the bank statement accrediting the charge must be attached.

Proof of cash payments shall not be accepted if they fail to meet the requirements for this type of payment established in article 7 of Law 7/2012, of 29 October, on modification of the tax and budgetary regulations and on adaptation of the financial regulations for the intensification of activities in the prevention of and fight against fraud.

For cash payments, receipts listing the invoice to which the payment corresponds and the date must be provided, with the payee's signature. The payee's stamp must at least have their name and Tax ID number (NIF).

16.5 Grant recipients will be notified individually of any rectifiable failings in the justification and given 10 working days to rectify the situation.

16.6 If the supporting documents have not all been submitted by the deadline, the grant recipient will be notified and required to submit the missing documents within 15 working days, with no option for extension. Recipients are notified individually of said requirements. Failure to submit the justification by the deadline established in this section shall lead to revocation of the grant awarded and other liabilities established in applicable law on subsidies. Submitting the justification within the additional time given, as per this section, does not exempt the recipient from any applicable fines, as per Law 38/2003, of 17 November (General Subsidies Act).

16.7 Institut Ramon Llull may extend the deadline for the supporting documents of its own accord or at the behest of the recipients. Both the request from the interested party and the decision reached regarding the extension must occur before said deadline has been reached. The extension may not exceed half the original period or be prejudicial to third parties.

## **17. Recipients' obligations**

Recipients must meet the following obligations:

- a) Achieve the purpose of the grant-funded activity by the deadline established.
- b) Carry out the grant-funded activity as per the project submitted. The examining body must be notified of any changes to the project or schedule submitted before the end of the fulfilment period and, if the requested modification does not result in a substantial change or constitute non-compliance with the requirements and conditions laid out in these guidelines, said body will have one month to accept or reject it. Grants may be revoked in full or part if any changes are made and not notified or expressly accepted.
- c) Provide any information requested at any time concerning the grant awarded and submit to checks and controls by the examining body, the Government of Catalonia Comptroller-General, the Public Audit Office for Catalonia and any other competent authorities, as per applicable regulations.
- d) Notify the examining body of any aid, income or resources used to pay for the grant-funded activity that has been received or applied for from other national or international authorities or public or private entities after the grant application was submitted. This information must be provided as soon as it is known and always prior to submitting the supporting documents justifying how the funds were spent.
- d) Comply with the obligations laid out in articles 90 bis and 92 bis of Royal Legislative Decree 3/2002, of 24 December, approving the revised text of Public Finance Act of Catalonia.
- f) If the eligible expenditure surpasses the official thresholds in public procurement rules regarding low-value contracts, at least three quotes must be obtained from different providers before committing to execution of the work, provision of the service or delivery of the item, except

when there are not enough providers on the market due to the unique nature of the item, service or work or when the expenditure was made before the grant was awarded.

All the bids must be included in the supporting documents and the winning bid must be chosen based on efficiency and affordability. If the least expensive bid is not chosen, a report expressly justifying the reasons for this choice must be provided.

g) Keep and make available to the awarding body and supervisory bodies any books, registers or documents that may be required to justify the grant, including electronic documents, so they can be checked and verified.

h) The publisher must:

- include the following statement on the acknowledgements page of the grant-funded book, in the language in which it is published: "Illustration of this work was made possible in part by a grant from Institut Ramon Llull." with the Institut Ramon Llull logo.

- properly credit the creator of the illustrations and text, if applicable, in the grant-funded book.

i) The private organisations referred to in paragraphs a) and b) of article 3.4 of Law 19/2014, of 29 December, on transparency, access to public information and good governance, must comply with the applicable transparency obligations as per title II of said Law.

j) Comply with the provisions of Law 17/2015 of 21 July, on effective equality between women and men.

k) Comply with the code of ethics and conduct for grant recipients, as established in Annex I.

l) Comply with any other obligations laid out in current regulations on grants and these grant guidelines.

## **18. Modification of the resolution**

The awarding body has the right to revise the grants awarded and modify the resolution or awarding agreement if the conditions taken into account in awarding the grant change or if other aid or grants are obtained concurrently.

If the procedure shows that the aim and purpose of the grant have not been achieved due to a pandemic or other cause of force majeure, the awarding body may:

a) Cover the expenses incurred by recipients even though the aim and purpose of the grant have not been achieved, in full or part.

b) Extend the deadline to provide justification for the grant-funded activities.

For the purposes of these guidelines, force majeure means an extraordinary occurrence beyond the control of the recipients that is unforeseeable and unavoidable, or even if it can be foreseen is unavoidable despite the recipients acting diligently, and that directly impedes them from fulfilling the aim and purpose of the grant.

## **19. Revocation**

The awarding body, following legally established procedure, must revoke the grants awarded in full or in part and oblige the recipient to return the amount received and pay interest due, as per the provisions of the Royal Legislative Decree 3/2002, of 24 December, approving the revised text of Public Finance Act of Catalonia, and Law 38/2003, of 17 November (General Subsidies Act).

## **20. Sanctions**

Failure to comply with the obligations set out in the guidelines, if considered an offence under the applicable laws, shall trigger the sanctions process established in Law 38/2003, of 17 November (General Subsidies Act); and Royal Legislative Decree 3/2002, of 24 December, approving the revised text of Public Finance Act of Catalonia, regardless of whether the grant is returned in full or part.

## **21. Data protection**

The data controller for information provided by applicants is Institut Ramon Llull. Data will be processed for the purposes of assessing the applications and carrying out the grant-awarding process. The legal grounds for this processing is in the name of public interest based on the inherent functions of Institut Ramon Llull. The data will be added to the database "Base de Datos Nacional de Subvenciones". The results of the application assessment will be posted on the Institut Ramon Llull online system, complying with the obligations on notification and transparency in Law 38/2003 (General Subsidies Act) and 19/2013 and 19/2014 on transparency, access to public information and good governance. Subjects may exercise their rights to access, rectification, erasure, opposition and limitation of processing by contacting Institut Ramon Llull. More detailed information regarding the protection of personal data is available at [www.llull.cat](http://www.llull.cat).

## **Annex I**

Code of ethics and conduct that grant recipients must follow in their activity and the consequences of any failure to do so

As per article 55.2 of Law 19/2014, of 29 December, on transparency, access to public information and good governance, administrations and bodies to which this law applies must include in any grant call a code of ethics and conduct the recipients must follow and the consequences of any failure to do so.

In compliance with this legal provision, the Code of ethics and conduct that grant recipients must follow in their activity and the consequences of any failure to do so are laid out below.

This Code of ethics and conduct reflects the minimum required standards and may be supplemented according to the size and type of the grant and the characteristics of the recipient, as per the grant guidelines.

Code of ethics and conduct

1. Grant recipients must show respect for fundamental human rights and freedoms.
2. Grant recipients must demonstrate exemplary ethics in their behaviour, abstain from participating in, fostering, proposing or promoting any sort of corrupt practices and notify the competent authorities of any such practices that, in their mind, are part of or could affect the procedure. In particular, they shall abstain from any sort of action that would infringe on the principles of equal opportunities and free competition.

3. In general, in the course of their activity, grant recipients are subject to the following obligations:

- a) To comply with the principles, rules and code of ethics inherent in the activities, trades or professions of the grant-funded activity.
- b) To not do anything that constitutes a threat to public interest.
- c) To report any abnormal circumstances that may arise during the grant call or processes resulting from these calls.

4. Specifically, grant recipients are subject to the following obligations:

- a) To notify the examining body of any possible conflict of interest.
- b) To not directly or indirectly ask a public employee or figure to influence the grant awarding process.
- c) To not offer or give public employees or figures personal or material perks, for themselves or third parties, in order to influence the grant awarding process.
- d) To cooperate with any competent authorities following up on or assessing compliance with the obligations laid out in these guidelines, specifically providing any information they request for this purpose related to receiving public funds.
- e) To comply with the obligations to provide information required of grant recipients under laws on transparency with regard to the administrations in question, as well as complying with the transparency obligations that apply directly under applicable law, as per article 3.4 of Law 19/2014, of 29 December, on transparency, access to public information and good governance.

Consequences of any failure to comply with the Code of ethics and conduct

Any breach of this Code of ethics and conduct shall trigger the sanctions process established in Law 19/2014, of 29 December, and the fines laid out in article 84 regarding grant recipients, notwithstanding any other consequences that may apply under current laws on subsidies.