

ECONOMIC JUSTIFICATION TOOL SMARTSIMPLE

MANUAL FOR ECONOMIC JUSTIFICATION IN PHINIT AND JUNIOR LEADER FELLOWSHIPS

SEPTEMBER 2021. VERSION 1



Fundación "la Caixa"



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1

INTRODUCTION OF THE NEW TOOL

NEW AUDIT TOOL

- ✓ **"la Caixa" Foundation** (from now on **FLC**) makes available to entities and centers, collaborating in a variety of programmes, a new corporate audit tool with the aims of **offering a more user friendly experience** and **facilitating as much as possible the task execution** by entities at all phases of the audit process.

Highlights:

- ✓ The responsible persons at the institution will have, at any time, **knowledge of the degree of progress of the audit process** and will easily know if they need to perform any task or whether the audit is under revision by the auditor.
- ✓ Furthermore, the institution will have access to a **control panel** for checking, real-time, all expenses reported up to that moment organized by categories (salaries, research costs, etc), as well as information on the estimated remnant available.

2

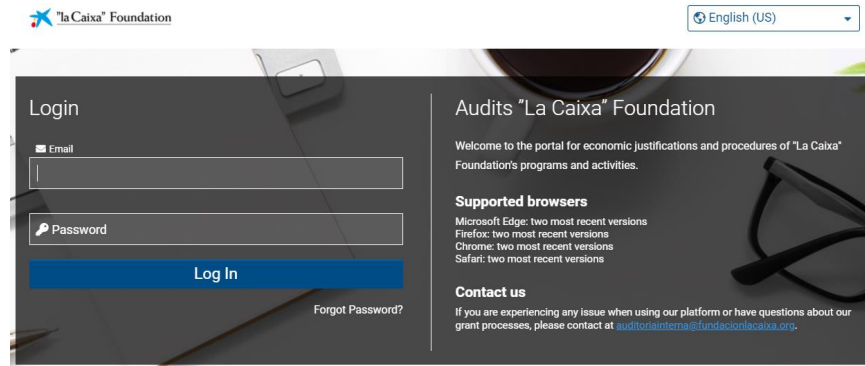
ACCESSING THE TOOL

ACCESSING THE TOOL

✓ **Link to the online web:**

<https://audits.fundacionlacaixa.org>

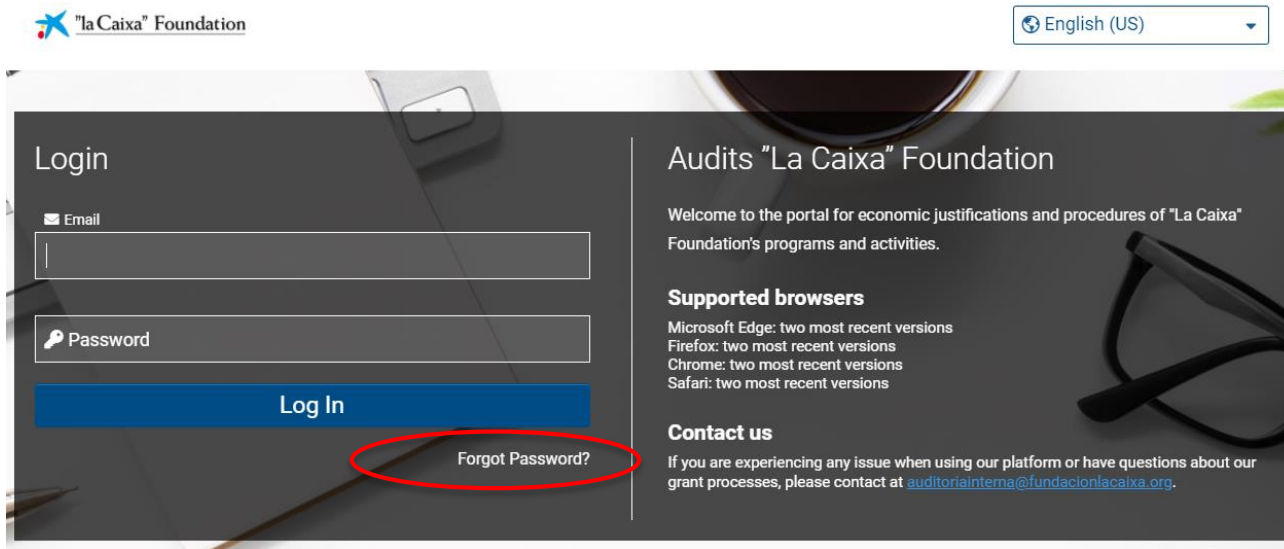
- ✓ When you are first registered as the responsible user from your institution, you will receive an email inviting you to access the tool, and you will be required to indicate your **access password**. The **user name will be the email address** we used for contacting you.



- ✓ **Important:** On the access page, on the right, you will find a list of the browsers supported: Microsoft Edge, Mozilla Firefox, Google Chrome and Safari (**Internet Explorer is not supported**). Our recommendation is to use **Google Chrome or Mozilla Firefox**.
- ✓ On the upper right, you can choose to change the **language**.

ACCESSING THE TOOL

- / **Important:** In case you forgot your password or your link of access has expired, click [Forgot Password?](#).
- / You will receive an email with a link to reset your password and enter the platform (please check your spam folder).



 "la Caixa" Foundation

English (US)

Login

Email

Password

Log In

[Forgot Password?](#)

Audits "La Caixa" Foundation

Welcome to the portal for economic justifications and procedures of "La Caixa" Foundation's programs and activities.

Supported browsers

Microsoft Edge: two most recent versions
Firefox: two most recent versions
Chrome: two most recent versions
Safari: two most recent versions

Contact us

If you are experiencing any issue when using our platform or have questions about our grant processes, please contact at auditoriainterna@fundacionlacaixa.org.

MODES OF ACCESS TO THE TOOL

- / The institutions will have **2 modes of access** to the tool depending on the **user role**:
 - / 1. **Audit organization manager**: This user is **the main responsible for the audit** and **will have access to all the information it contains**. Being the responsible person at the institution, they will be able to designate all the persons (including themselves if preferred) who will be in charge of filling in the economic justification.
 - / 2. **Responsible for the economic justifications**: This user is responsible for filling in all the economic information of the audit.

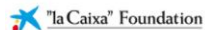
3

MAIN VIEWS

3.1

AUDIT ORGANIZATION MANAGER

MAIN VIEWS – AUDIT ORGANIZATION MANAGER VIEW



Home

Controls

Economic Justifications



Welcome Fellowship Test

IMPORTANT INFORMATION:

You are currently logged in with the organization **Becas Test1** for the program **Becas** and everything that you see in the portal is related to that organization and program. Please note that if you are associated with more than one organization, you can switch organizations with the building icon on the menu bar.

If you are experiencing any issue when using our platform or have questions about our grant processes, please contact us at info@contact.fundaciolacaixa.org.



My Profile



Organization Profile



Change Password

My Organization Contacts

Below you can find both the list of audit contacts for your organization. If you cannot find the appropriate contact, please click the "+" button to create a new one.

AUDIT CONTACTS (1)

OTHER CONTACTS

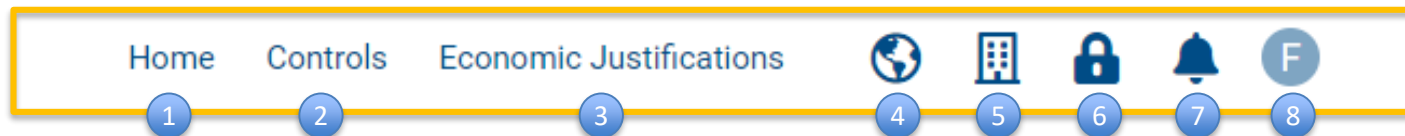


1-1 of 1



#	Name	Email	Organization	Roles	Status
---	------	-------	--------------	-------	--------

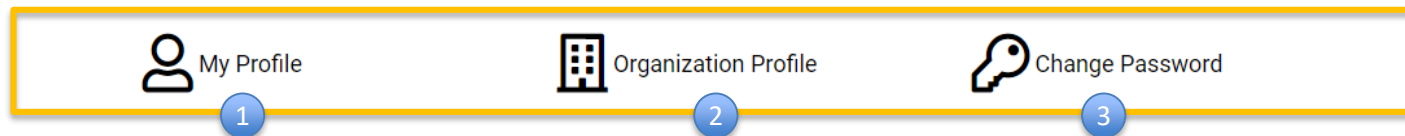
MAIN VIEWS – AUDIT ORGANIZATION MANAGER VIEW



/ Buttons on the **UPPER PANEL**:

1. **Home page**. It is the screen where we are right now.
2. **Controls**. Section with information related to the control of procedures (**DOES NOT APPLY TO FELLOWSHIPS**).
3. **Economic justifications**. Section containing all the information related to the economic justification.
4. Button for changing **language**.
5. **Change organization**. This is a **VERY IMPORTANT** button. If a user has responsibilities at more than one institution, the institution can be changed using this button.
6. Icon for accessing Privacy and Safety information.
7. Icon for accessing notifications generated in the tool.
8. **User** icon. Allows access to the information relative to the user and allows to log out.

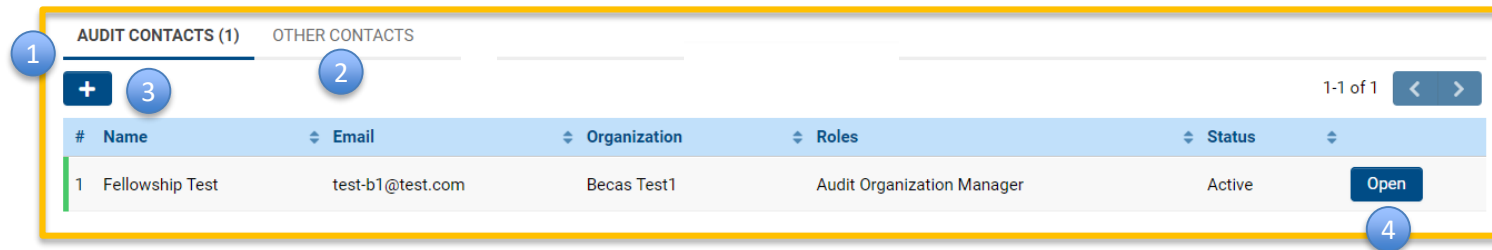
MAIN VIEWS – AUDIT ORGANIZATION MANAGER VIEW



/ Buttons on the **CENTRAL PANEL** :

1. Access to the user's profile.
2. Access to the institution's information.
3. Change password for tool access.

MAIN VIEWS – AUDIT ORGANIZATION MANAGER VIEW



AUDIT CONTACTS (1) **OTHER CONTACTS**

1-1 of 1 < >

#	Name	Email	Organization	Roles	Status	
1	Fellowship Test	test-b1@test.com	Becas Test1	Audit Organization Manager	Active	Open

/ Buttons on the **LOWER PANEL**:

1. List of **Audit contacts**. Shows the list of the persons named by the Audit Organization Manager as being **Responsible for Economic Justifications (Project Leads)**
2. List of **Other Audit Contacts**: shows the persons Responsible for the economic justifications **created by other institutions that are associated to this one**.
3. Button for **creating** a new Audit or Professional contact.
4. **Open** button for accessing the information of the Audit or Professional contact.

ECONOMIC JUSTIFICATIONS – AUDIT ORGANIZATION MANAGER VIEW

Home Controls

Economic Justifications

 Authorization Request1
Draft Authorization Requests0
Under Review Authorization Requests0
Reviewed Authorization Requests**Economic Justifications**

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.

0
User Assignment Required0
User Assigned0
Open0
Closed**Economic Justification Periods**

Below you will find the audit periods associated to all your assigned Economic Justifications, the stage they are in, and their related expenses.

0
Open0
Pending Evidence0
Under Review0
Revisions Requested0
Pending Closure0
Closed**Expenses**

Below you will find the expenses associated to all your assigned Economic Justifications and the stage they are in. Remember that you cannot send Expenses one by one, instead, go to the appropriate Period to send them all in a batch.

0
Recorded Expenses0
Evidence Requested0
Under Review0
Preliminary Accepted

3 MAIN VIEWS

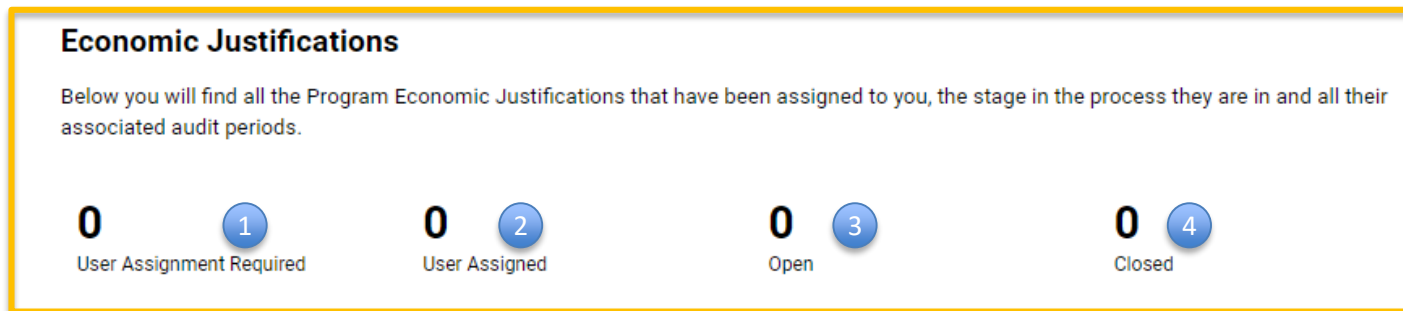
ECONOMIC JUSTIFICATIONS – AUDIT ORGANIZATION MANAGER VIEW



✓ The **UPPER PANEL (AUTHORIZATION REQUESTS)** shows information related to expenses authorizations:

1. **Authorization request:** Allows to make a new request for expenses requiring authorization.
2. **Draft Authorization Requests:** Allows access to the initiated requests which have a **Draft** status and have not been sent for approval yet.
3. **Under Review Authorization Requests:** Allows acces to the sent requests that are pending for authorization.
4. **Reviewed Authorization requests:** Allows acces to all requests made and already reviewed, either accepted or rejected.

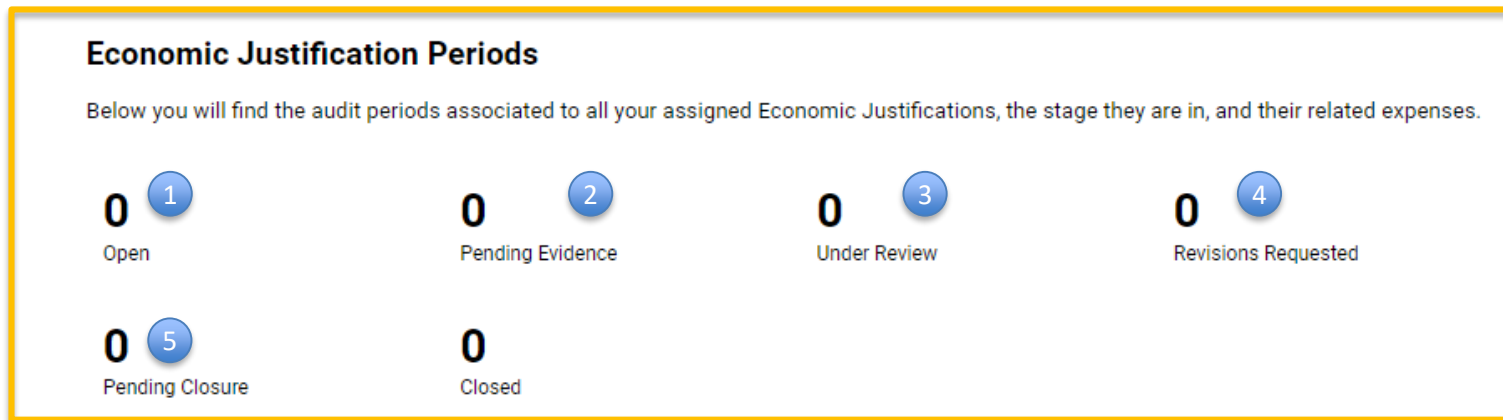
ECONOMIC JUSTIFICATIONS – AUDIT ORGANIZATION MANAGER VIEW



✓ The **ECONOMIC JUSTIFICATIONS PANEL** shows global information related to economic audit:

1. **User assignment required:** Allows access to open audits that have not been initiated yet. The **Audit Organization Manager will need to access and name the Responsible for Economic Justifications or Project Lead.**
2. **User Assigned:** Allows access to economic audits for which the Responsible of Economic Justifications has already been assigned by the Audit Organization Manager.
3. **Open:** Allows access to the economic audits in process.
4. **Closed:** Allows access to the economic audits that are finished and are therefore closed.

ECONOMIC JUSTIFICATION – AUDIT ORGANIZATION MANAGER VIEW



✓ The **ECONOMIC JUSTIFICATION PERIODS PANEL** shows information relative to the different periods (annuities) of the economic audit:

1. **Open**: Allows access to the open Audit periods (annuities) that are in progress.
2. **Pending evidence**: Allows access to the open audit periods (annuities) requiring supporting documentation.
3. **Sent – Under review**: Allows access to the Audit periods (annuities) sent by the institution for its review.
4. **Revisions requested**: Allows access to the Audit periods (annuities) requiring corrections by the institution after the evaluation carried out by the auditor.
5. **Pending closure/Closed**: Allows access to the periods of Audit (annuities) that are concluded and are therefore closed.

ECONOMIC JUSTIFICATION – AUDIT ORGANIZATION MANAGER VIEW

Expenses

Below you will find the expenses associated to all your assigned Economic Justifications and the stage they are in. Remember that you cannot send Expenses one by one, instead, go to the appropriate Period to send them all in a batch.

0 1
Recorded Expenses

0 2
Evidence Requested

0 3
Under Review

0 4
Preliminary Accepted

0 5
Preliminary Not Accepted

0 6
Accepted

0 7
Not Accepted

✓ The **EXPENSES PANEL** shows information related to the expenses charged by the institutions:

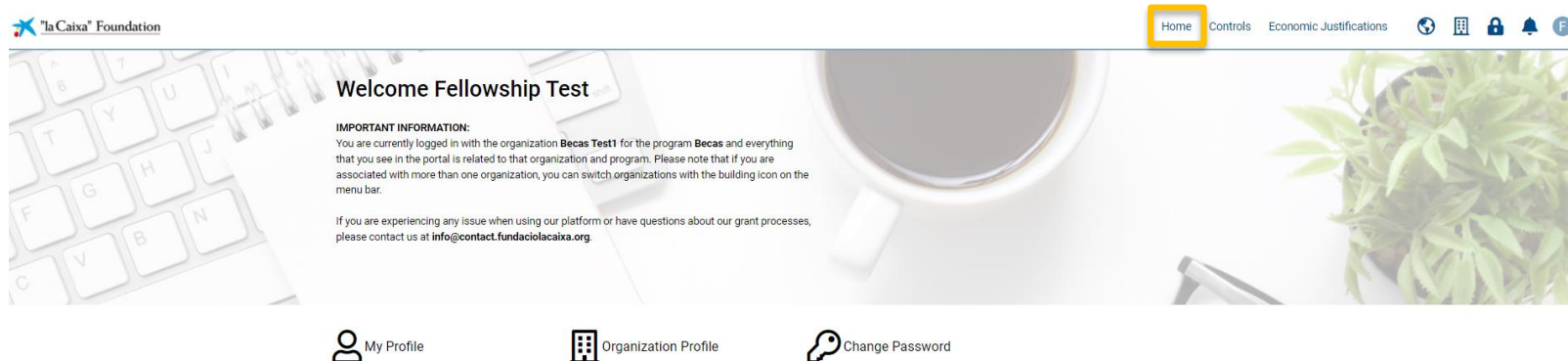
1. **Recorded expenses:** Allows acces to the expenses charged by the institution.
2. **Evidence requested:** Allows acces to expenses that require supporting documentation by the institution.
3. **Sent – Under review:** Allows acces to the expenses charged and sent by the institution to the auditor for it to be reviewed.
4. **Preliminary accepted:** Allows acces to the expenses preaccepted by the auditor and that do not require any correction.
5. **Preliminary Not Accepted:** Allows acces to the expenses not accepted by the auditor during review and therefore require corrections by the institution.
6. **Accepted:** Allows acces to the expenses already accepted by the auditor.
7. **Not Accepted:** Allows acces to the expenses not accepted by the auditor after the correction process.

3.2

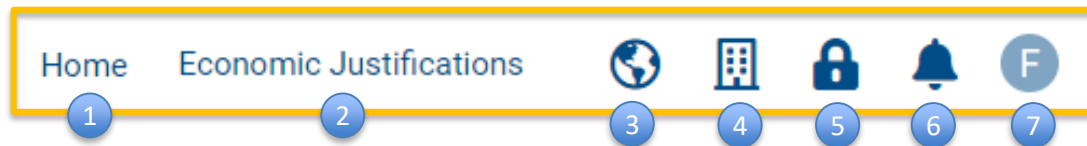


PROJECT LEAD

MAIN PAGE – VIEW OF THE PROJECT LEAD



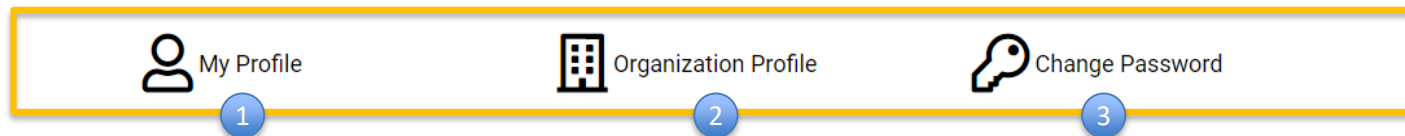
MAIN PAGE – VIEW OF THE PROJECT LEAD



/ **UPPER PANEL** buttons:

1. **Home**. The screen where we are right now.
2. **Economic justifications**. Section where you find all the information related to the economic Audit.
3. Icon for changing **language**
4. **Organization change**. It is a **VERY IMPORTANT** button that allows to change institution for users who have responsibilities in more than one institution.
5. Privacy and Safety information.
6. This icon allows access to several notifications made by the tool.
7. **User**. This icon gives access to the user's information and allows to log out.

MAIN PAGE – VIEW OF THE PROJECT LEAD



/ Buttons on the **CENTRAL PANEL** :

1. Access to the user's profile.
2. Access to the institution's information.
3. Change password for tool access.

 Authorization Request1
Draft Authorization Requests0
Under Review Authorization Requests0
Reviewed Authorization Requests

Economic Justifications

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.

0
Open0
Closed

Economic Justification Periods

Below you will find the audit periods associated to all your assigned Economic Justifications, the stage they are in, and their related expenses.

0
Open0
Pending Evidence0
Under Review0
Revisions Requested0
Pending Closure0
Closed

Expenses

Below you will find the expenses associated to all your assigned Economic Justifications and the stage they are in. Remember that you cannot send Expenses one by one, instead, go to the appropriate Period to send them all in a batch.

0
Recorded Expenses0
Evidence Requested0
Under Review0
Preliminary Accepted

MAIN PAGE – VIEW OF THE PROJECT LEAD



/ The **UPPER PANEL (AUTHORIZATION REQUESTS)** shows information related to expenses authorizations:

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3. **Under Review Authorization Requests:** Allows access to the sent requests that are pending for authorization.
4. **Reviewed Authorization requests:** Allows access to all requests made and already reviewed, either accepted or rejected.

MAIN PAGE – VIEW OF THE PROJECT LEAD

Economic Justifications

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.

0

Open

1**0**

Closed

2

/ The **ECONOMIC JUSTIFICATION PANEL** shows global information related to economic audits:

1. **Open**: Allows access to the economic audits in process. **This is the button we recommend for having a whole vision of the Audit process.**
2. **Closed**: Allows access to the economic audits that are finished and are therefore closed.

MAIN PAGE – VIEW OF THE PROJECT LEAD

Economic Justification Periods

Below you will find the audit periods associated to all your assigned Economic Justifications, the stage they are in, and their related expenses.

0

1

Open

0

2

Pending Evidence

0

3

Under Review

0

4

Revisions Requested

0

5

Pending Closure

0

Closed

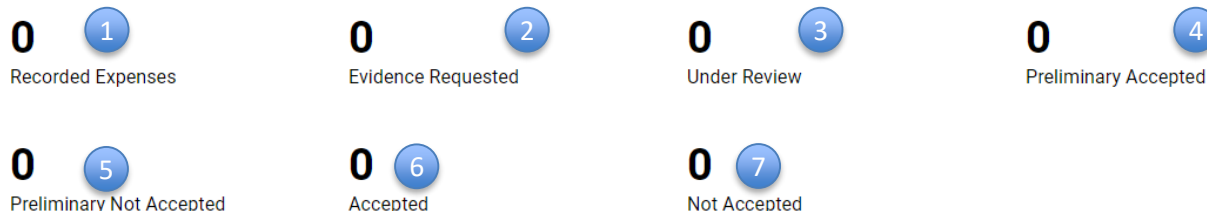
✓ The **ECONOMIC JUSTIFICATION PERIODS PANEL** shows information relative to the different periods (annuities) of the economic audit:

1. **Open**: Allows access to the open Audit periods (annuities) that are in progress.
2. **Pending evidence**: Allows access to the open audit periods (annuities) requiring supporting documentation.
3. **Sent – Under review**: Allows access to the Audit periods (annuities) sent by the institution for its review.
4. **Revisions requested**: Allows access to the Audit periods (annuities) requiring corrections by the institution after the evaluation carried out by the auditor.
5. **Pending closure/Closed**: Allows access to the periods of Audit (annuities) that are concluded and are therefore closed.

MAIN PAGE – VIEW OF THE PROJECT LEAD

Expenses

Below you will find the expenses associated to all your assigned Economic Justifications and the stage they are in. Remember that you cannot send Expenses one by one, instead, go to the appropriate Period to send them all in a batch.



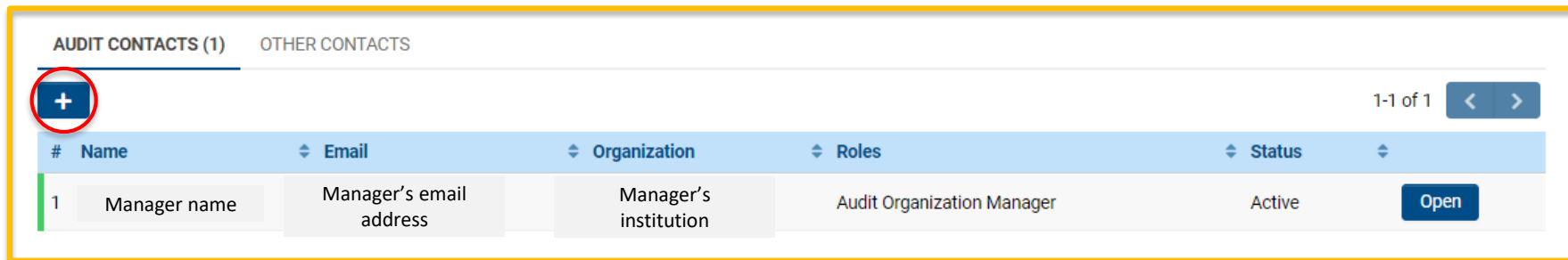
✓ The **EXPENSES PANEL** shows information related to the expenses charged by the institutions:

1. **Recorded expenses:** Allows access to the expenses charged by the institution.
2. **Evidence requested:** Allows access to expenses that require supporting documentation by the institution.
3. **Sent – Under review:** Allows access to the expenses charged and sent by the institution to the auditor for it to be reviewed.
4. **Preliminary accepted:** Allows access to the expenses preaccepted by the auditor and that do not require any correction.
5. **Preliminary Not Accepted:** Allows access to the expenses not accepted by the auditor during review and therefore require corrections by the institution.
6. **Accepted:** Allows access to the expenses already accepted by the auditor.
7. **Not Accepted:** Allows access to the expenses not accepted by the auditor after the correction process.

4

CREATING AUDIT CONTACTS

4. CREATING AUDIT CONTACTS



AUDIT CONTACTS (1) OTHER CONTACTS

1-1 of 1 < >

#	Name	Email	Organization	Roles	Status	
1	Manager name	Manager's email address	Manager's institution	Audit Organization Manager	Active	<button>Open</button>

- By default, the Audit Organization Manager will be on the list of Audit contacts.
 - The Audit Organization Manager is the only user with permits to create a new Audit contact, that is to say, a **Project Lead**.
 - If the Audit Organization Manager is the person in charge for filling the economic justification, **it is NOT necessary to add any other Audit contact** : they will just need to designate themselves as such in the economic justifications pending to be assigned. Therefore, **the Audit organization manager figure should only appear ONCE in the list of Audit Contacts (it should not be duplicated)**.
 - The creation of new Audit Contacts can be made by the Audit Organization Manager **at any moment** during the audit process, even when there is not any economic justification in progress.
- 1 In order to create a new Project Lead, the **Audit Organization Manager** will need to press the button “+” on the lower panel of the main screen (as shown in the image above).

4. CREATING AUDIT CONTACTS

- 2 When clicking the button "+", it will require to **fill in the following fields**:

New Contact - Duplication Check

First Name

Last Name

Email

3

New Staff/Contact

Select Roles

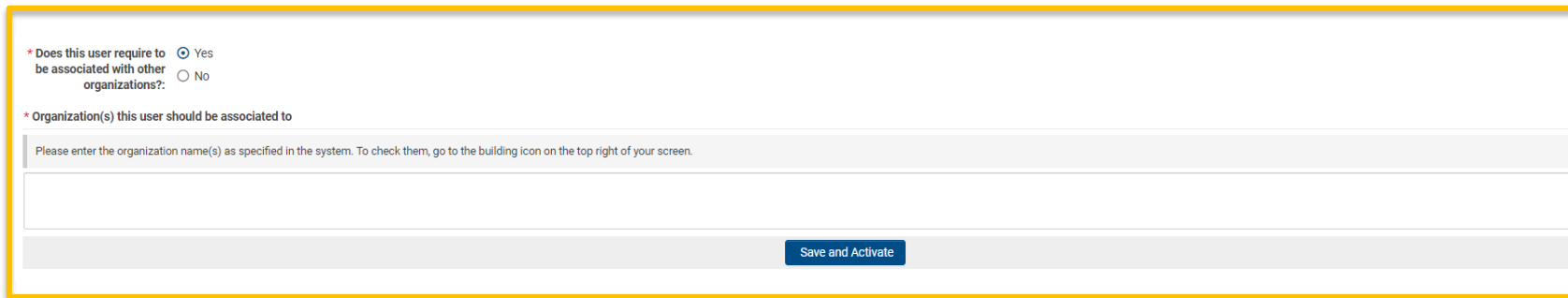
☐ Auditee - Control ☒ Auditee - Economic Justification

4 When clicking the button “Next”, we will be required to choose the **Organization** where we want to create the new Audit Contact and **confirm the remaining fields**:

32

4. CREATING AUDIT CONTACTS

- 5 The field “¿Do you need to associate this user to other organizations?” is of utmost relevance



The screenshot shows a web form for associating a user with other organizations. It features two radio buttons for 'Yes' (selected) and 'No'. Below is a text input field for organization names, with a placeholder text: 'Please enter the organization name(s) as specified in the system. To check them, go to the building icon on the top right of your screen.' A 'Save and Activate' button is at the bottom right.

- ✓ If the Audit Organization Manager needs to have a Project Lead assigned to **more than one institution** (from those assigned to the Audit Organization Manager and which appear when clicking the **building icon** on the upper right of the screen) they will have to click “**yes**”, and the lower box will show the names of the organizations for which they will be the Project Leads.
- ✓ When clicking “**Save and Activate**”, the Project Lead status will become “**Active – Pending association**”, which means they will be **activated for the organization chosen by the Audit Organization Manager** but will be **pending to activate for the other institutions**. This assignment **will be made manually by the administrators of the platform as soon as possible**.
- ✓ Once the assignment by the platform administrators is made, both the Audit Organization Manager and the Project Lead will receive a communication informing that the latter was already granted **access to the different institutions**.

4. CREATING AUDIT CONTACTS

- 5 The field “¿Do you need to associate this user to another organization?” is of utmost relevance



* Does this user require to be associated with other organizations?: ☐ Yes ☒ No

Save and Activate

- On the contrary, if the Audit Organization Manager does NOT want to have a Project Lead assigned **to more than one institution** (will **only be associated to one**), they will need to check “**No**”.
- When clicking “**Save and activate**”, the status of the Project Lead will become “**Active**”.

4. CREATING AUDIT CONTACTS

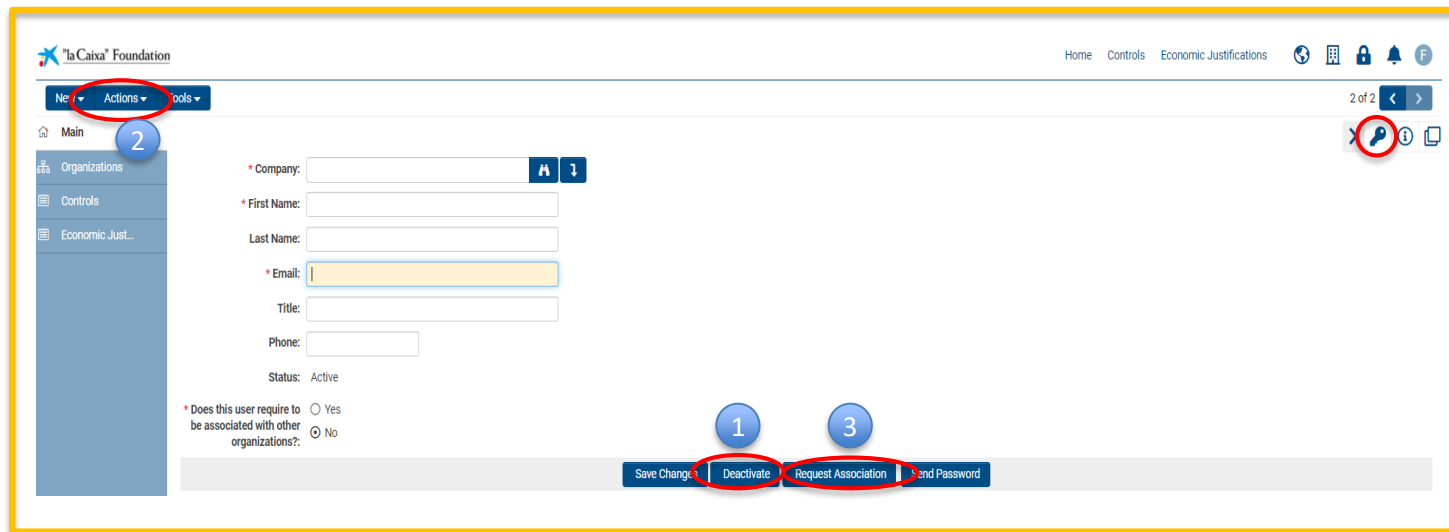
- Once the Project Lead is created, the Audit Organization Manager will be able to manage their access to the platform and their users' roles.
- When registering and activating a new user, it will show up as a **dark green label** on the list "Audit contacts" from the lower panel on the initial page. In case a Project Lead status is "Active – Pending association", the label will **become light green**.

Audit contacts (2)		Other contacts		Professionals	
+				1-2 de 2 < >	
	Nombre	Email	Organización	Rol(es)	Estado
1	Name	Contact e-mail	Institution	Project lead	Active-Pending association
2	Name	Manager e-mail	Institution	Audit organization manager	Active

- Secondly, on the page "Other Audit contacts", we can see the Audit contacts that were first created for a different institution but that have also been associated to this one. So, if a contact, for instance, was first registered for the institution "A", and the Audit Organization Manager indicates that this contact should also be assigned to institution "B", once the association is made, the Project Lead will show up in the list of "Audit contacts" from both institution A and B.

4. CREATING AUDIT CONTACTS

- ✓ In order to manage the access to the platform and each user's role, it will be necessary to access their profile through the "Open" button.
- ✓ Once inside each profile, the Manager at the Organization will be able to:
 1. **Deactivate** the access to the tool for this Project Lead through the button "deactivate" (1) or the button with the key symbol when needed (for example if a user does not belong to the institution anymore or has changed duties).
 2. Modify the **user's role** through the button "Actions" (2).
 3. If needed, request to **associate** the audit contact to other institutions (3).



5



AUDIT PROCESS

5.1

DESIGNATING THE PROJECT LEAD

5.1. DESIGNATING THE PROJECT LEAD

Economic Justifications

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.



- ✓ The first task that the institution will need to perform will be to **designate the Project Lead by the Audit Organization Manager**.
- ✓ For this, the **Audit Organization** will access the Economic Justifications that are pending to assign through the button "**Pending to Assign**". As shown in the above image, instead of "0" it will show "1", indicating that there is a justification which is pending to be assigned.
- ✓ Once in the new page, we will enter the justification through the button **Open**:

User Assignment Required

1-1 of 1										
#	Name/Identification	Program	Fellow name	Type of fellowship	Subtype of fellowship	Number Of Periods	Project Lead	Funds Awarded	Total Registered	Status
1	2021-2546 CBGP-INIA - Centro de Biología y Genómica de Plantas (UPM)			INPhINIT	INPhINIT Incoming	3		38.364,00 €	0,00 €	Pending User Assignment Open

5.1. DESIGNATING THE PROJECT LEAD



1. By clicking the button **Search** (binoculars icon), the list of Audit contacts created by the Manager at the Organization will show up, and we will select the desired **Responsible for Economic Justifications**.
2. Next, we will click on the button **"Designate Responsible"** in order to save the designation.

5.1. DESIGNATING THE PROJECT LEAD

Economic Justifications

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.

0

User Assignment Required

1

User Assigned

0

Open

0

Closed

- Once the Responsible for Economic Justifications is designated, the task will be considered as finalized, and the **status of the Economic Justification will become "Assigned"**. From that moment, the institution will not need to perform any other task until the moment to initiate the first audit period.
- Of note, the platform will only **allow to designate a Project Lead**, that is, each specific economic justification can only be accessed by one Responsible person.
- However, the **Manager at the Organization will always have access to all justifications**, as they can access all the information from their institution.

5.1. DESIGNATING THE PROJECT LEAD

¿How can we change or designate a Project Lead if the designation term has expired and the Economic Justification is already "in progress"?

- / In order to designate or change the Responsible for Economic Justifications once these are already "In Progress", the **Manager at the Organization** will need to follow these steps:
 1. Access the **Economic Justification** (not the periode).
 2. Click the binocular icon next to the field "**Responsible**", on the upper part of the justification.
 3. In the open window, select the **Responsible for the Economic Justifications** that we want to designate. When the window closes, click the button "**Update**" in the justification.
 4. By doing this we will have assigned a Project Lead, **but not to the periodes**. To do this, we will need to click the blue button named "**Change Responsible in Associated periodes**", and confirm the emerging message.
 5. Finally, we will click again the button "**Update**" in the justification.

5.2

AUTHORIZATION OF EXPENSES

5.2. AUTHORIZATION OF EXPENSES

/ In order to charge the following expenses in the economic justification it is necessary to request an authorization:

- / **Acquisition of scientific equipment** (for INPhINIT and Junior Leader)
- / **Acquisition of IT equipment** (for INPhINIT and Junior Leader)
- / **Costs of personnel** (only for Junior Leader)

/ In order to request a new authorization, we will click the button:

+ Authorization Request	0 Draft Authorization Requests	4 Under Review Authorization Requests	0 Reviewed Authorization Requests
--------------------------------	--	---	---

/ In the emerging window we will be able to **1) select the type of fellowship, and 2) click the button "Continue"**:

Authorization Request

*** Authorization Request Type:** Junior Leader

Organization: Becas Test1

Modified Date:

Created Date:

Status:

Owner: Fellowship Test

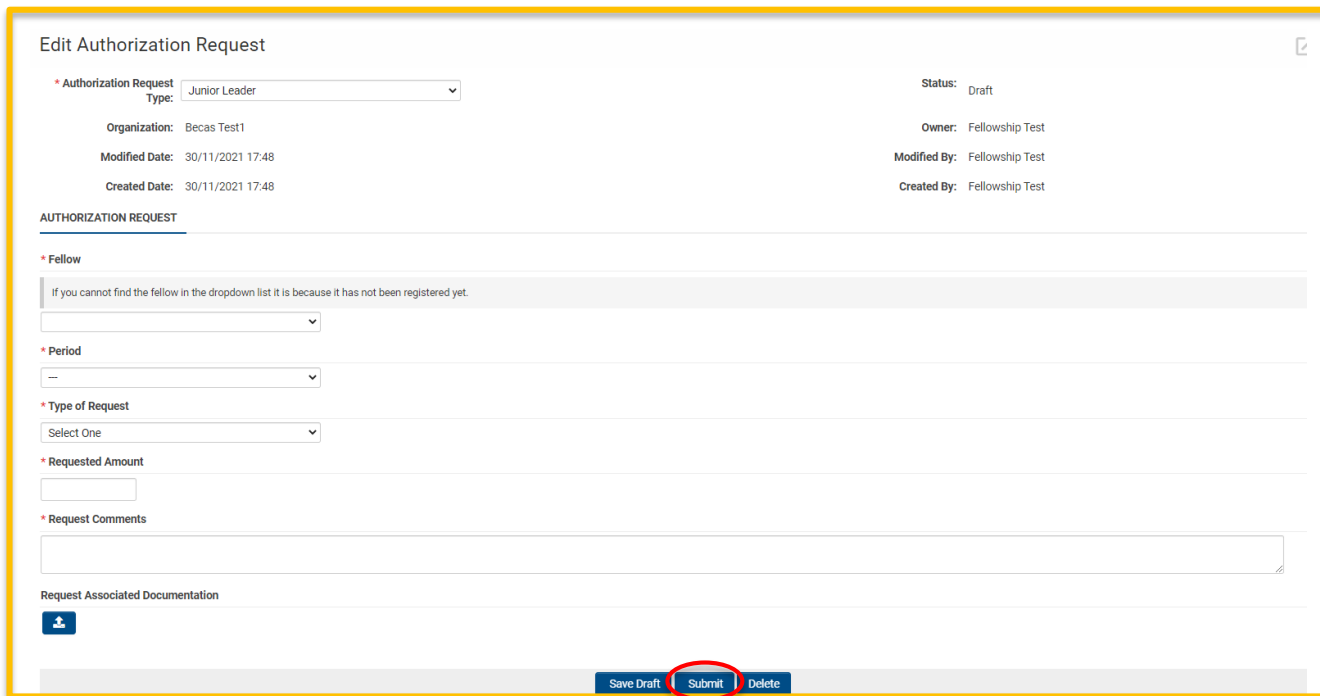
Modified By:

Created By:

Continue

5.2. AUTHORIZATION OF EXPENSES

- / The **authorization form** will open.
- / We will complete all fields and click "**Send**".



Edit Authorization Request

* Authorization Request Type: Junior Leader

Organization: Becas Test1

Modified Date: 30/11/2021 17:48

Created Date: 30/11/2021 17:48

Status: Draft

Owner: Fellowship Test

Modified By: Fellowship Test

Created By: Fellowship Test

AUTHORIZATION REQUEST

* Fellow

If you cannot find the fellow in the dropdown list it is because it has not been registered yet.

* Period

* Type of Request

Select One

* Requested Amount

* Request Comments

Request Associated Documentation

Save Draft Submit Delete

5.2. AUTHORIZATION OF EXPENSES

RELEVANT ASPECTS:

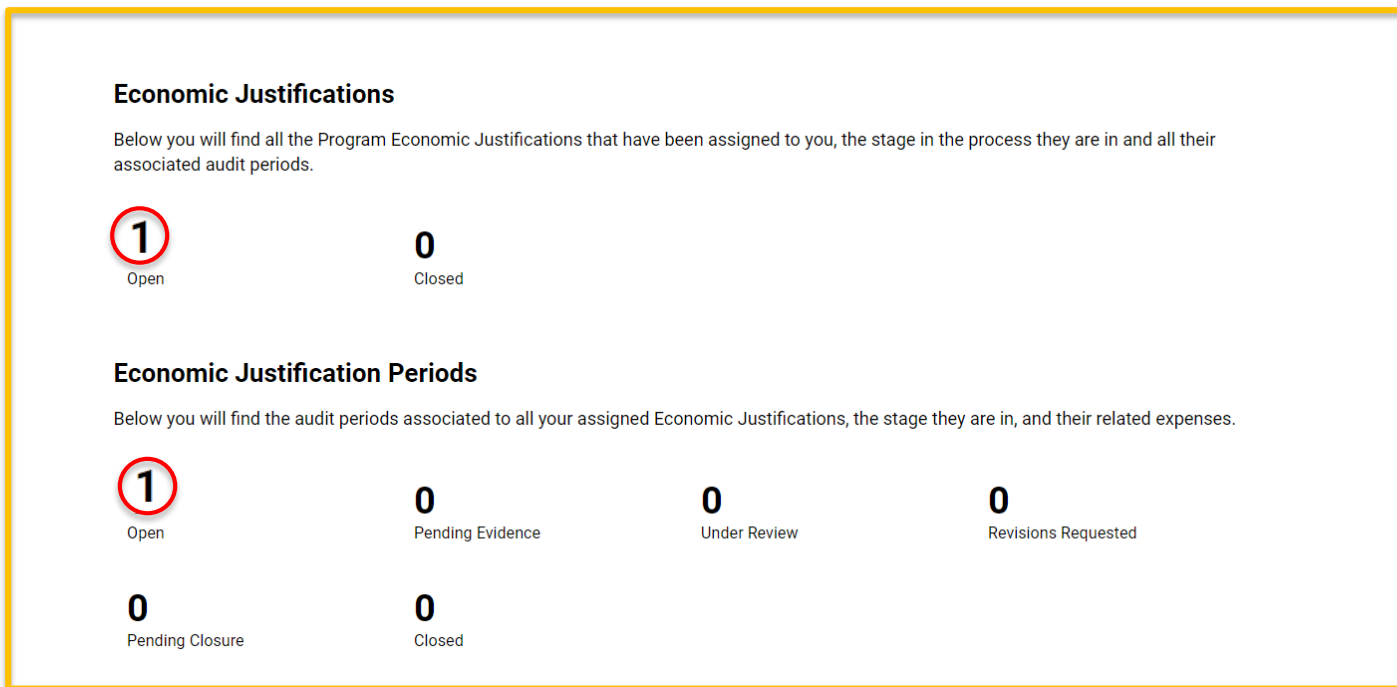
- ✓ Once the authorization is sent, it will be in the hands of the fellowships managers at the FLC, who will perform the **analysis and evaluations** required and will **approve or reject it** as necessary.
- ✓ It will not be possible to charge any costs requiring authorization without one **approved for that annuity**.
- ✓ For the costs of **scientific and IT equipment** it will be necessary to make an **individual request for each of them**.
- ✓ In the case of the Junior Leader fellowships, if we need to justify an expense of **support personnel, it will be possible to make a single request for all the annuity (including the costs of all months)**. On the other side, it will be **necessary to perform a request for each annuity** in which the support person has participated in the project.
- ✓ In the field "**Requested amount**" within the template, it will be necessary to indicate **the approximate amount** to be justified in the annuity.
- ✓ We recommend to attach all available **supporting documentation** through the button  so that the reference manager at FLC will have as much information as possible to be able to approve the authorization.

5.3

FILLING IN THE ECONOMIC JUSTIFICATION

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

- Once the economic audit is initiated and the first justification period opens, the **Project lead** will be able to start charging expenses. In the screen **Economic Justifications** a "1" will show up in all "**Economic Justifications**" and "**Periodes of Economic Justifications**".



5.3. FILLING IN THE ECONOMIC JUSTIFICATION

- Through the section **Economic justification** we can access the **global information** of the open economic justifications (**one for each fellow requiring to be justified**):

Economic Justifications

Below you will find all the Program Economic Justifications that have been assigned to you, the stage in the process they are in and all their associated audit periods.

1
Open

0
Closed

Open

× Q
1-4 of 4
< >

#	Name/Identification	Program	Fellow name	Type of fellowship	Subtype of fellowship	Number Of Periods	Project Lead	Funds Awarded	Total Registered	Status	
1	2021-2290 ITQ - UPV - CSIC - Instituto de Tecnología Química			Junior Leader	Junior Leader Incoming	3		307.700,00 €	263.172,42 €	Open	Open

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

- When accessing the economic justification we can consult the sections “**General Information**”, “**Dashboard**” and “**Period(s)**”.



GENERAL INFORMATION	DASHBOARD	PERIOD(S)
Program		
Becas		
Audit Name		
Audit Becas - Junior Leader		
Call Year		
2018		
Fellow name		
Fellow id		
Type of fellowship		
Junior Leader		
Subtype of fellowship		
Junior Leader Incoming		
Fellowship start date		
01/09/2018		
Fellowship end date		
30/08/2021		
* Salary Funds Awarded		
173.000,00 €		

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

GENERAL INFORMATION

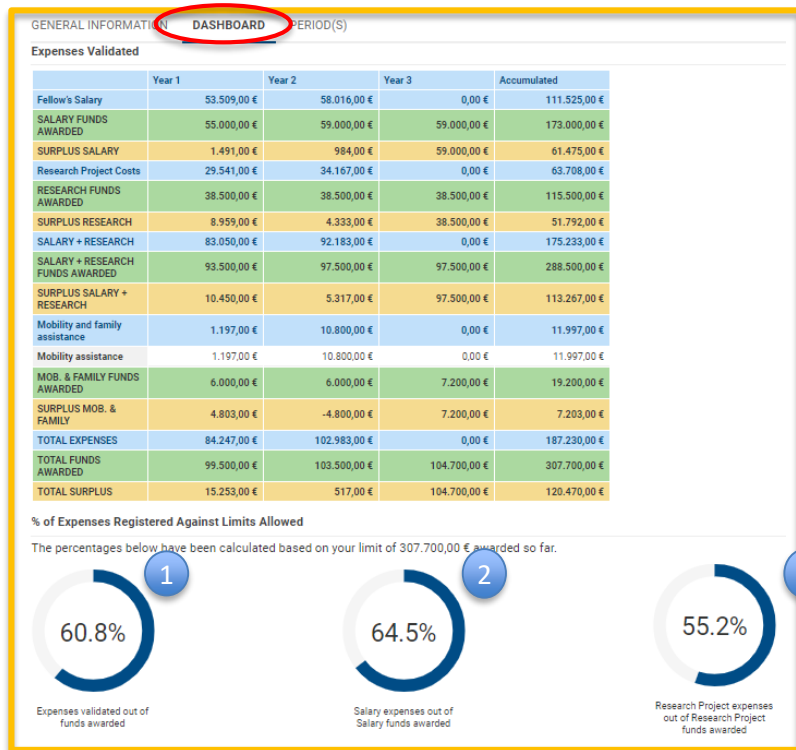


GENERAL INFORMATION	DASHBOARD	PERIOD(S)
Program		
Becas		
Audit Name		
Audit Becas - Junior Leader		
Call Year		
2018		
Fellow name		
Fellow id		
Type of fellowship		
Junior Leader		
Subtype of fellowship		
Junior Leader Incoming		
Fellowship start date		
01/09/2018		

- / We can check all information related to the Audit.
- / We can **download the economic justification in Excel format** when necessary through the corresponding button.

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

DASHBOARD



- ✓ We can check in real time the summary of the economic justification made.
- ✓ The “**Registered expenses**” from the table and the graphs will be updated as the institution reports expenses.
- ✓ The “**Not Validated expenses**” and the “**Validated expenses**” will keep being updated as the auditor validates them within the periode for revision.
- ✓ It is important to note that this information takes into consideration the reported expenses in the different annuities, and therefore these are **accumulated expenses**.

¿what is represented in each graph?:

1. The **% of validated expenses on the total of received funds**. That is to say, which portion of the received funds have been justified and finally accepted by FLC. It should be as close as possible to **100%**.
2. The **% of labor costs validated on the total of funds received for this type of expense**. So, what portion of the received funds for labor costs have been justified and finally accepted by the FLC. It should be as close as possible to **100%**.
3. The **% of Research costs validated over the total of funds received for this type of expenses**. That is to say, what portion of the received funds for Research have been justified and finally accpeted by FLC. It should be as close as possible to **100%**.

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S)

GENERAL INFORMATION DASHBOARD PERIOD(S)							
Periods							
1-3 of 3 < >							
#	Period number	Reporting Date From	Reporting Date To	Project Lead	Status	Last Modified	
1	1	01/09/2018	01/09/2019		Imported	07/12/2021 22:30	Open
2	2	01/09/2019	01/09/2020		Imported	07/12/2021 22:30	Open
3	3	01/09/2020	01/09/2021		Open	22/11/2021 16:53	Open

- Through this tab we will be able to Access **individually** the different Audit periods (**fellowship annuities**), in the same way we would do through the section "Audit periods" in the portal "Economic justifications":

Economic Justification Periods

Below you will find the audit periods associated to all your assigned Economic Justifications, the stage they are in, and their related expenses.

6
Open

0
Pending Evidence

0
Under Review

0
Revisions Requested

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S)

✓ When we enter each justification period we can Access the following tabs: “**Information about the period**”, “**Required Information**” and “**Total**”.



PERIOD INFORMATION	INFORMATION REQUIRED	TOTALS
Program		
Becas		
Audit Name		
Audit Becas - INPhINIT 2021		
Period number		
2		
Fellow Name		
Type of Fellowship		
INPhINIT		
Start Date		
01/01/2023		
End Date		
01/06/2022		
Reporting Date From		
01/04/2021		
Reporting Date To		
01/04/2022		

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). INFORMATION ABOUT THE PERIOD

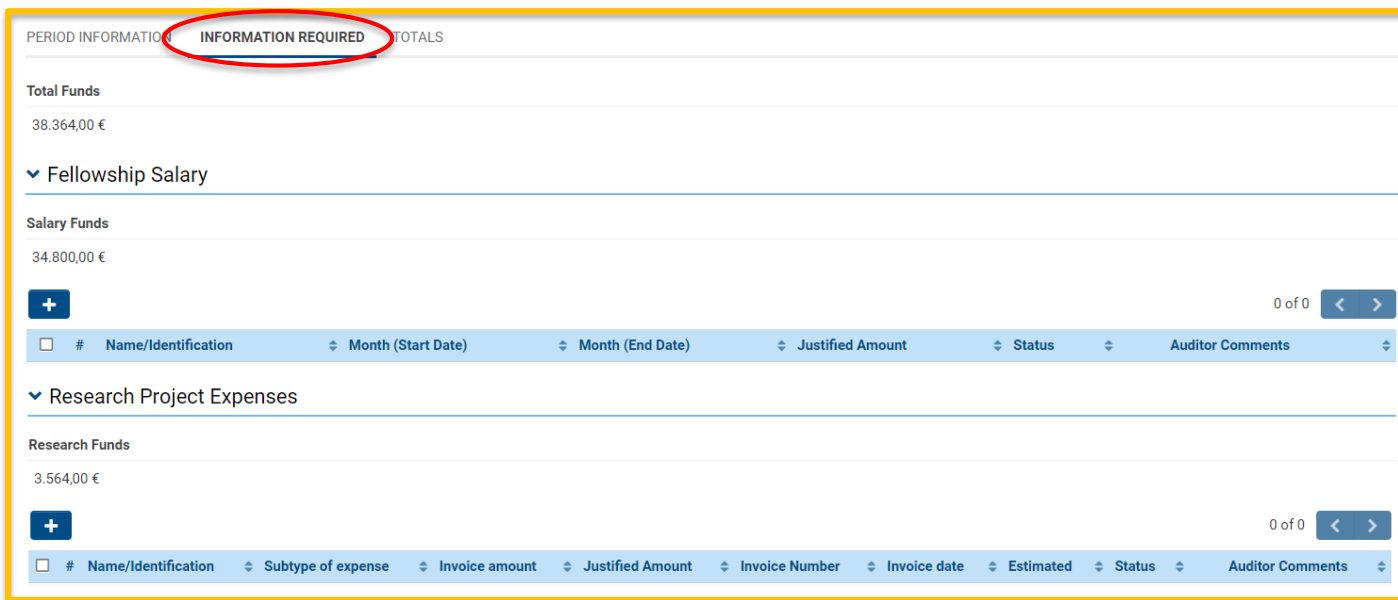
✓ In this tab we can consult the basic information related to the period of economic justification:

PERIOD INFORMATION	INFORMATION REQUIRED	TOTALS
Program		
Becas		
Audit Name		
Audit Becas - INPhINIT 2021		
Period number		
2		
Fellow Name		
Type of Fellowship		
INPhINIT		
Start Date		
01/01/2023		
End Date		
01/06/2022		
Reporting Date From		
01/04/2021		
Reporting Date To		
01/04/2022		

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). REQUIRED INFORMATION

- Through this tab we can perform **the economic justification** itself. This is the **most important section in the justification**.
- As seen in the image, the charges from the **different categories of expenses** appear as different blocks (in the case of the Junior Leader we will also see the categories "Mobility" and "Family assistance"):



PERIOD INFORMATION **INFORMATION REQUIRED** TOTALS

Total Funds

38.364,00 €

▼ Fellowship Salary

Salary Funds

34.800,00 €

+

0 of 0 < >

#	Name/Identification	Month (Start Date)	Month (End Date)	Justified Amount	Status	Auditor Comments
---	---------------------	--------------------	------------------	------------------	--------	------------------

▼ Research Project Expenses

Research Funds

3.564,00 €

+

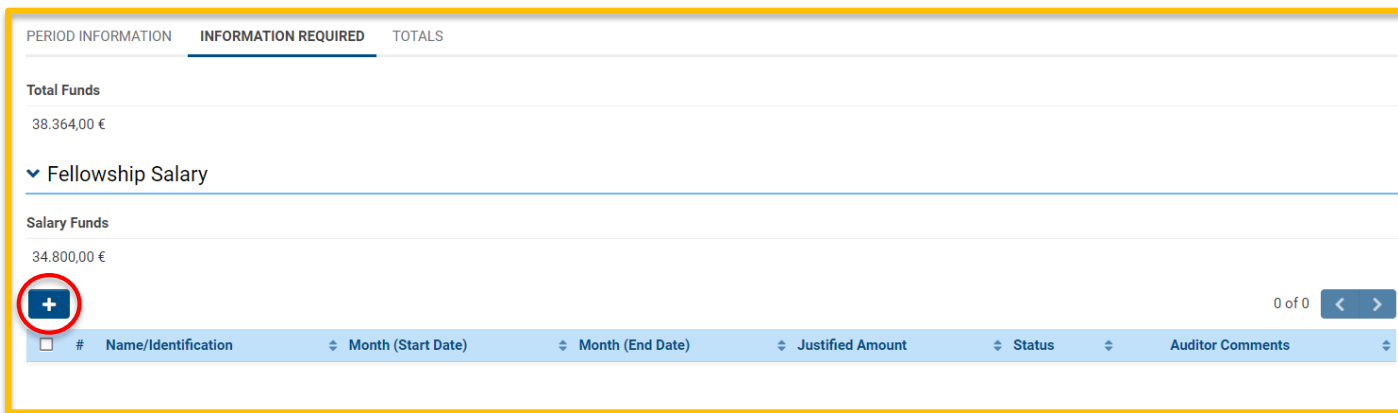
0 of 0 < >

#	Name/Identification	Subtype of expense	Invoice amount	Justified Amount	Invoice Number	Invoice date	Estimated	Status	Auditor Comments
---	---------------------	--------------------	----------------	------------------	----------------	--------------	-----------	--------	------------------

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). REQUIRED INFORMATION

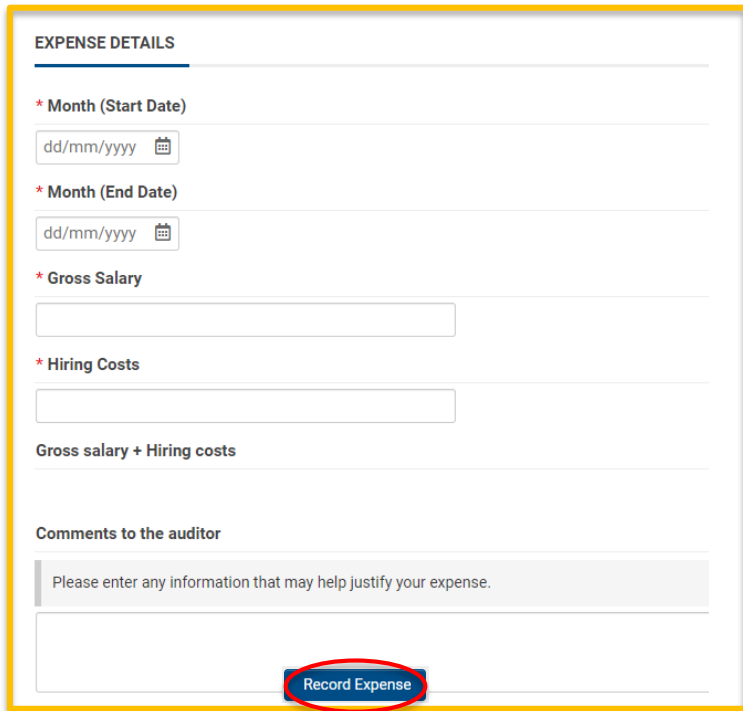
- ✓ In order to charge expenses in the categories "Salary expenses" and "Expenses on Research Project", we will press the button "+", marked in red in the image below. By doing this, we will Access the [expenses justification form](#) (next page).
- ✓ In order to registrar other specific expenses shown outside of the form (such as provisions or Mobility and Family assistance and overheads in the case of the Junior Leader), we will just indicate the amount in the box and press the button "[Save and Update](#)".



PERIOD INFORMATION	INFORMATION REQUIRED	TOTALS				
Total Funds 38,364,00 €						
▼ Fellowship Salary						
Salary Funds 34,800,00 €						
+ 0 of 0 < >						
#	Name/Identification	Month (Start Date)	Month (End Date)	Justified Amount	Status	Auditor Comments

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). REQUIRED INFORMATION



EXPENSE DETAILS

* Month (Start Date)
dd/mm/yyyy

* Month (End Date)
dd/mm/yyyy

* Gross Salary
[Text Input]

* Hiring Costs
[Text Input]

Gross salary + Hiring costs

Comments to the auditor
Please enter any information that may help justify your expense.
[Text Area]

Record Expense

- Once in the form, we will need to **complete the different fields, depending on the type of expense selected**.
- When all the fields are completed, we will select the button **"Register expense"**.
- When doing this, we will see a confirmation message on the upper end of the form, confirming the charge has been registered.
- Finally, following the message instructions, we will **click on the button "X"** found on the upper right to **close the form and return to the list of expenses**.

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). REQUIRED INFORMATION

EXPENSE DETAILS

* Subtype Of Expense

Acquisition of scientific equipment

* Expense concept

* Invoice date

dd/mm/yyyy

* Invoice Number

* Invoice amount

* Authorization

Use the following dropdown to select your approved authorization if required.

Comments to the auditor

Please enter any information that may help justify your expense.

In the case of the Research costs that require authorization, we will select from the dropdown menu "**Associated authorization**" the approval associated for that charge.

As indicated in the explanatory field in grey just below the dropdown "Associated authorization", if the authorization we are looking for does not appear it is because the request for that **fellow and period** has not been approved yet.

For the **personnel costs of the Junior Leader fellowships**, we will indicate in the field "**Amount of the bill**" the gross income plus the social security costs for that month.

Therefore, for that type of costs, we will need to register **a line of charge for each monthly payment** that we need to charge in this economic justification, and **NOT one single charge containing all the anual charges together**.



5.3. FILLING IN THE ECONOMIC JUSTIFICATION

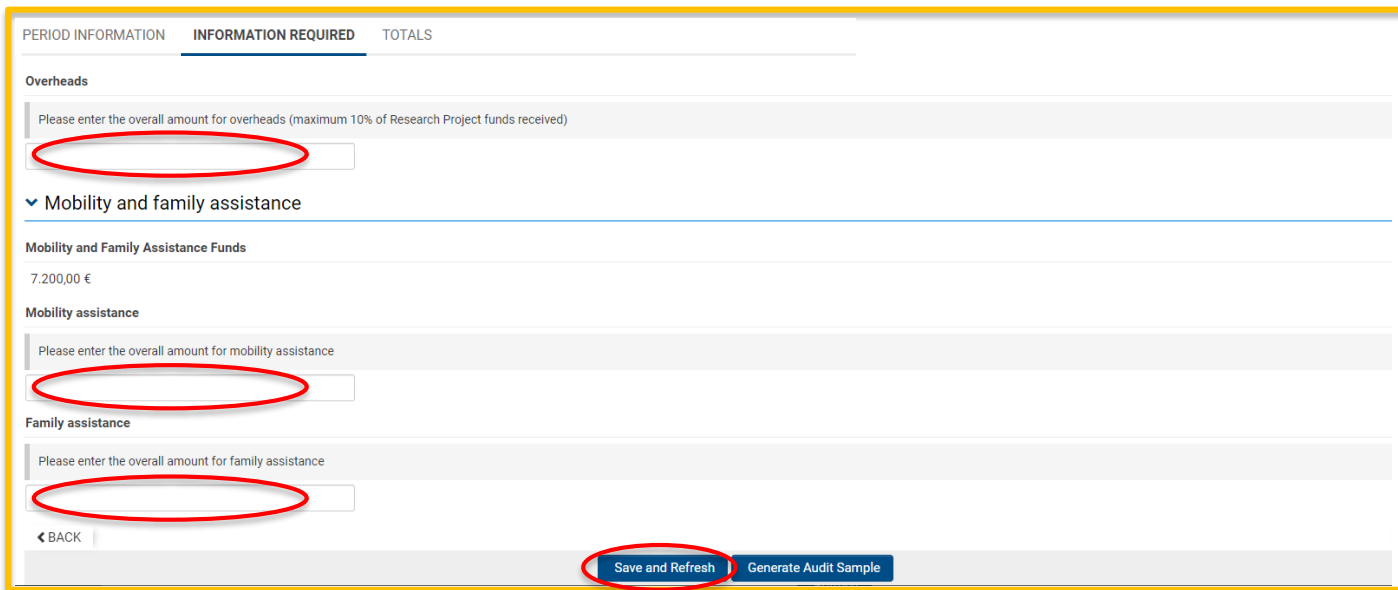
MODIFY A REGISTERED CHARGE

- ✓ To modify the amount of a charge already registered, we will:
 - Access the charge through the button **Open:**
 - **Introduce the new information** in the corresponding fields.
 - Press the button "**Change and validate**".

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). REQUIRED INFORMATION

- ✓ In order to register charges in the several categories of expenses, for the amounts shown out of the form in the tab "Required information", we will just need to indicate each amount in the corresponding box and click the button "save and update". **REVIEW**



PERIOD INFORMATION **INFORMATION REQUIRED** TOTALS

Overheads

Please enter the overall amount for overheads (maximum 10% of Research Project funds received)

▼ **Mobility and family assistance**

Mobility and Family Assistance Funds

7.200,00 €

Mobility assistance

Please enter the overall amount for mobility assistance

Family assistance

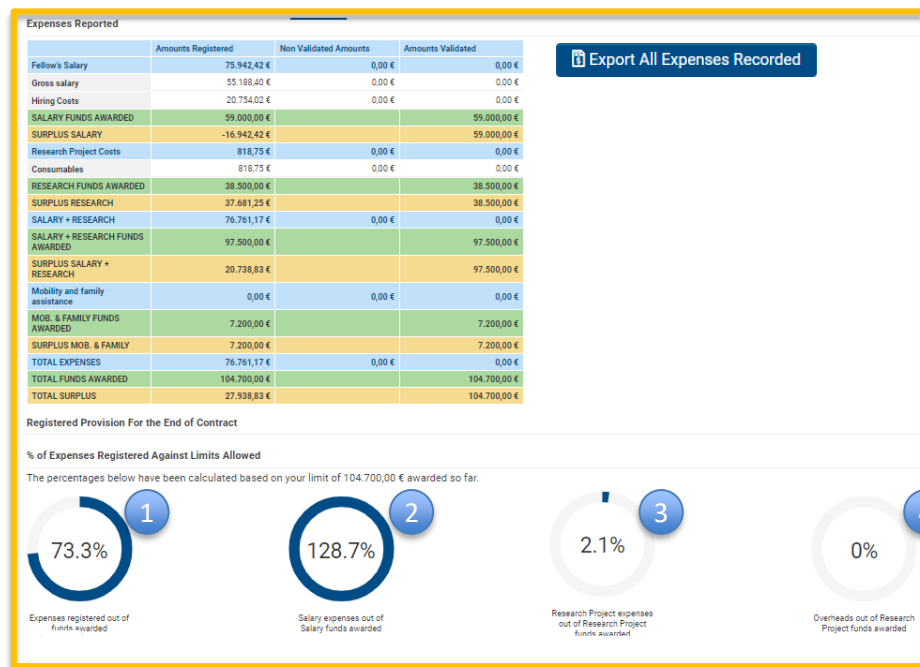
Please enter the overall amount for family assistance

◀ BACK

Save and Refresh Generate Audit Sample

5.3. FILLING IN THE ECONOMIC JUSTIFICATION

PERIOD(S). TOTALS



- ✓ In the tab “**TOTALS**” we can consult real-time a summary of the economic justification **for the period**.
- ✓ We can also **export in Excel format the registered expenses**.
- ✓ The “**Registered expenses**” from the table and the **graphs** will keep being updated as the institution reports expenses, by clicking the button “**Save and Update**”.
- ✓ The “**Validated charges**” and “**Not Validated charges**” from the table will keep being updated as the auditor validates the charges within that review period.

¿What is represented in each graph?:

1. The **% of expenses charged over the total funds received**, or what portion of the funds received have already been justified. It should be as close as possible to **100%**.
2. The **% of salary expenses over the total of funds received for that type of expense**, or what portion of the funds received for salaries have been justified. This should be as close as possible to **100%**.
3. The **% of Research costs charged over the total of funds received for that type of expense**, or what portion of the funds received for Research costs have been justified. It should be as close as possible to **100%**.
4. It is the % of generales costs (**overheads**) charged over the Research funds received (only for Junior Leader).

5.3

GENERATE AN AUDIT SAMPLE

5.3. GENERATE AUDIT SAMPLE

- Once we have registered **all the charges related to the period of economic justification**, we will generate a sample of charges for which we will need to attach the **supporting documentation**. For this, it is enough to click the button "**Generate Audit sample**" in the lower part of the screen.

PERIOD INFORMATION
INFORMATION REQUIRED
TOTALS

▼ Fellowship Salary

Salary Funds

59.000,00 €

+

1-16 of 16

#	Name/Identification	Gross Salary	Hiring Costs	Gross salary + Hiring costs	Justified Amount	Month (Start Date)	Month (End Date)	Status	
1	2021-2290 - 3 - E121369	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/09/2020	30/09/2020	Saved	Open
2	2021-2290 - 3 - E121370	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/10/2020	31/10/2020	Saved	Open
3	2021-2290 - 3 - E121371	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/11/2020	30/11/2020	Saved	Open
4	2021-2290 - 3 - E121372	6.581,64 €	1.319,52 €	7.901,16 €	7.901,16 €	01/12/2020	31/12/2020	Saved	Open
5	2021-2290 - 3 - E121373	3.568,19 €	1.326,85 €	4.895,04 €	4.895,04 €	01/01/2021	31/01/2021	Saved	Open
6	2021-2290 - 3 - E121374	3.568,19 €	1.326,85 €	4.895,04 €	4.895,04 €	01/02/2021	28/02/2021	Saved	Open
7	2021-2290 - 3 - E121375	4.156,46 €	1.326,85 €	5.483,31 €	5.483,31 €	01/03/2021	31/03/2021	Saved	Open
8	2021-2290 - 3 - E121376	0,00 €	1.326,85 €	1.326,85 €	1.326,85 €	01/04/2021	30/04/2021	Saved	Open

◀ BACK
NEXT ▶

Save and Refresh
Generate Audit Sample

5.4

ATTACH SUPPORTING DOCUMENTATION

5.4. ATTACH SUPPORTING DOCUMENTATION

- When doing this and accepting the confirmation message, we will see **the Status of Reported Charges has changed**, and that a **new tab called "Documentation" has been created**.
- For the charges with the **Status "under Revision" it will NOT be necessary to attach further supporting documentation**, but **IT WILL be necessary for charges with the status "Pending Evidence"**.
- For this, we will go to the tab **"Documentation"** and attach the corresponding paychecks, bills, conference registrations, etc., through the button **Charge**. It will always be necessary to **attach the corresponding payment justification of the paycheck or bill**.
- Once all the required documentation is attached, we will only need to click the button **"Evidence Submitted"**, in the lower part of the screen.
- From that moment **the justification will be blocked** and will be transferred to the hands of **an auditor** who will initiate the review process.

PERIOD INFORMATIONINFORMATION REQUIREDDOCUMENTATIONTOTALS

#	Name/Identification	Gross Salary	Hiring Costs	Gross salary + Hiring costs	Justified Amount	Month (Start Date)	Month (End Date)	Status	
1	2021-2290 - 3 - E121369	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/09/2020	30/09/2020	Pending evidence	Open
2	2021-2290 - 3 - E121370	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/10/2020	31/10/2020	Under review	Open
3	2021-2290 - 3 - E121371	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/11/2020	30/11/2020	Pending evidence	Open
4	2021-2290 - 3 - E121372	6.581,64 €	1.319,52 €	7.901,16 €	7.901,16 €	01/12/2020	31/12/2020	Under review	Open

Save and Refresh

Evidence Provided

5.5

CORRECTION OF INCIDENCES

5.5. CORRECTION OF INCIDENCES

- / When the auditor has finalized the review you will be able to consult the results through the portal "**Economic Justifications**".
- / **If all the charges have been accepted, it will not be necessary to perform any additional action, otherwise, we will need to respond with any further information required by the auditor.**
- / In the latter case, in order to have a global picture of the incidences detected by the auditor, we will go back to the Audit period in progress. For this we will click the button "**Action required**" in the section "**Economic justification period**":

Economic Justification Periods

Below you will find the audit periods associated to all your assigned Economic Justifications, the stage they are in, and their related expenses.

0

Open

0

Pending Evidence

0

Under Review

4

Revisions Requested

0

Pending Closure

0

Closed

5.5. CORRECTION OF INCIDENCES

- ✓ In the tab "**Information required**" we can see the results of the review performed by the auditor for each of the justified charges:

PERIOD INFORMATION

INFORMATION REQUIRED

DOCUMENTATION

TOTALS

#	Name/Identification	Gross Salary	Hiring Costs	Gross salary + Hiring costs	Justified Amount	Month (Start Date)	Month (End Date)	Status	
1	2021-2290 - 3 - E121369	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/09/2020	30/09/2020	Accepted	Open
2	2021-2290 - 3 - E121370	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/10/2020	31/10/2020	Not Accepted	Open
3	2021-2290 - 3 - E121371	3.540,82 €	1.319,52 €	4.860,34 €	4.860,34 €	01/11/2020	30/11/2020	Accepted	Open
4	2021-2290 - 3 - E121372	6.581,64 €	1.319,52 €	7.901,16 €	7.901,16 €	01/12/2020	31/12/2020	Pending evidence	Open

Save and Refresh

Submit Revisions

- ✓ The charges with the status "**Accepted**" have been validated by the auditor and do not require further action.
- ✓ The charges with the status "**Not accepted**" have not been validated by the auditor. To know the reasons for this, we need to "**open**" the charge and go to the tab "**Revision by the auditor**". From that moment we can add the needed information in the field "**Comments to the auditor**" in the tab "Charge details" (remember to save the comment with the button "**Change and validate**") and attach required documentation in the tab "**Documentation**".
- ✓ The charges "**Pending Evidence**" are charges that were not automatically selected in the sample from the beginning but for which the auditor considers necessary to review the supporting documentation. You will need to submit this information through the tab "**Documentation**" in the Audit period.
- ✓ Once submitted all the information and documentation required by the auditor we will click the button "**Send Revision**".

5.6

CLOSING THE AUDIT PERIOD

5.6. CLOSING THE AUDIT PERIOD

- / When we do "Send Revisions", the economic justification will return to the auditor, who will **accept or not the corrections depending on the information received** by the institution.
- / When the auditor finalizes the review, they will send the justification to the managers at the **Fellowships departament** from the FLC for its **final validation**.
- / In case there were any aspects requiring additional information or documentation by the center, they will inform the auditor who will return the economic justification (it will show again as "**Action required**").
- / Once the justification is validated by both the auditor and the managers at the Fellowships Department at FLC, the **audit period will be closed and it will not be possible to modify it anymore**.
- / The institution will, at this point, be able to **check the final results** in the platform.
- / They will be able to do this in the same Audit period, in which they will see the results for the period, or in the global economic justification, where they will see the accumulated results.

7

CONTACT INFORMATION

7. INFORMATION AND CONTACT

ACCESS TO THE PLATFORM:

/ <https://audits.fundacionlacaixa.org>

ACCESS TO THE TRAINING MATERIALS:

/ <https://files.fundacionlacaixa.org/auditoria/index.html>

CONTACT E-MAIL

/ auditoriainterna@fundacionlacaixa.org



Fundación "la Caixa"