

# Roche Innovation Incubator Regulation

## I General provisions

1. Roche Innovation Incubator is a private initiative of Roche Latvija Ltd., organizing a range of activities aimed at promoting and supporting the development and research of new and innovative ideas in certain areas of health care and the design of products or services.
2. The areas of healthcare where the implementation of ideas shall be supported shall be identified in the light of the needs and realities of the society and medical sector. Roche Latvija Ltd. shall name the selected area in the call for the submission of ideas, which shall be published in accordance with the following procedure.
3. This Regulation lays down the procedure for the competition of ideas submitted to Roche's Innovation Incubator (hereinafter - Competition).
4. Terms used in this Regulation:
  - 4.1. **aid** — the aid granted to an applicant selected in the Competition for the implementation of his or her idea. The nature and extent of the aid depends on the stage of the idea and the requirements set for its implementation and may include administrative and practical support, expert counselling, mentoring support, involvement and support of foreign partners, as well as providing funding where the idea is viable and feasible.
  - 4.2. **the applicant** shall:
    - 4.2.1. be a natural person of age who has an innovative idea, corresponding to the field of health care identified in the call for the submission of ideas;
    - 4.2.2. a merchant who complies with the requirements specified in the Regulation and who has an innovative idea, corresponding to the field of health care specified in the call for the submission of ideas;
  - 4.3. **beneficiary of aid** - an applicant who has submitted an idea to the Competition and has been granted the support of the Commission in accordance with the provisions of the Regulation.
  - 4.4. **aid provider** – Roche Latvija Ltd., registration number 40003731032.
  - 4.5. **commission** – the commission established for the organization of the Competition by Roche Latvija Ltd., which accepts and evaluates the applications for the ideas and decides on granting the aid.
  - 4.6. **cooperation agreement** – a contract between the aid provider and the beneficiary on cooperation in the implementation of the idea, including the provision of support for the implementation of the idea.
  - 4.7. **application** - a set of documents to be submitted by an applicant to present his or her ideas to participate in the Competition for the aid.
    - 4.7.1. **project** - the set of resources and activities carried out by the beneficiary to implement the idea from the moment of signing the cooperation agreement until completion of the obligations set out in the cooperation agreement.

5. If necessary, at its discretion, the evaluation commission shall have the right to invite other independent experts at any stage of the evaluation of the applications.

## **II Requirements for applicants**

6. In order to participate in the Competition, the applicant must meet the following conditions:
  - 6.1. a natural person must have reached the age of 18;
  - 6.2. a natural person must not be a public official. If a person becomes a public official during a Competition or during the period of the validity of the cooperation agreement, the person shall notify the aid provider in writing not later than within 5 (five) working days;
  - 6.3. a taxpayer must not have (a) an insolvency declared/initiated by a court judgment or (b) a judicial protection process executed by a court judgment or (c) an out-of-court judicial protection process executed by a court judgment and its economic activity must not be terminated. Compliance with this requirement shall be verified in the public databases of the Insolvency Control Service and the Enterprise Register;
  - 6.4. a taxpayer does not have a tax or duty debt exceeding *EUR* 150 in accordance with the information available in the debtor database administered by the State Revenue Service. Compliance with this requirement shall be checked in the public tax debtor database of the State Revenue Service;
  - 6.5. the applicant must not be included in the list of international or Republic of Latvia sanctions. Compliance with this requirement shall be verified on the European sanctions map available in <https://www.sanctionsmap.eu/#/main>.
7. The applicant for the aid may not be in employment or other contractual relationships with the aid provider. If the applicant and any employee of the aid provider are bound to a third degree, the applicant shall notify the evaluation commission thereof at the time the application is submitted.
8. If the applicant is a legal person and a member of the applicant's Management Board, Council, the applicant's member or a true beneficiary of the applicant is a public official, or the official of the State holds a different position or benefits from the activities of the applicant for aid, the applicant shall notify the evaluation commission thereof at the time of the submission of the application.
9. If the applicant does not comply with the requirements laid down in paragraphs 6, 7, 8 and 9 of this Regulation, its application for Competition shall not be considered.

## **III Call for Competition**

10. The aid provider shall issue a call not less than 20 (days) before the end of the period for the submission of applications, by publishing the call in mass media, as well as by placing information on its home page.
11. The call shall contain the following information:

- 11.1. the name, description and the organizer of the Competition;
- 11.2. the place and way of submitting the applications;
- 11.3. the deadline for submitting the applications to the Competition;
- 11.4. contact details in case of questions or uncertainties.

12. Applicants may submit their applications for the Competition only within the deadline specified in the call. No applications under the call shall be accepted after the deadline specified in the call.

#### **IV Presentation of applications**

13. The application must be drawn up using the project application form, accompanied by the following annexes:

- 13.1. the CV of the applicant or its team (participating employees);
- 13.2. a detailed description of the idea;
- 13.3. activities planned to implement the idea;
- 13.4. stages for implementing the idea and the results to be achieved at each stage;
- 13.5. the type of support required for each stage of the idea implementation.

14. In addition to the documents and information specified above, the applicant may add other annexes (photographs, diagrams, drawings, business plans, etc.) to the application.

15. Applicants may submit their applications personally, by mail or as an electronic document by sending them to the e-mail address.

16. The application shall be signed by the applicant or by its authorized person. If the application is signed by the authorized person, the application must be accompanied with an appropriate authorization.

17. When submitting an application, the applicant shall certify that he/she fully agrees with all the provisions of this Regulation and meets all the requirements specified therein.

18. The applicant shall bear all costs related to the drawing up, compiling and submitting the application. The aid provider shall not reimburse any costs related to the preparation and submission of the application to the Competition, whether or not the aid is granted.

#### **V Procedure for the Assessment of Submitted Applications**

19. The evaluation of the applications submitted to the Competition shall take place in two rounds.

- 19.1. **In the first round**, the application shall be evaluated in accordance with the following assessment criteria:
  - 19.1.1. whether the application was submitted within the prescribed deadline;
  - 19.1.2. whether the application is accompanied with all the documents required in this Regulation,
  - 19.1.3. whether the applicant complies with the requirements of Section II of the

Regulation;

- 19.2. **In the second round**, each application shall be evaluated in accordance with the following assessment criteria:
- 19.2.1. uniqueness/innovativeness of the idea;
  - 19.2.2. topicality of the idea;
  - 19.2.3. the benefits of the idea;
  - 19.2.4. the development phase of the idea.

20. During the Competition, confidentiality regarding the application submitted by the applicant (the proposed idea) shall be respected. The non-disclosure obligation shall not apply to the information which, on the date of submission of the application, is publicly available or becomes public due to the action or omission of action on the part of the applicant or any other person unrelated to the organizer of the Competition. The non-disclosure obligation shall not apply if requested by the State or local government authorities, in accordance with the requirements of the legislation in force in the Republic of Latvia.

#### **VI Procedures for notifying the results of the Competition**

21. The Commission shall take a decision on the results of the Competition not later than 45 (forty-five) days after the deadline for the submission of the projects.
22. The Commission shall notify the applicants about the results of the Competition and publish the results on the home page of Roche Latvija.

#### **VII Procedure for granting the project aid**

23. The aid shall be granted to the applicant after signing a cooperation agreement.
24. After the Commission has taken a decision on supporting the project, the aid provider and the applicant shall sign a co-operation agreement.
25. If the idea is at a stage where it is necessary to continue its detailed elaboration, research and development, the beneficiary shall receive practical and consultative support from the aid provider, which may take the form of providing office premises, availability of equipment, expert advice and other similar support.
26. The maximum elaboration period for the idea is 3 months from the time the cooperation agreement was signed. After 3 months, the Commission shall evaluate the progress and decide on future cooperation.
27. If, during the elaboration phase, it is demonstrated that the idea can be transformed into a product or service and the continuation of its development and/or launching it on the market requires financial or other support, the period of the cooperation agreement shall be extended and the parties may conclude a financing agreement for the future implementation of the idea.

## **VIII Signing of the cooperation agreement and verification of the performance of the contract**

28. The applicant for the aid, a natural person who intends to implement the project, must register as a merchant in the Commercial Register of the Enterprise Register before entering into a cooperation agreement with the aid provider.

29. The beneficiary must inform the aid provider in writing if any changes are made to the ownership structure of the merchant within the duration of the agreement.

30. Prior to entering into a cooperation agreement with the aid provider, the applicant for the aid shall within the deadline specified by the evaluation commission submit the following documents:

30.1. The identification details of the merchant (registration number in the Commercial Register, registered address or the address of the registered economic activity), the authorized person of the merchant), if they are not indicated in the submitted application;

30.2. The bank details of a merchant, if they are not specified in the submitted application, not later than within 3 (three) months after the date of entering into the agreement.

31. If the applicant for the aid does not submit the necessary documents within the time period specified by the evaluation commission, the commission decision shall cease to be valid and the applicant for the aid shall lose the possibility of receiving the aid.

## **IX Rights and obligations of the applicant**

32. The applicant for the aid is entitled to withdraw the submitted application before the end of the time period for the submission of applications by submitting an application in a free form and indicating the reason for the withdrawal.

33. The applicant for the aid shall be responsible for the veracity of the information contained in the application.

34. The applicant for the aid has an obligation to comply with the requirements for processing of personal data specified in regulatory enactments in respect of personal data submitted and processed within the Competition, as well as with respect to personal data planned to be processed within the project.

35. The applicant for the aid shall be obliged to comply with the requirements of this Regulation.

36. The beneficiary undertakes to indicate in all information materials, publications and statements both in mass media and in public speeches regarding the innovative idea and support received for its implementation that the aid has been provided by Roche Latvija.

## **X Report on project implementation**

37. The beneficiary must draw up and submit to the aid provider a project implementation

report for each stage of the idea identified in the application.

### **XI Project supervision**

38. Throughout the duration of the cooperation agreement and project implementation, the aid provider shall have the right to request information from the beneficiary regarding the progress of the project, to carry out checks at the place of implementation of the project, as well as involve third parties to carry out such checks.

### **XII Processing of personal data**

39. Personal data will be processed for the purposes and tasks set out in this Regulation and processed only on legal basis until the achievement of the purposes.

40. The data controller shall, when processing personal data, ensure appropriate personal data protection measures for the nature and kind of the processing, including organizational measures as well as logical and physical information protection measures, for example by protecting the computers in which the processing of personal data is performed with appropriate protective software (including anti-virus programs).

41. For publicity purposes, events organized in the framework of the Competition may be photographed and filmed and such materials may be made public on social networks, media and other public sources. The information on the aid program and its participants may be used in public communication on the basis of a legitimate interest, ensuring that the fact of the aid program is recorded, ensuring historical succession and raising public awareness of aid programs.