Research Procedures Guide

for

Managing Funded Research Projects at SETU Waterford Campus

Research Support Unit
Office of the Vice President for Research, Innovation & Impact (RII), Waterford Campus

Contents

Introduction

Relevant, innovative and impactful research is at the core of our activities at South East Technological University (SETU). The Research Support Unit (RSU) based on the Waterford Campus is committed to assisting Researchers with all aspects of their funded research activity from pre-award planning to post-award reporting. Our mission is to provide timely and accurate information, services and advice to support and inform the effective and efficient management of funded research activity at the University.

The RSU in partnership with the Schools, Departments, and other central offices, supports the research community during all phases of the research project lifecycle. With this comprehensive support any legal or financial risk associated with funded research activity can be managed effectively. Each School, Research Institute, Centre and Group has a leadership role in monitoring and supporting the research activity within their domain.

The conduct of "responsible" research and innovation is a primary objective and the University is accountable for ensuring the appropriate management of all associated funding and activity. Institutional policies set out the related responsibilities at the levels of the research institutes, centres and groups, and the individual Principal Investigator(s) (PI) who are charged with ensuring the programmatic and financial viability of their research activity. The Lead PI and the associated research team must comply with all SETU policies and procedures when undertaking a funded research programme (e.g. Human Resources, Finance, Postgraduate Regulations, Health & Safety, Procurement, Legal, Ethics, Research Integrity, Code of Conduct for the Responsible Practice in of Research, Conflict of Interest, Open Research, Intellectual Property, Consultancy etc.). In addition, it is critical that Researchers are aware of and comply with the terms and conditions set out by the Funding agency/sponsor. The present document details processes and procedures, delineating the respective roles and duties of all parties.

This guide, along with the accompanying Key Points of Contact document, will be updated every two years to reflect changes in processes, policies and procedures and relevant points of contact, as required.

On behalf of the RSU Team, I wish you success in funding acquisition and in conducting high quality research.

Dr Geraldine Canny

Head of Research, SETU Waterford Campus

List of Policies and Procedures for SETU

All updated SETU Joint Policies will be listed here: SETU | SETU Policies.

SETU stores all policies on the SETU.ie website, the list of policies available for download is continuing to be updated. Some policies may not be available immediately but will soon be available from the links used in this guide.

Purpose

The purpose of this guide is to outline the support provided to Researchers at SETU Waterford Campus by various central support offices during all phases of the research project lifecycle, to ensure research compliance with SETU and funding agency/sponsor guidelines. This support is available from the initial proposal preparation, proposal review and grant negotiation phase and extends into the evaluation and reporting of research project results. Finance, budgeting, HR and IP considerations are delivered by a team of experts across the Institution.

Researchers across all Schools and Departments at SETU Waterford Campus applying to any funding agency/sponsor for financial support of their research are expected to adhere to SETU's Waterford Research Procedures Guide.

The phases in the research project lifecycle are:

1. Research Funding Opportunity Phase
2. Research Proposal Phase
3. Research Contract Phase
4. Research Project Mobilisation Phase
5. Research Project Management Phase
6. Research Project Completion Phase

Disclaimer:

Please note that due to the merger and our current phase of transition, while some of our resources are being updated to the Joint SETU versions this guide signposts to the current versions Please bear with us while these documents are being updated. The links will guide you the document that is currently in place and we will revise them in due course. The updates will still be incorporated into this document and will be available at this set link SETU | Manage Project Lifecycle (Waterford Campus).

If links listed in this document are inaccessible to you, please email research.wd@setu.ie. This guide is based on pre-existing policies and guides from SETU Waterford Campus and will be helpful to all SETU research active staff.

Phase 1: Research Funding Opportunity Phase

Context

Information regarding research funding opportunities that are relevant to SETU Researchers are identified and disseminated by the RSU and forwarded to research support team members in the Carlow campus for circulation until a point when we have a joint All Staff account. The RSU disseminates relevant funding opportunities and details of information sessions and funding workshops to Researchers by means of the following: *please note all opportunities will be shared to relevant research colleagues across SETU's campuses.*

1.2   Institutional Memberships for Researchers

Crowdhelix

Crowdhelix is an open innovation platform that forges links between an international network of 5800+ excellent researchers and innovators from over 450 organisations across the world https://crowdhelix.com/ SETU became a member of Crowdhelix in November 2021. SETU researchers are encouraged to utilise the Crowdhelix platform in order to increase our international research network and to identify partners and collaborators for **Horizon Europe** applications.

All SETU colleagues can sign up with their SETU email at this link: https://www.crowdhelix.com/register

Monthly information webinars are held to showcase the main features of the Crowdhelix platform:
· The Helixes
· Recent Activity, Features, Posting and Engaging
· Profiling and Groups
· Notification Settings and Recommender Engine

Should you have any questions about the webinar events, please contact events@crowdhelix.com. Event details are posted here [1] periodically.

For European funding applications, calls of interest can be identified on the Funding & Tenders Portal using keywords and filtering by open or forthcoming calls. *Please ensure that the most recent versions of work programmes or call documentation are consulted as some of the information – including deadlines - may have changed from the draft versions which were previously available.*

1.3   Funding Opportunities

The "Funding Opportunities" [2] section on the SETU website presents a highlighted subset of available research grants from national and European funding agencies relevant to SETU Researchers by deadline date. This is updated by the Research Team across campuses on a regular basis with details of new funding opportunities as they arise. Visit: https://www.setu.ie/research-innovation/researcher-

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[1] https://crowdhelix.com/events?category=SME%20Members&page=3
https://www.setu.ie/research-innovation/researcher-support/current-funding-and-open-calls

support/current-funding-and-open-calls. Key opportunities are also highlighted through **Pure** under the Award Management Module (AMM).

1.4   National and European Research Programme Officers

SETU has dedicated research support officers to guide those applying for and managing research projects across all campuses. SETU Carlow and SETU Waterford Campus join resources to support applicants across campuses for pre and post award support. Carlow have a dedicated grant officer for all calls and the RSU in SETU Waterford Campus will have two pre award Research Programme Officers, one for EU and one for National research funding opportunities, who assist Researchers in searching for funding opportunities in their specific discipline upon request. They circulate calls for proposals relevant to SETU Researchers by email on a regular basis. The Research Programme Officers are the first point of contact with all national funding agencies and National Contact Points for EU Funding Programmes. They provide information sessions and workshops on funding opportunities as required throughout the year. SETU Waterford also has a post award support officer, with support provided for administrative tasks, strategy, planning and assistance with contract negotiations in conjunction with the Technology Transfer Office (TTO) across campuses.

1.5   Sharing of Resources for Researchers

The RSU ensures that the research community is kept informed of all funding opportunities, upcoming deadlines, research workshops, information sessions and training programmes via All Staff emails, the research Newsletter and the section on the SETU website. Resources are shared on the **SETU Waterford Campus Staff Hub,** under the RSU Teams Site page here.

Resources for Researchers:

- Cross Cutting Themes document for funding proposals (available via email to Research.wd@setu.ie)
- Funding Opportunities https://www.setu.ie/research-innovation/researcher-support/current-funding-and-open-calls
- Horizon Europe resources here
- Resources on Gender, Research Integrity, Useful presentations are all located here https://wit.sharepoint.com/sites/WITStaffHub/SitePages/research.aspx?web=1 this site acts as an intranet and will be updated with new resources as they become available.

Further information on resources is available at this link.

1.6   Research Newsletter

The Research Office Comms team circulates a periodical newsletter entitled "Research News" (usually on a quarterly basis). The newsletter is distributed via e-mail (research.wd@setu.ie) to all SETU staff, research postgraduate students, and selected undergraduate students. The primary aim of the publication is to highlight available funding opportunities and upcoming research events to the research community. In addition, it features research stories of interest, research career training and development resources, and research success stories.

1.7   RSU X/Twitter & LinkedIn Accounts

The Research Office Comms team & RSU maintain a Twitter account @SETU_Research and a LinkedIn account. The RSU actively promotes funding opportunities, events and research achievements

applicable to the University on Twitter and LinkedIn. In collaboration with the SETU Marketing Department, the RSU can help to create social media posts surrounding significant events or opportunities related to the research community.

1.8   Roles and Responsibilities in Research Funding - Opportunity Phase

The **Researcher** is responsible for the following: **at Opportunity Phase**
✓   Meeting with the EU or National Research Programme Officer to register their research interests and explore research funding programmes of relevance. This can also support networking and identifying suitable partners for consortia-based grants, whether they intend being a Coordinator or Partner
✓   Networking and identifying suitable partners for consortia-based grants, whether they intend being a coordinator or partner, and completing partner search forms
✓   Regularly checking the Funding Opportunities section of the SETU website, notifications from **Research.wd@setu.ie** and updates on RSU Staff Hub and following @SETU_Research on Twitter and Research Office LinkedIn
✓   Use **Pure** to identify suitable funding opportunities highlighted by the RSU team
✓   Reviewing *Research News* on a quarter**ly** basis to identify relevant funding opportunities, workshops and information sessions
✓   Attending workshops, information sessions, training sessions and online webinars

The **RSU** is responsible for the following: **at Opportunity Phase**
✓   Updating the Funding Opportunities section of the RSU website with current calls, and circulating current/new funding calls via All Staff email and targeted selected research staff
✓   Disseminating *Research News* on a quarterl**y** basis with new funding opportunities, workshops, information sessions and webinars
✓   Disseminating funding opportunities to the research community via email and Pure
✓   Managing the Research Office X/Twitter **&** LinkedIn Accounts in conjunction with Comms Support. Posting details of all current National and EU funding opportunities, research information sessions, Researcher training and development sessions and promoting research stories on the SETU Waterford Campus news section
✓   Assisting Researchers with searches for funding opportunities in specific disciplines, on request
✓   Promoting and communicating details on specific funding calls at School or Centre level, where relevant
✓   Identifying specific calls for targeted communities or individual Researchers (e.g. Irish Research Council {IRC} PhD scholarships and enterprise-based calls, IRC or MSCA postdoctoral fellowships, European Research Council {ERC} Starter Grant) or cohorts of Researchers (e.g. investigator led funds or larger programmatic grants)
✓   Disseminating information about external and online training workshops and information sessions related to funding opportunities National and European/International awards
✓   Organising internal information sessions, brainstorm sessions and workshops on funding opportunities as well as engagement sessions and virtual coffee mornings to relay funding information and answer queries from the research community.
✓   Organising relevant training programmes on grantsmanship, data management, cross cutting themes and how to write an impact statement, etc.
✓   Identifying and co-ordinating large-scale institutional funding submissions
✓   Analysing data to identify suitable candidates for specific calls (e.g. *European Commission* Horizon Europe, Clusters, MSCA Postdoctoral Fellowships, MSCA Doctoral Networks, *Irish Research Council* {IRC}, Pathways Programme, Laureate, GOIPG, GOIPD, Employment Based programmes, and Enterprise based programmes; *Science Foundation Ireland* {SFI} Infrastructure Call, Frontiers for the Future Programme, Frontiers for Partnership, Discover Programme, Health Research Board {HRB} Investigator led programmes, Studentships and *Enterprise Ireland* {EI} Gateway Capital Equipment Call, innovation Partnerships, Innovation Vouchers and Commercialisation Funds.

Phase 2: Research Proposal Phase

Context

The RSU works closely with Researchers and other SETU central support offices to ensure that research proposals are complete, accurate and consistent with the terms and conditions of the funding agency/sponsor and in line with SETU policies and procedures. This includes supporting the accurate costing of proposals by Research Finance, reviewing proposals and proposal writing support. The Head of School or nominee must be made aware of, and approve, the total cost of delivering the proposed research activities, personnel resources to be allocated to ensuring successful delivery of the project and any additional resource requirements, such as space, and the proposed level of funding being sought, including match funding required, if applicable. **Budget costs must be reviewed and approved by Research Finance before submission to the funding agency/sponsor. This is done on Pure**. Research Finance will ensure that the costs are correctly categorised and that all costs are eligible. All research proposals must be signed by the SETU authorised signatory (usually the Vice President for Research, Innovation & Impact or the Head of Research) before submission. Researchers are requested to submit a final draft of the proposal to the RSU at least one week in advance of the funding call deadline on Pure. This timeline can vary depending on the call and the level of pre-approval required, for example the **EI Gateway Capital Equipment call** or any research proposal with an element of **Matched Funding[3] or capital implications** may require additional time and consideration as they need more pre-approval time with the Finance Department.

This allows time for any potential compliance, budgetary, legal or ethical issues to be resolved and feedback provided to the applicant, in advance of submitting the proposal to the funding agency/sponsor. In the case of consultancy, the signature of the Vice President for Research, Innovation and Impact must be obtained at contract stage. All proposals for consultancy/contract R&D should factor in **Institutional overheads** in accordance with SETU Overheads framework[4] .

While this Guide applies to all SETU funded research activities there may be some variance with respect to the process depending on the type of project. For example, during Phase 2 Researchers are requested to submit a final draft proposal one week in advance of the funding call deadline. This requirement is entirely relevant for many EU, and National (SFI, HRB and EI) funding mechanisms whereas for, typically smaller, directly funded company research this may not apply because there may be no 'call' deadline and/or there may be no specific proposal, rather a statement of work as with Enterprise Ireland Innovation Vouchers.

The RSU rely on the expertise and experience of the Researchers to determine what specific support is required. More experienced research centre teams may require less support in project management though are expected to broadly follow these guidelines. Those new to research or with less experience should always seek the full spectrum of project management support from the RSU.

2.1 Eligibility

The first step in deciding whether to apply for a grant is determining eligibility. Applicants applying for external funding must be:

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[3] Matched funding applies to Projects where there is an obligation on SETU to provide funding of any type (i.e., cash or in-kind), in addition to the funding being provided by the Funder(s).

[4] https://www.wit.ie/images/uploads/Research_PDF/WIT-Overheads-Policy_2019-final.pdf

- A member of academic or research support staff (permanent or with a contract of employment that covers the period of the funding being sought).

  or

- A contract Researcher (including Postdoctoral Researcher) who has a contract of employment for at least the duration of the grant or, the proposed grant will cover the salary of the Researcher, who will be issued with an employment contract to last the full duration of the grant, should the proposal be successful.

It is important to note that all funding agencies and funding programmes have different eligibility criteria. It is the applicant's responsibility to read the terms and conditions of the relevant programme in full to ensure they are compliant.

Where a contract Researcher applies for a research grant but the grant does not cover the salary of the grant holder, if the salary of the grant holder is being paid through a separate research grant, the terms and conditions of this grant must allow the Researcher to apply for further funding to carry out the new research project(s) simultaneously. Note: The University is not liable for any salary payments if same is not covered by the new grant.

Research postgraduate students and final year degree students are eligible to apply for research scholarships and funding where permitted by the funding agency/sponsor (e.g. IRC Government of Ireland Postgraduate Scholarship) and where approved by their supervisory team.

The prevailing institutional policies relating to the employment of research staff will supersede funding agency/sponsor rules and the naming of an individual on a grant application should not be construed as a commitment to employ them. In addition, each funding call has its own specific eligibility rules with which the applicant should familiarise her/himself.

2.2   Types of Research Proposals

There are 4 types of research proposals:

2.2.1   Peer-Reviewed Competitive Proposals

External expert peer review is conducted by all major funding bodies. Funding is awarded following an advertised call for proposals by a funding agency/sponsor and undergoes a peer-review competitive process. This is the most common type of research proposal submitted by SETU researchers. The RSU provides different levels of support for different funding calls, depending on their strategic importance and available resources, or may, as required by the funding agency/sponsor, carry out an internal pre-selection.

2.2.2   Consultancy

Staff can engage in external consultancy, where staff members are approached by an external company and asked to engage in this type of work. The staff member must ensure that a consultancy contract or agreement, with an agreed project scope, timelines and deliverables is drawn up between SETU and the external company. Please refer to SETU's Consultancy Policy 2020[5] for details of procedures for consultancy services. The costing of the proposal with an appropriate overhead charged must be agreed with Research Finance in advance. Assistance in drafting and negotiating the contract will be provided

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[5] https://www.wit.ie/images/uploads/Research_PDF/20200220_ConsultancyPolicy_live.pdf - note this WIT version will be replaced by the SETU version once full approved.

by the TTO. The agreed contract will be signed by the Vice President for Research, Innovation & Impact or an appropriate nominee. Permission to undertake the consultancy project must be sought from the appropriate Head of School having considered the following:

- The activities are related to the academic and professional interests of staff
- The external activities, in addition to the contractual duties, must not exceed the Working Time Directive[6]
- The consultancy does not interfere with the performance of normal academic duties and is approved by the Head of School
- It is appropriately time sheeted
- The consultancy does not give rise to any conflict of interest (see SETU's Conflict of Interest Policy[7]) for the individual member of staff or the Institution which cannot be effectively managed, and
- Any potential conflicts of interest are considered and where relevant, appropriate provision made to manage same in conjunction with the Head of School.

2.2.3   Trust and Foundation Funded Research Projects

The RSU will provide guidance on the development of a framework for a proposal with a Trust or Foundation in the absence of same. The TTO will assist with the contract negotiations and any IP considerations and Research Finance will give financial guidance on costing the proposal.

2.2.4   Other Research Projects

Researchers may engage in research projects with sponsors where there has been no competitive call for proposals. Instead, there is an agreement between the Researcher and the sponsor that the Researcher will carry out the research as per the terms and conditions set out by the sponsor. These typically arise where a Researcher has an existing collaborative relationship with industry or another research performing organisation. The costing of such proposals must be done in conjunction with Research Finance and any contractual agreement must be negotiated with the TTO.

2.3 Procedures to Apply

Once a Researcher/PI has identified a **research funding opportunity** that they wish to apply to, they must select this opportunity under the Award Management Module in PURE (https://research.wit.ie/admin) and create an application[8]. Using this shared Award Management Module in PURE the PI/Applicant informs the RSU of their intention to apply under a specific call and can identify the type of support required from the various support offices. The RSU will support the PI in preparing and submitting their proposal and they will receive notification via PURE without having to send an email or fill in a separate form.

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[6] http://ec.europa.eu/social/main.jsp?catId=706&langId=en&intPageId=205#content
[7] https://www.setu.ie/Craft/assets/policies/Conflicts-of-Interest-Policy.pdf

[8] Please note this new procedure has come into effect from 05.12.22 and replaces the RGAN form. Training and support on this new process is provided by Pure@setu.ie

If there is an opportunity to fund the cost of developing a proposal in part, for example, through the **EI Travel or Co-ordinator Grant**[OBJ][9] Horizon Europe applications, then the PI [OBJ][10] should apply as early as possible.

If applying for an EU **Erasmus Plus** fund the PI/applicant needs to complete a separate notification form that links in with the International Office called Erasmus Plus Application Notification (E+AN) at this link https://www.cognitoforms.com/WIT8/erasmusapplicationnotification. This will determine if the grant proposal is supported by the RSU or the International Office, which is dependent on the type and level of research activity. This is also needed for institutional sign-off.

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Award Management Module in PURE

SETU rolled out the Award Management Module in Pure in December 2022. This is the University's award management system which enables the RSU to track, monitor and manage research proposals and projects. It allows staff to create a research funding applications in Pure, obtain institutional approval, and keep track of their applications. The Award Management Module streamlines and automates the management of research proposals and projects for effective research project administration and application approval.

Pure also captures post award activity by the creation of awards and projects for successful research applications. Staff can store post award documentation, ethical reviews, record and track time spent on a project and create project milestones. Research activities (datasets, equipment, impact, outputs and publications) can be linked to the relevant project. Pure enables applications, awards and projects to be stored in one location making it an ideal one-stop source for all your research activities. (*More detail on AMM is available here*: https://www.setu.ie/research-innovation/researcher-support/resources-for-researchers/pure . There is also a Pure Help & FAQ Section [OBJ]other SETU website which will guide and assist researchers with any queries they may have. Help is also available on [OBJ]Pure@setu.ie[OBJ]

If the fund you are applying for is categorised as Research, the types of support provided can fall under the following headings:

2.3.1   Provision of Information and Applying for Funding

The RSU organises and disseminates information on internal training workshops and funding agency information sessions and webinars. These are circulated in *Research News* and can also be found on the SETU Waterford Campus Events page[11] , promoted on the Research Office Twitter/X account and circulated by the RSU via Email. These may be in the form of online webinars from funding agencies, information meetings about a funding call organised in the funding agency/sponsor premises, internal SETU information sessions presented by the funding agency and SETU Researchers, or internal information and training workshops presented by RSU or other support staff. The RSU can also provide Researchers with information on cross-cutting themes such as Gender & Diversity in Research, Research Integrity, Ethics, Data Management, Open Access, Career Development, etc. These are available upon

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[9] https://www.horizon2020.ie/wp-content/uploads/2016/01/h2020-financial-support-guidelines-V10-3.pdf

[10] A **Principal Investigator** is the holder of an independent grant administered by the University and the lead researcher for the project

[11] https://www.wit.ie/eventshttps://www.setu.ie/events

request by contacting research.wd@setu.ie and resources are also shared on the **SETU Waterford Campus Staff Hub.**

Please also see

https://www.wit.ie/research/for_researchers/applying_for_funding#preparing-a-proposal

2.3.2   Internal or External Review of Proposals

The RSU provides support to Researchers by answering any queries on funding calls, involving liaising with the funding agency/sponsor, where necessary, eligibility checks and troubleshooting.   RSU staff will meet and/or provide written feedback on draft proposals, including advice and support on aspects of proposal preparation. The RSU may organise internal academic peer reviews for some calls. For strategic research proposals, the RSU may engage an external expert to review the scientific aspects of the proposal.

The TTO will advise on proposals requiring guidance on Intellectual Property, involving partnerships with industry or pre-commercialisation proposals.

2.3.3 Proposal Submission

The RSU facilitates and authorises all funding submissions to the funding agency/sponsor, after a final review has been carried out **ensuring compliance with funding agency/sponsor guidelines and the budget has been approved by Research Finance**. To facilitate this process, a draft copy of the application along with a draft copy of the Budget Sections of a funding proposal should be attached to the application in Pure at **least 2 weeks in advance** of the official call deadline for a timely review and budget approval by Research Finance.

No research funding application should be submitted to an external funding agency/sponsor without the prior **approval of the Office of the Vice President for Research, Innovation & Impact** or an appropriate nominee. The Finance Office must approve budgets prior to obtaining institutional signature. In the case of Consultancy, the signature of the Vice President for Research, Innovation and Impact is required at contract stage. The RSU provides institutional letters of support and institutional signature on proposals as required or will complete the institutional submission of a proposal using the funding agency/sponsor online proposal submission system. This requires the RSU to maintain and update the registration for SETU on all funding agency/sponsor online portals.

2.3.4   Proposal Recording

To ensure the correct recording of research activity per School at SETU, it is the Researcher's responsibility to ensure that all research funding applications are uploaded to Pure and that a copy of the final version of the application form and budget is uploaded to the record in Pure.

2.4   Budget/Finance

When preparing a proposal, the Researcher must assess the full resources required and the total costs of fulfilling the research activities being proposed, including the following:

- Proposal costings (including direct and indirect costs)
- Tax and legal considerations (including VAT)
- Matched funding requirements
- Space requirements
- Revenue implications

- Infrastructure/capital requirements
- Overheads on consultancy work

The proposed budget for all proposals including consultancy/contract <u>work must be reviewed and approved by Research Finance</u>, Finance Office prior to submission to the funding agency/sponsor/ industry. This is done through Pure in the case of research funding applications to external funding agencies. In the case of Consultancy/Contract work, Research Finance approval is done by emailing researchfinance.wd[@setu.ie](mailto:).

2.4.1 Matched Funding

Matched funding occurs when a project is not 100% funded by the funding agency/sponsor/industry. It arises in the case where a funding agency/sponsor/industry agrees to fund a percentage or proportion of the costs of the proposal and SETU is expected to fund the balance (cash or in-kind). Funding agencies will have rules on what type of contribution by the Research Performing Organisation (RPO) are eligible as matched funding. Research Finance must be involved at an early stage in any proposal that requires matched funding. This ensures the SETU matched funding contribution is affordable, eligible and in line with both internal financial policies and procedures and funding agency/sponsor terms and conditions. Matched funding must be agreed with the Head of Department, the Vice President for Research, Innovation & Impact and the Vice President for Corporate Affairs & Finance. As this potentially represents a financial burden on SETU extra care must be taken by the PI when applying to consult with Finance on the implications of including resources and in-kind commitments at proposal stage. Should the project be funded, SETU must ensure that In-kind committed hours are still available based on what was proposed, appropriately recorded on timesheets, that personnel costs used are aligned to existing contracts and finally, that project hours do not overlap with existing project(s) or academic commitments. All staff costs charged to a project must be supported by certified time sheets which are also reviewed by the Finance team.

2.4.2 Direct Costs

All eligible research costs directly associated with the research activity must be included as direct costs. These are costs that can be identified specifically with an individual research project. Examples include; the salaries of staff employed specifically to carry out the research work, postgraduate stipends, postgraduate fees, the equipment and materials to be purchased for the project, staff or student travel & subsistence and research dissemination. PI [12]time, when it is allowed under the terms and conditions of the grant, should also be included as a direct cost. It is important to be as specific as possible when detailing the direct costs, for example the purchase of equipment may have additional costs associated with training of research personnel to use the equipment. It is therefore necessary to specify the additional training costs when preparing the budget.

2.4.3 Indirect Costs (Overheads)

The maximum level of contribution provided by the funding agency/sponsor/industry towards the indirect (overhead) costs must be sought in addition to the direct costs. Indirect costs are costs that are incurred during the course of a research project, but which cannot be attributed specifically or exclusively to the project. Examples of such indirect costs include space, facilities and maintenance. Other examples include the administrative, technical or IP support required to enable the project. All proposals should seek a contribution towards indirect costs, at least equivalent to those provided by

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[12] A Principal Investigator or PI is the individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement.

Irish funding agencies (normally 30% of direct costs excluding equipment is how overheads are calculated), unless the funding agency/sponsor specifically excludes same or specifies a different rate, which is now the case in most funding calls, under the budget section it specified the % allocation. Where no terms and conditions are available from the funding agency/sponsor to guide the Researcher, the following overheads should be requested:

- Industry Partners: A starting negotiation of at least 30% for SET and 25% for HSS projects, and a minimum agreement of 20%
- Consultancy: A starting negotiation of at least 30% of consultancy direct costs, and a minimum agreement of 20%
- Not for profit organisations: A minimum of 10%

Where there is no overhead or if matched funding is required in a research proposal, prior agreement must be sought from Research Finance, the RSU and the Head of School as per section **2.4.1** above.

Please refer to the Framework for the Distribution of Research Overheads[13], which was agreed in 2020 for further information on the application and distribution of research overheads. *SETU is currently working on a new policy.*

2.4.4 VAT

For SETU to remain compliant with the Irish Revenue Commissioner VAT regulations, it is essential that the VAT status of a proposal is correctly identified. The VAT status of the research activity should be established at the outset, to accurately cost the proposal. It should be noted that typically consultancy services incur a VAT rate of 23%. Whilst most research projects are non-vatable/zero-rated, it is required that the activity is assessed by Research Finance to confirm its status. This ensures that SETU is VAT compliant, and that the Institution can reclaim VAT in accordance with national regulations.

2.4.5 Salaries and Fees

Salary costs in a research proposal must take into consideration the terms and conditions of the proposed funding agency/sponsor. Researchers should refer to the SFI salary scales[14] where set scales are not laid down by the funding agency/sponsor. Salary costs (**checked or provided by our finance team**) should include gross salary, Employer's PRSI and Employer's Pension (unless excluded by funding agency/sponsor) to ensure the full annual costs are reflected in the budget. Researchers should refer to the SETU Waterford Campus's Research Postgraduate website[15] when costing postgraduate fees in a research proposal. It should be noted, that where research postgraduate fees are funded from a research grant, student fees are levied at the EU rate, regardless of the nationality of the student (i.e. non-EU citizens are charged at the EU rate). Please check all rates with the research finance team. They can also advise you on rates via email to researchfinance.wd@setu.ie

2.5 Ethics

Depending on the nature of the research to be carried out, there may be inherent ethical issues to be considered. When submitting a proposal, the Researcher must be guided by the **Code of Conduct for the responsible practice of research under Section 3**[OBJ][OBJ]whether ethical approval is quired or whether

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[13] https://www.wit.ie/images/uploads/Research_PDF/WIT-Overheads-Policy_2019-final.pdf
[14] https://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/SFI-Team-member-scales-January-2022.pdf
[15] https://www.setu.ie/current-students/fees-and-grants/fees/postgraduate-fees

an exemption applies and indeed, ethics is often an integral aspect of a funding application. The need for ethical consideration and/or approval is often overlooked. It is imperative that the Researcher consults with their Head of School in this regard, and/or their school Research Ethics Committee. **Where applicable, any data collection or data processing should not be commenced prior to ethical approval or without the necessary authorisations.** For information on SETU's Research Ethics guidelines and documentation please visit the Research Ethics section of the SETU website[OBJ].

Also please see The European Code of Conduct for Research Integrity: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf

Other resources available on Research integrity here.

2.6   Intellectual Property

The Researcher should be aware of any intellectual property (IP) obligations or commercialisation provisions by the funding agency/sponsor as they relate to the proposed research project and consider the implications of same for SETU. The Researcher should consult with the TTO in this regard and be familiar with SETU's Intellectual Property Policy[16]. The Researcher will need to consider if there are any constraints on the introduction of background IP and/or materials that will be required to complete the project. The TTO will assist Researchers on matters pertaining to freedom to operate, the patent landscape, commercialisation roadmap where relevant or the protection of SETU background IP in advance of proposal submission.   For further information please contact the TTO (tto.wd@setu.ie).

2.7   Export Controls

Taking into consideration the growing importance of export controls within integrated markets, the rapid scientific and technological advancements, the role of research organisations and researchers and how the European research and innovation sector can attract public and private investments from across the world, the effectiveness of export controls depend to a great extent on the awareness of research institutions and their active efforts to comply with export restrictions.

In December 2021 the Research office received new guidance around Export Controls for researchers and related Research activity from the DETE (Department of Enterprise Trade and Employment) : **https://wit.sharepoint.com/:p:/s/WITStaffHub/EVc4NkOvx2hEkaxetmVsXYMB5IcR0 wHqxLKq28LG491biA?e=XIMXUU**.

Export Controls seek to prevent technologies, materials, chemicals, goods, equipment, information, software or computer programmes, and **know-how,** being acquired by actors/parties that may use these items for **undesirable purposes** such as to destabilise governments, threaten national security or human life.

If an individual Researcher/Research Group/Centre considers that their research falls within the scope of the new regulations on Dual -Use Items[17] (*detailed here particularly in* **Section 2** *which contains awareness information for researchers, including the basics of dual-use export controls,*

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[16] https://www.setu.ie/Craft/assets/policies/Intellectual-Property-Policy.pdf

[17] Dual-use items are largely developed for civilian purposes and their potential for abuse is not always evident at first glance. However, not every **research activity** involving dual-use items will require an export control licence.

understanding the control list and the potential impact on research related activities[18]) and that an application should be made, please contact the TTO (Technology Transfer Officer) via email to tto.wd@setu.ie . Please note that additional guidance resources are being developed and sectoral guidance will also be provided in due course which will be placed here along with further guidance for all SETU staff and researchers to access.

Dual-use export controls may arise at different levels during the **research life cycle**: at the stage of research funding, project application, contract development, disseminating research output, etcetera. Section 3 of the COMMISSION RECOMMENDATION (EU) 2021/1700 of 15 September 2021 provides more information on how to set up a systematic export screening procedure at the different levels during the research project lifecycle.

2.8   Health and Safety

The Researcher should be aware of any health and safety and insurance considerations of the proposed research activity, and must adhere to the relevant institutional policies, such as the University's Health & Safety Policy[19]. Researchers should also refer to specific Health & Safety requirements within their own School and/or Department.

2.9   Roles and Responsibilities at Research Proposal Phase

The Researcher is responsible for the following: at Proposal Phase
✓ Seeking approval from Head of School for submission of proposal to funding agency/sponsor, outlining total costs of delivery of the proposed research activity and any associated resource requirement, such as space, match funding, etc.
✓ Logging intention to submit an application for funding in PURE s(https://research.wit.ie/admin). Once an application has been created in Pure the RSU will be notified and will engage via Pure to identify support required from the RSU and other central resources during proposal preparation, (e.g. institutional letter of support, assistance with budget preparation, internal or external review, etc.). *Please note there is a separate online form for Erasmus Plus applications - see here and Section 2.3.
✓ Fully assessing the resource requirements and total costs of fulfilling the proposed research activity, including proposal costing in consultation with Research Finance, Finance Office as appropriate. The PI should also consider the costs involved in resourcing of coordinated projects, in particular {e.g. MSCA-DN} management and overhead costs allocated to the coordinator by other beneficiaries in order to hire a Project Manager to run the project if successful.   ✓ **Please ensure that the financial costings for the proposal are reviewed and approved by Research Finance in all cases and in cases where match funding is required, the appropriate additional approval is obtained.**
✓ Applying in advance for any financial support available to assist with proposal preparation, such as the EI Co-Ordinator Grant or Travel Grant or internally through the Grant Preparation Support Scheme under Research Connexions
✓ Fully assessing the people/space/facilities required to carry out the research project
✓ Fully assessing any legal and IP considerations prior to proposal submissions and liaising with the TTO as appropriate with any queries
✓ Uploading a final draft of the proposal to Pure at least one week in advance of the funding call deadline or meeting other internal deadline as notified for each call

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[18] Research disciplines within Science, Technology and Engineering are more likely to be subject to dual-use export controls than academic activities in Humanities, Social Sciences and Economics (COMMISSION RECOMMENDATION (EU) 2021/1700)

[19] https://www.setu.ie/Craft/assets/policies/Safety-Statement.pdf

✓	Ensuring adherence to Health & Safety, Insurance and Ethics policies and procedures as appropriate
✓	Ensuring the proposal is submitted to the funding agency/sponsor in advance of the deadline, leaving sufficient time for institutional approval, where required
✓	Uploading a final copy of the proposal and budget to Pure
✓ ✓	All researchers, including undergraduate students performing research, have a personal responsibility for meeting the ethical requirements in the conduct of their research. Especially in these areas; 1. human experimentation; 2. animal experimentation; 3. ionizing radiation; 4. collecting of sensitive or confidential data; 5. students, children or any vulnerable groups; 6. research involving human remains, cadavers, tissues, biological fluids, embryos or foetuses; 7. research involving secondary use of data (use of data initially collected for another purpose) – health records, employee records, student records, computer listings, banked tissue - if any form of identifier is involved and/or if private information pertaining to individuals is involved. o See Code of Conduct for the Responsible Practice of research (being revised for SETU)

The RSU is responsible for the following: at Proposal Phase

✓	Designing and delivering information sessions on certain funding calls or aspects of calls to assist with research proposal writing
✓	Responding to queries from Researchers, including liaising with funding agency/sponsor
✓	Assisting researchers in identifying suitable research partners
✓	Reviewing draft proposals for compliance and for grantsmanship, if required
✓	Supporting alignment of proposal with SETU policies and strategies
✓	Directing Researchers to other support offices (e.g., Research Finance for budgets, TTO for IP and commercial aspects of research proposals, Ethics Committee for ethical requirements and compliance, etc.)
✓	Supporting the alignment of proposals with the terms and conditions of funding agency/sponsor, including confirmation of eligibility of Researchers
✓	Co-ordinating internal or external scientific peer review for specific strategic funding calls
✓	Meeting with Researchers to discuss their draft proposals and providing detail on Cross Cutting themes as well as institutional resources and training for PhD Students, Postdoctoral fellows etc. Our HR Business Partner Eimear Fitzpatrick can also provide advice of CPD supports and training for personnel on funding applications (for example mentorship programmes and Masterclasses)
✓	Arranging internal institutional selection competitions where required by funding agency/sponsor
✓	Providing institutional letters of support for research proposal, at the request of the Researcher, if required by funding agency/sponsor
✓	Organising institutional signatory of hard or electronic copies of proposals
✓	Supporting electronic submission of proposals as required using funding agency/sponsor online submission systems
✓	Maintaining and updating the registration for SETU on a large number of funding agency/sponsor online systems
✓	

The Head of School is responsible for the following: at Proposal Phase

✓	Approving the proposal for submission to the funding agency/sponsor following a comprehensive review of resource requirements, including matched funding and space requirements

Research Finance, Finance Office is responsible for the following: at Proposal Phase

✓	Advising on financial requirements of the funding agency/sponsor and ensuring that proposals are prepared in accordance with same
✓	Supporting the costing and pricing of research proposals, including salary scale development
✓	Verification of overheads and percentage to be attributed to research proposal
✓	Determining the VAT status of contracts and subsequent liaison with funding agency/sponsor and providing advice to Researchers on the implications of VAT on research activities

✓	Maintaining the LEAR role in relation to the EU Framework Programme and continuously monitoring submitted proposals on the EU Participant Portal & ensuring a validated status of the PIC and OID numbers.
The Research Ethics Committee is responsible for the following: at Proposal Phase	
✓	Supporting Researchers with the identification of research *ethical considerations* in line with SETU's <mark>Code of Conduct for Responsible Research Practices section 3</mark>, prior to proposal submission and support on the Ethical Statement in line with call guidelines. If applicable, you may need to seek authorisation from the Institutional Ethics Committee.
The Graduate Studies Office is responsible for the following: at Proposal Phase	
✓	Providing information regarding aspects of the Research Postgraduate Regulations and Universal PhD Path Modules available to research postgraduate students to be funded by the proposed research project.
The TTO is responsible for the following: at Proposal Phase	
✓	Reviewing and advising on IP and commercial aspects of research proposals
✓	Supporting Researchers with identification and resolution of IP issues prior to proposal submission, where relevant
✓	In the case of EI's Commercialisation Fund (CF) Programme and other relevant programmes) reviewing and advising on the commercialisation strategy as outlined in the proposal
✓	In the case of EI's Innovation Partnership Programme the TTO negotiates the Heads of Agreement for IP terms with the enterprise partner in advance of proposal submission. While this is not a requirement of EI, they expect to see it in the application

Phase 3: Research Contract Phase

Context

Once a proposal is successful, the funding agency/sponsor typically issues a formal offer of funding to the Institution. This Letter of Offer or Research Agreement outlines the terms and conditions imposed on the Institution, its collaborators and the PI in accepting the funding for the particular research programme. At this stage it is advisable for the PI to arrange a meeting with a member of the RSU[20] to discuss post award contract management issues. **Acceptance of the research grant must be approved by the Vice President for Research, Innovation & Impact or the Head of Research, before the commencement of any work on the project.** The RSU grant officers (EU/National) organises signature of formal acceptance documents on behalf of the PI and returns same to the funding agency/sponsor. Associated research agreement, e.g. legal or IP, must be approved and signed by all parties, before the research account is set up. Research Agreements must be reviewed by the Office of the Vice President for Research, Innovation & Impact to ensure the contract terms and conditions are acceptable to SETU, this is often done in conjunction with the TTO office.

Where a particular sponsor is providing funding to SETU for the first time, the Institution may carry out a due diligence exercise to ensure that there is no conflict of interest regarding the funding received or research activity being carried out.

In the case of projects with external partners (e.g. Innovation Vouchers, Innovation Partnerships, consultancy, contract R&D etc.) the TTO will aid with drafting and negotiating the necessary contractual agreements.

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[20] https://www.setu.ie/research-innovation/researcher-support/meet-our-team

3.1 Insurance

All research conducted by SETU staff and students requires insurance cover. Please note that the Finance Office is responsible for ensuring adequate cover is in place for the Institution. It is the responsibility of the PI to liaise with both the Ethics Committee and the Finance Office (please contact Insurance.wd@setu.ie to ensure that adequate insurance cover is in place for their research work. A PI should query insurance cover in instances such as the undertaking of health-related research involving human interventions, clinical trials or extended periods of travel overseas.

3.2 Eligibility to Manage Research Funding on M7

While all Researchers and research postgraduate students are encouraged to apply for research funding, as per the eligibility set out by the individual funding agency/sponsor, only the following are eligible to register and manage research accounts on SETU's Financial Management System (FMS) M7:

- Researchers who, at the time of signing the grant, are on the University's Core HR/Payroll system with a contract of employment that spans the duration of the research grant
- Individuals who fulfil the following roles or their equivalent:
  - Academic research active staff
  - Research Support Staff
  - Postdoctoral Researchers and other contract research staff
  - Research administrative and technical staff (these will be considered on a case-by-case basis)

Research grants awarded to research postgraduate students will be registered in the name of a member of the student's academic supervisory team (typically the Lead Supervisor). **Please see Appendix B for Running a Summary Report on M7 for Budget holders.**

3.3 Setting up a Research Account (P-Code)

All research and self-financing projects are allocated a unique subaccount code (P-Code) in M7. The PI is responsible for completing the *Sub Account Set-Up Form*[21] *(available on Cognito via this link https://www.cognitoforms.com/WIT8/SubAccountSetupForm*) which will automatically be sent to the RSU at research.wd@setu.ie. The form is reviewed and signed by the RSU relevant grant officer and submitted to Research Finance, along with the relevant supporting documentation. If all is in order a unique subaccount (P-Code) is set up and the PI is informed. The project budget is loaded in M7 and access permissions allocated. The budget categories and spending period must be as indicated in the Letter of Offer/Research Agreement. Funding can only be utilised within the time period set out in the Letter of Offer/Research Agreement and against the agreed budget categories where these have been provided by the funding agency/ sponsor. In rare circumstances a funding agency/sponsor may permit the inclusion of specific expenses that occur prior to contract start date; however, these can only be claimed with express agreement of the funding agency/sponsor after the contract has been registered in the Institution. All project activity must be associated with that P-Code whether through M7, Core HR, Electronic Funds Transfer, etc. Please ensure to send **ALL** key documents you have received as part of this Award/Grant/Contract to the RSU with the P code form. This should include 1 or all of the following; Signed Letter of Offer/acceptance, Signed Contract/Research Agreement, Consortium Agreement and any additional budget related documents. The RSU will create the award in Pure and upload the relevant contract documentation to Pure.

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[21] https://www.wit.ie/research/for_researchers/managing_your_project#tab=panel-2

3.3.1 Contract Documentation Required

The following documents are required by the University in order to set up a research account, and before work can commence on the project:

Document	Details
Research Proposal	Original proposal as submitted to the funding agency/sponsor.
Letter of Offer, Acceptance Certificate or Standard Contract	As received from the funding agency/sponsor when notifying the University of the successful award. Note: For EU Projects, the Grant Agreement is signed by the Coordinator, the Commission and all project partners.
Awarded Budget	The final budget as agreed with the funding agency/sponsor. This is normally outlined in the Letter of Offer/Acceptance Certificate/ Standard Contract and has been approved by Research Finance, at proposal phase.
Terms & Conditions of Award	As received from the funding agency/sponsor. This may form part of the contract or is accessible via the funding agency/sponsor's website.

Where the project involves industry sponsors or external collaborators, additional documentation may be required, as follows:

Document	Details
Research Agreement	Required where the funding agency/sponsor does not have a standard Letter of Offer or Contract.
Consortium/ Partnership Agreement	Required where there are multiple partners/collaborators. The funding agency/sponsor enters into an agreement with the coordinator/lead partner. Other partners and collaborators then enter into a Consortium/Partnership Agreement with coordinator/lead partner. Consortium Agreements are required for H2020/Horizon Europe Projects and Partnership agreements are required for Erasmus Plus and Interreg projects. For National arrangements the Grant officer can advise on the format of the agreement in consultation with the TTO.
IP Agreement	Normally required where IP is introduced to and/or generated as part of research project.
Subcontract	Required where external bodies or individuals assist in completing a specific part of the work of the research project and SETU sub- contracts part of the work of the project to this external body or individual (where permitted by funding agency/sponsor). Alternatively, SETU may be asked by an external body to act as a sub-contractor on an external award.
Export Control Licence	Please see Section 2.7 of this guide for details on this topic and here for EU recommendations

3.3.2 Notification of P-Code

Once all of the appropriate documentation has been received, reviewed and signed by the relevant grant officer in the RSU, it is sent to Research Finance who will set up the project on M7 and the P-Code will be sent by Research Finance to the PI by email identifying any issues arising from the compliance review.

3.3.3 Transfer of Grants to SETU Waterford Campus

If a PI is moving to SETU and is bringing a research award with them, all associated documentation must be made available in order to set up a research account in SETU. Research Finance will facilitate the transfer of the funds from another institution and the RSU will facilitate the set-up of the award in SETU in the usual way as outlined above.

3.4 Roles and Responsibilities in Research Contract Phase

The Researcher is responsible for the following: at Contract Phase

- ✓ Notifying the RSU of a successful award and providing all contract and proposal documentation to the RSU for review
- ✓ Notifying the Head of School of the successful award, highlighting where additional School resources are required to support the funded research project, if any
- ✓ Completing and signing the Sub Account Set-Up Form
- ✓ Compiling all necessary supporting documentation and submitting them to the RSU with the signed Sub Account Set-Up Form
- ✓ Liaising with the TTO, RSU and Research Finance as appropriate regarding more complex grants, where relevant
- ✓ Liaising with project partners to ensure all parties complete relevant award documentation and/or agreements
- ✓ Ensuring health & safety, insurance and ethical considerations have been addressed and where applicable, ensuring that the necessary authorisations have been obtained

The RSU is responsible for the following: at Contract Phase

- ✓ Organising review of contracts and formal institutional signature (acceptance) of research contracts and grants. The acceptance procedures may be processed in paper form or through funding agency/sponsor online system
- ✓ Returning signed formal acceptance documents/Research Agreement to the funding agency/ sponsor
- ✓ Ensuring all relevant supporting documentation is provided by PI prior to research account set-up
- ✓ Co-signing the Sub Account Set-Up Form and sending to Research Finance for project account set-up
- ✓ **Marking the Application as successful in Pure. Creating an award in Pure and uploading all relevant documentation (letter of offer, acceptance, signed contract, etc.)**

The Research Ethics Committee is responsible for the following: at Contract Phase

- ✓ Evaluating applications and providing research ethics approval for funded research projects, as required and advising if external approval is required by NREC[22] in the case of Clinical trials/or use of Medical Devices or work with the HSE/SOLAS

Research Finance, Finance Office is responsible for the following: at Contract Phase

- ✓ Financial compliance review of the budget during research project account set-up to include review of project specific eligibility criteria.
- ✓ Assessing the project for VAT liability based on the terms and conditions of the award or the contract between SETU and the funding agency/sponsor
- ✓ Liaising with the funding agency/sponsor regarding any budgetary issues such as invoicing dates and fund transfers
- ✓ Reviewing and approving Horizon Europe budgets prior to the completion of the grant preparation phase
- ✓ Setting up the project on M7 and emailing the P-Code to the PI, identifying any issues arising from the compliance review

The TTO is responsible for the following: at Contract Phase

- ✓ Reviewing research contracts for IP matters, and certain warranties required by funding agency/sponsor
- ✓ Drafting IP Agreements for research projects, if applicable
- ✓ Assisting with the preparation of consortium agreements or partner agreements, where necessary
- ✓ Assisting with the preparation and review of grant agreements, especially for Horizon Europe/International projects and other projects from the EU commission

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[22] https://www.nrecoffice.ie/about/national-office/

✓	Liaising with Industry in drafting and finalising all industry agreements (Including the SETU Co-fund programme)
✓	Tracking all industry agreements
✓	Retaining and recording all stages of the contract/industry agreement process

Phase 4: Research Project Mobilisation Phase

Context

Once a research grant has been set up by Research Finance, the PI can initiate recruitment of staff and students to the grant and can commence the purchasing of equipment and consumables.

4.1   Recruitment of Research Staff and Students

If the grant includes a provision for team members, a number of steps must be taken to ensure that the new research staff members have current contracts of employment and are on the Core HR System for their salary payments. Some funding agencies require the funding to be mentioned in the contract of employment, for example, on ERDF[23] projects the Contract of Employment of all staff working on the project must contain a statement indicating that staff are working on a project co-funded by the EU through the ERDF and the use of logos/emblems on all relevant staff contracts is required. PIs should be aware that several national funding agencies are co-funded by the EU through the ERDF. If this is the case for a project the PI must notify HR. The PI must also ensure that the research postgraduate students are fully registered in SETU and are setup on Banner for their stipend payments. The PI must be aware of, and adhere to, the **Open, Transparent and Merit Based Recruitment (OTM-R) Policy** for the Effective Recruitment and Selection of Funded Research Staff at SETU.[24]

OTM-R is one of the pillars of the European Charter for Researchers and in particular of the Code of Conduct for the Recruitment of Researchers, launched in 2005. OTM-R ensures that the most suitable person for the job is recruited, which brings benefits to Researchers, Institutions and the wider research ecosystem. More specifically, OTM-R makes research careers more attractive, ensures equal opportunities for all candidates and facilitates mobility.   SETU's OTM-R Policy provides guidance for anyone involved in the recruitment and selection process of funded research staff. The policy sets out the various steps of the SETU Researcher recruitment process, from advertising to appointment.

4.1.1   Recruiting Staff

Once the research account (P-Code) has been issued to the PI, the process of recruitment with HR via our dedicated **Research Recruitment Officer** may commence. The details for this process are outlined on the website under the **Research Project Mobilisation Phase** section https://www.setu.ie/research-innovation/researcher-support/resources-for-researchers/managing-your-research-project-waterford-campus

If a funded research project includes a provision for team members, a number of steps must be taken to ensure that these team members have current contracts of employment and are on the Core HR System for their salary payments. The PI must be aware of, and adhere to, the SETU Open, Transparent and Merit-based Recruitment (OTM-R) Policy for the Effective Recruitment and Selection of Funded

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[23]https://ec.europa.eu/regional_policy/en/funding/erdf/
[24] https://www.setu.ie/research-innovation/our-research-culture/hr-strategy-for-researchers/open-transparent-and-merit-based-recruitment-otm-r

Research Staff. Once the research account (P-Code) has been issued to the PI, the described at Research Project Mobilisation Phase can commence.

4.1.2 Advertising a Research Staff Post

HR (Recruitment) will support PIs with the advertisement of the research post in line with SETU's OTM-R Policy. In addition to the standard institutional recruitment channels (e.g. www.setu.ie) research positions will be advertised on a variety of websites, such as, www.euraxess.ie, www.nature.com, www.findapostdoc.com as requested by the PI, depending on the budget available. This process is managed by the HR recruitment officer for all site adverts listed above[25].

In addition, the RSU has invested in a 1-year contract with Irishjobs.ie for Researcher Recruitment which commenced in February 2020 for their 3 Slot Job Package. In 2021 we increased this to a 5-slot package to meet high demand time. This allows for 5 funded research positions to be advertised at any stage on www.Irishbjos.ie. It is hoped that this investment will assist Researchers with the recruitment process, widening the audience and reach of SETU's advertisements, which should result in a greater number of higher calibre applicants for SETU's funded research positions. For any queries on the recruitment of Researchers please email researchrecruitment.wd@setu.ie. It is recommended practice for the PI to keep copies of all advertisements for audit purposes.

Once the new research staff member commences, the *HR Commencement Form[26]* for Funded Research Staff must be completed and sent to hrprofilechange.wd@setu.ie. Please ensure that this is completed in its entirety as any missing data can result in a delay in salary payment to the new Researcher.

For any subsequent changes to a Researcher's salary, P code or contract duration please See Step-by-Step Guide – Employee Profile Change. the form for requesting changes after HR set up can also be found here: www.cognitoforms.com/WIT8/EmployeeProfileChangeForm

4.1.3 Research Postgraduate Students

Recruitment of students on funded research projects must be in line with SETU's commitment to an Open, Transparent and Merit-Based recruitment process. The PI is responsible for advertising and recruiting students for their project with the support of the Research Postgrad Admissions team {RPGadmissions.wd@setu.ie} and the Staff officer in the RSU {pgfundedsetup.wd@setu.ie]. The full 14 step process is detailed here: https://www.wit.ie/research/our_research/postgraduate-setup-process.

Once the Research Programme Board Chair (RPBC) for the relevant school approves a new funded PhD or Masters by research position, they send the approved the Postgraduate Scholarship Information Sheet[27] to the RSU staff officer via email to pgfundedsetup.wd@setu.ie for advertising. The RSU advertises all funded research postgraduate positions on the SETU website[28] and on external sites, such as www.findamasters.com, www.findaphd.com, and www.euraxess.ie.

Once a student has been selected, a number of forms must be completed to ensure that the student is fully registered at SETU (irrespective of campus), has paid relevant fees and is in receipt of their stipend from the grant. Please refer to the Postgraduate Setup Process Step-by-Step Guide on the RSU

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[25] https://www.setu.ie/research-innovation/researcher-support/resources-for-researchers/managing-your-research-project-waterford-campus

[26] https://www.wit.ie/images/uploads/Research_PDF/SETU_New_HR_Set_Up_Form.docx

[27] https://www.wit.ie/research/our_research/postgraduate-setup-process

[28] https://www.setu.ie/research-innovation/researcher-support/current-funding-and-open-calls

Website[29], where all forms are available to download. This process is supported by the RSU Staff Officer available via pgfundedsetup.wd@setu.ie.

The academic processes involved in the enrolment of funded research postgraduates are specified on the internal SharePoint site for Research Programme Boards[30]. Post interview, each selected student must be approved by the Research Committee which meets on a monthly basis during term time, this process and completion of the relevant forms is facilitated by the RPBC and the Graduate Studies office.

Once the student has registered the Graduate Studies Office (GSO) can provide information on the services available for research students from University functions. This is typically done via a Research Postgraduate Induction held annually in October, but students commencing at other times of the year can access an informal induction with a member of the GSO staff via email to "Graduate Studies" <GraduateStudies.wd@setu.ie>. The GSO also provides students with information on available skills training and the Universal PhD Path Modules that are coordinated centrally.

4.2   Human Resource Strategy for Researchers (HRS4R)

Our research community members are a crucial and highly valued part of the dynamic and thriving research environment at SETU, contributing to our international standing and reputation. In order to remain attractive and competitive we fully recognise the need to have the highest quality support and development for this key group of staff. Over the past eight years through the focus on the Human Resource Strategy for Researchers (HRS4R) we have invested in strengthening our research environment to be more inclusive, enabling and informed by best practice. We have considerably advanced our research policies, protocols and development supports for members of our research community. We have implemented a number of formal and informal initiatives which have shaped the development of a positive research culture. Our HRS4R aim is to be a leading research informed University with a flourishing research culture of highly skilled and empowered Researchers who have been fully equipped with making informed professional development choices whilst contributing to their chosen discipline and the wider University community. We are committed to providing all Researchers from early career Researchers to senior PIs with key opportunities to develop in their roles, grow in their careers, and engage in our diverse and inclusive research community. HRS4R has been a catalyst to help us achieve these ambitions.

In 2014, Waterford Institute of Technology (WIT) was the first Institute of Technology in Ireland to receive the "HR Excellence in Research" Award from the European Commission (EC), which recognises institutional practices in place to support researchers' career and professional development in line with the European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers. SETU retains this award after successful renewal in 2021. The award acknowledges SETU for providing attractive working conditions and equipping researchers with the broad skills and experience necessary to develop their research careers. This designation is a clear statement of our dedication to providing the research environment and career development sought by high performing researchers. It underpins our commitment to using research and innovation as a driver for regional social and economic development.

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[29] https://www.wit.ie/research/our_research/postgraduate-setup-process
[30] https://wit.sharepoint.com/sites/researchprogrammeboardchairs

Our action plans for the (2014-2016) (2016-2018) (2020-2023) periods include a number of ambitious targets, against which significant progress has been made. We developed a dedicated HRS4R website showcasing our HR Excellence in Research journey. This site contains official Action Plan documents, letter of endorsement, OTM-R policy and checklist, and a useful postcard with the principles of the European Charter for Researchers. It also holds details of all HRS4R events and training opportunities, in addition to interactive graphics and HRS4R specific video content. The aim of the site is to clearly break down the many channels of our HRS4R activities which be easily accessed both internally and externally. Visit here for more.

4.2.1 Broaden Your Horizons Researcher Development Programme (BYH)

BYH[31] is a training programme based on the skills and experience that National and International funders expect Researchers to develop during the course of their research career. The BYH programme is delivered collaboratively by internal and external specialists, offering a tailored suite of workshops, courses, events and resources. The programme complements the technical and discipline-specific training that Researcher receive at a local level, focussing on wider transferable skills. Courses and events are specifically designed for career Researchers. There are four central Skills Development Categories including Research Environment, Career Development, Knowledge & Expertise and Personal Skills & Effectiveness. Each category contains a range of programme topics which will be offered at various times throughout the year. The main mode of delivery is face-to-face through interactive workshops, online webinars and virtual coaching sessions. The Covid-19 pandemic called for major adjustments to the way we continue to support our research community members and to how we deliver on our Professional Development ambitions. We have endeavoured to provide Researchers with online professional development since the outset of the crisis, adapting the content of our programme offerings to respond to remote working and virtual engagement. Each course is delivered in bitesized, interactive sessions to maintain engagement levels and lend itself to virtual development. BYH events are promoted on the RSU website via the events page[32].

4.2.2 The ODYSSEY Researcher Mentoring initiative

The ODYSSEY[33] has been specifically designed for Early Career Researchers (ECRs) and matches an ECR with a trained, independent Mentor. ODYSSEY Mentors offer support and mentorship around career development and progression. The ODYSSEY is open to all SETU Researchers who self-define as being an ECR. The majority of ODYSSEY Mentors are Senior Researchers and Senior Academics; however, we recognise the importance and value of a diverse mentoring pool and welcome Mentor applications from anyone who would feel comfortable mentoring and supporting an ECR, discussing career development, progression and professional development. We have one intake per year, see the RSU website for The ODYSSEY timelines.

4.2.3 Researcher Wellbeing

SETU has a range of wellbeing initiatives to help Researchers cope with the highs and lows that everyone experiences doing research. Our wellbeing initiatives are based around: Being Connected, Being Active, Being Present, Being Engaged and Being Kind. We actively encourage Researchers to take time out at

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[31] https://www.setu.ie/research-innovation/our-research-culture/hr-strategy-for-researchers/broaden-your-horizons

[32] www.setu.ie/events

[33] https://www.setu.ie/research-innovation/our-research-culture/hr-strategy-for-researchers/the-odyssey-researcher-mentoring-programme

regular wellbeing events including Researcher Wellbeing Walks on the local Waterford Greenway, Researcher Games Sports Days, Researcher Bake offs, Researcher Networking Coffee Mornings, Festive Get Togethers, as well as Spring and Summer Socials. SETU has a dedicated Researcher Wellbeing X/Twitter account **@wellwitresearcher** promoting various aspects of Researcher wellbeing and sign posting Researchers to other useful wellbeing resources. These regular informal social opportunities for Researchers provide opportunities to network and to share the many potential wellbeing pitfalls of research, swap coping strategies, share information and connect with the wider Research community. Since the Covid-19 pandemic, even greater emphasis has been placed on well-being support providing virtual workshops on Researcher wellbeing, resilience, coping with working during a pandemic and working away from your team. - Specific Guidelines for SETU research managers have been devised to help address the challenges in managing a remote team or those working in hybrid mode, engaging your team and on looking after your own wellbeing and that of your team members.

4.3   Research Integrity

SETU fully endorses the *European Code of Conduct for Research Integrity*[34] and the *National Policy Statement on Ensuring Research Integrity in Ireland[35]* and requires that all research activities are conducted in line with the highest standards of integrity and research ethics. Researchers must ensure compliance with the SETU *Code of Conduct for the Responsible Practice of Research*. **All research active staff and research postgraduate students <u>must</u> complete the research integrity training provided by Epigeum**, as it is a requirement of most national funders that anyone working on a funded research project must completed this Research Integrity training within the first 6 months after the date of commencement of the grant. To register for this training, individuals should first complete the online *Epigeum Research Integrity Training Registration Form*[36]. For further information on Research Integrity or to discuss a Research Integrity issue please contact the Research Integrity Officer. Further information can be obtained on the dedicated webpage here.

A Framework to Enhance Research Integrity in Research Collaborations, was designed by THEA and IUA to help researchers reinforce a culture of responsible conduct of research (research integrity) in their research collaborations, so they can, as far as possible, avoid incidences of serious research misconduct and unacceptable research practices occurring during the collaborative work. Collaboration is central to research and innovation, and that increasingly, researchers work together and with a wide range of external stakeholders to deliver outcomes that expand the boundaries of human knowledge and have the potential to deliver real benefits for today's rapidly developing society. A copy of the document can be accessed online

4.4   Ordering Goods and Services

Research grants often include a provision for goods and services, including equipment, materials, consumables and consultancy services. All purchasing must be in accordance with the SETU Procurement Policy. Funding agencies/sponsors often have specific procurement guidelines which must also be adhered to. All finance policies and forms are available on Q:\Public\Procurement[37]. The Finance Office is responsible for implementing the SETU Procurement Policy and Procedures and

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[34] https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf

[35] http://www.iua.ie/publication/national-policy-statement-on-ensuring-research-integrity-in-ireland/

[36] https://www.cognitoforms.com/WIT8/SETUWaterfordCampusEpigeumResearchIntegrityTrainingRegistration

[37] https://www.wit.ie/about_wit/documents_and_policies/procurement-information

provides support, training and advice to staff on purchasing issues. This includes advising staff on the tendering process, assisting with the quotations process and running competitive tenders. Please note that because of the process required and lead times, it can take some time for goods and services to be procured so it is advisable to plan these activities well in advance. For support with the procurement process please email procurement.wd@setu.ie.

Monetary Threshold Value	Procurement Process Required
Under €5,000	At least one written quote
€5,000 to €50,000	Three written quotes
€50,000+	Tender procedures as per Government Guidelines
All thresholds are exclusive of VAT	
Initiatives to assist SMEs in Public Procurement	

4.5   Travel, Subsistence and other Expenses

All claims for payment of car allowances, subsistence, travel and incidental expenses shall be in accordance with the University's Travel and Subsistence Policy (available on Q:\Public\Payroll), based on the Department of Finance Circular 11/82[38]. Claims are processed online via the Core portal system[39]. Funding agencies/sponsors may also have specific guidance on travel & subsistence which must also be complied with.

4.6   Roles and Responsibilities in Research Project Mobilisation Phase

The **Researcher** is responsible for the following: at **Mobilisation Phase**
✓   Adhering to the highest standards of integrity in the performance of their research, as outlined in the SETU Code of Conduct for the Responsible Practice of Research[40]
✓   Ensuring all research team members are aware of and adhere to the SETU Code of Conduct for the Responsible Practice of Research
✓   Ensuring the Epigeum Research Integrity Training[41] is completed by all research staff and research postgraduate students on the project within the first six months after award commenced
✓   Ensuring ethical approval is sought, if required, and ensuring research team members undertake research ethics training, if required. Ethical approval should be shared with the RSU relevant grant officer for all funded projects.
✓   Adhering to and being aware of the SETU Conflict of Interest Policy[42]
✓   Liaising with HR on the recruitment of staff for funded research projects
✓   Completing and uploading the Recruitment Requisition R&D Form along with the Job Description and Person Specification to HR for the recruitment of staff to the project, ensuring that sufficient funds are available to cover these costs and that employment contract dates are within the lifetime of the grant
✓   Completing and submitting HR Commencement Form for Funded Research Staff to HR (hrprofilechange.wd@setu.ie) ensuring that start and end dates are correct. The correct end date is crucial in order to avoid any risk of over payments

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[38] http://circulars.gov.ie/pdf/circular/finance/1982/11.pdf
[39] https://www.setu.ie/staff/access-core-portal-waterford
[40] https://www.setu.ie/policies
[41] https://www.setu.ie/research-innovation/researcher-support/researcher-compliance/research-integrity
[42] https://www.setu.ie/Craft/assets/policies/Conflicts-of-Interest-Policy.pdf

✓	Liaising with the RSU on the recruitment of research postgraduate students to funded research projects
✓	Completing the Postgraduate Scholarship Information Sheet for any new funded research postgraduate positions, getting this approved by the school RPBC and submitting to the RSU for advertisement via **pgfundedsetup.wd@setu.ie**
✓	Advise the successful research postgraduate students with the completion of the Research Postgraduate Student Set-Up Form and ensuring that the stipend and fees are correct and in accordance with the grant agreement/award and funding body T&Cs. They can advise on, start date, end date and the cost centre to be used. This will then be verified by the RSU records via email of **Pgfundedsetup.wd@setu.ie**
✓	Advising research postgraduate students with the completion of the Scholarship Exemption Form
✓	Liaising with the Head of Department and the Registrar's Office on the research postgraduate registration (PG_A2) process
✓	Liaising with the Graduate Studies Office on postgraduate induction and on the allocation of a desk space in the library for the research postgraduate student
✓	Ensuring SETU's Open Research Policy and Authorship Policy re adhered to
✓	Ensuring adherence to Finance and HR Policies and Procedures
✓	Ensuring adherence to SETU Waterford Campus Financial Regulations Manual and SETU Waterford Campus Financial Procedures Manual available on Q:\public\finance, for the Waterford Campus
✓	Reviewing the procurement guidelines and requesting briefing/training session with Procurement Officer as required
✓	Reviewing and ensuring compliance with the Travel & Subsistence rules

Research Finance, Finance Office is responsible for the following: at Mobilisation Phase

✓	Confirm to HR if funds are available within the project to recruit for the specified role
✓	Advising on any funding agency/sponsor specific eligibility, rules and regulations

Human Resources is responsible for the following: at Mobilisation Phase

✓	Reviewing and signing off on any recruitment forms and or post graduate set-up forms to ensure sufficient funds are available to support staff and students

The Head of School is responsible for the following: at Mobilisation Phase

✓	Reviewing and signing the Research Staff Authorisation Form, authorising the position to be advertised
✓	Reviewing and Signing the HR Commencement Form for Funded Research Staff, for all new staff on funded research projects

The Procurement Office is responsible for the following: at Mobilisation Phase

✓	Managing EU tenders and providing assistance with the management of national tenders
✓	Issuing contract notices/documents to the EU Journal (OJEU) and the Irish Government's website (www.etenders.gov.ie)
✓	Assisting in the identification of suitable suppliers, where expenditure is below the threshold for national/EU tender
✓	Providing generic tender documents suitable for use with national and EU tenders
✓	Setting up new suppliers

The RSU is responsible for the following: at Mobilisation Phase

✓	Assisting the PI with the recruitment of Research Postgraduate Students
✓	Processing Set-Up Form and Scholarship Exemption Form for new funded research postgraduate students. Verifying that the stipend and fees are correct and in accordance with the grant agreement/award and funding body T&Cs with the relevant grant officer. Organising the Control sheet to finance to ensure the payments are set up.
✓	Preparing and processing the Research Postgraduate Student Agreement. The RSU staff officer prepares the Research Agreement in accordance with the grant agreement/award and funding body T&Cs. This is issued via DocuSign by the RSU staff officer to be signed by the Student, Lead Supervisor and Head of Research.
✓	Processing the Internal Postgraduate Fee Transfer Form to ensure postgraduate fees are paid from the research account, where postgraduate fees are covered by the grant

The Human Resource Office is responsible for the following: at Mobilisation Phase

✓	Assisting Researchers with the recruitment and selection of Funded Research Staff
✓	Providing interview selection training and unconscious bias training for Researchers who sit on interview panels

✓	Signing the Research Authorisation Form
✓	Organising the advertising for and interviews of Funded Research Staff
✓	Preparing all Contract of Employment for Funded Research Staff
✓	Setting up the Research Staff on SETU's Core HR system and organising their salary payments
✓	Coordinating activities under the HRS4R including the Researcher Broaden Your Horizon Training & Development Programmes, ODYSSEY Mentoring initiative and Researcher Wellbeing activities
The Graduate Studies Office is responsible for the following: at Mobilisation Phase	
✓	Organising Research Postgraduate Induction annually (normally early October) and later in the academic year, as necessary
✓	Providing/coordinating training for Research Postgraduate Students and Supervisors
✓	Supporting progression of Research Postgraduate Students in compliance with regulations
✓	Allocating desk space for Research Postgraduate Students in the SETU Waterford Campus's Luke Wadding Library
✓	Co-ordinating centrally provided training programmes and the Universal Pathway programme in conjunction with the SoELL
The TTO is responsible for the following: at Mobilisation Phase	
✓	Ensuring the PI and associated team members sign the appropriate IP Declaration/Assignment forms as may be required by the funding agency/sponsor/company
The International Office is responsible for the following: at Mobilisation Phase	
✓	Supporting Incoming International Research Postgraduate Students

Phase 5: Research Project Management Phase

Context

During the lifetime of a research project the funding agency/sponsor sets out a number of requirements in relation to both the finances of the project as well as the scientific programme. This includes the provision of regular reports to the funding agency/sponsor in relation to how the project is progressing, any changes to the work programme or schedule and financial reports on the expenditure incurred.

Any change, which is not provided for under the terms and conditions of the grant, must be approved by the funding agency/sponsor and central University authorities (i.e. Vice President for Research, Innovation & Impact and Research Finance). The following are examples of changes that may require approval:

- Start/end dates.
- Budget transfers between funding categories (outside of range permitted under the contract)
- Purpose/intention of funding.
- Named Researcher responsible for grant.
- Costed or non-costed extensions.
- Early Termination
    - Pausing or any amendments to student stipends can be directly notified to pgfundedsetup.wd@setu.ie

Please email research.wd@setu.ie to notify the RSU of any of the changes above. A Project Alteration Form may need to be completed by Research Finance and submitted to the funding agency/sponsor.

The research grant and associated research agreement remains in place regardless of the mobility of the named PI. The approval of both the University and the funding agency/sponsor must be obtained before any portion of a research grant can be transferred from the University in the event that the PI leaves the University.

If the named PI's eligibility status changes before the completion of the research project, the Head of School must agree a path with the RSU who will in turn consult with the funding agency/sponsor to either continue the research by identifying an alternative PI, bring the current research activity to a close or move the research grant to another Institution.

5.1 The Roles and Responsibilities of a Coordinator

A number of funding bodies/programmes require that there is a lead partner or a co-ordinator in place for the project. The following example for Horizon Europe projects is a good illustration of the depth and breadth of this role. It is important that PIs are cognisant of the responsibilities when the University takes on this role.

All multi-beneficiary Horizon Europe grants require a partner to lead the Consortium and assume the role of Coordinator of that grant. The Coordinator has additional responsibilities above and beyond her/his own scientific deliverables and the obligations of all grant beneficiaries. The non-exhaustive list below offers some insight into the Coordinator's roles and responsibilities:

1. Act as the intermediary for all communications between the beneficiaries and the EC.
2. Monitor and control the project's work plan and that the action is implemented properly.
3. Arrange consortium meetings and subsequent reporting.
4. Implement quality procedures for the project.
5. Gather, monitor, and consolidate scientific and technical content of periodical reports.
6. Prepare, manage, and coordinate project's financial checks.
7. Administration of project resources including budget-related issues and timesheets
8. Financial management including distribution of payments to the beneficiaries.
9. Facilitate communication within the consortium on administrative matters.
10. Handle outstanding administrative issues like contract amendments.
11. Consolidate project's deliverables and reports and maintain Quality Assurance including submission to the EC.
12. Provision of a project management electronic platform.

5.2 Audits and Record Keeping

The Institution and the PI must retain all documents, including financial, statistical, administrative, scientific and all other relevant supporting papers, statistical records, photographs and other records in both hard and electronic form in relation to the Research Programme, the Grant, the Programme Intellectual Property and all other relevant documentation that demonstrates compliance with the Grant Terms & Conditions for a period of ten (10) years after the date of termination of the Grant.

5.2.1 Record Retention for Projects funded under the European Regional Development Funds

For all EU projects funded under the European Structural & Investment Funds (e.g. Interreg), the audit process is very detailed and requires project managers to keep a record of certain documentation. This list is not exhaustive and PI's should refer to the Funding agency programme manual for more information.

For Interreg funded projects the following documents must be available for control purposes for all travel and events attended and/or hosted:

- Agenda (or similar) of the meeting/ seminar/ conference
- Documents proving that the journey took place (boarding passes or participant lists etc.)
- Paid invoices (including hotel bills, transport tickets, etc.) and, if applicable, the employee's expense report with a proof of reimbursement by the employer to the employee
- Any other receipts required for vouched costs.
- Daily allowance claims (if applicable) including proof of reimbursement by the employer to the employee.
- Travel outside the European Union part of the programme area need to be approved and tracked.
- For final dissemination event & partner meeting- as evidence, the project must provide the final agenda and the list of participants (signed or with equivalent probative value) and meeting notes (for partner meeting)

5.2.2 External expertise and services

The following documents must be available for control purposes:

- Evidence of the selection process, in compliance with the applicable EU, national and internal public procurement rules. Any changes to the contract must comply with the public procurement rules and must be documented.
- A contract or other written agreements of equivalent probative value laying down the services to be provided with a clear link to the project.
- An invoice or a request for reimbursement providing all relevant information in line with the applicable accountancy rules.
- Proof of payment.
- Outputs of the work of external experts or service deliverables, e.g. brochures of events organised.

For European funded projects, i.e. Horizon 2020 and Horizon Europe, the beneficiaries must — for the period as set out in the contract after the payment of the balance — keep records and other supporting documentation to prove the proper implementation of the action and the costs they declare as eligible. This includes and is not limited to contracts, subcontracts, invoices, accounting records, timesheets, etc.

5.2.3 Information and Publicity

All projects in receipt of European funding must comply with the publicity requirements stipulated in EU Regulation No 2021/1060[43].

While the list is non-exhaustive, all Information and Publicity measures must include:

- The European flag, in accordance with the technical characteristics set out in the EU Regulation No 2021/1060, together with reference to the European Union
  - ESF Funded programmes: ERDF, e.g. Enterprise Ireland Commercialisation Fund, Innovation Partnerships, Innovation Vouchers, European Maritime, Fisheries and Aquaculture (EMFF)
  - The Government of Ireland logo will be used for all public facing communication, followed by the new EU logo when referring to/communicating the programmes co-funded by the GOI and the EU. Projects should use the following tagline 'ABCD is co-funded by the Government of Ireland and the European Union'.

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[43] https://ec.europa.eu/info/resources-partners/european-commission-visual-identity_en

- For H2020 and Horizon Europe: Please refer to the specific requirements of the relevant funding programme: European Commission guidelines and Acknowledgement of EU Funding
- Erasmus Plus – View Erasmus Plus guidelines for the various funding periods
- Interreg - All information and communication activities must display the support from the Interreg Programme and EU funds. Misuse (of the EU emblem, the reference, or the Programme logo) may result in ineligibility of items produced for the project, i.e. the costs will not be fully refunded. Please refer to the Project branding and visibility rules in relation to your project to comply with requirements.

The following documentation should include the appropriate logos:

- Contracts of employment.
- Project websites/webpages - easily visible without scrolling.
- PowerPoint presentations.

The size of the EU flag shall be appropriate to the scale of the material. For small promotional objects, point 2 does not apply.

Please refer to the Regulations and Guidance 21-27: and for ongoing projects under 2014-20 refer to "Information and Communication Guidelines for European Structural and Investment Funds 2014-2020"

While not specifically mentioned in the Programme Manual, all projects are expected to develop a set of mandatory communication tools within the first six months of the project lifetime.

- Mandatory communication tools (within first six months)
- Project website
- Project Logo
- Place at least one poster (minimum A3 size) with information about the project including the financial support from the European Union at a location readily visible to the public i.e. entrance area of a building.
- providing on the beneficiary's website, where such a website exists, a short description of the operation, proportionate to the level of support, including its aims and results, and highlighting the financial support from the European Union
- Maintain publicity folder for inspection onsite.

Please refer to your project contract for specific requirements required by your Funding Agency.

5.3   Financial Management

Financial rules and regulations are set out in the SETU Waterford Campus Financial Procedures Manual, the SETU Waterford Campus Financial Regulations and the following specific policies:

- Procurement policy.
- Travel policy.
- Credit card policy.
- Hospitality policy.
- Mobile phone policy.
- Cash handling policy.
- Overheads framework.

This suite of policies governs all financial matters in SETU Waterford Campus are available on Q:\Public. These regulations, policies and procedures apply to all funds disbursed through the University regardless of the source of those funds. Compliance with the Financial Regulations is compulsory for all staff connected with the University.

The Financial Procedures manual sets out the procedures applicable in each of the following areas:

- Cash & Bank
- Treasury Management
- Budgeting
- Financial Closing & Reporting
- Income & Accounts Receivable
- Expenditure
- Fixed Assets
- Disposal of Assets
- Payroll
- Research & Self Financing

5.3.1   M7

The Financial Management System (FMS) in use in SETU Waterford campus is M7. PIs are responsible for the day-to-day financial management of their research account and can view and manage their existing grants by logging into M7 on campus or virtually via a VPN. PIs must monitor and review the income and expenditure on their grant on an ongoing basis to ensure that only eligible expenditure is charged to the research account. Please refer to the grant agreement for eligible expenses and liaise with Research Finance if unsure. **Research Finance will assist with any queries regarding transactions going through a research account or if PIs require additional financial reports relating to their research projects**. Research Finance can provide training on the web-based version of M7 that will give the PI full visibility of expenditure on a real time basis. It is critical if invoices need to be raised to industry partners to ensure income to the project code that the PI ensure this is done in accordance with the schedule outlined at project contract stage.

5.3.2   M7 Grant Reporting

There is a facility for PIs to view their current grants by logging into M7. Research Finance will enable this for PIs on request. In 2021 the team in Finance created a Project view for PI's so that accounts could be interpreted more clearly and with ease **(see Appendix B of this guide).** This process can be provided on request by emailing to researchfinance.wd@setu.ie.

5.3.3   Management Reports

Research Finance prepares regular Management Reports for each centre. Reports are distributed to the Heads of Research Centres and the RSU at period ends. PIs have full visibility of accounts on M7 but if further assistance is required, Research Finance should be contacted. Furthermore, all self-financing accounts are reviewed as part of the month end process.

5.3.4   Interim Reports

Funding agencies/sponsors usually require annual or interim technical and financial reports during the lifetime of the research project. The PI is responsible for the preparation and submission of all technical reports. All financial reports must be prepared and submitted by Research Finance, who will liaise with

the PI to ensure the completion of cost statements and any other financial statements for the funding agency/sponsor for all research projects.

5.3.5 Travel, Subsistence and Other Expenses

All claims for payment of car allowances, subsistence, travel and incidental expenses shall be in accordance with the University's Travel Policy and Related Procedures which are available on Q:\Public\Finance\FINANCE POLICIES, based on the Department of Finance Circular 11/82 and all subsequent updates. Claims are processed online via the Core portal system[44].

5.4 Transfers

5.4.1 To External Partners

In cases where SETU is the lead Institution on a research grant, SETU will be responsible for transferring funds to the partners. Research Finance will facilitate these transfers once all research agreements are in place with the partners and in accordance with the terms and conditions of the grant agreement. A letter instructing Research Finance to make the payments must be co-signed by the Vice President for Research, Innovation & Impact or Head of Research and the PI. The PI needs to arrange for the partner to be set up on M7, if they have not been set up previously. This process is time consuming due to controls so please action this as soon as possible. PIs need to arrange for a purchase order to be raised on M7 with the signed letter attached. Research Finance will then fill in the necessary forms and work with Accounts Payable and Procurement to ensure the payment transfer is approved and paid. This process also applies for the IRC, Employment based programme awardees and is managed in conjunction with the lead supervisor and the RSU. See **Appendix A** of this document for the detailed procedure on P2P.

5.4.2 From SETU (Entire Award)

As a formal offer of funding is normally made to the University and not directly to the PI, this agreement remains in place regardless of the mobility of the named PI and the approval of both parties would be required before any portion of the grant could be transferred with the PI to another Institution.

In the event that a PI leaves SETU to take up a position in another Institution, the RSU and the funding agency/ sponsor must be informed immediately. Where it is deemed appropriate that the grant should be transferred to another Institution with the PI, Research Finance will facilitate the transfer of the funds once all the relevant documentation from the funding agency/sponsor is completed. Approval must be received from both the funding agency/sponsor and the University before the transfer can take place.

5.4.3 Within SETU to a Different PI when Original PI Leaves

Where the research activity is to continue in SETU, the research project is generally taken over by a member of the research team, who then becomes the PI and is responsible for the delivery of the project. This may include supervision of research students and staff and must be agreed with the Head of School and the RSU. A request for the change in PI should be sought in advance from the funding agency/sponsor and, where agreed, formal approval should be forwarded to the RSU (please email research.wd@setu.ie). All records will then be updated with the details of the new PI.

5.4.4 Closure of Grant when PI Leaves

In the case of closure of the research project, the PI must provide all documentation and details of research outputs to date (as per contract and IP agreements) to the funding agency/sponsor. This will

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[44] https://www.setu.ie/staff/access-core-portal-waterford

usually involve a final cost statement and final programmatic/technical report being provided to the funding agency/sponsor. In circumstances where advance funding has been provided, or where there are unspent funds, the closure of the project may involve returning unspent funds to the funding agency/sponsor. Research Finance will liaise with the funding agency/sponsor in this regard. The PI should meet with the RSU and Research Finance to agree a Project Closure Plan. There is also an official form that must be completed to officially close out each project - https://www.cognitoforms.com/WIT8/ResearchProjectClosureForm

5.4.5 Between Internal Accounts

In exceptional circumstances and only where appropriate, Research Finance will facilitate the transfer of funds between internal accounts. A transfer between accounts journal is prepared if expenditure charged to a research account needs to be reallocated to another research account.

5.5 Budget Amendments

In most cases, the Letter of Offer issued by the funding agency/sponsor will clearly detail the budget categories against which the funding is to be allocated together with the total value of the award.

5.5.1 Reallocations

Any changes to either the budget allocation or the total overall value must be approved by the funding agency/sponsor. The funding agency/sponsor normally provides the PI with a form to be completed to make the necessary amendment or reallocation which may require the signature of Research Finance and/or the University's authorised signatory (Vice President for Research, Innovation & Impact or Head of Research). Once the amendment or reallocation is approved by the funding agency/sponsor, M7 is then updated by Research Finance.

5.5.2 Cost Extension

Where additional funding is required to complete the research project, the PI must contact the funding agency/sponsor to seek a cost extension. Normally, the funding agency/sponsor provides the PI with an extension request form to be completed which must be signed by Research Finance. Where the cost extension request is approved this is normally communicated in writing to both the PI and the Institute by the funding agency/sponsor.

Once a cost extension is approved by the funding agency/sponsor, the PI must issue the RSU research.wd@setu.ie) with all correspondence relating to the cost extension along with details as to how this additional income will be allocated across budget categories in the research account so that the GMS on PURE can be amended to reflect the additional income. The RSU will then send all correspondence to Research Finance so that the project can be updated on M7 with the new budget.

5.5.3 No Cost Extension

Where additional time only is required to complete the research project, the PI must contact the funding agency/sponsor to seek a "No Cost Extension" or "Time Only Extension". As with any other programmatic changes to the project, **any extension must be authorised by the funding agency/sponsor**. Where the request is approved this is normally communicated in writing to both the PI and to the University by the funding agency/sponsor. The PI must contact the RSU (please email research.wd@setu.ie) once approval has been received and the GMS on PURE will be updated to reflect the revised project end date. The RSU will then inform Research Finance so that the project end date can be updated on M7.

5.6 Timesheets

As part of their terms and conditions, the majority of funding agencies/sponsors require evidence of an individual's time worked on a research project. **It is best practice to record all time spent on a funded research project on a timesheet.** The individual Researcher undertaking the work is expected to complete and sign the timesheet every month for each month that they work on the project and the PI should counter sign it. A sample timesheet is available on the RSU website[45]. **This is an area that is audited frequently and it is fundamentally important to maintain up-to-date timesheets as the project progresses.** It is extremely important to ensure that the time recorded is accurate, and to keep timesheets consistent when a person is working on multiple projects.

5.7 Commercialisation of the Research

The Technology Transfer Office/s (TTO) in SETU is responsible for the implementation of SETU policies relating to intellectual property (IP) and for the provision of advice on the identification, protection and exploitation of this IP. The TTO works with Researchers in identifying the most appropriate business model for the commercialisation of the IP which may involve licensing to commercial partners or the creation of spin-out companies. A comprehensive overview of the TTO is provided in the Technology Transfer Office Procedure Booklet which is available to SETU Researchers on request from tto.wd@setu.ie.

The key activity for Researchers in relation to the commercialisation of research is to ensure they maintain open relationships with their industry counterparts. The TTO will specifically advise each Researcher on the specific terms of licencing to 3rd parties. The Researcher should make contact with the TTO regularly to advise them of discoveries and inventions during their project. Before the end of any substantial project (>1 year) the Researcher should notify the TTO (~3 months) to provide and update on the potential commercial potential. The TTO may request that the Researcher complete documentation to detail the IP created and potentially available to licence.

5.8 Commercial Search

The TTO provides dedicated commercial reviews of patent landscapes and market information. This information is provided through dedicated resources such as 'patent databases such as 'Frost and Sullivan, BCC, Gartner etc. To request access to this information please consult the TTO. Please allow at least two weeks for the TTO to be able to respond to specific queries.

5.9 General Data Protection Regulation (GDPR)

The EU General Data Protection Regulation (GDPR) came into effect on the 25th of May 2018 and replaces the earlier data protection framework under the EU Data Protection Directive. GDPR places direct data processing obligations on businesses and organisations at an EU-wide level. According to the GDPR, an organisation can only process personal data under certain conditions. For instance, the processing should be fair and transparent, for a specified and legitimate purpose and limited to the data necessary to fulfil this purpose. It must also be based on one of the following legal grounds:

1. The **consent** of the individual concerned
2. A **contractual obligation** between you and the individual
3. To satisfy a **legal obligation**
4. To protect the **vital interests** of the individual

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[45]https://www.setu.ie/research-innovation/researcher-support/resources-for-researchers/managing-your-research-project-waterford-campus

5. To carry out a **task that is in the public interest**
6. For your company's **legitimate interests**, but only after having checked that the fundamental rights and freedoms of the individual whose data you are processing are not seriously impacted. If the person's rights override your interests, then you cannot process the data.

Breaches of personal data have serious consequences for the University. It is therefore an institutional requirement that all Researchers involved in funded research projects must undergo GDPR Training. Please complete the online Registration Form[46] to get access to the online data protection training. The module provides an online certification of completion once the participant has passed the module requirements. The PI should keep a copy of GDPR certificates for all Researchers on the relevant research project file. For further guidance on GDPR and Data Protection at SETU please contact dataprotection.wd@setu.ie.

5.9.1   Personal Data & Research

European Citizens have a fundamental right to privacy. It is important for organisations, which process personal data, to be cognisant of this right. Therefore, GDPR also **applies to any research that uses personal data, including scientific research and studies in the arts and humanities.** This may include public health research, studies on health outcomes, epidemiology, clinical trials, social sciences, politics and modern history.

5.9.2   Research Data Management & Data Management Plans

To assist Researchers in better understanding the area of Research Data Management and in meeting funders' requirements in devising a Data Management Plan (DMP) the RSU has prepared A Practical Guide to Research Data Management & Data Management Plans[47]. An increasing number of national and EU funding agencies and schemes such as EU Framework Programmes including Horizon Europe require Researchers to develop a detailed plan for managing, storing or preserving data, sharing their data with the general public and the secure destruction of data following relevant retention periods. Devising a DMP is also good research practice for Researchers and their wider research team even when the data cannot be shared for various reasons - legal, privacy, secondary use, etc. Other resources to support this action are available on the RSU staff hub here.

5.9.3   Research using health related personal data

It is important to know that Ireland has introduced detailed Health Research Regulations that anyone, who works with health-related personal data needs to be aware of:

- Data Protection Act 2018 (Section 36(2)) (Health Research) Regulations 2018, but they are more commonly referred to as the Health Research Regulations[48]
- Health Research Board (HRB) Guidance on Health Research Regulation[49]

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[46] https://www.cognitoforms.com/WIT8/RegisterForAnAccountToCompleteOnlineDataProtectionTraining
[47] https://www.wit.ie/images/uploads/Research_PDF/WITDataManagementGuidance.pdf
[48] http://www.irishstatutebook.ie/eli/2018/si/314/made/en/pdf
[49] https://www.hrb.ie/funding/gdpr-guidance-for-researchers/health-research-regulations-2018/

- Guidance on Information Principles for informed consent for the processing of personal data for health research[50]

GDPR emphasises transparency, security and accountability by data controllers and processors, while at the same time standardising and strengthening the right of European citizens to data privacy. For further information on GDPR please visit www.dataprotection.ie. Please also visit the SETU website on https://www.wit.ie/about_wit/documents_and_policies/staff_data_protection for access to the SETU Data Protection Policy and Data Protection Procedures.

5.10   Promote Your Research

To ensure compliance with funding agency/sponsor dissemination and communication requirements, it is important to disseminate your funded research as widely as possible. Optimising the discoverability of your research across traditional and online channels is a great way to enhance its visibility and impact. Global scientific output is *doubling* every nine years, so it is more important than ever to ensure your research publications are easily discoverable.

Traditional methods for promoting research continue to be of primary importance. These include:

- Presenting your research at conferences
- Publishing in a high-quality printed journals or books
- Utilising Social Media
- Keeping your Researcher Profile up to date in Pure
- Communicating your research to diverse audiences, including the media and public

The Marketing team have developed Story templates to help Researchers compile basic components of a web story or press release which are sent in using the form at here so they can be turned around quickly. Please contact the Marketing team for ideas on how to best promote your research (please email marketing.wd@setu.ie).

One of the objectives of the quarterly Research Newsletter is to promote research stories so please email your research news articles to researchnews.wd@setu.ie. This newsletter is circulated to all SETU staff, research postgraduate students, and selected undergraduate students. The primary aim of the publication is to highlight research stories and upcoming research events to the research community. In addition, it carries research stories of interest, research career training and development resources, and provides an insight into what has been achieved with research funding both internal and external to SETU.

5.11   Open Research & SETU Waterford Campus Research Repository

It is a mandatory requirement of SETU and many funding agencies, e.g. SFI, HRB, IRC and the EU Framework Programme, that research outputs are made available on an open access basis. This is supported at SETU as outlined in the **Open Research Policy**[51]. The aim of this policy is to maximise the return on investment of public money in research carried out at the Institution. SETU has endorsed the National Action Plan for Open research 2022-2030[52]   Through the use of an ORCID identifier (Register for an ORCID ID at https://orcid.org) and support offered by the Library, which manages the Research publications Repository. Researchers can upload peer-reviewed final drafts of their publications to Pure

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[50] https://www.hrb.ie/fileadmin/1._Non-plugin_related_files/RSF_files/GDPR_guidance_for_researchers/Health_Research_Information_Principles.pdf
[51] https://www.setu.ie/policies?page=1
[52] https://www.ria.ie/sites/default/files/national-action-plan-for-open-research-webversion.pdf

which is synchronised with the University's [Repository](#). All publications must be lodged in Pure. Pure automatically harvests publications from Scopus and other research databases and a Researchers just needs to accept these into their Pure Profile. Further information on publications in Pure or how to manually add a publication to Pure can be obtained from [Pure@setu.ie](#) The SETU Waterford Campus library also receives an annual allocation of Open Research APC vouchers from Elsevier, available to corresponding authors at SETU. Further details can be obtained by contacting David Kane[53] [[david.kane@setu.ie](#)]. This agreement enables authors affiliated with member institutions of Irish institutions to publish their research in Open access in Elsevier journals without having to pay an APC. Additional information here [https://www.elsevier.com/open-access/agreements/ireland.](#)

In accordance with sound research information management, SETU's Open Research Policy mandates the use of persistent identifiers for the author where possible and for published research where available. The use of such identifiers, along with open access, serve to increase the visibility of research produced by the Institution. This is because modern research data infrastructure depends heavily on such identifiers. This applies to the traditional citation indexes, and also to the newer 'alternative metrics' platforms that seek to measure research impact through parsing social and other online media specifically for such Digital Object Identifiers (DOIs).

Deposits can be made by individual Researchers themselves or by library/administrative staff. It is a straightforward process and any concerns about issues such as copyright and intellectual property issues are easily handled by the library staff. The purpose of the research repository is to make your research publications openly accessible online. As a result of the increased visibility, work deposited in the repository gains more citations. For further information on the SETU Waterford Campus Repository please visit [here.](#)

We also have some details on other available repositories here: [Resources on Data Management Plans and FAIR Principles.docx](#)

In May 2022 SETU signed the San Francisco Declaration of Research Assessment (DORA)[54] which recognises wider ways of disseminating research. By signing DORA, SETU is deepening its commitment to responsible research assessment, and will remain focused on the declaration's primary recommendation: to de-emphasise the use of journal-based metrics – particularly Impact Factors – as a surrogate measure of research quality. Signing DORA brings SETU into alignment with the key Irish funding bodies that are already taking an enlightened approach to research assessment. These are:

- Health Research Board (HRB), Ireland
- Irish Research Council
- Science Foundation Ireland

5.11.1 Export Control Licences at Dissemination Phase

As the push for Open Access, as required by some funding programs, aims to improve the access to and re-use of research output and data, these Open Access objectives also do not exempt the researchers and research organisation from screening proposed publications and data sets first under the **(technology) control provisions** of the EU dual-use Regulation and act accordingly. Please see **Section**

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[53] [https://www.elsevier.com/open-access/agreements/ireland](#)
[54] [https://sfdora.org/](#)

2.7 of this guide for details on Export Control licences and [here](#) for EU recommendations. Queries can be discussed with Research support unit staff in SETU Waterford Campus.

5.12 Researcher Profiles

Researcher profiles for SETU Waterford Campus staff should be kept up to date on the SETU website through Pure (https://research.wit.ie) . Once the information is entered onto Pure by the Researcher, the Researcher can download their CV for grant applications, School or Programmatic Reviews and research annual reports as required.

5.12.1 Updating Profile

For guidance on updating your profile in PURE please visit

https://www.setu.ie/research-innovation/researcher-support/resources-for-researchers/pure/getting-started-with-pure

You can also email Pure@setu.ie for guidance and advice.

5.13 Roles and Responsibilities in Research Project Management Phase

The Researcher is responsible for the following: at Project Management Phase
✓ Adhering to the highest standards of integrity in the performance of their research, as outlined in the SETU Code of Conduct for the Responsible Practice of Research[55]
✓ Managing the research project in line with the scope of work as agreed with the funding agency/ sponsor
✓ Monitoring transactions on the research account to ensure only eligible expenditure is charged to the account
✓ Submitting all reports (interim and final) to the funding agency/sponsor as required in the terms and conditions of the grant
✓ Formally requesting accounts receivable to invoice industry partner, where required (e.g. monthly, quarterly, annually etc)
✓ Initiating the payment to partner process, by preparing a letter authorising Research Finance to transfer funding to the partner, this must be co-signed by the Vice President for Research, Innovation & Impact or Head of Research. See Appendix A for Process outline on P2P (Payment to Partners).
✓ Maintaining all supporting documentation in line with the Freedom of Information Act, Data Protection Act, SETU Retention Policy and in line with the GDPR
✓ Maintaining all supporting documentation that may be required for audit and record keeping purposes, in line with the Terms & Conditions of the Sponsor
✓ Supervising research staff and postgraduate students on the project, ensuring appropriate contracts and agreements are in place
✓ Processing all project related expenditure
✓ Approving any travel claims related to the project on Core for all research staff and research postgraduate students travelling on the project
✓ Seeking approval from the funding agency/sponsor for any financial or programmatic changes required which are not provided for under the terms and conditions of the grant and notifying the RSU of any approved changes
✓ Updating Researcher Profile in Pure
✓ Conforming to SETU's Open Research Policy[56]
✓ Adding Publications to their Profile in Pure
✓ Encouraging all team members to have an Open Researcher and Contributor ID via ORCID iD or alternative platforms such as Scopus or Altmetrics.
✓ Ensuring compliance with GDPR when handling personal data
✓ Identification of potential IP and liaising with the TTO to submit Invention Disclosure documents
✓ Supporting the TTO in IP protection

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[55] https://www.setu.ie/policies
[56] https://www.setu.ie/policies

✓	Informing the RSU of a decision to leave the University and putting in place arrangements for the management of the research project
✓	Maintaining timesheets for Researchers working on the project, if required

The Head of School is responsible for the following: at Project Management Phase

✓	Reviewing and approving travel claims for the PI on Core, this may be devolved to the Head of Department
✓	Agreeing a path for the management of a research project with the Researcher, the RSU and the funding agency/sponsor where a PI decides to leave the University. This may be devolved to the Head of Department
✓	Approving staffing and other resource allocation required to carry out the funded research project

The RSU is responsible for the following: at Project Management Phase

✓	Advising the PI on any queries relating to the management of their project

✓	Updating the Award in Pure with the following:
	    o Change in PI name on research grant**.**
	    o Revised end dates where a no cost extension/time only extension has been approved**.**
	    o Budget cost extension

✓	Recording additional income that has been approved by the funding agency/sponsor in Pure and forwarding all correspondence to Research Finance so M7 can be updated. This is done as an additional entry to the original fund record
✓	Supporting PI with changing PI name on grant including liaising with funding agency/sponsor on behalf of PI
✓	Agreeing a path for the management of a research project with the PI, the Head of School and the funding agency/sponsor where a PI decides to leave the University
✓	Providing Project Management training to PIs, as required

Research Finance, Finance Office is responsible for the following: at Project Management Phase

✓	Assisting the Researcher with queries regarding income and/or expenditure transactions on their research accounts
✓	Signing budget reallocation or cost extension requests to be submitted to the funding agency/ sponsor

✓	Updating M7 with the following:
	    o Change in PI name on research grant
	    o Revised end dates where a no cost extension/time only extension has been approved
	    o Budget cost extension

✓	Assisting with the completion of interim and final financial statements for the funding agency/ sponsor including details of claims submitted or due and estimating over/underspend
✓	Facilitating the transfer of funds, in the case of a transfer to other partners on a grant, or of an entire research grant out of the University if the PI leaves
✓	Facilitating the transfer of funding between research accounts
✓	Assisting the PI with the audit process
✓	Providing Financial Management training to PIs, as required

The Library is responsible for the following: at Project Management Phase

✓	Assisting Researchers to create an ORCID iD, providing Endnote training

The TTO is responsible for the following: at Project Management Phase

Providing advice and assistance to Researchers on the identification, protection and exploitation of IP including:

- Implementing SETU policies relating to IP management
- Providing advice and assistance to Researchers on the identification, protection**,** and exploitation of IP
    - Assessing and due diligence of invention disclosures prior
    - Liaising with external patent agents
    - Filing of patent applications
    - Managing patent portfolio
- Developing Commercialisation Strategy
    - Market analysis
    - Identification of potential licensees
    - Establishment of "freedom to operate"**.**

- Marketing of IP
    - Preparing non-confidential summaries
    - Liaison with potential licensees
    - Attendance at trade shows

Phase 6: Research Project Completion Phase

Context

This section describes the steps to be followed once a research project has been completed.

6.1 Reporting

As well as interim and final financial reports, the funding agency/sponsor usually requires interim and final programmatic or technical report outlining progress and achievements of the research project.

The programmatic or technical part of the report will summarise the progress and achievements of the project over its lifetime and may include details such as:

- The original purpose of the project and any amendments thereto
- Staff involved, resources used and associated costs.
- Research outputs and any IP created while ensuring compliance with the confidentiality terms of the contract (if applicable).

These reports must be in line with the research objectives as set out in the original proposal and any deviations from the original intention must be outlined in the report to the funding agency/sponsor. Templates from the funding agency/sponsor are usually provided.

PIs are required to submit interim and final technical reports to the RSU for approval and retention for possible future audits.

6.1.1 Final Reports

Research Finance will assist with the completion of cost statements to be included in the final report for the funding agency/sponsor and can advise on:

- Claims submitted and claimed due to be submitted
- Estimated over/under-spend, including specifying any costs or revenues outstanding.

6.2 Closing the Research Account

Research project accounts will only remain open for the agreed duration of the research project and a short timeframe thereafter to facilitate outstanding payments. PIs must keep track of the end dates of

their research accounts and if a contract extension is required it should be requested from the funding agency/sponsor as early as possible. Unless specifically agreed in advance with the funding agency/ sponsor, the account will be closed, normally three months following the end date of the contract provided all income has been received and the final account accepted. All expenditure and income relating to the project must be completed before the closure can be finalised and final financial reports can be submitted to the funding agency/sponsor.

A research grant may be closed prior to the contract end date where:

- The funding agency/sponsor and Head of School agree to close the research account due to a change in eligibility status of the PI.
- The funding agency/sponsor agrees that the required outputs have been met and the PI, Head of School and Research Finance confirm all claims have been submitted and received.
- The PI leaves the University, and the project ends prematurely.
- The funding agency/sponsor determines that the research outputs are not delivering on the project plan and as such is in breach of the terms and conditions of the award.

When the project is completed, a *Research Project Closure Form*[57] must be completed online by the PI, with the relevant details of any outstanding issues/risks, and how to manage the remaining balance in the account, if any. This will allow the research account to be closed by Research Finance.

In the unlikely event of a funding agency/sponsor agreeing that any surplus balance may be retained and used for another purpose, all supporting documentation must be retained and submitted for approval to Research Finance.

6.3   Audits

SETU research projects are audited on a regular basis. Research Finance will assist the PI with the audit process. The PI must maintain and provide access to all supporting documentation necessary for compliance with SETU policies on Freedom of Information, Data Protection, Data Retention, Data Governance. This includes all records of expense claims, any invoices, project reports and all supporting documentation for all income and expenditure on the research account (e.g., receipts, timesheets, etc.).

6.3.1   Retention of Documents

This section outlines the policy with regard to document retention procedures for funded research projects at SETU. SETU aims to retain all documents in their original form relating to the implementation of the funded research project and its financing for a 10-year period after a final payment has been made by the funding agency/sponsor under the specific funding programme. Please review SETU's Data Retention Policy[58] and Data Retention Schedule[59] for further details. In addition, funding agencies/ sponsors usually specify the minimum period for the retention of project related expenditure and correspondence in the standard contract. The PI must ensure compliance with GDPR when archiving research documentation. The following table details the documents that must be maintained and the person responsible for maintaining same:

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[57] https://www.cognitoforms.com/WIT8/ResearchProjectClosureForm
[58] https://www.setu.ie/Craft/assets/policies/Data-Retention-Policy_2024-01-19-114851_magk.pdf

[59] https://www.setu.ie/policies   * will be replaced by 3 new SETU policies, Data Retention, Protection and Governance, the schedule will be incorporated).

Responsible Person & Location	Description	Electronically or Hard Copy
Principal Investigator School Office	Relevant Ethics Authorisations Interim and final programmatic/technical reports Evidence that publicity requirements have been respected (e.g. use of funding agency/sponsor logo on billboards, newspapers, leaflets, websites, etc.) Advertisement of research positions Minutes of Project Management Committee and Advisory Committee meetings Details of project activity and outputs Project staff details E-mails and other relevant project correspondence Notification of contract (significant) changes Signed standard contract/grant agreement	Electronically
Research Support Unit Office of the Vice President for Research, Innovation & Impact	Research Proposal Letter of Offer Acceptance Certificate Signed standard contracts Awarded budget Terms & Conditions of award Research Agreement Project Partnership Agreement IP Agreement Sub Contract Invention disclosures Patent applications Licence / options or assignment agreement	Hard Copy/ Electronic Copy as appropriate
Research Finance Finance Office	Signed standard contract/grant agreement Procurement and Publicity documentation Copies of tender notices Bank Statements Copies of Timesheets for project, PM/PI's need to retain originals staff costs; calculation of hourly rates, information on actual annual working hours Purchase invoices, paid and unpaid, plus receipts Copies of weekly payment runs Bank statements/proof of payment for each invoice Copies of Vat 3, PSWT and RCT returns Fixed asset files Copies of all statements of expenditure Original invoices Match funding cash and in-kind details and evidence & method for calculating match-funding Interim and final financial statements Record of funding received, including all remittance/documentation Annual audited financial statements Research Project Closure Form	Hard Copy/ Electronic Copy as appropriate
Payroll **Finance Office**	Expense payments made Travel claims and original receipts Payslips Weekly/monthly payments, related documentation & reports Expenses runs, related documentation & reports Revenue returns – P30s & P35s Creditor payments Details of manual arrears	Electronic

	Part-time hour claim forms	
	Pay scales, travel rates and Circulars	
Human Resources	Advertisements for funded research positions	Electronic
	Shortlisting (scoresheets)	Electronic
	Project Staff Employment Contracts	Hard Copy
	Payroll Instructions via HR Profile Change Form- https://www.cognitoforms.com/WIT8/EmployeeProfileChangeForm	Electronic

Table 1: Document retention procedures for funded research projects at SETU Waterford Campus with key responsible persons

6.4   Publications

As mentioned in Section 5.8 SETU Library manages the Research Repository, where Researchers can submit peer-reviewed final drafts of their publications. At the end of the project, the PI should ensure that all publications relating to the funded research activity have been lodged in the SETU Research Repository. Relevant funding body requirements should also be complied with.

6.5   Roles and Responsibilities in Research Project Completion Phase

The Researcher is responsible for the following: at Completion Phase
✓ Preparing final programmatic report for funding agency/sponsor outlining progress and achievements of the research project (please send a copy to **Research.wd@setu.ie** for records)
✓ Requesting assistance from Research Finance in the preparation of final cost statements and reconciliation of the account
✓ Ensuring staff and student contracts are ended correctly to avoid the risk of over payments.
✓ Liaising with the TTO in the identification and commercialisation of IP arising from their research
✓ Updating their Pure Profile
✓ Adhering to Funder Open Access requirements, adding publications to their profile in Pure which updates the Institutional Research Repository while following guidance in our Data Management Guide.
✓ Completing Research Project Closure Form and submitting to Research Finance
✓ Archiving all project related correspondence including original signed agreements, in line with SETU's Data Retention Policy[60] and in line with Section 6.3.1 of this document
Research Finance, Finance Office is responsible for the following: at Completion Phase
✓ Preparing a final cost statement for funding agency/sponsor
✓ Facilitating the return of funds to the funding agency/sponsor in case of premature research account closure or in the case of an underspend on the project budget
✓ Closing research accounts upon completion of the research project and on receipt of the Research Project Closure Form from the PI
✓ Archiving all project related correspondence including original signed agreements, in line with SETU's Record Retention Policy[61] and in line with Section 6.3.1 of this document
✓ Facilitating the Audit process for funded research projects
The RSU is responsible for the following: at Completion Phase
Archiving all project related correspondence including original signed agreements, in line with SETU's Record Retention Policy[62] and in line with Section 6.3.1 of this document.

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[60] https://www.setu.ie/policies
[61] https://www.setu.ie/policies
[62] https://www.setu.ie/policies

Abbreviations

AMM   Award Management Module

BYH   Broaden Your Horizons

CF   Commercialisation Fund

CRIS   Current Research Information System

EC   European Commission

EI   Enterprise Ireland

EPA   Environmental Protection Agency

EU   European Union

ERC   European Research Council

FMS   Financial Management System

GMS   Grant Management System

GDPR   General Data Protection Regulation

GSO   Graduate Studies Office

H2020   Horizon 2020* programme ended 2021

HE   Horizon Europe

HR   Human Resources

HRB   Health Research Board

HRS4Rs   Human Resource Strategy for Researchers

HSS   Humanities and Social Sciences

IP   Intellectual Property

IRC   Irish Research Council

OTM-R   Open, Transparent and Merit-based Recruitment

PI   Principal Investigator

RPO   Research Performing Organisation

RSU   Research Support Unit

SET   Science, Engineering & Technology

SFI   Science Foundation Ireland

TIDA   Technology Innovation Development Award

TTO   Technology Transfer Office

SETU   South East Technological University

Appendix A: Payment to Partners Process
Payment to Partner Process (P2P)

Step 1: Approval

Requisitioner agrees amount to be paid with **Research Finance** and provides necessary backup if relevant (grant agreements etc).

Requisitioner asks **RSU** for a Memo signed by PI and Geraldine Canny (HOR) to support the P2P once
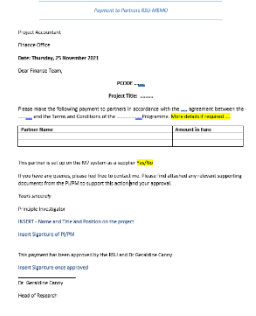
Step 2: Raise & Request Blue P2P form

Raise the Purchase Req. on M7 and attach RSU memo. Then the Requisitioner via email requests **Blue P2P form** from Research Finance, providing the memo as support and Requisition number from M7.

Step 3: FO Review

Research Finance perform checks and when complete, will send via email the **Blue P2P form** to the requisitioner to **attach** to the requisition on M7 (*Research Finance do not have access to requisitions*)
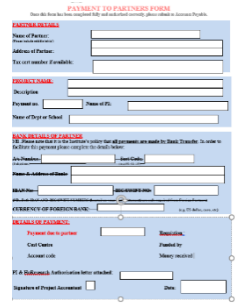
Step 4: Alert Accounts Payable

When the requisition is approved and becomes a PO, the requisitioner is notified via M7 and this acts as a trigger for the requisitioner to send the **Blue P2P form** to **Accounts Payable** via email.
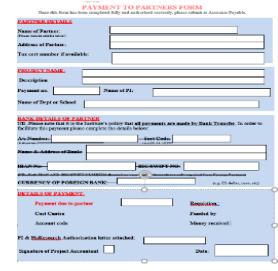
Step 5: Payment is Processed

Accounts Payable treat this **Blue P2P form** as an invoice and process the PO for payment

<u>Detailed Guidance</u>

1. **Get Approval**
    a. Requisitioner agrees amount to be paid with **Research Finance** and provides necessary backup if relevant (grant agreements etc) before raising the requisition on M7. The level of detail required here can vary depending on the scale of the grant. Please email ResearchFinance.wd@setu.ie to begin this process.
    b. PI/requisitioner arranges for a signed memo via email Research.wd@setu.ie for the P2P based on the figure agreed with Research Finance.

2. **Raise & Request Blue P2P form**
    a. Then the **PI/requisitioner** needs to raise a purchase requisition on M7 coded to GL4700 for the amount, and upload the RSU memo to this as backup
    b. When the **PI/requisitioner** gets to this stage, the **PI/requisitioner** contacts Research Finance ResearchFinance.wd@setu.ie with the Requisition number attaching the RSU Memo as backup to that email.

3. **FO Review:** Finance check the requisition and send via email the **PI/requisitioner** a signed **Blue P2P form** to upload on M7. PI/requisitioner attaches the **Blue P2P form** to the Requisition on M7

4. **Alert Accounts Payable:** When the Requisition is fully approved it becomes a **Purchase Order (PO)** and the requisitioner should ask Accounts Payable to process. PI**/**requisitioner emails the **Blue P2P form** to **accountspayable.wd@setu.ie**, with the **PO Number** this acts as an invoice, and they will process it for payment.

5. Payment is Processed

Appendix B: Running a Summary Report on M7

To run a new report on M7 for researchers to get a real-time snapshot of their project's expenditure versus budget, broken down into pay and non-pay costs. The aim of this report is to give the project manager a high-level picture of the up to date spend on the project. Of course, if further details are required the Project line-item detail report is also available, or you can email researchfinance.wd@setu.ie with any queries.

If you are pulling a report on a consultancy code, please get in touch with the team at researchfinance.wd@setu.ie to ensure all details of this report are correct. If any elements of the summary look misaligned please contact the team.
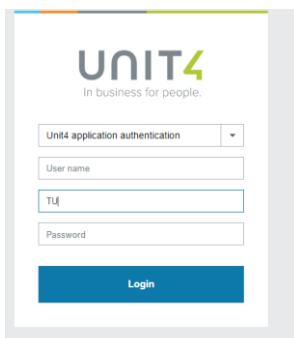
Instructions

Public Q Drive in the Finance folder: Q:\Public\Finance\M7 Financial Management System

1. Log into M7: Homescreen menu - Unit4 ERP (unit4cloud.com)

Access M7 by this link https://ubw.unit4cloud.com/ie_esu_prod_web/Login/Login.aspx make sure your username is your staff ID and password, if you need a password reset please email m7queries.wd@setu.ie

Client must be set to TU

2. Click on Reports > Research > Project Budget Update New

3. Enter your PCode into the field in yellow

4. In the 'SUB ACC LIKE' box type in the P or S Code you are looking to find the budget / expenditure / balance on, then click search and this will show you the budget, expenditure and balance on each category. Please note that this will only show items since the 1st of May after the transfer to M7, therefore, the budget displayed will be the remaining budget that was left as at the 30th of April that was brought over to M7, the expenditure since the 1st of May will go against that budget which will leave you with the correct remaining balance.

5. The report below will be generated. The blue lines below show the status for both Pay and Non Pay costs. In the example below the Pay budget is €60,000, currently there is €0 spend and thus the balance ("remaining") is the full €60,000. The non-pay budget is €26,000 again there is no spend on this particular account, but if there was it would be seen in the column "Current Spend" and any orders that have been raised but not yet fully processed would show up in the column "Orders in progress". Again, there is a Remaining column showing the available budget, if this shows a minus the category is overspent.

6.   Finally the very last line with the Sigma signal shows the total budget versus spend (in this case €86k)

#	Category 1	Category 2	Account	Account (T)	Project Code	Budget	Current Spend	Orders in progress	Total Spend	Remaining (minus is overspent)
1		PAY	2600	Research Assistants	P⬤	60,000.00	0.00	0.00	0.00	60,000.00
Σ2		PAY				60,000.00	0.00	0.00	0.00	60,000.00
Σ1		0				60,000.00	0.00	0.00	0.00	60,000.00
4	NON PAY		3000	Class Materials & Consumables	P⬤	4,500.00	0.00	0.00	0.00	4,500.00
5	NON PAY		5400	Domestic Travel	P⬤	3,500.00	0.00	0.00	0.00	3,500.00
6	NON PAY		5722	Training - Internal Courses	P⬤	18,000.00	0.00	0.00	0.00	18,000.00
Σ2	NON PAY					26,000.00	0.00	0.00	0.00	26,000.00
Σ1	NON PAY	0				26,000.00	0.00	0.00	0.00	26,000.00
Σ		0				86,000.00	0.00	0.00	0.00	86,000.00

4.   For annual P Codes that are given a new balance to spend each year, I would advise to use the research project line items search where you can input the start and end date as shown below. Please note M7 for SETU is 4 months "ahead" so if you want to look a project from January 2022 to September 2022 you would need to search from period 202204 to 202301.

RESEARCH SUPPORT UNIT

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