RCSI

RCSI INSTITUTE OF RESEARCH
RESEARCHER HANDBOOK

RCSI DEVELOPING HEALTHCARE LEADERS WHO MAKE A DIFFERENCE WORLDWIDE

TABLE OF CONTENTS   Page

1. RCSI INSTITUTE OF RESEARCH

The Institute of Research is a multi-site research infrastructure with a common governance and administrative support encompassing all the research activities of RCSI at the St. Stephens Green campus and the Education and Research Centre (ERC) at Beaumont Hospital.

The mission of RCSI's Research Strategy is to improve human health through translational research: clinical, laboratory based and health service research informed by bedside problems, and societal and global health challenges. We promote innovative research that leads to improved diagnostics, therapeutics and devices; tackles important healthcare delivery issues; informs policy and clinical practice and enhances the quality of education of healthcare professionals.

As an exclusively health sciences-focused educational and research institution, with strong links to acute hospitals and other institutions that reflect the wide diversity of healthcare facilities and needs, locally and nationally, RCSI is uniquely placed to develop and enhance translational research for the benefit of patients and to improve the health of the community. Importantly, RCSI academic staff who have joint appointments with hospitals, bring to RCSI clinical expertise and resources that are essential to deliver truly translational research, from bench to bedside to population and vice-versa.

In the last decade, RCSI's translational Research Strategy has focused primarily on regenerative medicine, cancer, respiratory diseases, neurodegenerative and psychiatric disorders, cardiovascular, inflammatory and infectious diseases. The strategy has also promoted collaborative research in population health and health services that could be translated into benefits to patients and the community.

To promote translation of biomedical research into clinical outcomes over the last decade, one of the main objectives of RCSI Research Strategy has been the promotion of collaborations between biomedical scientists and clinicians. RCSI's Strategic Research Plan 2014-2020 can be found at www.rcsi.ie/research.

2.1 MANAGEMENT STRUCTURE AND GOVERNANCE OF RESEARCH

The Office of Research and Innovation is led by the **Director of Research and Innovation** (DoR). The DoR represents research on the Senior Management Team (SMT) and has the overall responsibility for the implementation of the Research Strategy and the running of RCSI's Institute of Research. The DoR reports directly to the CEO and ultimately the Medicine and Health Sciences Board.

The ORI function for Research Operations, Support, and Infrastructures is led by the **Associate Director of Research**. Technology Transfer, commercialisation and industry engagement strategy, management & support services are led by the **Head of Innovation**.

The DOR chairs the **Executive Research Management Team** (ERMT), which includes the Deputy Director of Applied Research and Innovation, the Head of Innovation and the Associate Director of Research. The role of the ERMT is to coordinate, promote and monitor the implementation of the Research Strategy action plan, the management of institutional research resources (core research staff, infrastructures, institutional research programmes, funding and budgets) and the day-to-day running of RCSI's Institute of Research.
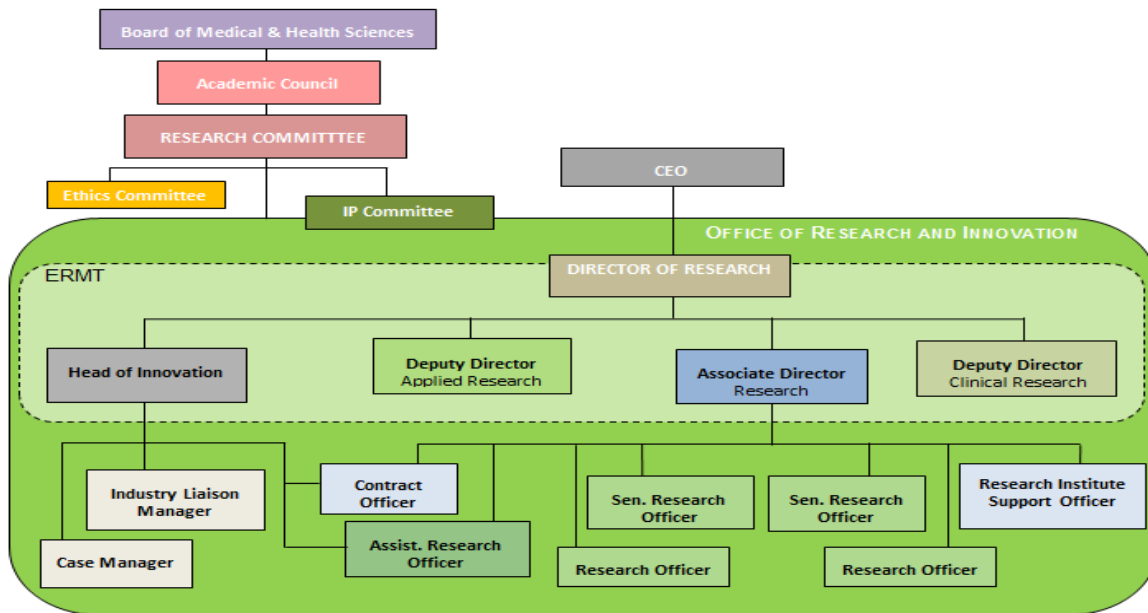
2.2 THE RESEARCH COMMITTEE

The Governing Body of the RCSI Institute of Research is the Research Committee (RC). The RC, historically, plays an oversight role in the management of research. The main responsibilities of the RC are to advise the Director of Research and Innovation on the institutional research strategy and ensure that institutional research plans and activities are sustainable and coherent with the Institutional strategy.

The RC is also responsible for leading internal reviews of institutional research performance and resources (infrastructures and support staff). To support the implementation of this research plan, the membership of RC includes the ERMT and a proportionate representation from the key pillars of the research strategy: clinical research; biomedical research; applied research; population health and health service research; and research in health profession education. Other members of the RC who will play an important role in the

implementation of the strategy are the Head of the School of Postgraduate Studies and the Director of the Clinical Research Centre.

The **responsibilities** of the Research Committee are to:

1. Formulate policy on research-related matters that impact on the strategic objectives of RCSI.
2. Consider and make recommendations on matters of policy relating to research including matters referred to it by Academic Council and RCSI management.
3. Monitor the relevance and efficacy of established research policy and procedures.
4. Oversee quality assurance and improvement measures in respect of research activity and training programmes, including the use of research quality measures and review of their outcomes.
5. Approve procedures for allocating research funds and monitor their implementation.
6. Oversee the utilization of Institute of Research resources, including central core facilities, space and support staff.
7. Review reports relating to research matters.
8. Review and oversee the implementation of RCSI's policy on research ethics.
9. Advise the Director of Research and Innovation on his/her role in reporting internally and externally on research matters.
10. Define a communication strategy on research matters with internal, local, national and international academic and research communities and other relevant stakeholders.
11. Ensure that research activities are aligned with the RCSI's mission "*To Educate, Nurture and Discover for the Benefit of Human Health*"
12. Report to Academic Council.

2.3 THE OFFICE OF RESEARCH AND INNOVATION

The **Office of Research and Innovation** (ORI) is responsible for the planning, implementation and review of the Institutional Research Strategy, the promotion of inter-institutional partnerships including collaborative research and training programmes, the planning and coordination of institutional funding proposals, the approval of grant applications & the acceptance of grant awards, the drafting and approval of research agreements, the planning and oversight of research infrastructures and operations, including policies and procedures. The ORI also now encompasses the traditional technology transfer activities of IP identification, protection and commercialisation but also support industry engagement through collaboration, contract research and consultancy.

The Office of Research and Innovation is headed by the Director of Research and Innovation (DoR). The DoR in turn represents research on the Senior Management Team (SMT) and has the overall responsibility for the implementation of the Research Strategy and the running of RCSI's Institute of Research. The DoR reports directly to the CEO and ultimately the Medicine and Health Sciences Board.

The ORI function for Research Operations, Support, Infrastructures, is led by the Associate Director of Research (ADoR). Technology Transfer, commercialisation and industry engagement strategy, management and support services are led by the Head of Innovation (HoI).

Finally, the Office of Research and Innovation is the Institutional point of contact for Funding Agencies on institutional research programmes and administrative matters. It is also responsible for the introduction

and implementation of institutional research policies and procedures that are in compliance with national and international practices and legislation.

ORI ORGANISATION CHART

Knowledge Transfer

 Pre-and post-research funding awards - Management and support

Strategic planning and management of Institute of Research–related activities and infrastructures

General research administration, support and dissemination
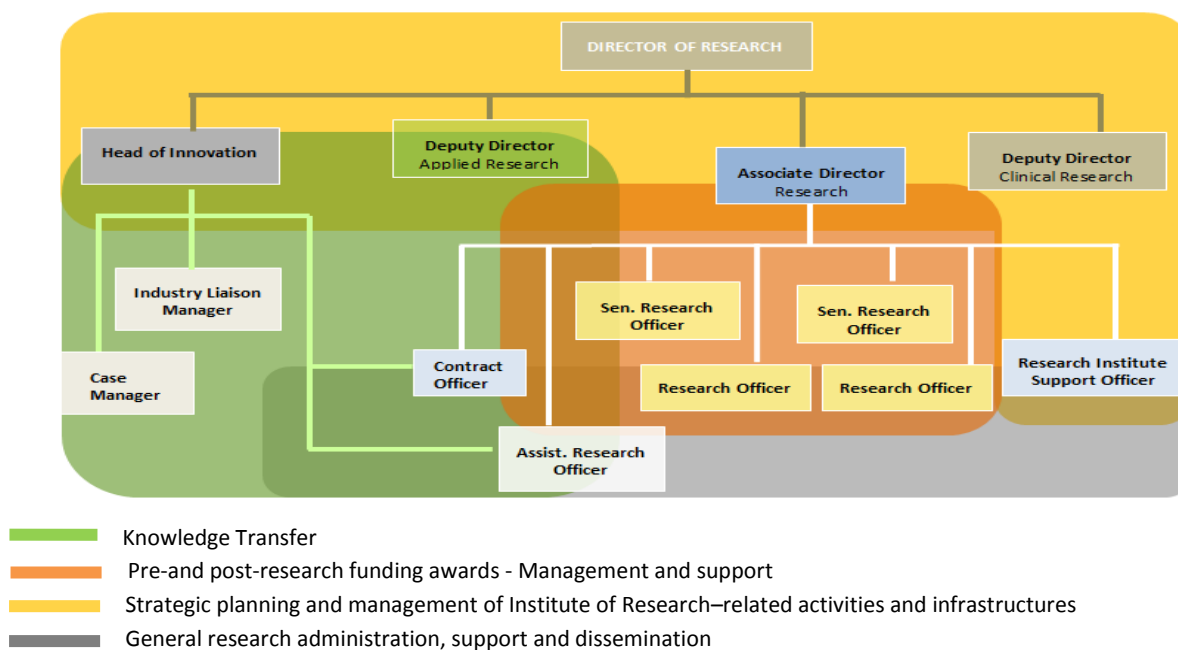
STAFF AND KEY RESPONSIBILITIES

Professor Ray Stallings – Director of Research and Innovation

- Representing research on the Senior Management Team.
- Leading the planning and implementation of the research strategy and the running of RCSI's Institute of Research, including Research Support Services and Infrastructures.
- Promoting Inter-institutional Collaborations and Research Programmes

Professor Fergal O'Brien – Deputy Director of Applied Research and Innovation

- Assisting the DoR in the planning and management of the implementation of the Institutional Strategy and for Applied Research.
- Identifying potential areas of applied research for seed funding, facilitate, strengthen, and increase academic/industrial collaborations and encourage basic researchers to become more competitive for SFI, HRB, EI and H2020 funding.
- Engaging with Innovation team in the development of an action plan for the up-skilling of PIs in Applied Research; the expansion of the commercialisation of research. The plan will also seek to promote and facilitate industry engagement with RCSI researchers, promote commercialisation of IP, and will place a greater emphasis on initiatives that lead to patenting , licensing of research and the creation of spinouts

Dr Paola Della Porta - Associate Director of Research

- Planning, management and review of research support services, operations and infrastructure; planning and management of the implementation of research policies and procedures; liaison with funding agencies; negotiating and signing off on research contracts, collaboration agreements, research proposals and grant agreements.
- Provision of guidance and coordination in the planning and reviews of institutional research strategy and collaborative research programmes.

- Approval of grant application and registration forms for internal and unconditional research funding

Dr Aoife Gallagher - Head of Innovation
- Planning & implementation of the College strategy for technology transfer, commercialisation and industry engagement.
- Development of policy, procedures and guidelines relating to intellectual property and commercialisation
- Protection and management of the RCSI Intellectual Property portfolio.
- Support for the development of RCSI technologies with commercial potential to a commercially ready state
- Negotiation of agreements for the commercialisation of IP.
- Provision of advice and support on all aspects of commercialisation and intellectual property
- Setting of targets, coordinating and reporting of outputs to external agencies
- Preparation of grant applications, financial and technical reports to Knowledge Transfer Ireland
- Institutional signatory on Industry agreements, commercialization agreements, NDAs and MTAs

Dr Seamus Browne – Head of Industry Partnerships
- Planning, development and implementation of RCSI's Industry Engagement Strategy
- Promotion of RCSI's research capability and expertise to Industry with a view to generating funded collaborative, contract and consultancy engagements
- Liaising with national agencies who fund academic-industry collaborations
- Promotion of industry funded (or co-funded) opportunities to RCSI Researchers
- Provision of advice and support for researchers seeking to engage with Industry on contract collaborative, contract and consultancy engagements
- Review of project plans supported by industry and approval of industry-related grant application and registration
- Negotiation of agreements with industry for contract, collaborative and consultancy engagements.
- Co-ordination of post-award project management assistances to PIs on Industry projects to ensure rapid project activation, timely invoicing for company contribution and mid-project relationship management.

Dr Derek John - Case Manager
- Commercialisation of RCSI Research assets; technology, infrastructure and expertise
- Identification and protection of Intellectual property, patent prosecution, and exploitation through marketing & industry engagement.

Dr Niamh O'Dowd - Senior Research Officer
- Co-leading (with Fiona Manning) the action plan for the delivery of institutional support to researchers in the preparation of grant applications, including training initiatives
- Delivery of project management and administrative support in the preparation of large grant applications
- Provision of support, advice and training to researchers on international research funding programmes
- Co-Coordinating with HR the implementation of the HR Strategy for Researchers (HRS4R) Action Plan
- Representing the ORI at the Research Reputation Enhancement Group
- Approval of grant application and registration forms for international funding schemes

Dr Fiona Manning - Senior Research Officer
- Co-leading (with Niamh O'Dowd) the action plan for the delivery of institutional support to researchers in the preparation of grant applications, including training initiatives
- Management and delivery of project management and administrative support in the preparation of grant applications in particular for national funding programmes (e.g. SFI, HRB)
- Management and delivery of project management and administrative support for Clinical Research

- Promoting and support of the interactions between clinicians & scientists and supporting the engagement of RCSI clinicians and affiliated hospitals in research.
- Provision of support and advice on institutional sponsorship for clinical research
- Develop and implement a strategy for public patient involvement in research.
- Approval of grant application and registration forms for national funding schemes

Ms Stephanie O'Connor - Research Officer

- Tailored proposal support and advice to researchers on the preparation of European and National funding grant applications in the area of ethics, data management, dissemination & outreach, and project implementation.
- Coordination of post award admin support for H2020, SFI and HRB funding agencies, including the submission of research reports to funders.
- Coordination of post award admin support for the transfer of International funding awards.
- Coordination and admin support of the RCSI Annual Summer Research Studentship Programme and Research Summer School.

Ms Clare Muckian - Research Officer

- Provision of support and advice to researchers on the preparation of National and International grant applications in the area of pre-award budgets, eligibility & submission requirements, electronic submission systems, and grant writing workshops.
- Management and delivery of project management and administrative support in the preparation of grant applications to the Irish Research Council.
- Provision of post award admin support for the Irish Research Council.
- Coordination of post award admin support for the transfer of National funding awards.
- Coordination of the planning, communication and review of new ORI activities, policies and procedures.
- Support and management of the dissemination of ORI activities, policies and procedures through the Staff Induction Programme, the Staff Portal and the Researcher Handbook.
- Support to research staff on the use of the Research Management e-System (internal grant application and registration forms).
- Approval of internal grant applications and grant registrations for IRC funding schemes.

Dr Margherita Castronovo - Research Officer

- Working closely with Niamh O'Dowd for the provision of specialized support for H2020/FP9 research funding programmes.
- Design and implementation of a strategic plan for the development of successful proposals within the European Research Council scheme and Marie Curie Individual Fellowship programme.
- Tailored Post-award support and advice to ERC awardees on the preparation of national funding (SFI ERC Support Programme and SFI Development Programme) grant applications.

Ms Michelle Kelly - Contracts Officer

- Drafting, negotiation and management of RCSI research agreements (including non-disclosure agreements, materials transfer agreements, consultancy, infrastructure access, services agreements and collaborative research agreements).
- Management of agreement related correspondence and communications with RCSI academics, industry and other universities.
- Management of agreement tracking, monitoring and data entry into ORIs IP and Contracts management systems.

Mrs Cathy O'Byrne - Assistant Research Officer

- ORI administration and support.
- Support and communication for research recruitment.
- Marketing and communications support for ORI including events and websites.
- Provision of support in the organization and running of the annual Research Day.

Dr Christopher Byrne - Research Institute Support and Development Manager

- Management and administration of Research Institute initiatives, such as institutional seed funding calls, funding support for research infrastructures, and infrastructural plans.
- Promotion of access to, and quality of, central research infrastructures and core facilities.
- Coordination of institutional research reviews, quality reviews, site visits and reports.
- Development and implementation of an institutional research dissemination strategy and coordination of institutional research events.
- Management the Institute of Research budget and shared research space.
- Monitoring of the up-keeping of institutional equipment inventory.

Dr Niamh Clarke - Research Ethics Committee (REC) Convenor

- Convenor for the Research Ethics Committee, support and management of research ethics proposals.

Contact details

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Ireland.
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Email: researchadministration@rcsi.ie
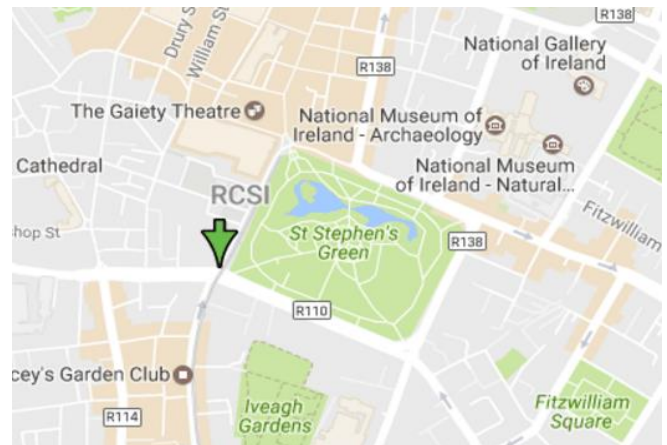
3.1 THE RESEARCH MANAGEMENT E-SYSTEM

The Research Management e-System (RMeS) is an online interface that is used by researchers and research support and administrative staff for the online management and review of integrated processes, sharing of data and documentation.

The system enables the management of operations in the following areas:

- **Grant applications** (the submission, review and approval of grant applications)
- **Grant registration** submission of funding documentation and data, **r**eview and processing prior to the setting up of research accounts)
- **Recruitment** (submission, review and processing of recruitment forms prior to issuing of contracts)
- **Ethics** (submission, review and processing of applications for ethics approval of research projects)
- **E-projects**: (interface shared by researchers, programme managers and administrators that allows the allocation and monitoring of tasks and sharing of up to date documents and supporting documentation for the preparation of collaborative research proposals and reports)

Grant Application: The submission of grant applications by researchers is subject to the online approval of electronic Grant Applications Impact Statement Forms (GAISF) by the Office of Research and Innovation and the Finance Department. The grant application impact statement forms (GAISF) include information, documentation and data which relate to each grant application requiring institutional approval.

The system allows the submission of GAISFs by research staff, the review and approval by admin staff, and the monitoring of the processing status of the forms (whether they are awaiting approval, they have been processed by the ORI and/or Finance or they require amendments).

The GAISF system is integrated with the grant registration (GR) system so that when a grant application is successful and needs to be registered, data already inputted through the GAISF and also required for grant registration, migrates across from the GAISF to the GR form system.

System's users are Research staff, ORI staff, and Finance Department.

Grant Registration: the submission, review and processing of electronic Grant Registration (GR) forms are required prior to the setting up of research accounts (each one associated with a given funding award) on the financial management system (Agresso).

The GR system allows research staff to submit electronic grant registration forms which include information and data (financial) about the award and associated supporting documentation (such as letter of award, award terms and conditions, letter of variations, collaboration agreements etc). Upon submission, the GR forms are reviewed and approved by the admin staff first in the ORI firstly, and then Finance.

Admin staff and Research staff can monitor the approval status of the forms (whether they are awaiting approval or they have been processed or require amendments).

The grant registration system is integrated with:

a) The Research Database, so that when a grant registration form is processed, funding award data migrate across to the Research Database under the Grant Holder research profile.
b) The Research Recruitment Form System, so the research grants/account codes can be linked to contract research staff or postgraduate students.

System's users are Research staff, ORI staff, and Finance Department.

Research Recruitment: the submission, review and processing of recruitment forms is required prior to the issue of contracts of employments, and the registration of postgraduate students, funded by research grants.

Through the research recruitment system research staff submit electronic recruitment forms, which include employees/students personal information (e.g. CV, address, etc), funding source and other data that informs the contract of employment (e.g. job title and description, salary, duration, project title, location etc.). Upon submission, the recruitment forms are reviewed and approved online and in sequential order, by administrative staff of the ORI (for research staff and Research Summer School Undergraduate Students) or the School of Postgraduate Studies (for postgraduate Students), then the Finance Department and finally the HR Department. Upon completion of the approval process, HR issues a contract. When HR receives a signed copy of the contract, they complete the processing of the recruitment form.

Administrative staff and the researcher can monitor the approval status of the forms (whether they are awaiting approval or have been processed or require amendments).

The research recruitment system is integrated with the Research Database, so that when a recruitment form is processed, staff and student data migrate across to the Research Database under the Grant Holder research profile. Data of new hires can also be used by ORI for setting up new users on the Research Database and Research Management System (RMeS).

Recruitment system's users are Research staff, ORI staff, School of Postgraduate Studies, Finance Department, and HR Department.

Research Ethics: the Research ethics application system is used for the submission, review and approval of research projects that require the approval by the RCSI Research Ethics Committee**.**

Research Ethics system's users are Research staff, Research Ethics Committee (REC) Convenor, and Research Ethics Committee reviewers.

E-Projects: the e-project system is an online shared interface for researchers, programme managers and administrators, which permits the allocation and monitoring of tasks and sharing of up-to-date documents and supporting documentation for the preparation of collaborative research proposals and reports.

System Integrations

The grant registration and recruitment form management components of the RMeS are integrated with the Research DB (which is described in the next section of the handbook), so that data captured from the RMeS (funding awards, contract research staff, postgraduate students and theses) automatically migrate across to the research DB and populate the researchers' profiles.

The Research DB, in turn, is integrated with the Content Management System that is used by the researchers to create their profile on their personal public site

The following diagram summarises the integration of the different components of the RMeS

RESEARCH MANAGEMENT E-SYSTEM
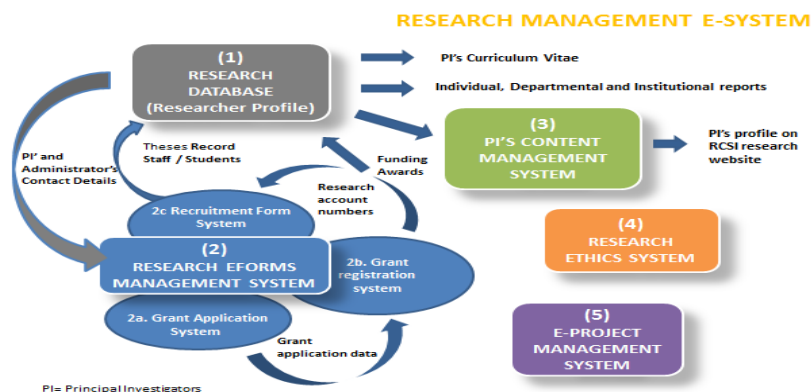
■ How to subscribe to the Research Management e-System (RMeS)

In order to subscribe to the RMeS please contact the Office of Research and Innovation (ORI) at researchadministration@rcsi.ie or telephone ext 2421. The RMeS is available at the following link http://research1.rcsi.ie/ResearchDB. To enter the RMeS, use your RCSI username and password when prompted.

■ How to set-up a Proxy Administrator

As a Principal Investigator (PI), you may request a Proxy Administrator to use the RMeS on your behalf. This means that your nominated administrator(s) can access the RMeS without contacting our office to be logged in and out. You are then always logged in even if your administrator is completing your profile or submitting an e-form. *NB*: An administrator can be affiliated to more than one PI and a PI can have multiple administrators

The setting up of a proxy is subject to the PI's approval. Therefore PIs are required to send an email to researchadministration@rcsi.ie with the name(s) of the nominated individual(s) authorised to be listed as his/her proxy. ***Please note that this person must have RCSI login details in order to access the Research Management e-System***. If you are unsure of your RCSI login details contact the IT helpdesk at IThelpdesk@rcsi.ie.

3.2 THE RESEARCH DATABASE

■ What is the Research Database?

The Research Database (http://research1.rcsi.ie/ResearchDB) is the RCSI repository for information relating to research activities & achievements of RCSI research staff. Staff actively carrying out research can populate the research database with information which relates to their own profile. Once populated, the database enables researchers to produce their CV and research/academic reports over any given time frame. Once the database is populated, selected data directly feeds into the Content Management System (CMS) of the Principal Investigator's website profile, which can be made public on the RCSI main website. Research recruitment forms, grant application impact statements, grant registration forms and research ethics applications (e-forms) are also completed and submitted online through the Research Database. In addition, authorised staff in the College can use the database to run individual, departmental and institutional reports (eg: on the number of RCSI funding awards over a given period).

■ Targeted Users and Mandatory Nature of the Database

While the Database is available to all research staff within the College, its use by Principal Investigators[1] is mandatory for the preparation of institutional reports and the dissemination of research at RCSI. Principal Investigators are encouraged to subscribe to the database **as soon as they join RCSI** and avail of Office of Research and Innovation support for uploading their research/academic data from sources of information such as CVs, Pubmed and any existing material which includes publications, awards, presentations, patents and collaborations. Any subsequent update will be the researcher's responsibility.

■ Database access requirement - Researcher ID

In order to gain access to the Research Database researchers are required to acquire a Web of Science Researcher ID and provide it to the Office of Research and Innovation prior to the setting up of the their DB profile. For further information see the "Researcher ID" section.

■ Test Database site

The features of the research database can be viewed at the Test Research database profile by logging at http://research1.rcsi.ie/ResearchDB/ and using the following username and password.

Username: rcsiresdb
Password: 1introduc3

For testing purposes, information can be added/edited/deleted or archived freely.

NB: Before logging into the test site, close down all browsers that are open under your RCSI username and password. Reopen a new browser and input the above test username and password.

■ How to subscribe to the Database

In order to subscribe to the database please contact the Office of Research and Innovation at researchadministration@rcsi.ie or telephone ext 2421.

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[1] *A Principal Investigator is defined as an active researcher who has been awarded a research grant as lead applicant which provides funding for research staff and/or students for whom he/she is responsible or has a permanent appointment with RCSI*

■ How to upload a Researcher's Profile onto the Research Database

1. Enter the Research Database: http://research1.rcsi.ie/ResearchDB

2. Each database profile is linked to the users RCSI login. Login using your RCSI username and password when prompted. (If you require that a member of your team uploads records onto your database, contact researchadministration@rcsi.ie in order to set them up as a PROXY administrator on your account – see below).

3. Select Update your Research Database Profile

4. There are a number of record types under "Research Profile"

   - Contact Details* (contact researchadministration@rcsi.ie if these are incorrect)
   - Education
   - Appointments
   - Academic activities
   - Training Initiatives
   - Research Career/Interests/Themes/Areas and Technical Expertise
   - Memberships
   - Honours/Awards/Achievements
   - Personal links to websites
   - Staff *(PIs only - this information is pulled from the online recruitment forms)
   - Student *(PIs only - this information is pulled from the online recruitment forms)
   - Book Chapters
   - Collaborations
   - Equipment
   - Funding Awards * (PIs only - this information is pulled from the online grant registration forms)
   - Patents
   - Peer-reviewed Publications
   - Proceedings/Presentations
   - Theses (PIs only - this information is pulled from online student recruitment forms but you should enter the place and date of thesis completion when the information is available).

5. Select the appropriate record type and populate accordingly.

NB: *Contact details, staff or student records and funding awards can be only edited by the Office of Research and Innovation. If you require any amendment/addition or any technical support please contact researchadministration@rcsi.ie.

■ How to set-up a Proxy Administrator

As a Principal Investigator (PI), you may request a Proxy Administrator to use the RMeS on your behalf. This means that your nominated administrator(s) can access the RMeS without contacting our office to be logged in and out. You are then always logged in even if your administrator is completing your profile or submitting an e-form. *NB*: An administrator can be affiliated to more than one PI and a PI can have multiple administrators

The setting up of a proxy is subject to the PI's approval. Therefore PIs are required to send an email to researchadministration@rcsi.ie with the name(s) of the nominated individual(s) authorised to be listed as his/her proxy. ***Please note that this person must have RCSI login details in order to access the Research Database***. If you are unsure of your RCSI login details contact the IT helpdesk at IThelpdesk@rcsi.ie.
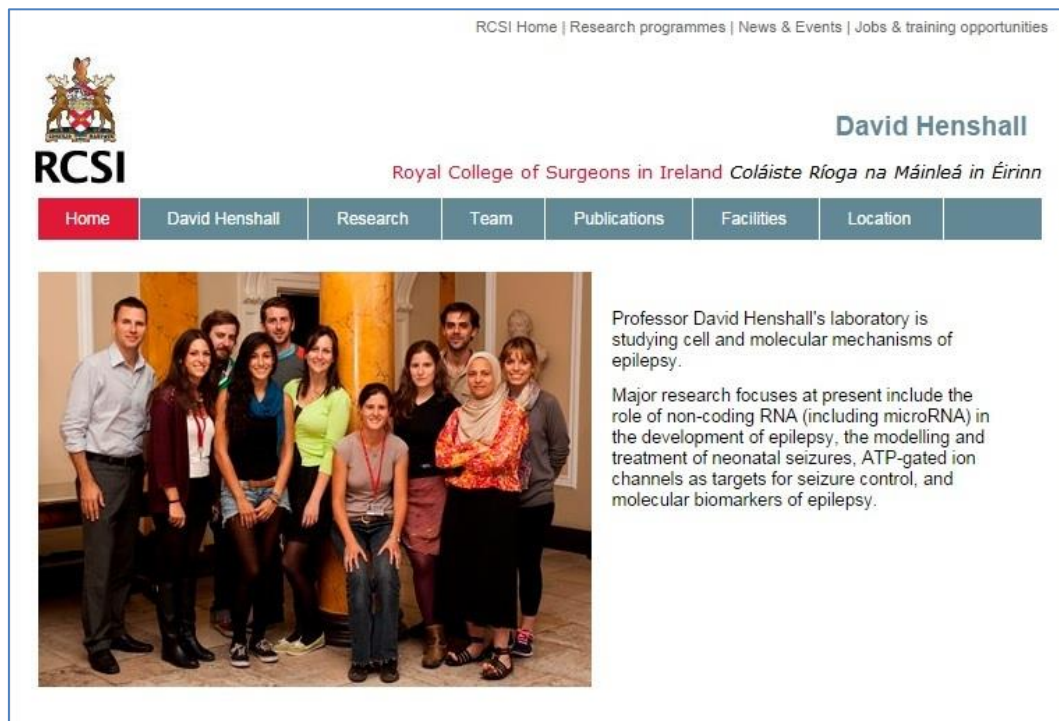
3.3 PRINCIPAL INVESTIGATOR WEBSITE AND CONTENT MANAGEMENT SYSTEM

■ **Institutional definition of a Principal Investigator:** A Principal Investigator (PI) is defined as an active researcher who has been awarded a research grant as lead applicant which provides funding for research staff and/or students for whom he/she is responsible or has a permanent contract.

■ **What is a Principal Investigator website?**

All Principal Investigators (PI) are required to set up a personal website to ensure their research is disseminated as widely as possible. Links to these personal websites are accessible from the Principal Investigator section of the RCSI website (http://www.rcsi.ie/principal_investigators_and_research_teams)

An example of an RCSI personal website is displayed below.

■ **What is a Principal Investigator's Website Content Management System (CMS)?**

The PI's website Content Management System (CMS) is accessible through the home page of the Research Management System. Some of the content for the website may already be populated under your research profile. This standard database information (education, achievements, funding awards, staff, publications, etc) is used along with additional features on the website CMS to create a publicly accessible website through which the PI can promote their research (see below). PI team members can also avail of a mini profile under their supervising PIs website.

Link to PI websites: http://www.rcsi.ie/principal_investigators_and_research_teams
Link to the PI website CMS: http://research1.rcsi.ie/researchdb/edit_public_profile.asp

■ **How to upload your public profile onto the PI website**

1. Access the Research Database (DB) at: http://research1.rcsi.ie/ResearchDB
2. Select Update your Principal Investigator Website Profile to access the website content management system (CMS)
3. Enter the required information. There are seven main pages: Home, PI (optional), Research, Team, Publications, Facilities (optional) and Location (optional).
4. Subpages can also be added under the Research, Facilities and Location pages
5. The profile, funding and recruitment information on the profile section of the database automatically pull across from the RMeS onto the website CMS and are displayed on the website only when the box next to the relevant DB record is ticked and updated.

   • Data included in the "Research Projects" webpage is sourced from the Funding Award section of the Research DB, which is automatically populated from provided in the Grant Registration Forms of the RMeS

   • Data included in the "Publications" webpage is sourced from the Publication section of the Research DB

   • Data included in the "Team" webpage is sourced from the Staff and Student sections of the Research DB, which is automatically populated with data provided in the Recruitment Forms of the RMeS

■ **PI Website User Manual:** Information on how to upload your public profile can be found on the website CMS Manual by selecting the Help link (https://research1.rcsi.ie/researchdb/edit_public_profile.asp) or alternatively contact researchadministration@rcsi.ie with your query.

4.2 RESEARCH FUNDING LIFE CYCLE FOR PROJECTS WITH INDUSTRY
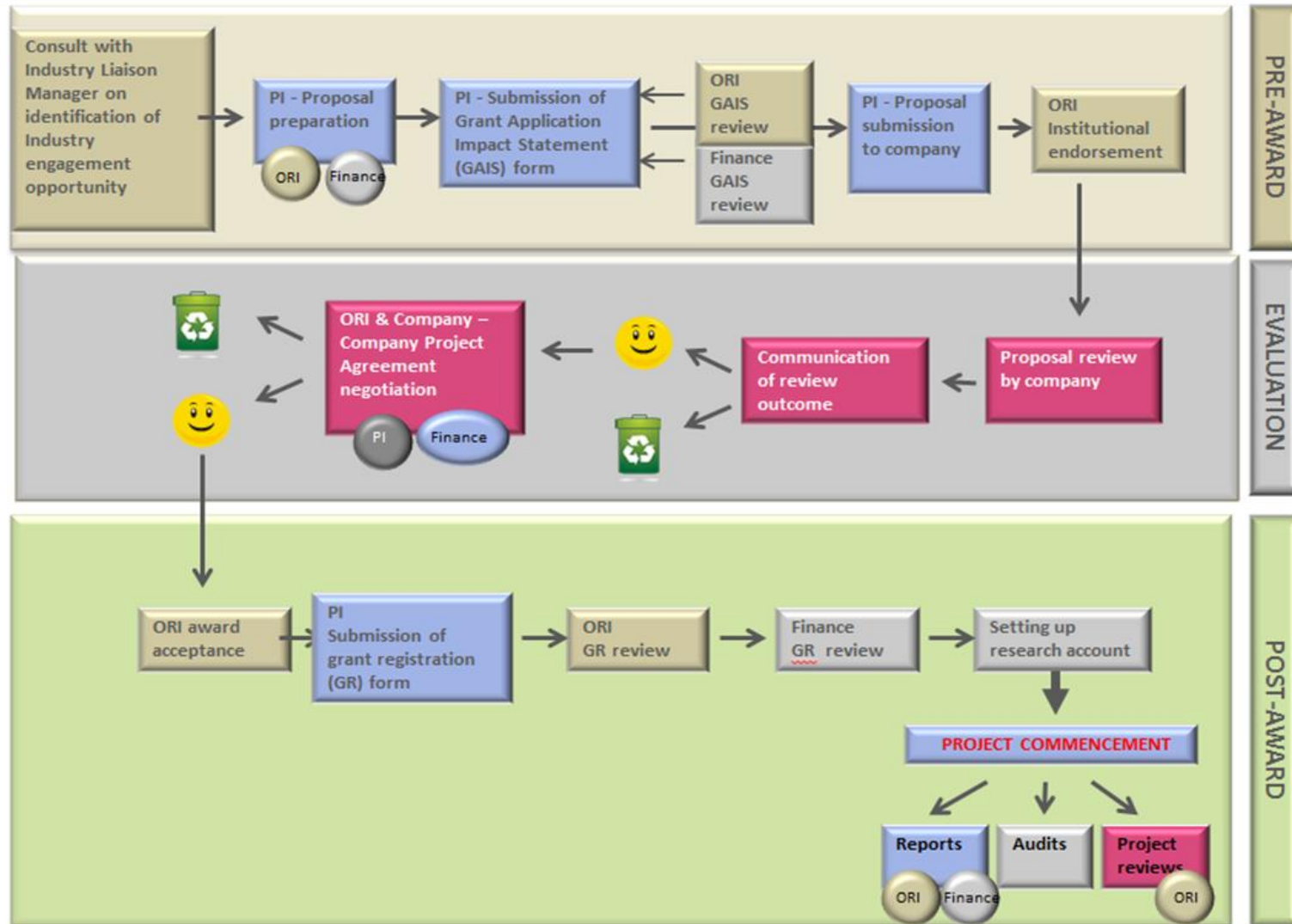
4.3 RESEARCH FUNDING OPPORTUNITIES

Relevant upcoming research funding opportunities and associated internal deadlines are posted on the Staff Portal: http://staff.rcsi.ie/research/funding-opportunities [NB: This list is not exhaustive and researchers are encouraged be pro-active in searching for funding opportunities]. Email notifications are disseminated to research staff on a monthly basis (make sure you're on the researchstaff@rcsi.ie mailing list - contact the ORI if you are not). RCSI research staff may apply for any award for which they are eligible.

4.4 RESEARCH FUNDING FROM INDUSTRY

Collaborative and Contract Research
RCSI's strategic research plan 2014-2020 sets out a specific objective to strengthen existing, and develop new collaborative links with industry. To this end, RCSI has begun a very active program to engage in collaborative and contract research projects with Industry ("Industry Sponsored Research Activities")**.** Applicants involved in the preparation of funding applications involving industry should consult with the RCSI Head of Industry Partnerships (seamusbrowne@rcsi.ie; 01 4028651) prior to the submission of a funding request and project proposal to the company.

Industry Sponsored Research Activities must meet the following criteria**:**

- Industry Sponsored Research Activities are related to the academic and professional interests of the RCSI employee and RCSI.
- Industry Sponsored Research Activities do not interfere with the performance of normal academic duties of the RCSI employee.
- Industry Sponsored Research Activities do not give rise to any conflict of interest for the RCSI employee or for RCSI.
- Industry Sponsored Research Activities are based on fully costed proposals submitted through RCSI'S RMeS that have been seen and approved by RCSI Office of Research and Innovation.
- Industry Sponsored Research Activities are governed by an appropriate collaborative research agreement or contract research agreement provided by RCSI's ORI. All Industry Sponsored Research Activities agreements must be negotiated and signed by an authorised signatory in RCSI's ORI.

All income from Industry Sponsored Research Activities shall be paid into an RCSI research account. Expenditure of funds obtained from Industry Sponsored Research Activities shall be in accordance with the budget and terms set out in the collaborative (or contract) research agreement.

Research services
From time to time companies may express an interest in performing company directed research using RCSI's facilities and equipment to conduct preliminary research and development activities in pursuit of company objectives ("Service Activities").
RCSI encourages the participation of RCSI employees in Service Activities whenever this is possible, and considered desirable, by both the RCSI and the industry party in accordance with the following criteria outlined below. RCSI employees wishing to engage in Service Activities are required to contact RCSI's Head of Industry Partnerships for more detailed advice and support at the earliest opportunity prior to discussing the Service Activities in detail with the third party.

- The primary academic mission and research activities of RCSI shall take first priority over Service Activities.
- Service Activities must not interfere with the performance of normal academic and research duties of the RCSI employee and have been approved by the RCSI employee's line manager.
- Service Activities are related to the academic and professional interests of the RCSI employee and RCSI.
- Service Activities do not give rise to any conflict of interest for the RCSI employee or for RCSI.

- Service Activities shall occur under the supervision of a named RCSI employee who is appropriately trained and skilled in the use of the RCSI facilities and equipment.
- Any use of equipment purchased with funds supplied by government, special financing arrangements or private enterprise, will remain subject to any restrictions on the use of such equipment imposed the provisions of the associated funding agreement.
- Service Activities will normally take place on RCSI premises. Off-campus use of RCSI equipment may, in very exceptional circumstances, be authorised by the Director of Research and Innovation, provided all other RCSI use of the equipment is not prejudiced or made impossible by the removal of the equipment from RCSI premises.
- Service Activities must be based on fully costed proposals submitted through RCSI'S RMeS that have been reviewed and approved by RCSI Office of Research and Innovation. Employees must refer to the Budgeting Advice below in this regard **prior** to contacting company).
- Service Activities must be governed by an appropriate Services agreement provided by RCSI's ORI.
- All Services agreements must be negotiated by RCSI's Head of Industry Partnerships and signed by an authorised signatory in RCSI's ORI.

All income from Service Activities shall be paid into an RCSI research account. Expenditure of funds obtained from Service Activities shall be at the discretion of the RCSI employee performing the Service Activities provided such expenditure does not involve remuneration of RCSI employees. RCSI HR approval is required before funds obtained from Service Activities can be expended on RCSI employee remuneration.

Consultancy services

RCSI permits RCSI employees to engage in certain consulting activities with third parties in order to expand and maintain their professional competence, keep abreast of developments and innovation in business and the professions, to support the Irish economy and enhance the reputation of RCSI ("Approved Consulting Activities"). For the purposes of these guidelines, **"Consulting Activities"** shall be defined as **a contractual arrangement under which an RCSI employee provides advice to a third party on RCSI's behalf within the RCSI's employee's normal working week.**

Employees wishing to engage in Consulting Activities are required to contact RCSI's Head of Industry Partnerships (Seamus Browne) at the earliest opportunity **prior** to discussing Consulting Activities in detail with the third party. RCSI's Head of Industry Partnerships will be able to provide you with detailed advice and support in relation engagement in Consulting Activities.

Approved Consulting Activities must meet the following criteria:

- Consulting Activities must be related to the academic and professional interests of the RCSI employee and RCSI.
- Consulting Activities must not give rise to any conflict of interest for the RCSI employee or for RCSI.
- Consulting Activities must not interfere with the performance of normal academic and research duties of the RCSI employee and have been approved by the employee's line manager.
- Consulting Activities are based on fully costed proposals submitted through RCSI'S RMeS that have been seen and approved by RCSI Office of Research and Innovation (ORI) Employees are required to refer to the Budgeting Advice below in this regard.
- Consulting Activities are governed by an appropriate consultancy contract provided by RCSI's ORI. All Consultancy agreements must be negotiated by RCSI Head of Industry Partnerships and signed by an authorised signatory in RCSI's ORI.

All income from Consulting Activities shall be paid into an RCSI research account. Expenditure of funds obtained from Consulting Activities shall be at the discretion of the RCSI employee performing the Consulting Activities provided such expenditure does not involve remuneration of RCSI employees. RCSI HR approval is required before funds obtained from Consulting Activities can be expended on RCSI employee remuneration.

4.5 SUPPORT IN THE PREPARATION OF FUNDING PROPOSALS

During the preparation of FUNDING proposals, applicants can avail of the support and advice of the Office of Research and Innovation (ORI) (grantsapplicationsupport@rcsi.ie / eufundingsupport@rcsi.ie) and the Finance Department (Mr. Barry McGowan; Ms. Sarah Miller; bmcgowan@rcsi.ie /researchgrants@rcsi.ie /ext. 2478, 2189).

Applicants involved in the preparation of funding applications for **National funding agencies (SFI, HRB)** and other national schemes **(e.g. HSE, Irish charities)** should consult with Fiona Manning (fmanning@rcsi.ie); ext 2561) prior to the submission of a funding application.

Applicants involved in the preparation of funding applications for the **Irish Research Council (IRC)** should consult with Clare Muckian (cmuckian@rcsi.ie; ext 2421) prior to the submission of a funding application.

Applicants involved in the preparation of funding applications for **International funding agencies (including EU H2020, Wellcome Trust** and other non-national agencies) should consult with Niamh O'Dowd (niamhodowd@rcsi.ie); ext 2549) prior to the submission of a funding application.

Applicants involved in the preparation of funding applications involving **Industry** (including consultancy, collaborative research, contract research and donations from industry) should consult with the RCSI Head of Industry Partnerships (seamusbrowne@rcsi.ie; ext 8651) prior to the submission of funding request to company.

For advice on **commercialisation of research and intellectual property** issues associated with institutional and industry collaborations, applicants are encouraged to contact Aoife Gallagher (aoife.gallagher@rcsi.ie). The ORI also oversees the submission of all grant applications to Enterprise Ireland.

For advice on **pre-award budgets** or clarification on how to use the funding agency e-grant or proposal **submission systems** and/or the RCSI RMeS (**GAIS and GR forms**), please contact please contact Clare Muckian at ext 2421 or email grantsapplicationsupport@rcsi.ie.

4.6 BUDGETARY REQUIREMENTS

Research costs can be direct and indirect.

Direct costs are directly related to the project and may include (depending on the project) costs for salary, studentship stipends, fees, materials, equipment, services, travel, etc

Indirect costs or overheads are costs incurred by the research organisation to support research. Indirect costs cannot be attributed specifically or exclusively to the project, and, more in general, relates to the costs of resources (admin staff, infrastructure, services and materials) that cannot be costed in the grants. Examples include heating, electricity, waste disposal, library services, IT services, Financial, HR and ORI support, management staff, etc.

Budget calculator The ORI will endeavour to provide a bespoke budget costing spreadsheets applicable to your funding call. Please contact the ORI in advance of the external deadline to confirm. A generic budget calculator is also available, plus additional budget guidance and FAQs, at the following link: http://staff.rcsi.ie/research/grant-application-and-registration/budget-guidance.

How to calculate direct costs

■ **Salary Scales**
When budgeting for salaries in a funding proposal, please use the **RCSI researcher salary scales** unless the salary has already been stipulated set by the funder: http://staff.rcsi.ie/research/grant-application-and-registration/researchrecruitmentresearcher-salary-scales. Include RCSI employer pension contribution and life cover at 8.5%. If the funding call permits, employer pension contribution must be included.

■ **Studentship Fees**
When budgeting for studentship fees in a funding proposal, please apply the RCSI PhD studentship fees which are available at the following link: http://www.rcsi.ie/pgpostgraduatefees. Some national funding agencies (eg: SFI) will only make a contribution towards fees at the 2008/2009 Institutional rates. RCSI 2008-2009 fees are €5500/annum and €3570/annum part time where required. Please always check the relevant section of the funder call document.

■ **Studentship Stipend Rate**
RCSI advises researchers to apply the studentship stipends in accordance with the terms and conditions of the funding agency. In the event that the funding agency does not stipulate any applicable rate, the applicable rate is left at the discretion of the applicant but should be in line with national funder rates.

■ **General Costs**
General costs should include VAT @ 23%, including EU non-pay costs. There is no VAT charged on services from one RCSI Department to another (eg: CRC charges, BRF charges, Biostatistical support charges) as these are part of the same VAT group.

■ **Animal Costs**
Please contact the BRF Manager (brf@rcsi.ie ext. 2441) for guidance on animal charges or refer to the staff portal (http://staff.rcsi.ie/research/research-institute/research-facilities/biomedical-research-facility/brf-charges).

■ **E-journals**
If e-journals are an eligible cost, include a budget for e-journal subscription at €1,000 per person per annum.

How to calculate Indirect Costs/Overheads

A 30% overhead rate is applied on all collaborative, industry fully funded, service and consultancy projects undertaken with Industry.

The budget for indirect costs that can be included in grant applications depends on the funder. The most common rate of overhead is **30%** for laboratory-based research and **25%** for desk-based research. This is calculated on total non-Equipment costs. (The HRB also excludes Student Fees).

The College endorses funding applications where indirect costs are not eligible; however, if they are eligible, their inclusion is mandatory. When applying for funding please ensure that you read the funder guide for applicants to determine the eligible indirect cost rate and whether the indirect cost budget has to be specified in the grant application.

■ **Indirect Cost Rate for Private Donations (other than Industry)**

   (a) Small private donations up to €20k are subject to a **mandatory 5% indirect cost** contribution with no exceptions. We recommend that you bear this requirement in mind when engaging with private donors and planning your research expenditure.

   (b) Private donations greater than €20k are subject to the following rates apply
- 30% (RCSI lab-based)
- 25% (RCSI desk-based)
- 5% (not-RCSI based research)

Funding from Private Donors: if you have received funding from a private donor, the donor is required to complete a Private Donor Letter using the template provided by the ORI at the following link: https://staff.rcsi.ie/research/templates

NB: All cheques from private donors must be accompanied by supporting documentation and a new grant registration form completed. If additional funding is being transferred from a **private or industry donor**, a new grant registration form must be set-up in order for the new funding to be accounted for in the present financial year but the current four-digit grant account number may be re-used.

■ **Indirect Cost Rate for donations for research projects involving industry:**

A 30% overhead rate is applied on to donations from Industry for research activities. If you are receiving donations from industry for research projects, the industry party providing the donation maybe required to complete a *"Donation Letter from Industry for Research Projects"* (see Annex 2). Please discuss donations from research activities with the Head of Industry Partnerships in advance of requesting such funding.

Please see https://staff.rcsi.ie/research/grant-application-and-registration/overhead-rates-indirect-costs for further details.

■ **Research Service Contracts**

Please contact RCSI's Head of Industry Partnerships before discussing the cost of research service activities with a third party. Some general guidance on preparing a budget for service activities is provided below:

- **Direct Costs:**
  RCSI employee's time spent performing Service Activities should be costed using the formula below:

$$\frac{\text{Employee remuneration (include gross salary and Employer PRSI and Pension Contribution)}}{(52 \times 5)}$$

  Equipment usage charges should be costed taking into account the value of the equipment, the cost of servicing and maintaining such equipment and the duration of equipment usage during the services.

  Any special costs relating to security, insurance and indemnification protection for the RCSI and the 3rd Party must also be borne by the user. Provision should be made for VAT at the prevailing rate (currently 23% in 2015) chargeable to the funding body.

- **Indirect Costs:**
  A contribution to indirect costs of 30%, based on total cost of service activities, must be included in the services budget.

■ **Consultancy Contracts**

Please contact RCSI's Head of Industry Partnerships before discussing the cost of consulting activities with the third party. Some general guidance on preparing a budget for consulting activities is provided below:

- **Direct Costs:**
  RCSI employee's time spent performing Consulting Activities should be costed using the formula below:

$$\frac{\text{Employee remuneration (include gross salary and Employer PRSI and Pension Contribution)}}{(52 \times 5)}$$

Any additional costs (e.g. travel) required to perform the Consulting Activities should also be included in the budget. Provision should be made for VAT at the prevailing rate (currently 23% in 2015) chargeable to the third party who is procuring the consulting activities.

- **Indirect Costs:**
  A contribution to indirect costs of 30%, based on total cost of consulting activities, less travel costs, must be included in the budget for consulting activities. Part of this contribution will cover the costs of professional indemnity insurance cover paid by RCSI on behalf of the RCSI employee undertaking the consulting activities.

  * including salary contribution + materials etc

4.7 GRANT APPLICATION APPROVAL - REQUIREMENTS AND PROCESS

■ **Grant Application Impact Statement (GAIS) Form**

The GAIS form is a document that was introduced by the College to ensure that research project proposals are planned according to both the Funder and College requirements, and if successful, have the resources required (i.e. budget, office and lab space, access to research facilities, etc) to deliver on their objectives.

Within the GAIS form researchers are required to:

▪ Include a copy of the final grant application (or funding proposal in the case of Industry funded projects)
▪ Complete a budget document (template provided if required)

GAIS forms are submitted electronically through the RCSI RMeS (http://research1.rcsi.ie/ResearchDB). If you are not registered on the RCSI RMeS or/and you are not familiar with it, please contact the Office of Research and Innovation at researchadministration@rcsi.ie. More information on how to submit a GAIS form is available in the following *Grant Application Impact Statement (GAIS) e-form System* section of the handbook.

Please Note: It is a mandatory requirement that the registration of research projects through the research management system (RMeS) includes a project description. While this requirement is normally met for projects that are peer reviewed (SFI, HRB etc), it should also be fulfilled for those funded by *industry or private donors*. The research project description can be brief but has to be clear. It should include a description of the project plan, objectives, resources required and timelines. For institutional reporting reasons, grant account numbers that are created for a given project can be reused for lodging funding of project extensions or new projects but a new grant registration form must be completed so the funding is registered on the RMeS. All new projects or extensions have to be registered separately. Finally, please note that projects not research related should not be processed through the RMeS.

■ **Submission of the GAIS form**

Upon finalisation of the grant proposal and at least 2-3 working days prior to the grant application submission deadline, applicants are required to complete the online Grant Application Impact Statement Form (GAISF).

Link to the GAIS forms: http://research1.rcsi.ie/researchdb/forms/indexga.asp

Please note:
- For projects involving industry please contact the Head of Industry Partnerships prior to completing the GAIS e-form.
- If the grant application is for a fellowship/studentship training programme, the GAIS should be completed by the applicant's supervisor/mentor.

■ **GAIS form/proposal approval**

GAIS forms are reviewed by the Office of Research and Innovation in order to check the funding proposal and requested finances.

The review and approval of the GAIS forms on the RMeS is undertaken by the following ORI staff, depending on the funding source:

- Private donations**:** Paola della Porta:
- National funding schemes**:** Fiona Manning
- Irish Research Council: Clare Muckian
- International funding schemes**:** Niamh O'Dowd
- Funding from Industry/Enterprise Ireland: Seamus Browne/Aoife Gallagher

A notification of approval is issued automatically to the PI's email address once the form has been fully processed.

Important note: The RCSI Office of Research and Innovation can refuse to accept awards of grants where the original grant application had not received Institutional approval.

■ **Signature page**

If a signature page signed by the Institution is a grant application requirement, please send the signature page to researchadministration@rcsi.ie or drop it into the office at least 3 days prior to the signature page submission deadline.

NB: A GAIS form must be completed in advance of institutional approval. Host Institution signature endorsement may be withheld in cases where the above guidelines have not been adhered to.

Authorised Institutional signatories:
- Director of Research and Innovation: **Professor Raymond Stallings**
- Associate Director of Research: **Dr Paola della Porta**

Authorised Innovation signatories:
- Head of Innovation: **Dr Aoife Gallagher**

4.8 GRANT APPLICATION E-FORM SYSTEM

■ How to complete a Grant Application Impact Statement (GAIS)
1. Enter the RMeS: http://research1.rcsi.ie/ResearchDB
2. Select Submit & View a Grant Application Impact Statement form
3. Select Submit a Grant Application Impact Statement form
4. Complete the online form and submit. NB: Ensure the completed Grant Application plus the Budget document is attached to the GAIS form. (A budget template is available to download on the form if required). If there is a secondment placement included in the application, please provide details in the relevant section of the form.
5. Submit the GAIS form for ORI review and approval at least 2-3 working days prior to the grant application submission deadline.

■ How to check GAIS Processing Status
1. Under the RMeS, select Submit & View a Grant Application Impact Statement form
2. Select Grant Application Processing Status

The PI receives an automated email notification once the process is complete.

*STATUS KEY: 0 = Not processed 1 = Approved by ORI 2 = Approved by FINANCE
When approved by both ORI and Finance, the form moves to **Processed Forms**.

■ How to check/review GAIS processed forms

1. Under the RMeS, select Submit & View a Grant Application Impact Statement form
2. Select Processed Grant Application

■ How to edit a GAIS form
Grant application forms can be amended any time before the approval process has begun and/or after the form has been fully processed.

Proceed as follows:
1. Select Grant Application Processing Status or Processed Grant Application
2. Under the "Options" field, select "Edit"
3. Make the necessary modification or addition to the form and provide a comment on the change
4. Resubmit - Upon resubmission the form will re-enter the approval process.

5.1 GRANT REGISTRATION - PROCEDURE

Upon notification of a grant award, the researcher should contact the Office of Research and Innovation to co-ordinate sign-off of the Letter of Award/Acceptance. Researchers are then required to register the grant on the RMeS as soon as possible (at the latest, within one month of the funding award date).

The purpose of the grant registration is to create:

1. A research account into which the awarded funds can be transferred and withdrawn.
2. An institutional record of the award on the research database, including award documents and any related post-award documentation (e.g. grant conditions, amendments, collaborative agreements etc).

■ How to register a grant

A grant can be registered by the grant holder through the electronic submission of a Grant Registration form via the RMeS. The submission of a Grant Registration (GR) form generates a notification email to the PI, the Office of Research and Innovation and the Finance Department.

More information on how to submit a grant registration through the RMeS is available in the next section of the handbook

■ Registration of Industry funded projects

Industry funded projects may not follow the same procedure as those funded by agencies, please liaise with the Head of Industry Partnerships from the commencement of industry engagement to ensure that the process is facilitated as smoothly as possible.

■ Registration of funding from private donors

Where funding comes from **Private Donors** (other than industry), the Donor is required to provide a "Donor Letter" (see annex 1). This template is available to download from the grant registration form or on the Research Portal (http://staff.rcsi.ie/research/grant-application-and-registration/overhead-rates-indirect-costs). Please ensure that the correct overhead rate is applied (contact researchadministration@rcsi.ie to clarify).

The letter must be printed on donor headed paper, signed by the donor and uploaded on to the grant registration form. This letter must also include confirmation of the source of the funding and any terms and conditions that may apply. The funding must be provided in advance of the project start date.

Important note: Funding from a private donor can only be registered for the period covered by upfront payments.

■ Approval of the GR forms

GR form require the approval of the Office of Research and Innovation initially, and then the Finance Department (Research Accountant).

The ORI review and approval of the grant registration forms is undertaken by the following staff, depending on the funding source:

- Private donations**:** Paola della Porta:
- National funding schemes**:** Fiona Manning
- Irish Research Council: Clare Muckian
- International funding schemes**:** Niamh O'Dowd
- Funding from Industry and Enterprise Ireland: Seamus Browne/Aoife Gallagher

A notification of approval is issued automatically to the PI email address once the form has been fully processed.

Important note: The RCSI Office of Research and Innovation can refuse to accept awards of grants where the original grant application had not received Institutional approval.

As soon as the approval process is completed, a research account is set up and an email notification is sent to the PI/grant holder, including the four-digit research account number to be used by the PI for processing purchase requisitions and submitting research recruitment forms.

In addition, the GR e-system automatically updates:

- The PI's grant codes on the recruitment form e-system, so that the new code can be readily selected for the submission of a recruitment form
- The funding award section of the PI's Research Database profile with details of the new award.

Please note:

A grant cannot be registered unless the associated Grant Application Impact Statement (GAIS) form has been submitted first and fully approved.

Expenditure from a funding award (for equipment, material, salary, etc) cannot be committed unless the GR registration is complete.

5.2 GRANT AWARD AMENDMENT / EXTENSION

When the funder approves a grant amendment, the PI is required to amend the grant registration form, so as to reflect the change of end date and/or budget allocation and/or other conditions of the award (see next section: **How to edit/amend a Grant Registration e-form**).

The amended grant registration should include the letter of approval from the funder and a clarification of the amendment in the e-form comment box. ***The PI is responsible for obtaining the no cost extension (NCE) or budget reallocation with the assistance of the finance department and this must be in writing in accordance with the Funders guidelines.***

For amendment of SFI awards, PIs are required to attach the SFI confirmation email of approval and a copy of the revised budget application which can be downloaded from the SFI SESAME system.

On occasions the budget awarded may be increased by the funder during the timeframe of the project. In these cases the additional funding should be registered in a new Grant Registration so that the funding is accounted for in the correct year.

The research account number of the original award can be reused, and this should be specified in the comment box on the GR form.

Upon resubmission of the grant amendment/extension, the form will re-enter the approval process.

5.3 TRANSFER OF AWARDS

Where a Principal Investigator (PI) takes up an appointment at RCSI or another Research Institution, it may be necessary to transfer existing research awards, contracts, personnel and/or samples or data from one to the other. It is the practice of RCSI to facilitate such transfers in line with Funding Agency and Institutional policies.

Whether the PI is incoming or outgoing, both processes begin with a request for information. Further details can be found at http://staff.rcsi.ie/research/grant-application-and-registration/transfer-of-awards or email Clare Muckian or Stephanie O'Connor at researchadministration@rcsi.ie.

5.4 GRANT REGISTRATION E-FORM SYSTEM

■ **How to submit a Grant Registration form**

1. Log on to the RMeS http://research1.rcsi.ie/researchdb/index.asp
2. Select Submit & View a Grant Registration Form
3. Select Submit a Grant Registration Form. A list of processed GAIS forms will appear. (These forms are also accessible for registration through Processed Grant Application).
4. Select the relevant GAIS form to be registered by clicking on the "Register" link in the "Options" field.
5. Complete the online form and submit.

> **NB:** Ensure the Letter of Offer and Award Terms & Conditions are attached to the form. If RCSI is not the lead applicant, a *signed* collaborative or consortium agreement must also be attached to the GR form with the amount of money to be transferred to RCSI and the T&Cs associated with the funding (ie: IP, supervision, publication rights, etc)

■ **GR form approval**

The Grant Registration form is reviewed for approval by the ORI first and then by the Finance Dept. Upon approval, the Research Accountant generates a research account into which the funds are transferred. Upon completion of the electronic approval process the PI will receive an automated email notification that the form has been approved, which includes the research account number assigned to the grant.

■ **How to check Grant Registration Processing Status**

To check the processing status:

1. Under Research Management System, select Submit & View a Grant Registration Form
2. Select Grant Registration Processing Status

*STATUS KEY: 0 = Not processed; 1. Approved by ORI (awaiting approval by Finance)

When approved by finance, the form moves to processed forms

■ **How to check processed e-forms**:

1. Under Research Management System, select Submit & View a Grant Registration Form
2. Select Processed Grant Registration Forms. The resulting webpage displays all processed GR forms

■ **How to edit/amend a Grant Registration e-form**

Grant registration can be amended any time before the approval process has commenced (i.e. no amendment can be made when the approval of the form has already commenced) and after the form has been fully processed (but not during the approval process).

Proceed as follows:

1. Select Grant Registration processing status or processed Grant Registration forms.
2. Under the "Options" field, select "Amend".
3. Make the necessary modification or addition to the form and comment on the change.
4. Resubmit.
5. Upon resubmission the form will re-enter the approval process.

Please note: On occasions the budget awarded may be increased by the funder during the timeframe of the project. In these cases the additional funding should be registered in a new Grant Registration so that the funding is accounted for in the correct year.

6.1 RECRUITMENT & SELECTION - VISION AND LIFE CYCLE

RCSI recognises the importance of a supportive and stimulating work environment for attracting and retaining high calibre research staff and postgraduate students. It has committed to aligning its HR policies and practices with the principles of the *European Charter for Researchers* and *Code of Conduct for the Recruitment of Researchers* in order to deliver professional recruitment practices and career development opportunities for researchers. In this spirit the recruitment and selection process must be fair, rigorous and transparent. In addition, hiring managers must comply with the College's recruitment policy (http://rcsi.ie/files/careers/20170306104048_Recruitment-and-Selection-Poli.pdf) and relevant employment legislation.

RCSI Recruitment & Selection Life Cycle

RCSI Recruitment & Selection Life Cycle
- Please contact your HR Business Partner, Mark O'Dea, in advance of commencing any researcher recruitment process to agree approach.
- The wording highlighted in red indicates that those sections of the process can be managed by either HR or the Hiring Manager using supporting documentation.

1. Requirements
- Space
- Equipment
- HOD Notification
- PI liaises with HR Business Partner to send role details to SMT for noting

2. Role Details
- Hiring Manager completes Job Description
- Hiring Manager outlines other role specific information

3. Recruitment Campaign
- Hiring Manager agrees Job Advertisement and Campaign process with HR
- Hiring Manager identifies other appropriate advertising sources

4. Selection
- Hiring Manager familiarises themselves with documentation
- HR provides hiring manager with candidates
- Hiring Manager/Panel to shortlist candidates using RCSI Shortlisting Template
- Hiring Manager / HR to schedule and hold interviews
- Hiring Manager / Panel to score candidates using RCSI Competency Scoring Sheet
- Hiring Manager / HR to send HR all relevant shortlisting and interview documentation including shortlisting & scoring template, interview notes, nomination form etc.
- Hiring Manager / HR offers role to candidate

5. Post Selection
- Hiring Manager completes and submits Recruitment form on the Research Database for ORI and Finance approval - strict deadline to make monthly payroll
- Hiring Manager and HR to liaise to ensure Hosting Agreements, Secondments etc are in place, if required
- Once approved, HR issues contract to candidate
- Once signed contract is returned employee can start - strict deadline to make monthly payroll
- Hiring Manager arranges PC, phone, phone number etc.
- HR arranges email and IT access

The College's recruitment and selection process is detailed below. It is important that the deadlines are adhered to in order to ensure that the new Researcher (ie: staff or student) is ready to start their post on time.

6.2 RECRUITMENT – PRELIMINARY REQUIREMENTS

■ **Budgetary constraints:** Prior to the commencement of the recruitment process it is the Grant Holder's responsibility to review the grant award or research account to ensure that the budget available is sufficient to support the post at the planned salary level (incl. benefits) and duration. The PI must also ensure that budgets for individual posts within the overall salary budget are not exceeded without prior approval from the Funder where necessary.

■ **Research facilities**: Grant Holders are also required to review the staff space, laboratory requirements and, if necessary, engage with the Head of Department to finalise arrangements for the new Researcher, together with the use of any equipment.

In the event that research space is no longer available within your academic department please contact the Office of Research and Innovation at researchadministration@rcsi.ie. The Office of Research and Innovation will endeavor to assist Grant Holders in identifying (where/if possible) laboratory / office space.

If the new hire requires support or accommodation due to a disability please contact the Health and Safety Manager in Estates and Facilities on ext. 2268 or collettepower@rcsi.ie for further information. Collette will consult with the individual to ascertain if their proposed location in the college is suitable.

Please note: Head of Departments should always be informed of upcoming new hires or students, their start dates, their contract/studentship duration and of any other special needs.

■ **Mobility plans - Secondment arrangements:** If the new hire /student is to be seconded for part or for the full duration of the contract in another Organisation, please review the section on *Secondment of Research Staff* and contact the Contracts Officer in the ORI (michellekelly@rcsi.ie) at least 2 months in advance of the contract start date for staff and the SPGS for students.

6.3 REGISTRATION OF POST-GRADUATE STUDENTS – PRELIMINARY REQUIREMENTS

■ **PhD student registration**
As part of the PhD enrolment process, supervisors are required to ensure that their students apply online through Quercus at https://quercus.campusit.net/pls/rcsi/f?p=10501:10.

The documents required for the registration are the Curriculum Vitae, a transcript of results, a photo, the project proposal, proof of English language (where applicable) and supervision details.

All PhD applications are reviewed by the SPGS committee every 2 months and final approval is passed via Academic Council.

Please note: a recruitment form for a new postgraduate student cannot be approved by the school until the online registration form has been submitted on Quercus.

■ **Procedure for transferring the registration of postgraduate students to RCSI**
A PI transferring from another Institution to RCSI along with his/her funding awards and postgraduate Students, should ensure that his/her postgraduate student(s) who are going to paid by RCSI are registered as RCSI students. If they are not, under Revenue guidelines, their stipend is liable for tax.

To transfer the registration, PIs are required to provide the RCSI School of Postgraduate Studies with a statement from the previous institutions' registry department that confirms the start and end date of the students' prior PhD registration.

The procedure for the transfer of the registration of a Postgraduate Student is outlined below:

1. The PI then registers the funding with RCSI (see section 4-5)
2. The student completes the Online Application Process in order to register their details on the RCSI Quercus system (https://quercus.campusit.net/app/rcsi/f?p=1301:2).
3. In tandem with the above step, the PI should complete an online "recruitment form" so the student can be set up on payroll (see section 6.6, & 6.10).
4. Upon completion of step 2 and 3 above, the SPGS **_PROVISIONALLY_** approves the recruitment form. This does not constitute full approval by SPGS board, which meets every 2 months.
5. The recruitment form moves to finance for approval (they check that transferred funds have arrived), and HR (who make a formal contract for the student with Head of SPGS signature).
6. The student signs the contract and returns copies to RCSI.
7. The scholarship is then complete, and the student can start their research in RCSI.
8. The PI provides a statement from the previous institutions' registry department that confirms the start and end date of the student prior PhD registration. This allows the SPGS to register the student in the

correct year of their postgraduate studies (e.g. PHDOCTF - Postgraduate PhD Oct Reg full time - PHDOCT1F for year 1 October registered PhD students).

9. Once the SPGS board has seen the proposal and accepted the student's qualification for the course, they will be registered formally to the appropriate year of study. At this point fees will be charged to the grant linked to the student.

10. Students who have completed less than 1 year of their PhD when entering RCSI, or who have passed a Stage I-II transfer examination at their previous institution, will need to have an annual review within the first 3-6 months of registration at RCSI. The SPGS will set this up for the PI/student. The review will include a report, oral presentation and mini-viva with 2 independent research supervisors. After successful completion of this review, the student will be registered to the second year of PhD study at RCSI.

If the student remains registered in their current Institution, the RCSI SPGS do not have interaction or responsibility for the student.

6.4 JOB DESCRIPTION

A detailed job description and person specification is required for all research vacancies. The required experience and educational qualifications must strictly relate to those necessary for the effective performance of the post. Essential requirements must be clearly specified.

■ **How to draft a Job Description**
In developing a job description, the following broad themes should be considered:
- A job description describes a post, not an individual.
- A job description describes the major tasks of the job – temporary tasks need not be included.
- A job description's wording provides sufficient flexibility for the allocation of new duties relevant to the core functions of the post.
- A job description must not be discriminatory or make explicit or implicit reference to the age, gender, marital or family status, sexual orientation, religion, disability, race, membership of the travelling community or any other relevant characteristics of the post holder.

The job description should focus on the purpose of the post and the principal duties and responsibilities. This means identifying what the post needs to achieve and not the exact method by which the work is done. An RCSI job description should outline the following:

- Post information such as title, department, grade and reporting relationships.
- A broad statement of the purpose, objective of the role.
- A list of principle duties and responsibilities.
- Person specification.
- Any other relevant information

Job Description templates are available here: http://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates.

PI's are also encouraged to refer to the RCSI researcher salary scales available on the Staff Portal at the following link:
 http://staff.rcsi.ie/research/grant-application-and-registration/researchrecruitmentresearcher-salary-scales

6.5 RECRUITMENT CAMPAIGN

Vacancies as advertised by RCSI are open to all suitably qualified candidates, subject to satisfying the necessary educational qualifications, skills and experience criteria (as specified in the Job Description). Research funded posts are generally advertised in tandem both internally and externally. Before the recruitment campaign can begin the role must be sent to Senior Management Team (SMT) for noting and a job advertisement must be created.

Recruitment of Research Nurses

The Clinical Research Centre (CRC) is responsible for the selection, training and, where applicable, supervision of research nurses employed at RCSI. The CRC Director of Nursing (DoN), Ailbhe Cullen (acullen@rcsi.ie) is the first point of contact for clinicians who require research nurse support. To this end any request for the recruitment of a research nurse received by HR or the ORI will be passed to the DoN. The DoN will be responsible for activating the recruitment and will liaise with an identified member of the RCSI HR team.

■ **Job Advertisement requirements:-**
✓ Should promote the RCSI brand
✓ Should be compliant with employment legislation and recruitment best practice
✓ Should be designed to encourage applications from suitable applicants
✓ Should contain a positive statement of RCSI's commitment to equal opportunities

■ **Recruitment Campaign & RCSI policy on advertisement of research posts**
(a) All Research and Research support appointments are advertised both internally on the staff portal (http://staff.rcsi.ie/) as well as externally on the RCSI website (http://www.rcsi.ie/careers)

■ **Procedure for advertising research funded posts**
To advertise a research funded post, please first liaise with Judy Walsh, Recruitment Specialist in HR (judywalsh@rcsi.ie or at 01-4022440) in order for the position to be advertised. Please send a detailed job description and deadline for applications. Job description templates are available here: http://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates

"Euraxess Ireland" recommends that PIs also avail of their free advertising portal which automatically uploads the post onto other free websites. HR can support uploading this information upon request. RCSI encourages all researchers to avail of this service. More information on how to do this is available on the research portal: http://staff.rcsi.ie/research/job-advertisments/external-advertising. Fee paying advertising options are also available eg: jobs.ac.uk (note: advertising charges must be covered by the Grant Holder).

In order to advertise posts in a national newspaper, please contact judywalsh@rcsi.ie. There is a fee associated with these advertisements and again will be charged to the PIs grant or Department Cost Centre.

6.6 SELECTION

The RCSI procedures for selection are described in the College's policy on recruitment and selection (http://rcsi.ie/files/careers/20170306104048_Recruitment-and-Selection-Poli.pdf). It is critical that the shortlisting of candidates and the selection methods adopted are fair and transparent and comply with both College policy and employment legislation. The Human Resources Department is available to assist Grant Holder / PI's in the pursuance of these processes and principles.

6.7 RECRUITMENT PROCESS

Upon selection of the incoming researcher, in order for the researcher to receive a contract and be set-up on payroll, the Grant holder / PI is required to submit a Recruitment Form via the Research Management e-System. The procedure on how to use the recruitment e-form management system is outlined in section 6.10. A recruitment e-form must also be completed in instances whereby funding is available to extend a contract or amend a staff members original terms and conditions of employment by re-using the current recruitment form.

A step-by-step instruction on the recruitment e-form process is described as follows:

Research Recruitment e-form Process

Grant Holder Submits E-form → Office of Research and Innovation / School of Postgraduate Studies Approval → Finance Approve Funding → HR Issue Contract → IT Issue RCSI email / network access

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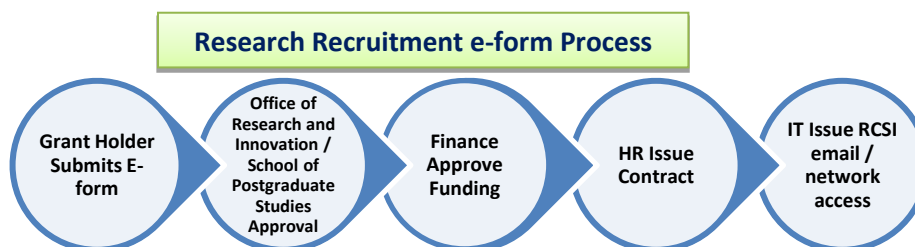
IMPORTANT NOTE: With regard to new contracts of employment, it is imperative that researchers do not commence their work at RCSI until their contract of employment has been issued, signed and returned to Human Resources. The recruitment cut-off date for inclusion of a new researcher on Research Payroll is the **5th of each month**. PIs are also reminded that payroll requests associated with recruitment forms submitted after the 5th of the month will not be processed until the following month. Recruitment forms should allow a gap of at least two weeks between the date of their submission and the contract start date. The above policy is the default institutional policy, and any variance will require exceptional circumstances that should be discussed and approved in advance by the Director of Research and Innovation.

To commence the recruitment process the grant holder /PI should contact HR to discuss the requirements of the role and provide the necessary information for HR to send to SMT, for noting. The required information for SMT includes:

- Funded role title
- Department
- Location
- Hiring Manager Name
- Reason/Type (new role, maternity leave, replacement etc.)
- Expected Salary
- Confirmation that space has been allocated by Estates and/or ORI
- Any additional relevant information

When completing the recruitment e-form, Grant holders are required to ensure the following:

1. That the grant which funds the staff/student is registered and that the balance of the salary/stipend budget(s) in the account is sufficient to cover the employment or studentship costs (e.g. stipend, fees, salary, PRSI, Life Assurance, Pension etc. where applicable).
2. For all new contracts: that a copy of the Researcher's CV and Job Description are attached to the recruitment form.
3. If applicable, relevant visa / work permit for any Non-EEA staff/students and/or secondment details must be provided.
4. That, if appropriate, a clear explanation of the intended purpose of the recruitment form is included in Actions/Comments section. As a standalone document, the e-form should clearly provide information on the amounts and source(s) of funding to be paid for a given period without reference to any associated documentation or communications outside of the e-form.

Please note: E-forms containing incomplete and inaccurate information / documentation cannot be processed. In such instances, the Grant Holder will be contacted during the review process. The grant holder should action any requests as soon as possible to ensure the forms can be managed appropriately.

Pension Contribution
The College currently facilitates both a Personal Retirement Savings Account (PRSA) and Defined Contribution (DC) Pension scheme. On commencement of employment, all new staff including research

staff are automatically enrolled in RCSI's Defined Contribution Pension Scheme, subject to the trust deed and rules of the Pension Scheme. (This includes staff funded by grants where there is no pension budget or new grants where the funder does not provide pension costs).

The employer pension contribution is currently 7% (see also life cover below). Please contact the Human Resources Department (hrqueries@rcsi.ie)   for further details. A copy of the DC Pension Booklet is available on the staff portal under the Human Resources section at the following link: http://staff.rcsi.ie/administration-and-support/human-resources/staff-benefits-leave/finance-and-retirement/dc-pension-scheme

Research staff who have been employed prior to September 2015 are eligible to join the DC scheme or PRSA scheme. Please contact the HR department for further details.

Life Cover
All staff and research students are covered for life assurance. The cost of life assurance is 1.5% of salary, which must be provided for in the employer pension contribution calculation when calculating the total employment costs (ie: 7% employer pension and 1.5% life cover – see the RCSI researcher salary scales for assistance with calculations).

6.8 RECRUITMENT - APPROVAL STEPS

■ **Step 1 - Office of Research and Innovation/ School of Postgraduate Studies Approval**
Upon their submission and within 2-3 working days, the recruitment forms are reviewed by the relevant Office. The Office of Research and Innovation (ORI) reviews research staff and summer student e-forms, whereas the School of Postgraduate Studies (SPGS) reviews Postgraduate Student e-forms. Both offices ensure that the relevant information is included (i.e. CV, job description, visa (if applicable) office / lab space, project title, project description, higher degree by research entry criteria, dates, grant code, etc.).

If the e-form is properly completed and all the necessary criteria are met, the Office of Research and Innovation or SPGS approves the form, which is passed to the Finance Department for the next step of approval.

NB: As part of the student researcher enrolment process, Postgraduate students must also be registered online through Quercus (https://quercus.campusit.net/app/rcsi/f?p=1301:2) before their recruitment form can be approved by the SPGS. Documents required are a Curriculum Vitae, transcript of results, a photo, project proposal, proof of English language (where applicable) and supervision details. SPGS may request an English exam where English is not a first language. Individuals are not fully registered as students until after their application has been assessed by the SPGS committee. This committee meets every 2 months to assess applicants. Student names are then submitted via academic council before they are considered formally registered.

Point of contact for general queries and support on the research recruitment process

- For the Office of Research and Innovation: Cathy O'Byrne (researchadministration@rcsi.ie, ext. 2550)
- For the School of Postgraduate Studies**:** Elaine Carton (postgraduateschool@rcsi.ie, ext. 8594)

■ **Step 2 - Finance Department Approval**
Upon the approval by the SPSG or the ORI, the Finance Department checks the employment costs and dates provided in the e-form against the balance of funding available in the research account of the grant supporting the post.

If the balance of the account is insufficient to cover the total employment / stipend costs the e-form is rejected.

If the balance of the account is sufficient to cover the total employment costs, the Finance Department approves the e-form, which goes to the next step of approval by Human Resources.

 Points of contact for financial queries and support on research recruitment
- Sarah Miller (researchgrants@rcsi.ie, ext 2189)

■ Step 3 - HR Department Approval

The Human Resources Department is responsible for generating a contract of employment for research staff and a PhD studentship agreement for students. Should a visa or hosting agreement be required HR will liaise with the PI/Grant Holder and/or the researcher, as appropriate. The job description supplied with the recruitment eform is included in the new Researchers starter pack.

Note: All new staff are required to return a signed contract of employment before they will be provided with an RCSI email address, network access, staff ID card and security access.

 Points of contact for HR research related queries and support on research recruitment
- Ailis Leonard (ailisleonard@rcsi.ie / hrqueries@rcsi.ie; ext. 2339 and Mark O'Dea, HR Business Partner markodea@rcsi.ie)

6.9 CONTRACT TERMINATION/ EXTENSIONS / AMENDMENTS

The HR Department alerts Principal Investigators/Supervisors of upcoming contract terminations 8 weeks prior to contract termination requesting information as to whether the contract will be renewed or not. The PI will have 3 weeks from the point of notification to renew the contract or notify HR of the contract termination.

If the PI takes no action, at 5 weeks prior to contract termination, a reminder will be sent to the PI and, as a duty of care, the research staff member in question will be copied on this and all further correspondence. In instances whereby funding is available to extend the contract, the PI is required to submit a recruitment e-form as outlined in the section **Recruitment E-form: Contract Extensions / Amendments**. At least 4 weeks prior to contract termination, the employee will be notified of contract termination and will be removed from the payroll system at the appropriate end date.

PIs are urged to notify the HR Department of contract extension as early as possible.

6.10 EARLY CONTRACT TERMINATION

In the event of an early termination of the researcher's employment contract, the Principal Investigator/Head of Department or employee is required to contact the Human Resources Department as soon as possible.

Where a staff member has instigated the termination (i.e. resignation) the College's Resignation Policy on the HR Portal applies. Notifications of resignation must be made in writing to the Head of Department (cc'ing Human Resources) on the day when verbal notice is given. Notice will not be deemed to have commenced until such time as it is offered in writing.

In instances of performance related issues, the Principal Investigator/Head of Department is required to obtain advice from the Human Resources Department in advance of any decisions being taken to terminate the employment contract.

6.11 BREAK IN SERVICE

A break in service must be more than 3 months between contracts or less than 3 months on the first contract; otherwise all contracts must run concurrently.

6.12 RECRUITMENT E-FORM MANAGEMENT SYSTEM

■ **How to submit a recruitment e-form for a** *NEW CONTRACT*

1. Before submitting a recruitment form the PI should ensure that the grant funding the post is fully registered and finance has issued an account number.
2. Enter the Research Management System http://research1.rcsi.ie/ResearchDB/ and select Submit & View a Recruitment Form.
3. For new contracts, select Submit a new form (https://research1.rcsi.ie/recruit/Public/default2.aspx)

   Choose the appropriate recruitment form from the following:

   ➢ Recruitment form (A) is for all research staff whose salary is funded by a research grant

   NB: In instances where it is the awarding bodies' policy not to pay pension contributions for the Researcher, this should be noted in the comments section of the form. This will ensure that pension contributions are not deducted from the grant and will allow Finance to ensure that the necessary provisions and pension payment are made by RCSI, in line with RCSI practice.

   ➢ Recruitment form (C) is for postgraduate students only
   ➢ Recruitment form (D) is for clinical research fellowships
   ➢ Recruitment form (E) is for summer students only

4. Read the notes on top of the recruitment form carefully
5. Complete all fields in the e-form (including the write-up and work station location). Incomplete and inaccurate documentation will be queried and may result in a delay in the issuing of contracts and the processing of payroll.
6. Attach:
   - a CV for all <u>new</u> staff & students;
   - a Job Description for all <u>new</u> staff using the template provided on the form;
   - a visa for non-EEA individuals;
   - a copy of the transcript for all <u>new</u> postgraduates (if available). As part of the enrolment process, please ensure that any new candidates under your supervision apply online through Quercus at https://quercus.campusit.net/app/rcsi/f?p=1301:2

7. If the employment or studentship includes a period of secondment outside of RCSI, please indicate this on the form detailing the location, timing and duration of the secondment. The ORI, HR and/or SPGS can then prepare the required paperwork for this placement.
8. Record specific ad-hoc notes pertaining to the post or post-holder in the *'Any Other Action To Be Taken'* section.

   Examples of notes/action to be taken:

   1. If a contract is part time - include weekly part-time hours and full-time equivalent
   2. What scale the employee has been put against (if applicable)
   3. Moves between grants – please specify split between grant
   4. Include maternity leave, unpaid leave, etc.
   5. Reasons for changes to salary (increase / decrease)

   The "any other actions to be taken" section should be unambiguous and sufficient to give the reader a clear understanding of what is intended without recourse to associated emails or other correspondence.

9. Select the correct grant code and enter the start date, end date, salary and contract duration. For student forms, enter the relevant stipend for the required period only (and fees if applicable). Enter a maximum 12 month period per line. (RCSI advises researchers to apply the studentship stipends in accordance with the terms and conditions of the funding agency. In the event that the funding agency does not stipulate any applicable rate, the applicable rate is left at the discretion of the applicant).

10. Ensure that the correct contract option is chosen (i.e. 'New Contract').

11. In the "project title" section please provide a project title that is specific for that individual and do not use the original title of the funded proposal if the funding supports more than one person.

■ **How to submit a recruitment e-form for a *CONTRACT EXTENSION OR CONTRACT AMENDMENT***

1. Enter the Research Management System http://research1.rcsi.ie/ResearchDB/ and select Submit & View a Recruitment Form

2. Select Re-use an existing form

   From the list of previously submitted and approved Recruitment forms, select the form you wish to re-use by clicking on "Re-use All" or "Re-use Part".

   Differences between "Re-use all" and "Re-use part" options:

   o **Re-use All**: The system will re-upload all previously submitted data for that form, with the exception of the start/end date and salary).

   o **Re-use Part**: The system will re-upload only Personal Data for that form.

3. Select recruitment form type A, C, D or E (e.g. if a student is moving from a studentship to a postdoctoral position under the same PI, the form changes from 'Form C' to 'Form A').

4. If you require a contract extension, please select "Contract Extension" in the "form field''

5. If you require a contract amendment (e.g. change of salary), please select "Contract Amendment". Please ensure that you indicate the "start date" when the salary amendment becomes effective and include a note in the "Actions to be taken" box outlining the amendment.

6. If the contract is for a **new position** i.e. new contract under the same PI, attach an up-to-date CV and new job description.

The review and approval process is the same as described above.

■ **View Processing Status**

The Grant Holder / PI may check the status of their e-form by doing the following:

1. Select Recruitment Forms

2. Select View processing status

The forms can be checked at any point in the approval process by viewing the processing status (https://research1.rcsi.ie/recruit/Public/recruit_pension_processedstatus.aspx).

■ **Incomplete or incorrect recruitment form**

If the form is incomplete or incorrect, it may be sent back to at any point of the approval process in order for the appropriate changes to be made. The PI receives an "urgent revision requested" email specifying the changes and a link to the relevant recruitment form on the RMeS.

The PI is required to re-enter the recruitment forms section of the RMeS (https://research1.rcsi.ie/recruit/Public/recruit_rejected.aspx), make the appropriate changes to the relevant form by clicking on the "Edit" link and re-submit the form for approval.

7.1 STARTING EMPLOYMENT WITH RCSI

Practical information for new starters is available on the Human Resources section of the Staff Portal http://staff.rcsi.ie/administration-and-support/human-resources/information-for-new-joiners/general-information-for-new-joiners. In addition, new starters may refer to the RCSI Staff Handbook on the Staff Portal which is also available at the above link.

■ Induction

Within your first month, you will be invited to attend a group Induction session, which will be held on the St. Stephen's Green campus. This will be a chance to meet other new joiners to the College, to get an overview of who we are and what we do, and to get useful information from some of the key support departments. Please make every effort to attend this session. If you have recently joined and have not received an invite to a Group induction session, please contact the HR department and we will invite you to the next available date. Research postgraduates attend a Postgraduate Induction and Registration day in September/October.

■ Probation

All new staff will be required to complete a probationary period as defined by your contract. Probation is an important part of the induction process as it assists with orientating the new staff member into RCSI. It also provides a forum for the PI/supervisor to set out the duties and responsibilities of the post and assess performance (providing guidance, coaching, training and support where necessary).

In instances whereby an existing employee moves to a new post, a probationary period may still apply. The Human Resources Department actively monitors the probationary period and will send probation review reminders to the individual responsible for managing the new staff member. A probation review reminder is sent out 1 month before the end of probation to allow for the completion of all documentation before the probation is complete. Please refer to the College's Probation Guidelines for Heads of Departments; Probation Guidelines for Staff Members; Research postgraduate students are subject to academic probation, see Monitoring Progress of Research Student policy.

■ CHECK LIST of things to do when a researcher joins RCSI

Ensure that you are:

➢ On the Research Staff mailing list
➢ Set-up on the RMeS (PI/Postdoctoral Researcher/Fellow). To gain access to the Research Database or request further information on any of the above, please contact researchadministration@rcsi.ie.
➢ Set-up with a Researcher ID through Web of Science (http://www.researcherid.com/)

7.2 EMPLOYMENT BENEFITS FOR RESEARCH STAFF

■ Pension

The College currently facilitates both a Personal Retirement Savings Account (PRSA) and Defined Contribution (DC) Pension scheme. All staff are eligible to join and contribute to the PRSA scheme. (This includes staff funded by grants where there is no pension budget or new grants where the funder does not provide pension costs). The employer pension contribution is 7%. Please contact the Human Resources Department hrqueries@rcsi.ie for further details. A copy of the DC Pension Booklet is available on the staff portal under the Human Resources section at the following link: http://staff.rcsi.ie/administration-and-support/human-resources/staff-benefits-leave/finance-and-retirement/dc-pension-scheme

■ Maternity Leave

Maternity leave of 26 weeks with Pay minus Social Welfare Benefits is also available to research staff who have completed a continuous service of more than 6 months provided the provision of 'top-up' maternity pay is an eligible cost on the grant. **NB:** the provision of maternity leave pay lies solely with the external

funding agency. Any entitlement to leave or other benefits lasts only as long as your contract of employment lasts.

The Maternity Leave Policy can be found on the Human Resources section of the Staff Portal: (http://staff.rcsi.ie/administration-and-support/human-resources/staff-benefits-leave/leave-and-work-life-balance/maternity-leave). If you are a student please contact your funder directly for information on their maternity leave policy. Please contact the Human Resources Department hrqueries@rcsi.ie for further details.

Useful links:
Irish Research Council Maternity Leave Policy
SFI Grant Application Budget Policy
SFI Maternity / Adoptive Leave Policy
HRB Grants Policy and Procedure

For a full list of staff benefits, please see the Staff Benefits and Leave page on the RCSI Staff Portal (http://staff.rcsi.ie/administration-and-support/human-resources/staff-benefits-leave).

7.3 PROFESSIONAL DEVELOPMENT PLANNING

■ **Professional Development Planning (PDP)**
The overall aim of Professional Development Planning (PDP) is to provide more consistent feedback to employees, to identify development opportunities, to provide coaching and to assist staff in planning their development. PDP is an annual process assisting employees in setting their professional objectives at the beginning of the year, facilitating a review and discussion at mid-year, followed by a final review at the end of the year.

The main benefits of Professional Development Planning for individual Staff and the College are outlined below:

For the staff member:

- ✓ Increased communication
- ✓ Building trust
- ✓ Regular feedback between staff and their line managers
- ✓ Setting clearer expectations
- ✓ Opportunity for staff development and coaching

For the College**:**

- ✓ Building an environment of continuous learning
- ✓ Assisting staff to reach their maximum potential
- ✓ Allowing for more effective team work
- ✓ Increasing the retention rate of employees

PDP PROCESS

Step 1 - Set Objectives

Step 2 - Mid-year review

Step 3 - End of year review
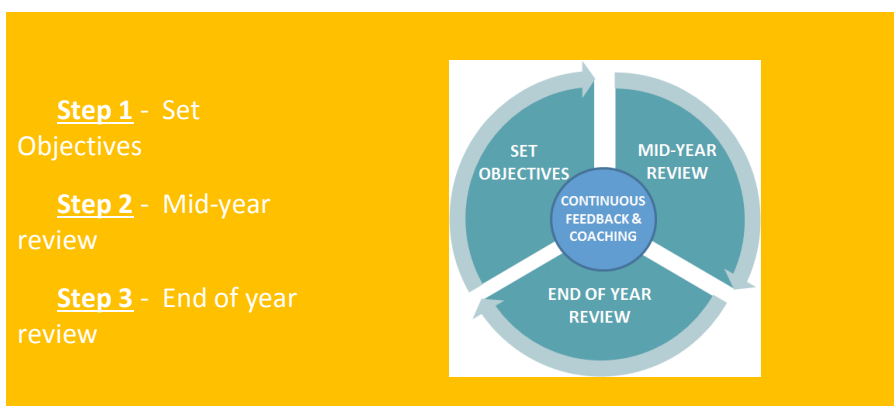
Timeline: 6-8 week windows will be allotted for each step of the process to accommodate competing priorities and annual leave.

Step 1 - Objective Setting

The process will usually commence in January with Objective setting. Managers define a number of high level objectives for their team, in line with the organisational strategy, and share these with team members. Team members draft a set of SMART Goals using the new forms, and share these with their manager. Team member and manager meet to discuss, refine and agree objectives. Objectives for all team members are submitted to HR (by manager or staff member) by mid-February.

Step 2 - Mid-year Review

The mid-year review should usually take place in June or July. The process starts with team members completing a self-assessment of their progress against each of their goals, and sharing this with their manager.

The Manager then adds his/her comments to the form, and meets with the team member. An open, constructive and two-way dialogue should take place, the purpose of which is to:

- Discuss and reflect on performance to date
- Provide feedback, coaching and guidance to support future progress
- Identify any additional support the manager needs to provide to the team member
- Flag any issues if they have not already been raised (by either party)
- Discuss indicative performance ratings at mid-year

Objectives may be amended / updated at this stage if necessary. Following the meeting and any updates, the manager submits the final version of the mid-year review form to HR (copying the team member).

Step 3 - End of Year Review

The End of Year review should usually take place in November or December. Team members update their assessment of their progress and share with their manager. At this point the employee should also consider what he/she wants to include in the development plan for the following year, and add to the document. The

Manager adds his or her comments to the form, and meets with the team member for the End of Year review discussion (as above). Feedback, development plans and ratings are finalised and the completed review is sent by the Manager to HR.

Additional information and access to the PDP templates can be found under the Human Resources section of the Staff Portal: http://staff.rcsi.ie/administration-and-support/human-resources/staff-learning-development/professional-development-planning

7.4 LEARNING AND DEVELOPMENT

There are a number of learning and development opportunities offered across the college including workshops and courses specific to researcher development. Topics of specific interest to Researchers include *Grant Writing, Presenting your Research, Project Management for Researchers and Writing for Publication*. The wider programme includes sessions on *Personal Effectiveness, IT Skills, Management*

and Leadership. In addition all RCSI staff, including all our Research community, have access to the online training library of Lynda.com. The lynda.com library provides 24-hour access to high quality video based training on a multitude of topics, with a library of over 2,500 courses. For further details or to enroll on an upcoming session please refer to the Upcoming Courses page of the Staff Portal. If you have any queries please contact catrionacampbell@rcsi.ie, Staff Learning and Development Manager.

7.5 HONORARY RESEARCH APPOINTMENTS

An Honorary Research Fellowship is awarded to a person (usually a clinician) who does not have an academic appointment with RCSI, but who seeks research affiliation with RCSI.

Procedure: Submission of a CV and document which includes research interests, a statement on own research vision and plan for funding application, funding awards (in the past 5 year), publications, funded collaborations, list of past clinical research studies (including funding source and budgets)

Review process: application are reviewed by the ORI and the Research Committee.
Upon approval, the ORI issues a letter of appointment including terms and conditions.

If considered appropriate, applicants are advised to apply also for a honorary academic appointment (though Medical Faculty).

Terms and conditions
Honorary appointments of Affiliates do not include an entitlement to remuneration.
Appointment duration; 3 years – renewable.

Benefits
RCSI support in the following areas:

✓ Preparation of research grant applications
✓ Support and financial administration of funding awards
✓ Support and management of intellectual property
✓ Research contracts and collaborative agreements
✓ Recruitment and supervision
✓ Research data management and communication
✓ Intellectual property capture, protection, support and advice
✓ Technology transfer, licensing and commercialisation support and advice
✓ RCSI network access including email, Moodle, online journals
✓ Access to the RCSI Library
✓ Invitation to participate in RCSI meetings and events
✓ RCSI Business Cards and stationary containing honorary and supplemental titles
✓ Use of their honorary title for research/grant applications
✓ Access to the RCSI Senior Common Room during meetings, events and visits to RCSI

Affiliates are allowed to take on PhD students on a co-supervision basis only (to be discussed with School of Postgraduate Studies).

Requirements
In consideration an Honorary Research Fellow appointment, Affiliates are required to**:**

- *Recognise RCSI affiliation in all dissemination activities, including research presentations and publications.*

- *Agree to comply with RCSI policy and procedures for researchers as described in the RCSI Researcher Handbook.*
- *Ensure that there is no conflict of interest between the terms of the clinical appointment at the Hospital, or other clinical appointments, and the terms of the honorary appointment at RCSI and associated activities. In the event that they foresee any potential conflict of interest, it is their responsibility to promptly bring the matter to the attention of the relevant office/ department in the Hospital and RCSI to allow for the conflict to be satisfactorily resolved for both Institutions as soon as possible.*

RCSI undertake to negotiate and sign off on research contracts/agreements and provide affiliates with research support for all research activities, funding applications and awards that are made during the period of affiliation and are endorsed by RCSI as host institution. The availability of support on earlier funding awards is evaluated and determined on a case by case basis by RCSI and the Hospital jointly.

8.1 SECONDMENT OF RESEARCH STAFF

*A **research secondment** is a temporary placement of an employee to an external Host Organisation (e.g. Hospitals, Industry, Academic Organisations, etc), on a part-time or full time basis, to conduct a research project. A secondment can be for any duration.*

During the secondment phase the Secondee retains all the terms and conditions of his/her contract of employment, including continuous service, employment policies, pay and pension arrangements, if applicable. The secondment agreement, however (which is stipulated by his/her employer and the Host Organisation) may add terms and conditions over and above those of his/her contract of employment.

Secondments should be planned in a timely manner, possibly as early as the project planning stage. This is to ensure that:

1. The researchers (Supervisor(s) and Secondee) are able to assess and address the research requirements (infrastructure and funding) during the secondment period, agree the co-supervisory arrangements, seek the Institutional approvals from the Secondee's Employer and the Host Organisation.

2. The Host Organisation and the Employer can assess the feasibility and organisational implications of the request for secondment (eg: insurance, health insurance, taxation, social security, funding, funding conditions, visa, financial consultancy fees, etc, if applicable).

3. RCSI can put in place a _Secondment Agreement_ with the Host Organisation. The secondment agreement addresses the specific research needs of the secondment and outlines the responsibilities of both the host and home institutions for the period of the secondment. (eg: adequate supervision, training, access to research facilities and infrastructures, insurance, etc). The secondment agreement also defines rights & responsibility of the parties in relation to Intellectual property, indemnity, confidentiality, publication of data, supervision, work plan, administration and reporting.

In line with the above, RCSI have also put in place a Memorandum of Understanding (MOU) with several RCSI affiliated hospitals which sets out the principles and procedures for the secondment of RCSI clinical research staff on their sites. As part of these MOUs, we have agreed that all RCSI hospital-based appointments are subject to hospital approval and require the execution of a secondment agreement that is informed by the job role and its' associated clinical and research activities. This is being done to protect RCSI, the affiliated hospitals, the RCSI clinical research staff and PIs.

It is important to note that such arrangement excludes purely clinical appointments, as it is not within RCSIs legal or professional remit to make such secondments.

To speed up the approval process of secondments, we strongly recommend that as a first step in the recruitment process you draft a job description and obtain the approval of the HR Department at the relevant Hospital site. Upon receipt of Hospital approval, RCSI will endeavour to speedily assist you in the preparation and processing of the documentation that is required for the recruitment and secondment of the post holder.

<u>RCSI SECONDMENT PROCEDURE</u>

- **Budgeting**

   The secondment in an Organisation outside Ireland could have unexpected cost implications, which go beyond the relocation costs and relate to national taxation and health service systems.

Therefore it is strongly recommended that any plan for secondment is considered at the grant application stage so as to allow for any additional secondment cost in the project budget. For guidance on these costs please liaise with Barry McGowan in the Finance department at RCSI.

NB: When applying for funding where the proposal contains a likely secondment placement, please tick the relevant box on the internal Grant Application Impact Statement (GAIS) form on the Research Management e-System.

- **Institutional Approval and Advance Notice Requirements**

Any plan for secondment requires Institutional approval from the HR departments of **both** RCSI and the Host Organisation. The approval for a secondment plan should be sought as early as possible so that the secondment requirements can be determined and assessed and the terms of the secondment can be agreed by RCSI and the Host Organisation in the secondment agreement. Delays can have adverse implications for RCSI, the Host Organisation, the Secondee and the research project. This includes delays in commencing the secondment at the Host Organisation and delays in paying the secondee's salary.

Please note the following points:

(a) *the secondment cannot commence until the Host Organisation signs and returns the secondment agreement to RCSI.*
(b) *RCSI does not accept the responsibility for any delay in the commencement of a secondment plan if a notification of secondment plan is not received at least 2 months in advance of the start date of the secondment period.*

The first point of contact for secondment advice and due process is Michelle Kelly, Contracts Officer in the ORI (michellekelly@rcsi.ie). Michelle will liaise with the HR and Finance Department to ensure that the secondment agreement covers all the appropriate requirements.

- **How to progress a request for secondment**

Secondment of new hire or of existing staff under a new contract of employment

In the event that the secondee's commencement of the secondment period coincides with the commencement of the secondee's employment at RCSI, when the PI/supervisor fills in the recruitment form and is asked "*Does this contract include a Secondment period?*"**,** he/she is required to select **YES** and complete the section **"***Location, Timing & Duration"*.

This information prompts the Contracts Officer to liaise with the Secondee's PI/ supervisor, HR and the Finance Department to assess and discuss the secondment plan, liaise with the Host Organisation and take the measures required to address the needs of all the parties involved (the Institutions, the researchers and the project funder).

If the host Institution is a clinical organization, we strongly recommend that as a first step in the recruitment process the PI/Supervisor drafts a job description which clearly specifies the job role and its' associated clinical and research activities. Before approaching RCSI the PI/supervisor is also required to obtain the approval for the secondment by the HR Department at the clinical site. Upon confirmation of hospital's approval, RCSI will endeavour to speedily assist in the preparation and processing of the documentation that is required for the recruitment and secondment of the post holder.

When the secondment agreement is signed between the Host Organisation and RCSI, RCSI will issue a contract of employment.

Secondment of existing staff

Any plan for secondment should be firstly discussed by the researcher (Secondee to be) and his/her line manager/supervisor so as to evaluate the implications in terms of staff replacement, project continuity, funding requirements, and reintegration feasibility/requirements.

If the researcher and the supervisor decide to proceed with the secondment plan, the supervisor should notify the Contracts Officer and HR Department as early as possible. This should not be later than 2 months before the commencement of the secondment period so that the requirements for the secondment can be assessed and the terms of the secondment can be agreed with the Host Organisation.

Please note that it is not within RCSIs legal or professional remit to issue purely clinical contracts of employment which do not include a research remit. For this reason it is essential that all requests for secondment include a well-defined research project description.

- **Management of the Secondment**

During the secondment period, the secondee will be supervised by a member of staff affiliated to the Host Organisation, or as well as, if applicable, the RCSI supervisor. Both supervisors are required to ensure that the Secondee is made aware of his/her role & responsibilities for the duration of the secondment period.

Any disciplinary, performance or attendance matters will be dealt with jointly by the RCSI supervisor and (where applicable) the host organisation's supervisor. The RCSI supervisor must maintain regular contact with the Secondee and the supervisor in the Host Organisation.

8.2 INCOMING VISITING SCIENTISTS

An incoming Visiting Scientist is a researcher (staff and student) who attends RCSI in an unpaid visiting capacity for the purpose of training or under a staff exchange, work experience or mobility programme.

When a researcher attends RCSI in a visiting capacity, the Principal Investigator [PI] or Head of Department [HOD] is required to register the visiting individual's attendance with the Human Resources Department and liaise with the student/staff and his/her home Institutions to put in place a Visiting Scientist Agreement. This requirement ensures that intellectual property rights are assigned, the laboratory/space requirements are met, the necessary Health and Safety measures are taken, and that optimum security is kept both within our buildings and within the RCSI IT network. *There is no minimum or maximum attendance period that must be reported; all Visiting Scientists must be reported to HR.*

■ **Procedure**
Upon notification of the incoming visitor, the HoD / PI is required to complete a Visiting Scientist Agreement based on the template which is provided on the staff portal http://staff.rcsi.ie/research/templates (see Annex 5 of the handbook also). If necessary the agreement can be tailored to specific situations with the input of the Office of Research and Innovation.

The **Visiting Scientist Agreement** primarily is intended to clarify the assignment of intellectual property, to address confidentiality, and make the Visiting Scientist aware of his/her responsibility while in placement at RCSI.

The agreement will have two options in Section 6

- Option (A): The scientist is based in RCSI for a period of time, working on an RCSI derived project.

- Option (B): An existing intellectual property or collaboration agreement is in place between RCSI and the Visiting Scientist home institution or the scientist is visiting RCSI for the purpose of using equipment only.

It is the responsibility of the RCSI HoD/PI to ensure that the Visiting Scientist's home institution HoD/PI has also reviewed and signed the agreement.

The Visiting Scientist Agreement must be forwarded to the HR Department (Email: hrqueries@rcsi.ie) prior to the visiting individual arriving on campus.

The HR Department will notify the:
- IT Department if any IT / Security Card access is required.
- Office of Research and Innovation of the Visiting Scientist's arrival.

The HOD / PI are required to advise the HR Department, in writing, of any changes in the departure date of the Visiting Scientist.

In instances where the Visiting Scientist's attendance period is being extended (ie: past the date originally notified), the HoD / PI are required to notify the HR Department by email immediately at hrqueries@rcsi.ie. Failure to do so may result in loss of access rights.

For any further information, please contact the HR Operations Assistant; ext. 2339 / hrqueries@rcsi.ie.

8.3 MOBILITY OF POSTGRADUATE STUDENTS

Research postgraduates may carry out an overseas or industry placement during their higher degree and should liaise with the School of Postgraduate Studies (SPGS) well in advance of the proposed placement to ensure that visa and insurance requirements are met.

8.4 INSURANCE

Employers Liability insurance covers RCSI's legal liability for injury to employees. Liability for breach of professional duty is covered under the Professional Indemnity Policy.

Indemnity for claims arising from a negligent act causing injury is covered under the Medical Malpractice (clinical indemnity) policy. Where RCSI staff or students are operating under another Institutions' working practises then that Institution's policy would apply i.e. the Clinical Indemnity Scheme or the Private Facilities Insurance policy would cover RCSI staff and students.

The Clinical Trials policy covers Trials and Human Volunteer Studies undertaken by or on behalf of RCSI in accordance with our business as clinical researchers. Each trial must be notified separately to our insurance brokers through the RCSI Clinical Research Centre (CRC) at Beaumont hospital. Business Travel undertaken by RCSI Employees resident in Ireland and any person travelling on behalf of RCSI is covered under the RCSI Travel and Personal Accident Insurance Policy.

Please note: an insurance clause is included as a requirement in secondment agreements issued through the ORI for staff. Please check with the School of Postgraduate Studies (SPGS) for off-site insurance arrangements in relation to PhD students.

9.1 FINANCIAL SUPPORT FOR RESEARCHERS

The Role of the Finance Department in the Management and Support of RCSI Research Activity is to provide an effective research administrative support service.

The role of the RCSI Finance Department in RCSI research is to:
➢ Contribute to the formulation, implementation and review of research strategy and ensure alignment of finance to strategic objectives.
➢ Assess the financial impact of strategy and operating decisions.
➢ Regularly review grant income and expenditure.
➢ Liaise with key national and international research partners on relevant financial and budgetary issues.
➢ Conduct regular business reviews with the Office of Research and Innovation, Research Departments and Principal Investigators.
➢ Ensure the timely production of high quality financial information to relevant stakeholders.
➢ Ensure that institutional reporting requirements of Funders are met to their satisfaction.
➢ Manage audits conducted by funding bodies.

9.2 RESEARCH ACCOUNTS

In order to set up a research account the grant holder is required to register the funding through the RMeS (see Section 5 on Grant Registration). Upon approval of the grant registration and associated supporting documentation, the Finance Department opens up a research account on the colleges Financial Accounting System (Agresso) and issues the Principal Investigator / Budget Owner with the coding details of the cost categories which are in line with the grant award documentation. This correspondence also includes the budget and budget sub-totals under each category. Agresso will budget check each transaction by cost category. Funding from private donors can be registered only for the period covered by upfront payments.

■ **Expenditure approval**
It is the responsibility of the Principal Investigator / Budget owner to authorise expenditure under the award and to ensure that these are in line with the grant Letter of Offer and the Terms and Conditions of the Funding Body. This ensures that expenditure incurred is allowed by Research Funders and so reducing the risk of ineligible expenditure being charged to a research a/c.

■ **How to place a Purchase Order/Requisition**
It is essential to have an official College Purchase order in advance of any goods/services being dispatched/undertaken. All goods and services should be ordered through the Agresso online system. The link to the Agresso online system is also available on the RCSI Portal (http://staff.rcsi.ie) under the section *Resources for Staff*.

A purchase requisition is raised online by the requestor of the goods or service. The requisition is then routed automatically for approval through the Approval Hierarchy, the same hierarchy as currently applies for invoice approval. Once the requisition is appropriately approved, it auto converts into a purchase order and is emailed to the supplier, with a copy to the requestor. Suppliers have been advised that they must have an official RCSI order before they can accept an order from the College.

Instructions on **how to complete the Purchase Order/Requsition** can be found on the staff portal: https://staff.rcsi.ie/administration-and-support/finance/purchasing-payment-guidelines/purchasing-guidelines. Any queries can be addressed to the Accounts Payable Team at po@rcsi.ie.

■ **Eligible Costs**
It is the responsibility of the Principal Investigator / Budget owner to ensure that expenditure is eligible under the terms and conditions of the award. PI's are required to familiarize themselves with the eligibility rules for each of their grants. Details of eligible and non-eligible costs can be found on the funder's website.

In particular;

- ➢ Items of expenditure included in claims for reimbursement must be incurred after the start date and paid prior to the completion date of the project ie: invoices should be dated prior to the end date.
- ➢ Where research staff are engaged for less than 100% of their working time on a project, timesheets need to be maintained. Timesheets are available on the RCSI Finance Portal. For EU funded research grants (e.g. FP7 and many Enterprise Ireland awards) timesheets must be maintained even when staff are working 100% of their time on the project.
- ➢ Supporting documentation should be maintained on file for costs claimed in order to ensure compliance with the terms and conditions of the grant. PI's need to be aware of any additional requirements relating to supporting documentation (e.g. procurement, publicity). Some funders require boarding passes which should be submitted with expense claims or proof/record of conference attendances.
- ➢ Ensure that expenditure is of direct relevance to the project e.g. some funders do not allow wine and other alcoholic beverages, some funders do not allow travel costs where the researcher was not an official member of the particular team.

■ Expenditure Coding

Expenditure must be coded in line with those categories authorised by the Funding Body as set out in the Letter of Offer and the Terms and Conditions of the Funding Body. This ensures that expenditure incurred is reported against the awarded budget category. It is the responsibility of the Principal Investigator / Budget Owner to code the costs to the correct budget category.

This task can be delegated to a nominee within the research team. Coding of costs happens at the following times:

- Recruitment of staff
- Raising of Purchase Orders/Requisitions
- Direct Input of Invoices with no previous Purchase Order
- Internal Recharges

Where Invoices are received directly by the PI they should be submitted to the Accounts Payable Section of the Finance Dept (accountspayable@rcsi.ie) where they will be uploaded onto the system without delay and go through the Approvals process.

■ Code Amendment

Where an item has been incorrectly coded the PI / nominee can reject this invoice from the on-line web portal. Accounts Payable Team will then re-send the invoice out for approval with the new code provided by the PI. Where a PI / Budget Owner become aware, having reviewed his/her monthly reports, that a transaction has been processed against the wrong grant or budget category, he/she should email the details to researchgrants@rcsi.ie so that corrective action can be taken.

■ Travel Bookings

All flights and accommodation related to College business, workshops, conferences etc. must be booked through the RCSI Travel Office (travel@rcsi.ie) in accordance with the RCSI Travel Policy (http://staff.rcsi.ie/administration-and-support/finance/travel-expenses-guidelines / RCSI Travel Policy). Please stipulate whether the flights are economy or business class on the PO. Boarding Passes should be kept for all EU funded projects where flights are claimed.

9.3 PURCHASE OF EQUIPMENT - PUBLIC PROCUREMENT

Guidance on the College policy on Public Procurement can be found on the Finance Portal at the attached link http://staff.rcsi.ie/administration-and-support/finance/purchasing-payment-guidelines/2014-procurement- policy-pilot. The objective of this procedure is to serve as a guide to all members of the College involved in the procurement function for research grants. It defines the procedures and practices that will be followed by all Heads of Department and others with purchasing responsibility in the Royal College of Surgeons in Ireland. In order to achieve value for money it is essential that guidelines are established which will satisfy legal requirements without imposing too heavy an administrative burden on those making the purchases.

Grant holders should be aware that the Auditors of the College have full, free and unrestricted access to the procurement records of the College. On receipt of any observations resulting from any such audit, the grant holder concerned shall be responsible for ensuring that replies (if any) are furnished through the Finance Department. Grant holders should satisfy themselves that any such replies are correct in every respect. Please note, especially for European grants, all equipment including laptops should be purchased at the start of the grant.

As part of the conditions of **publicly funded research awards**, contracts for supplies and general services with an estimated value of €25,000 or more (excluding VAT) should be advertised on www.etenders.gov.ie. Contracts in excess of €207,000 (excluding VAT) should be advertised in the Official Journal of the European Community (OJEC). The Office of Research and Innovation must be consulted in advance of advertising on *etenders* and will assist with the tender preparation and publication.

Where contracted suppliers are used there is no need to obtain competitive tenders or quotations. This requirement is in addition to the College Purchasing & Procurement policies published on the Finance Portal. Please refer to the document "Procurement Policy 2016 update V2.3" at the following link: http://staff.rcsi.ie/administration-and-support/finance/purchasing-payment-guidelines/2014-procurement-policy-pilot

For goods, services & projects of significant value, quotes should be obtained as follows:
➢ *Value from € 0 to € 1,000 – No quote required*
➢ *Value between € 1,001 and € 6,000 – 3 verbal quotes are required*
➢ *Value between € 6,001 and € 49,999 – 3 written quotes are required*
➢ *Value over € 50,000 – RCSI Procurement Group selects a Tender Evaluation Panel (TEP) to review.*

As per internal audit requirement, the written quotes and Online Requisitions – Supplier Evaluation Form should be attached to the requisition. In line with RCSI's centralisation policy, all capital purchases for IT and Building are centralised through the IT and Estates departments respectively. No budget holder has authority to order capital purchases from their allocated running costs budget.

9.4 PAYMENTS

■How to pay an Invoice
Invoice and supplier queries will be answered by the Accounts Payable Team (accountspayable@rcsi.ie). Once received, the invoices are registered on the College Financial Accounting system (Agresso) and sent out for approval through the on-line web portal. The approver will be notified by email when invoices are pending approval with a link to access the Agresso on-line web portal. Once fully approved, the invoices will be included on the weekly payment run if the invoice is due for payment. All payments are made electronically as per the College Policy and the supplier will receive remittance advice by email that the payment has been organised.

■ **How to claim Expenses**

Expenses must be incurred wholly, exclusively and necessarily on behalf of the College for its business and must be fully supported by original receipts and documentation. All expenses need to comply with the RCSI travel policy which is available on the portal. Boarding Passes should be kept for all EU funded projects where flights are claimed. Credit card receipts are not acceptable without the original ticket(s) or invoice(s) which must be attached to the claims. Expenses are claimed through the Agresso online system and all original hardcopy receipts & documentation sent to Finance. A webinar for this procedure is available on the Portal under "Employee Expenses Guidelines".

■ **How to pay Postgraduate Fees**

Research Postgraduate students will receive an invoice in September/April, accompanied by a fees funding letter. For those students funded by a research grant, the letter must be signed by the relevant grant holder and returned to the Fees office ahead of registration. It is a requirement that all students must pay fees each year until they submit their thesis or complete their course. Further, it is the postgraduate's responsibility to ensure that s/he registers on time each year prior to submission of their thesis or completion of their course. Please contact studentfees@rcsi.ie if you have any further queries.

■ **Accounts Receivable**

In some cases the terms and conditions of Research Projects require the Principal Investigator to raise an invoice in order to receive the funding under the agreement. An Invoice Request Form must be completed by the Principal Investigator and emailed to accountsreceivable@rcsi.ie. All queries in relation to these invoices should also be sent to this address. Invoice Request Forms are available on the Finance Portal at the following link; http://staff.rcsi.ie/administration-and-support/finance/finance-forms. Please note once an invoice is raised it cannot be amended on the system so please ensure that the Invoice Request Form is completed correctly with accurate narrative to appear on the invoice.

9.5 FINANCIAL REPORTS (INTERNAL)

■ **How to obtain a Transaction Listing**

PI's /Research account holders receive a monthly report for each research account with a breakdown of transactions. You may nominate additional individuals to also receive these reports. Contact researchgrants@rcsi.ie with any queries or for further information. Please note that PI's and Budget holders also have access online to up to date research account transaction and budget information.

To run an enquiry on a research grant go to:

1. RCSI Staff Portal, click on **Online Finance System** under **Resources for Staff**
2. Select **Reports, Global Reports, Research Reports** and choose your relevant report. You can also access the online system when you are off RCSI Campus at https://connect.rcsi.ie. Each report will give a brief description of the information that can be accessed at the top of the screen.

■ **How to query Salary or Tax related issues**

Research staff and students receiving salary or stipend payments from a research grant can access their payslips and P60s through the HR Self Service & Payslips (aka Core HR Portal). More information on the Core HR Portal is available at http://staff.rcsi.ie/administration-and-support/human- resources/core-hr-portal-user-support.

For any salary or tax related issues, please contact the Payroll Department (salariesdept@rcsi.ie). More information on general tax and PRSI is available on the Finance Staff Portal http://staff.rcsi.ie/administration- and-support/finance/payroll-services or by contacting the Finance Department.

9.6 FINANCIAL REPORTS (FOR FUNDING AGENCIES)

■ How to submit a report & make a claim for research funding from a funding body

It is the responsibility of each grant holder to monitor and comply with the funding body financial and technical deadlines. When a financial claim is required the PI / nominee should extract (through Agresso) the transactions relevant to the reporting period, categorise and include in the financial report as specified by the Funding Agency. Alternatively where the PI needs assistance with the transaction listing he/she can provide the following information to the Finance Department at researchgrants@rcsi.ie:

- Grant Code
- Period to be covered by the report*

The Finance Department will provide a financial report for the required period to the grant holder and the grant holder should complete the relevant claim form and return to Finance Department for final approval and signoff. Once signed off, these will be returned to the grant holder for submission to the funding agency.

Please note the Agresso system reports on 12 financial periods for the academic year in the format YYYYMM where YYYY is year in which the academic year ends and MM is the period number for the relevant month. For academic year 2014/15, October 2014 is 201501, November is 201502 up to September 2015 which is 201512. As we change academic years the year rolls forward thus October 2015 will be 201601 etc.

EU FP7 grants - Common financial errors associated with final reports

The EU have issued a Note for FP7 beneficiaries which says "As a beneficiary of grant support under the 7th Framework programme, it is in your interest to make sure that your claims for cost reimbursement are as error-free as possible".

Most frequently recurring errors:

1. Costs claimed that are not substantiated or are not linked to the project
2. Third parties and sub-contracting
3. Depreciation
4. Indirect cost models
5. Indirect costs - Ineligible costs included in the pool of indirect costs
6. Personnel costs - Calculation of productive hours
7. Personnel costs – charging of hours worked on the project
8. Personnel costs - Use of average personnel costs
9. Payment of salaries to owner/managers of SMEs
10. VAT

Please note : Many of these guidelines are also applicable to European (e.g. ERDF) funded grants through Irish funding agencies (e.g. relevant Enterprise Ireland & HEA awards).

Two areas to highlight in particular:

1. Costs claimed that are not substantiated or are not linked to the project

All costs claimed, with the exception of applicable lump sums and flat rates, *should be based on the real costs incurred.* They must be supported by evidence that they are real (recorded in the accounts of the beneficiary and supported by invoices for example), paid (supported by bank statements for example), and linked to the funded project. As a general rule, neither *estimated amounts,* nor budgeted amounts, are acceptable. Where these conditions are not met the amounts will be deemed to be ineligible.
For example the cost of consumables charged to the project *needs to reflect the real cost of consumables used for the funded project* in the course of each reporting period. Each set of consumables used needs to be substantiated by an invoice, indicating the unit price and the quantity used. Any allocation/breakdown of consumables in a funded project must be substantiated by relevant supporting documentation (i.e. invoices or delivery notes).

2. Personnel costs - Calculation of productive hours

The calculation of actual personnel costs requires the establishment of the productive hours for personnel. Productive hours should include *all the time that the employee is available to undertake activities for the organisation* (research and non-research activities). It should exclude weekends and holidays, but should include for instance teaching time, preparation of proposals, etc.

For further information or guidance, please contact researchgrants@rcsi.ie

9.7 CLAIMING FUNDING IN INDUSTRY FUNDED PROJECTS

■ How to make a claim for funding in Industry Funded Projects
The payment schedule of project funds associated with projects funded by industry are generally set out in the project agreements associated with such projects. It is the responsibility of each grant holder to monitor and comply with their financial and technical deadlines. Prior to the payments from the industry party falling due, the grant holder should provide the following information to the finance department at researchgrants@rcsi.ie:

 - Grant Code
 - Amount of funds due

The finance department will raise and dispatch the relevant invoice.

10.1 COLLABORATIVE RESEARCH AGREEMENTS

When undertaking a collaborative research project it is strongly advised and in some cases mandatory that a Collaborative Research Agreement is put in place that provides clarity on the roles of the partners in the project and defines the terms and conditions that governs their relationship.

Collaborative Research Agreements include terms relating to the research programme, partners roles and responsibilities, governance structure, budgets and financial requirements, dispute resolution, project management, ownership and commercialisation of intellectual property (IP), access rights to IP, publication rights, confidentiality, indemnity, termination.

■ **RCSI-led collaborative projects**
It is standard practice that research collaborative agreements are drafted by the home Institution of the project coordinator or lead scientist who is contractually bound to the project funder and is responsible for the funding, including its distribution to the project collaborators.

The Office of Research and Innovation is responsible for drafting and negotiating collaborative research agreements that are tailored to suit the nature of the collaboration and take into account the sponsor requirements.

The ORI point of contact for agreements is the ORI Contracts Officer, Michelle Kelly (michellekelly@rcsi.ie)

It is important that agreements are executed before the project work commences.

Please note: the drafting and negotiation of a collaborative agreement can be a very time consuming exercise. Therefore researchers are strongly encouraged to liaise with the Office of Research and Innovation as soon as possible and at least 1 month prior to the commencement of the collaborative project.

■ **Research project where RCSI is a collaborating Institution**
RCSI Researchers are required to seek the approval of the Office of Research and Innovation on agreements with industry or academic institutions that relate to research being carried out in RCSI

The Office of Research and Innovation will arrange for such agreements to be reviewed, approved and signed.

■ **Authorised signatories for collaborative research agreements**
Collaborative research agreements are legally binding and therefore must be signed by the authorised signatory of the Partner Institutions. Authorised signatories are the Director of Research and Innovation, Professor Ray Stallings and the Associate Director of Research, Dr Paola della Porta.

Please note that the oversight and support in place for the preparation and review of Research Agreements is necessary to ensure that the interest of the Investigators and the College are adequately protected.

NB: Academic agreements do not fall under the ORI remit. Please contact Dónall King, donallking@rcsi.ie for further information in relation to these agreements.

10.2   RESEARCH AGREEMENTS WITH INDUSTRY

When undertaking a collaborative research project involving industry, a legally binding Collaborative Research Agreement must be put in place. Such agreements contain terms relating to the performance of the research programme, partners roles and responsibilities, governance structure, budgets and financial requirements, dispute resolution, project management, ownership and commercialisation of intellectual property (IP), access rights to IP, publication rights, confidentiality, indemnity, termination. For further information on consultancy, collaborative, and contract research agreements with Industry please contact Dr. Seamus Browne at seamusbrowne@rcsi.ie.

Please note:

    I.   Researchers should refrain from signing agreements with commercial partners where they are named as the PI or as a Collaborator without RCSI's prior knowledge and without obtaining and authorised institutional signature.

   II.   **Authorised signatories for research agreements with Industry** are the Head of Innovation, Dr Aoife Gallagher and Director of Research & Innovation, Professor Ray Stallings.

  III.   The drafting and negotiation of collaborative agreements with Industry can be a very time consuming exercise. Therefore researchers are strongly encouraged to liaise with the Head of Industry Partnerships (seamusbrowne@rcsi.ie) as soon as possible and at least 1 month prior to the commencement of the collaborative project.

  IV.   The oversight and support in place for the preparation and review of Research Agreements with Industry is necessary to ensure that the interest of the Investigators and the College are adequately protected

11.1 INTELLECTUAL PROPERTY - DEFINITION

Intellectual Property (IP) is a term referring to creations of the intellect for which a monopoly is assigned to designated owners by law. The following are examples of the most common types of IP Rights: Patents, Know-How, Copyright, Trade Marks, and Design (Registered and Unregistered) Rights. In RCSI, the most important rights are **Patent** rights and **Know-How**. Maintaining confidentiality and not disclosing intellectual property is critical to both these types of IP rights. To patent something, it must novel and hence has been kept out of the public domain until such time as a patent application has been filed. To be of commercial value Know-How must always be kept secret and out of the public domain.

11.2 INTELLECTUAL PROPERTY – APPLICABLE POLICIES

Intellectual property developed at RCSI is managed in accordance with one or more of the following documents as appropriate:
- The National IP protocol "Inspiring Partnership – the National IP Protocol 2016 'Policies and resources to help industry make good use of public research in Ireland'" http://www.knowledgetransferireland.com/ManagingIP/KTI-Protocol-2016.pdf
- The terms and conditions of the funding agency sponsor of the research programme under which the IP is created.
- The terms of agreements with industry or other 3rd party sponsors of the research programme under which the IP is created.
- The RCSI Intellectual Property 2017 (or subsequent versions).

11.3 CAPTURE, PROTECTION AND COMMERCIALISATION OF INTELLECTUAL PROPERTY

Staff in the ORI liaise closely with the PI community to ensure early identification of research outputs which may have commercial potential. Following a meeting between ORI staff and the researcher's formal notification of the creation of intellectual property is performed through the submission of an invention disclosure form, which is available on the RCSI staff portal.

Technical and commercial evaluation is performed by ORI staff, normally with the input of external experts who will advise on commercial potential. Prior art searching is performed which may be outsourced to an external provider. If the outcome of the commercial and technical review supports patent filing a patentability opinion may be sought from a patent attorney before filing a patent. At later stages in the patent filing process a patent application may be discontinued if commercial feedback does not support its continuation. Further information on this process may be found in the Technology Transfer Guidelines section of the staff portal.

The Office of Research and Innovation (ORI) has two key objectives in relation to research commercialisation.

1. To provide high quality services to assist and support the College's research staff in protecting innovations and commercialising intellectual property assets.

2. Manage the College's Intellectual Property assets through advising and executing commercial transactions with industry partners and entrepreneurs.

The ORI facilitates these objectives through assisting all research staff in providing support in the following areas and negotiating a variety of interactions and agreements including:

- Advice on the development of projects with commercial potential

- Help in applying for grant funding to develop technology to a more commercially ready state

- Support for all forms of industry engagement

  - ➢ To inform commercially relevant research
  - ➢ To perform collaborative research
  - ➢ To perform industry fully funded research

- Intellectual property management

  - ➢ Patent filing

- Negotiation of IP agreements

  - ➢ Non-Disclosure or Confidentiality Agreements
  - ➢ Material Transfer Agreements
  - ➢ Intellectual Property assignments and management agreements
  - ➢ License Agreements including, Option agreements and, Evaluation licenses
  - ➢ Collaborative Agreements with third parties including industry
  - ➢ Shareholders Agreement, Start-up company advice and mentoring

- Commercialisation of research

  - ➢ Spin off
  - ➢ Licensing
  - ➢ Co-development with industry

If you require advice or assistance on any aspect of Intellectual Property, please contact innovation@rcsi.ie or any of the individuals listed below

- Aoife Gallagher - Head of Innovation **-** at Aoife.Gallagher@rcsi.ie
- Seamus Browne - Head of Industry Partnerships (for Intellectual Property matters associated with Industry engagement) – at SeamusBrowne@rcsi.ie
- Derek John – Technology Transfer Case Manager – at derekjohn@rcsi.ie
- Michelle Kelly – Research Contracts Officer – at michellekelly@rcsi.ie
- Cathy O'Byrne - Assistant Research Officer - at cathyobyrne@rcsi.ie

11.4 CONFIDENTIALITY AND PROTECTION OF INTELLECTUAL PROPERTY

Researchers should be aware of the terms and conditions of funding from the specific funding agency and program or industry source (contained in the research agreement). Obligations relating to ownership and protection of intellectual property, commercialization of results, confidentiality and publication should be adhered to.

Publication may also be subject to the terms of existing agreements with third parties including industry which should be considered before publication. For example if the research involves material received under MTA, research performed under a collaboration agreement with industry or under confidentiality

agreement. If you have any questions concerning obligations of third party agreements please contact the ORI.

Publication will count as disclosure and invalidate the ability to file for patent protection on a technology. To discuss whether your research may have commercial potential or contain valuable intellectual property please contact the ORI.

11.5 PROTECTION OF PROPRIETARY INFORMATION AND MATERIALS

Non-disclosure agreements are routinely put in place as required to facilitate open engagement between RCSI researchers and third parties at which proprietary or unprotected intellectual property will be discussed. Such agreements are signed on behalf of RCSI and acknowledged by the researchers concerned.

Material Transfer agreements are concluded between RCSI and third parties to cover the provisions of or receipt of research materials. Such agreements are signed on behalf of RCSI and are acknowledged by the researchers concerned.

RCSI has a range of templates that can be used under different circumstances.

11.6 BENEFITS OF COMMERCIALISATION AND INDUSTRY ENGAGEMENT

- Researchers get to see their research applied to an Industrial problem.
- It can be career enhancing and help with career development.
- Strengthens grant applications to have been involved in commercialisation.
- Collaborating with industry can lead to high quality research programs with direct route to market.
- Licensing of technology can have end user benefits and financial rewards; benefits are distributed in accordance with the *RCSI Intellectual Property policy 2017* (or updated version).
- The RCSI Innovation awards encourage the application of RCSI research in the development of new products and services.
- The college is committed to the provision of non-financial rewards including academic recognition, improvements in the department's facilities and support for research.

11.7 WHAT TO DO IF YOU THINK YOU HAVE INVENTED SOMETHING OR DEVELOPED INTELLECTUAL PROPERTY WITH COMMERCIAL POTENTIAL

Firstly it is important not to disclose your idea to any party outside or RCSI (unless covered by confidentiality agreement) as it may invalidate subsequent patent filing. Meet to discuss your idea with a member of the ORI who will provide support and advice on next steps. An invention disclosure form (IDF) should be completed when a researcher would like to investigate the commercial potential of their research.

When completing and submitting a form, the following points should be kept in mind:

- It is important that the IDF identifies all those who are considered to be inventors, i.e. those that have had an inventive contribution to the invention. All of the designated inventors should sign the IDF and agree their percentage ownership prior to submission.
- The rules for naming inventors are different to the general guidelines employed for determining co-authorship. In order to be deemed an inventor, an individual must have made a material contribution to the conception of the invention. Simply taking part in the reduction-to-practice of the invention does not make an individual an inventor. If there is doubt as to who should be designated as inventors, please contact us to discuss.

- Patents are commercial tools, therefore, one of the most important parts of the IDF is the section dealing with commercialisation, and it is important that due consideration is given to the completion of this section.
- It is important that the inventors carry out a comprehensive literature and patent search to establish the novelty of the invention prior to submission of the IDF. Details of such searches should be disclosed in the IDF even if no relevant prior art is revealed.

The invention disclosure form is available here: RCSI IDF Template 2017

11.8 COLLABORATION WITH INDUSTRY

RCSI encourages its researchers to collaborate with industry to provide a commercial context to the research and to facilitate its commercialisation for socio economic benefit in Ireland. Ownership of intellectual property is managed depending on the type of engagement and funding model as outlined below:

1. State fully-funded research

   The Research Performing Organisation (RPO) owns any IP developed under the project (Foreground IP) and retains rights for teaching and research after commercialisation. RPO is free to negotiate exclusive or non-exclusive licenses with industry in defined fields and territories.

2. Bilateral collaboration state supported

   Subject to the terms of the funding mechanism, the preferred starting point for negotiation is that the RPO owns the Foreground IP and the industry partner has option to license the Foreground IP. Access to Background IP necessary to commercialise the Foreground IP is through a license agreement.

3. Industry fully-funded projects
   Industry owns the Foreground IP, RPO retains rights for teaching and research purposes only.

11.9 CAMPUS COMPANIES

RCSIs Intellectual Property Policy 2017 covers campus company formation and includes procedures to provide clarity to researchers and entrepreneurs. The ORI can support the development of a business plan, the identification of external business partners, and/or provision of advice on funding opportunities.

12.1 COMMUNICATION OF RESEARCH

■ **Openness and Dissemination of Results**
Please refer to Section 2: Openness and Dissemination of Results in the *RCSI Guidelines for Good Research Practice* on the School of Postgraduate Studies website (http://www.rcsi.ie/ResearchPostgraduatePolicies)

■ **Internal communications - Research News and Events**
Research News & Events are posted on the Research section of the RCSI website (www.rcsi.ie/researchnews) and circulated to all RCSI staff on a monthly basis. If you would like us to post your research achievements, please send a short paragraph along with a photo to researchadministration@rcsi.ie

■ **Dissemination of research-related Information to the Research Community**
If you would like the Office of Research and Innovation to circulate relevant research-related information to the research community please forward your email to researchadministration@rcsi.ie.

■ **Confidentiality and protection of intellectual property**
Researchers should be aware of the terms and conditions of funding from the specific funding agency and program or industry source (contained in the research agreement). Obligations relating to ownership and protection of intellectual property, commercialization of results, confidentiality and publication should be considered before publishing.

Publication may also be subject to the terms of existing agreements with third parties including industry which should be considered before publication. For example if the research involves material received under MTA, research performed under a collaboration agreement with industry or under confidentiality agreement. If you have any questions concerning obligations of third party agreements please contact the ORI.

Publication will count as disclosure and invalidate the ability to file for patent protection on a technology. To discuss whether your research may have commercial potential or contain valuable intellectual property please contact the ORI.

12.2 PUBLICITY

As part of the contractual obligation of funding awards, grant holders are required to meet publicity requirements. The details of these are normally specified in the Grant Agreement.

Therefore it is very important that you and the members of your team familiarise yourself with your funder(s) publicity obligations.

In the event of an audit, you should maintain a publicity folder which demonstrates inclusion of the appropriate logos and acknowledgement of the funding body's support on all publicity and information material produced. In many cases this is a mandatory requirement.

■ **Compliance with European Regional Development Funding (ERDF) publicity requirements**

If you, or the equipment/resources used by you, are funded under any of the following programmes this section is relevant to you:

HEA programmes:
- HEA PRTLI Cycles 3 (post-2007), 4 and 5 (current & capital elements)
- HEA Research Equipment Renewal Grant Scheme (RERG) 2007
- HEA Research Facilities Enhancement Scheme (RFES) 2008

Enterprise Ireland programmes:
- Commercialisation Fund
- Commercial Case Feasibility Grant
- Clinical Innovation Award
- Innovation Vouchers
- Innovation Partnerships
- International Research Projects (H2020 support)

Why? These programmes are co-funded under the ERDF and therefore are required to adhere to all ERDF regulations. You are therefore obliged to acknowledge ERDF support. The Commission have stated that it is within their remit to impose a 100% financial correction (i.e. take back all the ERDF funding) for failure to acknowledge and publicise the ERDF contribution to a project.

*It is a **mandatory requirement*** that grant holders maintain a publicity folder which demonstrates inclusion of the appropriate logos on publicity and information material produced e.g. - on websites, stationery, forms, publications, advertisements, information leaflets, launches, seminars, conferences, etc. Information and Communication Guidelines for 2014-2020 ERDF co-funded programmes are available at: http://www.southernassembly.ie/en/info/communications_erdf_regional_programme_2014_2020.

12.3 LIBRARY SCHOLARLY COMMUNICATIONS & RESEARCH SUPPORT

Reputational enhancement & publications: author and RCSI institutional attribution requirements & recommendations

- **RCSI attribution requirement**

PI mandatory requirement All RCSI authors **MUST** include the attribution ***Royal College of Surgeons in Ireland*** in their author address when submitting papers for publication. This is required so published papers can be attributed to RCSI for institutional rankings and impact analysis done by external agencies.

- **Institution & department name attribution recommendations**
    - Use "Royal College of Surgeons in Ireland" as your institutional affiliation.
    - Do not abbreviate Department Name or Research Group.
    - Use a consistent, full, standard form of your department or research group name.
    - Make sure all authors on the same team consistently do the same. Do not abbreviate.
    - Examples: *Molecular and Cellular Therapeutics, Royal College of Surgeons in Ireland Department of Psychology, Division of Population Health Sciences, Royal College of Surgeons in Ireland, Department of Molecular Medicine, Royal College of Surgeons in Ireland*

- **Author personal names recommendations**
Use a consistent author name throughout your career to ensure your papers are both discoverable and correctly attributed. You are advised to:

    - Choose one standard form of your own full name and use it consistently.
    - Use second and third initials or two or more forenames, where possible, to differentiate common names and facilitate unique identification of you.
    - Published female researchers who marry are advised to continue using their unmarried name for publications purposes.
    - Use a unique identifier to differentiate yourself and your publications from other authors with the exact same name or initials. See ***Identity management for authors***.

- **Identity management for authors – Unique Identifiers (UIs)**
    Caveat: Be aware standards for uniquely identifying authors is an evolving area.

- o ResearcherID http://www.researcherid.com/ uniquely identifies researchers worldwide, integrates with Web of Science and EndNoteweb and is ORCID compliant. Registration is free and enables you to create a public profile of all your publications, citations and collaborations.
- o *PI mandatory requirement*: **All Principal Investigators in the College MUST acquire a Researcher ID before being given access to the Research Management System**.
- o **How to obtain a Researcher ID:** Register for an ID at http://wokinfo.com/researcherid/
- o All researchers in the College are advised to register for A Researcher ID as you will be able to include your ID in your Research Database profile.
- o An online tutorial on how to acquire and manage a Researcher ID and how to associate your publications with your ID is available at the following link: http://wokinfo.com/training_support/training/researcher-id/
- o ORCID ID (Open Researcher and Contributor's ID) http://orcid.org/ is an open, non-profit, community-based effort to provide a registry of unique researcher identifiers. ORCID provides a persistent digital identifier that distinguishes you from every other researcher. Registration is free. *ResearcherID* members are able to register and link to ORCID profiles from their *ResearcherID* Profile.

If you have questions or specific support/training needs about Researcher ID contact the Library or Paola della Porta in the Office of Research and Innovation.

12.4 PUBLISHING YOUR RESEARCH

- ▪ **Using journal impact factors and other metrics to identify which journals to publish in:**

Name of Resource	Details	Caveat
Journal Citation Reports (JCR) Thomson Reuters product. The Journal Impact Factor is the average number of times articles from the journal published in the past two years have been cited in the JCR year	The authoritative source for journal impact metrics. Can be used to identify: a) Most frequently cited journals in a field b) Highest impact journals in a field c) Largest journals in a field d) The impact of journals published by specific publishers e) Impact measurement of journals published in countries	▪ Coverage very selective – only a small % of journals are indexed. ▪ The impact factor for the current year is based on citations received in the previous two years. ▪ New or journals 1or 2 years old will not have an impact factor – this does not mean they are not impactful ▪ Citation data is not meant to replace informed peer review. ▪ Many conditions influence citation rates such as language, journal history and format, publication schedule, and subject specialty

Journal Metrics **http://www.journalmetrics.com/** **Elsevier Product**	Metrics for over 20,000 journals, proceedings and book series. Uses 3 metrics • Source Normalized Impact per Paper (SNIP) • Impact per Publication (IPP) • SCImago Journal Rank (SJR) **Advantages** • Can correct for citation behaviour and database coverage (SNIP and SJR) • Can allow for a direct comparison of journals, independent of their subject classification (SNIP and SJR) • Are publicly accessible and are integrated into the Scopus Journal Analyzer	It takes four years after the launch of a new journal for the full data included in the calculation to be available in the database. Therefore the complete accurate citation impact of the journal will be visible after four years. New journal metrics can be calculated for a new journal launched in, say, 2013, when Scopus has content for 2013 and part of the 2014 citation year. This means a new journal gets a journal metric value in the year after launch.
Scopus– "Compare Journals" feature available on the database page on the library web site	The "Compare Journals" in Scopus feature allows you compare up to 10 journals using 6 impact measurements including Impact per Publication Paper (IPP); Source Normalised Impact per Paper (SNIP); number of citations per year.	
Web of Science & Limit to "Essential Science Indicators (ESI) top papers"	Web of Science limits include ESI top papers and clicking on the journal title in any list of search results provides the journal metrics	

- **Other Tools to Find Journals to Publish in**

Elsevier Journal Finder http://journalfinder.elsevier.com/	Enter you title and abstract and the journal finder will suggest journals to publish in. Provides information about acceptance rate and time to publication.	Will only suggest journals published by Elsevier!

- **Finding Open Access (OA)Journals (see also OPEN ACCESS section)**

DOAJ (Directory of Open Access Journals) https://doaj.org/	Online directory that indexes and provides access to high quality, open access, peer-reviewed journals.	
Scopus "Browse Journals" feature	"Browse Journals" has an option to limit to OA journals.	
Web of Science	"Refine Results" includes an "open access" journals only option.	

12.5 OPEN ACCESS PUBLISHING

Open Access (OA) is the free, immediate, online availability of research articles, coupled with the rights to use these articles fully in the digital environment. Making published research open access is a mandatory requirement of these research funders: HRB, SFI, Wellcome Foundation and the HEA. European research funding including H2020 commonly requires both text and research data to be made open access. There are two ways to make your research output open access. RCSI is a signatory to the National Principles for Open Access statement.

There are two ways to make your research output open access:

1. By self-archiving in an open access repository also referred to as the GREEN route to open access
Self-archiving can be achieved by depositing your output in *e-publications@RCSI* – see 12.6 below. Green open access is cost free to you and your research funder *but* **the publisher retains the copyright** and **may specify which version of a journal article may be deposited in a repository (pre-print, post-print or publisher pdf)** and/or **apply embargo periods ranging from several weeks to several years**.

2. By publishing in an open access journal, also known as the GOLD route to open access.
Open access journals make their articles openly available immediately by charging for the publication services before publication, rather than after publication through subscriptions. Some journals are pure open access with no subscription model; others are subscription journals that offer an option to make an article open access for a fee. Publishers' article processing charges (APCs) – fees for making an article immediately available - can range from around 500 to 5,000 US dollars, though some funders may be willing to meet these costs.

12.6 e-publications@RCSI – THE RCSI INSTITUTIONAL REPOSITORY

▪ **e-publications@RCSI**

e-publications@RCSI http://epubs.rcsi.ie/ is the RCSI open access institutional repository for RCSI, henceall material added here is freely available on the internet. The content is also included in RIAN, the national portal for Irish open access research; OpenDOAR, the Directory of OA repositories worldwide; and OpenAIRE, the EC-funded initiative which aims to support the Open Access policy of the European Commission via a technical infrastructure.

▪ **H2020 and funder mandates**

Depositing your work into e-publications@RCSI ensures compliance with the Horizon 2020 Mandate on Open Access to Scientific Publications as well as other funders' requirements for open access.

▪ **How to deposit research output**

To submit work either:
o contact the repository administrators at epubs@rcsi.ie.or
o go to http://epubs.rcsi.ie/submit_research.html. You will be asked to login and to fill out a submission form – please see further instructions online on the Submission Instructions page.

▪ **Copyright and use of work in e-publications@RCSI**

All deposited material is licensed under the Creative Commons Attribution-NonCommercial Share-Alike License. This means copies of full items generally can be used for personal research/study, educational or not for profit purposes without prior permission. However, the author, title and full bibliographic details must be provided. Mention of e-publications@RCSI will be appreciated but is not obligatory. Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.

12.7 PROMOTING YOUR RESEARCH

Other routes to promoting your research in addition to the requirements under COMMUNICATION OF RESEARCH and PUBLICITY include:

▪ **Make your work open access**! See section on Open Access at RCSI above.
▪ Ensure your researcher profile on the research database is current.
▪ Check publisher websites for author information, many publishers provide tips to authors on promoting their research e.g.
    o Elsevier https://www.publishingcampus.elsevier.com/ - College of Networking
    o Nature http://www.nature.com/content/authortips/index.html
▪ Create and actively manage a consistent digital identity - consider using the following
    o LinkedIn, ResearchGate, AcademiaNet, Google Scholar, Mendeley for profiles
    o Blogging
    o Twitter

For tips on using online academic networks and social media to promote your online professional profile, see Effective networking: social media, a presentation by Jane Burns (HPEC) and Grainne McCabe (RCSI Library) at the RCSI Postgraduate Careers Day, 2014.

12.8 MEASURING YOUR IMPACT – BIBLIOMETRICS & ALTMETRICS

- **Bibliometrics**

Bibliometrics use statistical analysis of published outputs, most frequently citation analysis, to measure impact. They are used by funding agencies and research bodies to evaluate and compare institutional and individual research outputs.

On the library website, the "For researchers" section http://www.rcsi.ie/researchers details current resources for bibliometric analysis including Scopus, Web of Science and Google Scholar, as well as information on online profiles, academic networks and ways to manage your visibility, thereby increasing the potential for future citations to your work.

- **AltMetrics**

Altmetrics complement traditional bibliometrics by tracking the early impact of your research outputs. They uncover conversations occurring on Twitter, blogs, websites, academic networks, reference management systems, and other social media forums. They can be an indicator of influence, and data gathered can show how research may change practice. Altmetric.com is an example of an organisation involved in this area, though other database and publisher sites increasingly include altmetrics at article level.

For tips on how to use altmetrics to promote your research and yourself see:
http://www.altmetric.com/blog/tips-and-tricks-how-to-promote-your-research-successfully-online

12.9 RESEARCH DATA MANGEMENT

This section of the handbook is under development. To assist RCSI researchers with writing data management plans and storing research data we include here a link to the UCD guide on Research data management which includes topics such as:

- Data Management Plans & Checklist
- File Formats, Data Security & Storage
- File Management
- Data Sharing
- Funder Requirements'

Research Data Management http://libguides.ucd.ie/data

12.10 ONLINE JOURNALS & OTHER LIBRARY RESOURCES

- **E-journals**

Access to e-journals is via the RCSI e-journal portal on the library web site http://www.rcsi.ie/ejournals. The library service recommends you connect to the full-text of e-journals via the e-journal portal whether you are on or off –campus so you are automatically verified as an RCSI staff member (on-campus) or prompted for your RCSI network username and password (off-campus).

- **Databases**

A complete list of databases is on the database page of the library website http://www.rcsi.ie/databases. Besides PubMed & Cochrane the following databases are recommended. Full content descriptions for each database are on the library databases web page.
- CINAHL (Cumulative Index to Nursing & Allied Health Literature)
- Embase (Includes all Medline plus additional 1800+ pharmaceutical journals)

- Global Health (public health research & practice)
- Journal Citation Reports
- PsycINFO
- Scifinder Scholar (Chemistry)
- Scopus (includes all Medline and all Embase)
- Web of Science, N.B, Web of Science is a collection of 12 databases including among others: Citation indexes, Current Contents, Derwent Innovation Index (patents), Journal Citation Reports, Data Citation Index

Contact the library at Ext: 2407, email: library@rcsi.ie or Julia Christopher Ext: 2405 for any issues with accessing or using e-journals or any other e-resources provided via the library. If you are in Beaumont ERC contact Breffni Smith, Clinical Librarian, Beaumont Hospital breffnismith@rcsi.ie Tel: 809 2545

- **Literature searching for systematic reviews**

The library provides a consultancy and support service for projects requiring literature searching to systematic review level and the library's guide to Searching for Studies for Systematic Reviews is available in the Information Seeking and Library Skills area of Moodle. Also on Moodle are guides to evidence based review methods and resources (databases).

For literature searching support for BEMEs and systematic reviews contact Grainne McCabe gmccabe@rcsi.ie Tel: 402 2409 or if in the ERC Breffni Smith, breffnismith@rcsi.ie Tel: 809 2545

12.11 MISCELLANEOUS

- **ISBN Numbers**

If you need an ISBN (International Standard Book Number) e.g., for when you've published a report, please contact Julia Christopher at Ext: 2405.

Contact: if you have questions about publishing, bibliometrics or any other library research support service please contact Grainne McCabe at Ext: 2409.

13.1 RESEARCH ETHICS REQUIREMENTS AT RCSI

RCSI is committed to ensure that its research activities are organised and undertaken within a framework of best practice and in accordance with the highest standards of scientific integrity and research methodology. To this end RCSI researchers are required to obtain all necessary permissions before the research begins.

Ethical issues include the involvement of human (non-clinical) participants, tissue or data in research, the use of animals, codes of practice, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

With the exception of research carried out on patients and /or clinical data or tissue, research on animal and human subjects requires the approval of the RCSI Research Ethics Committee (REC) (or equivalent recognised body). Approval for research involving patients and/or clinical trial or tissue data, should in contrast be sought from the relevant hospital or institutional ethics Committee (or equivalent recognised body).

The REC is divided into two committees, the HREC for the review of Human ethics applications and AREC for the review of Animal ethics applications. The application procedure to either committee is similar (detailed below) and applications are allocated to the appropriate committee for review by the Convenor based on subject matter.

The HREC and AREC consist of participants from different disciplines with strong interests in ethical issues relating to humans and animals. Represented on the HREC are legal, nursing, physiotherapy, data protection, statistical, general medicine and ethics professionals. Represented on the AREC are legal, veterinary, statistical, biomedical research science and ethics professionals. The HREC and AREC members deal with issues raised that have relevance in their field of expertise along with other general ethical issues outside of their specialized background.

13.2   ETHICS AND ANIMAL RESEARCH

RCSI is committed to promoting excellence in the care and welfare of animals used for research purposes in accordance with best practice guidelines. Various research projects necessitate the use of tissue or animals as models of human disease. All RCSI animal research is overseen by the **Health Products Regulatory Authority (HPRA).** The HPRA is the competent authority in Ireland responsible for the implementation of EU legislation (Directive 2010/63/EU) for the protection of animals used for scientific purposes. If your project requires animal use you must:

- Have an individual licence (HPRA) and have (or be named on) a project licence (HPRA).
- Have completed all the training (i.e. L.A.S.T and/or additional training relevant to the work to be conducted).
- Research Ethics Committee (REC) approval for the work (or be added to an existing REC approval letter).
- Contact the Biomedical Research Facility (BRF) Manager to discuss training, access and ordering procedures.

It can often take up to 6 months from beginning this process to having all the necessary licensing, ethics and training in place before actual experiments begin. Researchers should engage in this process as soon as possible to avoid delays to their research. For further information, please contact the BRF Manager (brf@rcsi.ie).

RCSI's **Animal Welfare Body** (AWB) was established under SI. No.543 of 2012 to comply with Article 26 of Directive 2010/63/EU. The role of the AWB is to advise staff on matters related to the welfare of animals, their acquisition, accommodation and care. The AWB will also advise staff on the application of the 3Rs

(replacement, reduction and refinement) and facilitate where possible the sharing of organs and tissues. The AWB will keep staff informed of relevant technical and scientific developments. The AWB is also responsible for reviewing operational processes as regards monitoring, reporting and follow-up and will follow the development and outcome of projects. If you have a question to address to the AWB please email awb@rcsi.ie. Representatives from the **(AWB)** including the BRF Manager also sit on the AREC.

Applications are reviewed and approved by the HREC and AREC, who provides feedback to the applicant. Each committee meets to review projects bimonthly. The applicant should allow sufficient time for this process to encompass application submission, review and subsequent edits (which varies greatly between applications) prior to obtaining approval. If the work is to be carried out in another institution / body documented permission to do this research is required with this application.

13.3 THE APPLICATION PROCESS: OVERVIEW

The HREC application is on-line and researchers are required to complete the Standard Application Form and upload all relevant related documentations such as research protocol, consent form, information leaflet, questionnaire, cv etc. These applications are then reviewed by three members of the RCSI REC prior to the REC meeting. At the REC meeting the application is reviewed once again. The comments and recommendations of the REC are then sent back to the researcher. The researcher is then expected to comply with the recommendations and make the necessary corrections to the application. The revisions are then sent back to the REC Convenor to ensure that the recommendations have been complied with. In certain circumstances the revisions are sent back to the original reviewers so that they can verify that the recommendations have been complied with.

Similarly the AREC applications are also submitted on-line. The AREC requests that a 1 page summary of general information, applicant name, contact details, study title etc. is completed and the relevant documentation (containing all the study details) is uploaded for review (please see "**How to submit an ethics application: Step by Step**" below for more details). All animal research studies are overseen by the RCSI AREC statistician and the designated VET. The final review and approval process following the successful submission of an animal research project is processed as outlined above for human research.

13.4 HOW TO SUBMIT AN ETHICS APPLICATION: STEP BY STEP

Before submitting an ethics application, please contact the REC Convenor to become a REC system user and to obtain a login & password for this site by emailing recadmin@rcsi.ie or call Dr Niamh Clarke on 01 4022205. *Please note that this is a separate online system which requires a username and password different from the normal RCSI login details. This is a secure system and you should not disclose your password to anyone.*

- Login to the REC system at http://research1.rcsi.ie/rec/Default.aspx using assigned username and password.
- On the User Homepage screen choose the appropriate hyperlink – details on each are shown below:
    - Application Form – Animal Research
    - Application Form – Human Research
    - Archive 2015, 2014, 2013, 2013, 2012, 2011, 2010, 2009, 2008. (When any of these date archive links are selected the user is displayed applications that the user has submitted in the year indicated. If no submissions were made for a named year – no results will be returned).
    - Annual Calendar

Application Form – Animal Research
- Select the Animal Research application ethics form.
- Section 2: 'Signature Declaration Form' should be downloaded, completed by the main applicant or supervisor/PI, and uploaded within the document list section of the application.

- The animal online form requires the completion of 1 page (8 short sections) of general information (i.e. details of the applicant, principal investigator details, project title etc.) followed by all relevant documentation to be uploaded within the relevant "document list" section of the application.
- **All animal applications should be accompanied by the following documentation:**
  - ✓ **HPRA project licence (or <u>application</u> for the licence),**
  - ✓ **HPRA individual licence for any individual involved with the study (or <u>application</u> for their individual authorisation),**
  - ✓ **The Laboratory Animal Science and Training (L.A.S.T) certificate or equivalent training records for all the individuals involved in the research study.**
  - ✓ **The lead applicant CV**
  - ✓ **Study protocol**
  - ✓ **Flow Charts and Score sheets (if applicable)**
- Once the online form is complete and all the relevant documentation has been uploaded the applicant must click "submit" at the end of the process. (NB: If the applicant is unsuccessful, an error message in red text is displayed next to mandatory fields if the user attempts to select 'Next' without completing all fields. Therefore, please enter "n/a" as opposed to leaving the field blank.)
- To save/exit an application at any point, click 'Save' at the bottom of the page.
- The user must indicate whether or not each of the documents has been attached. Instructions are provided on the screen on how to upload documents. It is also possible to remove/delete any uploaded documents.
- A 'Return to your form' function is available which enables the user to return the beginning of the form.
- If 'Update' is selected – the form is saved and 'Form saved successfully' is displayed on the screen.
- When 'Submit' is selected the user is brought back to their Home Page and 'Application was submitted successfully' in red text is displayed. An automated email is then sent to the User and the REC Convenor to state that an application has been submitted for review.
- The application will then be automatically entered onto the agenda for the next REC meeting date for review by the AREC.

Application Form – Human Research

- Select the Human Research application ethics form. This is an online version of the Standard Application Form For the Ethical Review of Health-Related Research Studies, which are not Clinical Trials of Medicinal Products For Human Use as defined in S.I. 190/2004)
- There are 12 separate sections (Section A to Section L) followed by a document list section where all relevant documentation pertaining to the application (such as research protocol, consent form, information leaflet, questionnaire, CV etc.) must be uploaded.
- Within Section 1, a 'Signature Declaration Form' should be downloaded, completed by the main applicant and/or supervisor/PI and sent to the REC.
- An error message in Red text is displayed next to mandatory fields if the user attempts to select 'Next' without completing all fields.
- There are restrictions on the amount of text in each field. If you find space is limited you can attach a document with the full text to the application.
- To save/exit an application at any point click 'Save' at the bottom of the page, click "next" to proceed to the next section.
- After section L, when user selects 'Next' the user is brought to the document list section where relevant documents can be uploaded (<u>as pdf files only</u>).
- The user must indicate whether each of the documents has been attached or not. Instructions are provided on the screen on how to upload documents. Any uploaded documents can be removed/deleted.
- A 'Return to your form' function is available which enables the user to return to any section of the form – when selected.

- If 'Update' is selected – the form is saved, a 'Form saved successfully' message is displayed on the screen.
- When 'Submit' is selected the user is brought back to their Home Page with 'Application was submitted successfully' message in red text. An automated email is then sent to the User and the REC Convenor to state that an application has been submitted for review.
- The application will then be automatically entered onto the agenda for the next REC meeting date for review by the HREC.
- It is strongly recommended to read the accompanying Guidance Notes and FAQ when completing the form. Applicants should ensure that they complete all sections of the form and upload all of the supporting documents (readable formats of pdf only) to avoid unnecessary delays in the review of your application.
- One hard copy of the **signature sheet only** must also be sent to REC (Office of Research and Innovation, Ardilaun House, 111 St Stephens Green, Dublin 2).
- **Contact details:** If you would like to contact the RCSI REC please contact the Convenor, Dr Niamh Clarke on 01 4022205 or recadmin@rcsi.ie.

Storage of data: The RCSI REC requires that researchers should ensure the confidentiality of personal information relating to participants in research, and that the research fulfils any relevant legal requirements such as those of the Data Protection Act 1998 and 2003. Study data should be securely stored and encrypted (as opposed to password protected) within the applicants unique project folder located within the RCSI V: drive. (Access to this unique folder will be given once approval for the study has been granted). ALL STUDY DATA including any relevant documentation (such as scanned consent forms, participant information leaflets, questionnaires, permission letters, approval letters or documentation from other institutions etc.) must be stored in this location. Please also clarify the duration of data storage (typically 5 – 7 years).

Further information relating to RCSI Research ethics is available online within the main RCSI website. Please go to the following link https://www.rcsi.ie/Research_Ethics and navigate to locate the relevant section through the various headings / sub-headings outlined below:

- ✓ **Do I need ethical approval**
- ✓ **Application process**
  Annual calendar: A table is displayed to show the user the 'Submission Deadline' and associated Meeting Dates for the planned REC meetings for the calendar year. These dates are updated regularly by the REC Convenor.
- ✓ **Data Protection**
- ✓ **Templates, Useful links and Further reading**
- ✓ **FAQs**
- ✓ **Guidelines and Notes**
- ✓ **Remit**
- ✓ **Contact information**

13.5 USEFUL LINKS

RCSI Biomedical Research Facility: staff.rcsi.ie/research/committiees/biomedical-research-facility
HPRA Scientific Animal Protection: www.hpra.ie/homepage/veterinary/scientific-animal-protection
Directive 2010/63/EU : www.imb.ie/images/uploaded/documents/Directive%202010-63-EU.pdf
Institute of Animal Technology: iat.org.uk
Universities Federation Animal Welfare: ufaw.org.uk
National Centre for the 3R's: nc3rs.org.uk
Wellcome Trust: wellcome.ac.uk

Home Office: homeoffice.gov.uk
Laboratory Animals: lal.org.uk
LAST animal training course: last-ireland.ie/default.php
World Medical Association Declaration of Helsinki:
Ethical Principles for Medical Research Involving Human Subjects http://www.wma.net/e/policy/b3.htm

13.6 GOOD RESEARCH PRACTICE

The Royal College of Surgeons in Ireland (RCSI) is strongly supportive of research and does its utmost to ensure the existence of a healthy and vigorous research climate in which all members of research teams are encouraged to develop their skills. The College demands the highest standards of integrity and rigour from its researchers and endeavours to promote a culture in which these standards are followed. The College has therefore drawn up this set of Guidelines on Good Research Practice as well as a Statement on Research Integrity and a Policy on Investigation into Allegations of Research Misconduct .

References

- ALLEA, All European Academies (2017) *The European Code of Conduct for Research Integrity.* www.allea.org
- Council for International Organizations of Medical Sciences (CIOMS) in collaboration with the World Health Organizatiion (2016) *International Ethical Guidelines for Health-related Research Involving Humans.* www.cioms.ch
- Irish Universities Association (2014) *National Policy Statement on Ensuring Research Integrity in Ireland*. http://www.iua.ie
- World Medical Association, (2013) *Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects.* https://www.wma.net
- *Ireland, HSE, (2013)* **National Consent Policy,** **Part Three: Res**earch pp. 63-93. www.hse.ie
- **Singapore Statement on Research Integrity** (2010) www.singaporestatement.org
- Irish Council for Bioethics, (2010) *Recommendations for Promoting Research Integrity*. ISBN 978-0-9563391-1-9.
- UK Research Integrity Office (2009) *Code of Practice for Research: Promoting good practice and preventing misconduct.* www.ukrio.org
- UK Research Integrity Office, **Recommended Checklist for Researchers**. http://ukrio.org/wp-content/uploads/UKRIO-Recommended-Checklist-for-Researchers.pdf
- OECD Global Science Forum (2007) *Best Practices for Ensuring Scientific Integrity and Preventing Misconduct.* https://www.oecd.org/sti/sci-tech/40188303.pdf
- European Commission, (2005) *The European Charter for Researchers & The Code of Conduct for the Recruitment of Researchers.* https://euraxess.ec.europa.eu/sites/default/files/am509774cee_en_e4.pdf

13.7 HANDLING OF ALLEGATIONS OF RESEARCH MISCONDUCT

Definition of research misconduct: Cases of research misconduct are fortunately (apparently) rare and generally involve the intention to deceive in one or more of several ways such as fabrication and/or falsification of data, working without appropriate ethical approval or licenses, illegal use of another researcher's data and/or plagiarism of written work.

The RCSI staff and student policies adopt the definition of research misconduct produced by the Office of Research Integrity, US Department of Health and Human Services namely *"the fabrication, falsification, or plagiarism in proposing, performing or reviewing research or in reporting research results."*

RCSI approach to suspected research misconduct

The Royal College of Surgeons in Ireland takes a very serious view of research misconduct and has procedures in place to ensure that cases of alleged misconduct on the part of its researchers (see **Note 1** below) are investigated in a thorough, fair and totally confidential manner. RCSI will consult with its legal advisors to ensure that the procedures followed and actions taken comply with all legal obligations for the conduct of such investigations. It also has mechanisms in place to ensure that all interested parties (e.g. funding agencies, journal editors, examining committees) are informed as soon as the allegations are upheld. Furthermore it guarantees that any researcher raising *bona fide* concerns regarding research misconduct can do so confidentially, and without fear of recrimination. It also guarantees that those dealing with the allegations are fully aware of their responsibilities and that their line management obligations are not allowed to conflict with these responsibilities.

RCSI procedure for dealing with allegations of research misconduct

Step 1 – Notification of Alleged Research Misconduct

Step 2 – Investigation by a Committee

Step 3 – Right of Appeal

See *Royal College of Surgeons in Ireland: [Policy on Investigation into Allegations of Research Misconduct](#)*

Notes

1. **Visiting researchers** In the event of an allegation of research misconduct against a visiting researcher in RCSI being made, a thorough investigation along the above lines will be conducted. If the allegations are founded, depending on the severity of the offence, the contract of the visiting researcher may be terminated and all interested parties, e.g. funding agencies, journal editors and her/his employer will be informed. If an allegation of research misconduct against an RCSI researcher whilst visiting another institution is made, the Head of School, on behalf of the College, in consultation with the nominated representative of the host institution, will comply with its investigative and disciplinary procedures and take appropriate RCSI disciplinary action against its researcher.

2. **Malicious accusations** If, following investigation, an allegation of research misconduct is, in the opinion of the Director of Research and Innovation, motivated by malice and without *bona fides*, the person making the allegations may be subject to the College's disciplinary procedures. The College reserves the right to take whatever measures are necessary to restore the good name of the person against whom the accusations were falsely made.

3. **Declarations** In the case of research theses, candidates must declare that: (a) the thesis was written by the candidate; (b) the research reported in the thesis was carried out by the candidate; (c) the work has not been accepted in any previous degree application either by the candidate or another person. It is the obligation of the supervisor to verify that these declarations are true.

14.1 DATA PROTECTION

Where research involves personal data, the Data Protection Acts 1988 & 2003 apply to this data to ensure that any such data is processed securely and only in ways in which the data subject has consented to.

The obligations under the Act will depend on whether RCSI is deemed to be a data controller or a data processor, and on the type of personal data that is being processed.

This guide has been prepared based on the guidelines issued by the Office of the Data Protection Commissioner 'Data Protection Guidelines on Research in the Healthcare Sector' and it is advisable that researchers familiarise themselves with the advice in this guide. It is an increasing requirement for funders to see that research data is handled securely and appropriately and appropriate measures for compliance with the Data Protection Acts are outlined as follows.

Anonymisation or pseudonymisation is the optimal position recommended by the Data Protection Commissioner where patient identifiable information is used for research or clinical audit purposes and this should be accepted as the default position for research data, particularly in cases where it is difficult to obtain consent. Where it is not possible to anonymise or pseudonymise the data, this guide should be referred to, to ensure RCSI is fulfilling its obligations under the Data Protection Act, and to ensure that the privacy of individuals identifiable in such research data is adequately protected.

What is personal data?
"Personal data" means data relating to a living individual who is or can be identified either from the data or from the data in conjunction with other information that is in, or is likely to come into, the possession of the data controller."

Some obvious examples would be a data subject's name, address, telephone number etc. but less obvious examples would be a reference number which, when combined with other data in your control, can identify an individual. Usually a case by case assessment is required to determine whether data can be deemed to be personal or not.

What is sensitive personal data?
Sensitive personal data is defined in the Data Protection Acts as any personal data as to -
   a) the racial or ethnic origin,
   b) the political opinions or the religious or philosophical beliefs of the data subject,
   c) whether the data subject is a member of a trade union
   d) the physical or mental health or condition or sexual life of the data subject,
   e) the commission or alleged commission of any offence by the data subject, or any proceedings for an offence committed or alleged to have been committed by the data subject, the disposal of such proceedings or the sentence of any court in such proceedings.

In the course of your research you will be processing data relating to the physical and/or mental health of data subjects and explicit patient consent is usually required to use this data for research. The diagram[2] in Appendix 1 is a useful guide to determine what form of consent is required to use the data.

What is key to remember is that *'if any proposed use of a patient's data for purposes unrelated to their treatment would likely come as a surprise to them, then a new and separate consent should be sought.'*[3]

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[2] Data Protection Guidelines on Research in the Healthcare Sector, p5
http://www.dataprotection.ie/documents/guidance/Health_research.pdf
[3] Data Protection Guidelines on Research in the Healthcare Sector, p7

What is anonymised data?

"Anonymisation" of data means processing data with the aim of irreversibly preventing the identification of the individual to whom it relates. Data can be considered anonymised when it does not allow identification of the individuals to whom it relates, and it is not possible that any individual could be identified from the data by any further processing of that data or by processing it together with other information which is available or likely to be available.[4]

What is pseudonymised data?

"Pseudonymisation" of data means replacing any identifying characteristics of data with a pseudonym, or, in other words, a value which does not allow the data subject to be directly identified.[5]

Pseudonymised data only provides a limited protection for the identity of data subjects in many cases as it still allows identification using indirect means. Where a pseudonym is used, it is often possible to identify the data subject by analysing the underlying or related data.[6] Pseudonymised data is therefore defined as personal data and researchers must therefore ensure compliance with the Data Protection Acts.

How can I determine whether data falls under the scope of the Data Protection Acts?

The Article 29 Working Party on Data Protection has suggested the following test for when an individual is identified or identifiable:

 "In general terms, a natural person can be considered as "identified" when, within a group of persons, he or she is "distinguished" from all other members of the group. Accordingly, the natural person is "identifiable" when, although the person has not been identified yet, it is possible to do it…"

 Thus, a person does not have to be named in order to be identified. If there is other information enabling an individual to be connected to data about them, which could not be about someone else in the group, they may still "be identified".

*"**Identifiers** are pieces of information which are closely connected with a particular individual, which could be used to single them out."*

Identifiers are pieces of information which are closely connected with a particular individual, which could be used to single them out. Such identifiers can be "direct", like the data subject's name or image, or "indirect", like their phone number, email address or a unique identifier assigned to the data subject by the data controller. As a result, removing direct identifiers does not render data sets anonymous.

Researchers should refer to the detailed guidance published by the Office of the Data Protection Commissioner for further guidance on how to classify anonymized and pseudonymised data: https://www.dataprotection.ie/docs/Anonymisation-and-pseudonymisation/1594.htm

Provision of Explicit Consent

Valid consent must be a '**freely given**, **specific** and **informed** indication of the data subject's wishes'[7].

   a) 'Freely given'
       Data subjects must not feel under pressure to give consent to their personal data being used for research purposes and must have the option of refusing consent to do so. In certain situations, *'the patient may perceive themselves to be in a vulnerable position as regards the treating medical team.'*[8] It is therefore strongly recommended that every effort be made to ensure that the context

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[4] https://www.dataprotection.ie/docs/Anonymisation-and-pseudonymisation/1594.htm
[5] ibid
[6] ibid
[7] Article 29 Working Party
[8] Data Protection Guidelines on Research in the Healthcare Sector, p9

for seeking consent for further uses of patient data be separated from any direct linkage with the patient's treatment.

b) 'Specific'
Data subjects should consent to the specific uses to which their personal data will be used. It is not necessary to go into specifics, for example, a patient information leaflet could be used to summarise the research that is proposed to be undertaken.

It is important to adequately capture the ways in which the data subject's personal data will be used, based on past experience or known future plans. This would avoid the need to keep revisiting the patient to update their consent for specific additional purposes.

Consent given by a patient to allowing their data for research purposes on a specific condition, will not suffice if a patient presents him/herself to the same health facility with a different condition and research is proposed to be undertaken on the new condition. A new form of consent will be required for this new condition. Similarly, it is possible for a patient to consent to research on their data for some conditions but to refuse research on their data for other conditions *'where there may perhaps be extra sensitivity in relation to the condition or ethical considerations'*[9].

Patients should also be informed of their right to revoke their consent at a later stage and there must be an appropriate process e.g. SOP, for ensuring that this will be implemented.

If you require assistance on drafting this consent statement, please contact the Records & Information Compliance Manager.

c) Informed
The data subject must be informed on how their data will be used, who will access it, how it will be stored, safeguards in place etc. Where this may not be achievable in a patient information leaflet, it would be acceptable to provide a link to a website where this is explained in more detail for the patient.

It is also recommended that *'these leaflets outline how data may be disclosed in the future for the benefit of the patient, or for purposes not directly related to, or indeed completely separate from, the patient's own healthcare treatment'*[10].

Clinical Audit
Where clinical audits take place in a health facility for the purposes of improving patient care, implied consent is normally all that is required when the audit could likely be of benefit to that patient. 'Implied consent will also be considered as sufficient in those cases where no direct benefit is likely to accrue to the patient concerned and where the audit is to be carried out by the health facility itself.'[11]

Historical Data
Where access is sought to personal data of a historical nature where no consent has been provided for its use in research, it must be ascertained whether it is possible for the data controller to anonymise the data prior to allowing the data to be accessed by a researcher.

If this is not possible, every effort must be made to try and contact the data subject(s) to obtain their consent. Where this is not possible due to the passage of time or the numbers of data subjects involved, you must make contact with the Data Protection Officer who will advise you on how best to proceed with accessing this data.

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[9] Data Protection Guidelines on Research in the Healthcare Sector, p8
[10] *ibid*
[11] Data Protection Guidelines on Research in the Healthcare Sector, p12

Adequacy of personal data collected

To be compliant with data protection legislation, you must only collect the personal data required to undertake the research i.e. there must be a legitimate purpose for all data collected. Personal data should never be collected on the basis that it may become useful in the future – there must be a specific purpose for doing so.

Collaborative Research

Where there is collaborative research between RCSI and other institutions, or where another institution is allowing access to data, there must be an appropriate data controller to data processor contract which will outline the responsibilities under the data protection legislation for all parties.

The data controller is defined as 'the individual or the legal person who controls and is responsible for the keeping and use of personal information on computer or in structured manual files.'[12] The data controller will need to satisfy itself that the data processor will handle the data appropriately and only in ways in which the data controller has stipulated.

A data processor is defined as a body 'holds or processes personal data, but does not exercise responsibility for or control over the personal data'[13]. The data processor is bound, usually by written agreement, that it will only process personal data in ways that it has been instructed to by the data controller and its obligations under data protection legislation is less than if it were a controller.

Collaborative research will mainly involve a data controller to data controller transfer of data as both parties will use and analyse the data in specific ways appropriate to the research being undertaken. The data transfer agreement should appropriately reflect this and you should contact the Records & Information Compliance Manager who can assist you further in this regard.

Security of Personal Data

RCSI IT security policies and procedures should be followed at all times when storing and processing personal data and any queries on this should be directed to the IT department.

Retention

Personal data should only be kept for long as it is necessary to fulfil the purpose for which it was obtained. It will also be necessary to keep the data to verify the results of published research and the agreed retention period is 2 years i.e. 2 years after the date on which the research is first published, the personal data used for this research must securely be destroyed. Please consult the IT department and Records and Information Compliance Manager for more details on how to securely destroy this information.

Access Requests

Under the Data Protection Acts, a data subject has the right to access their personal data held by an institution and this also applies to research data, subject to certain exemptions. If you receive such a request from a data subject, please contact the Records and Information Compliance Manager who will advise you on how to proceed with this request.

14.2 RECORDS MANAGEMENT

College Policy

All researchers should be aware of the College's official records management policy on the staff portal

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[12] http://www.dataprotection.ie/ViewDoc.asp?fn=/documents/responsibilities/3bi.htm&CatID=53&m=y
[13] *ibid*

http://staff.rcsi.ie/administration-and-support/records-management/about-records-management/policy-and-procedures/rcsi-records-management-policy

Guidelines & Procedures
Procedures and guideline to support good record keeping are available on the staff portal including.

- Creating Records
- Naming Individual Documents
- Naming Folders (Electronic)
- Saving Records
- Managing E-mail
- Creating a link within an e-mail message
- Backup Policy & Procedure
- Retention & Disposal Schedule

14.3 KEEPING LABORATORY NOTEBOOKS

Why is a laboratory notebook so important?

- It is a complete 'legal' document.
- A recording of your work in the laboratory.
- Vital in proving you conducted the research.
- Invaluable in proving the right to ownership of a patent before dates of prior art.

The notebook:

- Pages should be permanently sewn or otherwise bound to the book.
- DO NOT use loose-leaf folders or ring bound notebooks.
- Pages should be numbered consecutively.
- No pages or spaces should be skipped. If so a line should be drawn through them to demonstrate the spaces are intentional and avoid misinterpretation.
- Make legible entries in indelible ink. Never use pencils.
- Errors must remain legible i.e. lined out rather than erased or covered.
- The integrity of the record should not be questionable.
- Entries should be in chronological order, without blank pages.
- Never tear or destroy pages.
- Additional information including diagrams and photographs should be dated and attached via stapling or adhesive.
- Ideally these should be signed and dated by the researcher across the document and the underlying page.
- Please ensure that the notebook is stored securely while they are in use to prevent loss and ensure information is not accessed inappropriately.

How much detail?

- Err on the side of thoroughness and completeness.
- Include enough information so that a technically informed third party will understand what was done without the assistance of the researcher who made the entries. Detail work in a way that the work can be reconstructed.
- Include an index and glossary defining trade names, acronyms, codes etc at the front of the notebook.

- Include all results be they positive or 'negative'. Remember everything goes into a thesis/publication.
- Enter batch/lot numbers of items used in experiments.
- Do all calculations in the notebook, DO NOT use separate loose sheets.
- Discuss with supervisor about signing off on work in notebook.

Ownership:

- All notebooks are the property of RCSI. When you leave, your notebooks remain in college with your supervisor.

14.4 FREEDOM OF INFORMATION

Freedom of Information (FOI) requests received by the College are processed by the Freedom of Information Unit. RCSI is an FOI Body as it is a higher education institution in receipt of public funding. [14] RCSI staff members are defined as staff of an FOI Body and are therefore subject to complying with the requirements of the Freedom of Information Act 2014. Anyone can make a request for access to records under the FOI Act and access is therefore not limited to staff members of RCSI. A record is defined quite broadly under the FOI Act and includes both paper and electronic data.[15]

If you receive an FOI request you must **immediately notify** the FOI Officer (foi@rcsi.ie) on the day the request is received. The FOI Officer will liaise with the relevant decision maker in your department to decide whether access to the records requested should be granted.

The FOI Unit is required to acknowledge the request within ten working days and a decision must follow within 20 working days (or eight weeks in certain cases).

Further information about FOI and FOI processes at RCSI are as follows and are all available on the staff portal:

- About Freedom of Information
- Access to Information under FOI
- Making a Request
- FOI Processes at RCSI
- FOI Acts

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[14] Section 6(g) Freedom of Information Act 2014
[15] Section 2(1) Freedom of Information Act 2014

Best Practice Approach to Undertaking Research Projects using Personal Data:

```
                    ┌─────────────────────────┐
                    │ Can anonymised data be  │
                    │ used to achieve the aims│
                    │ of the proposed project?│
                    │ Yes/No?                 │
                    └─────────────────────────┘
                    /                         \
                   /                           \
  ┌──────────────────────────┐      ┌──────────────────────────┐
  │ Yes – Proceed with       │      │ No – Can pseudonymised   │
  │ proposed project using   │      │ data be used instead with│
  │ data anonymised by the   │      │ appropriate safeguards?  │
  │ data controller without  │      │ Yes/No?                  │
  │ requiring consent.       │      └──────────────────────────┘
  └──────────────────────────┘        /                    │
                                      /                     │
        ┌──────────────────────────┐         ┌──────────────────────────┐
        │ Yes – Proceed with       │         │ No – Patient consent is  │
        │ proposed project ensuring│         │ normally required.       │
        │ that the key to a        │         └──────────────────────────┘
        │ person's identity is     │                        │
        │ retained by the data     │                        │
        │ controller only and not  │                        │
        │ revealed to third parties│         ┌──────────────────────────┐
        └──────────────────────────┘         │ Has consent for research │
                                             │ purposes been secured in │
                                             │ relation to the files    │
                                             │ previously? Yes/No?      │
                                             └──────────────────────────┘
                                               /                    │
  ┌──────────────────────────┐        ┌──────────────────────────┐
  │ Yes – Is this consent    │───────▶│ No – Specific, informed, │
  │ valid (specific enough)  │        │ freely given consent must│
  │ to cover this particular │        │ be captured from         │
  │ research proposal?       │        │ individuals by the data  │
  │ Yes/No?                  │        │ controller.              │
  └──────────────────────────┘        └──────────────────────────┘
            │                                      │
  ┌──────────────────────────┐        ┌──────────────────────────┐
  │ Yes – Proceed with       │        │ Once valid consent is in │
  │ research project (subject │        │ place, the research      │
  │ to adequate safeguards   │        │ project can proceed      │
  │ being in place in        │        │ (subject to adequate     │
  │ relation to security etc)│        │ safeguards being in place│
  └──────────────────────────┘        │ in relation to security  │
                                       │ etc).                    │
                                       └──────────────────────────┘
```

15. HEALTH & SAFETY

Policy
Here in RCSI, the commitment of all individuals to integrate health and safety fully into their day to day activities is a key element of ensuring safe work practices and a safe working environment for all persons and will maintain and continually improve RCSI's Health & Safety standards.

Safety Statement
Upon commencement with the College, each individual will be made familiar with RCSI'S Company Safety Statement. The Safety Statement and related policies and procedures set out details of the College's Health and Safety management system. All individuals are to make themselves familiar with their responsibilities as set out in this document and comply with all safety procedures. The Safety Statement can be found on the Staff Portal http://staff.rcsi.ie/administration-and-support/estate-services/health-and-safety/safety-statement-and-safety-manuals

Risk Assessment
A risk assessment is a careful examination of anything in your work environment that could cause injury or ill health. Risk Assessments are carried out by identifying all the hazards associated with your work tasks, assessing the risk and implementing control measure to mitigate that risk. RCSI has a Risk Assessment Procedure and templates for specific work tasks (e.g. chemical agents, biological agents, lone working, pregnant employees etc. http://staff.rcsi.ie/wp-content/uploads/2013/02/HSP-01_Risk-Assessment-Procedure_Rev-3.pdf) to help Managers, PI'S and Supervisors complete Risk Assessments successfully.

Training
The College provides a number of Health & Safety training course for all staff, some of which are mandatory and some optional. For example, those who work in a Laboratory must complete the Lab Safety training whereas it is optional for Lab personnel to complete the Basic First Aid course. All scheduled courses are listed on the Staff Portal where you can review course content and book you place. A list of Health & Safety training requirements and frequency is also available to view. Go to http://staff.rcsi.ie/administration-and-support/estate-services/health-and-safety/health-and-safety-training for further details.

Emergency Preparedness
The RCSI Emergency Plan sets out details for the safe evacuation of all individuals for all RCSI buildings. Fire Wardens along with Security and the Estates & Support Services Team will implement the Emergency Response Plan in the event of an emergency. Please make yourself familiar with the nearest emergency exit to you and follow directions of fire warden in your area. In the event of an injury, incident or near miss, please report immediately to Security / Building Services for first aid and emergency response:
  ➢ St. Stephens Green Campus - 01 402 2291
  ➢ Beaux Lane House - 01 402 2760 (7am – 7pm); 2219 (7pm – 7am)
  ➢ Reservoir House, Sandyford - 01 402 8679
  ➢ Smurfit Building, Beaumont - 01 809 3700 (8am–8pm); 01 809 2999 (Emergency Only - 8pm–8am)
  ➢ Library, Beaumont - 01 809 2110 Beaumont Security; 2999 (Emergency Only)
  ➢ GEM Building, Connolly Hospital - 01 646 5438 / 5294 – Security. 2222 – Cardiac Alert
  ➢ Dardistown - 999 / 112

Health & Safety Committees
The College has a Health and Safety Office, which all individuals can contact for help, advice and support in relation to Health, Safety and Welfare issues or initiatives. In addition to this Office, each department has its own Health and Safety Representative. Your Rep will consult with the committee on Health and Safety matters relating to their department and individuals within. So it's a good idea to get to know your Health and Safety Rep!

Biological Safety

RCSI, in accordance with the Environmental Protection Agency's Guidelines for Research Involving Recombinant DNA Molecules, has established an Institutional Biosafety Committee (IBC) to oversee research that involves Recombinant DNA, Infectious Agents and toxins at this institution. All researchers (faculty, staff, and students) or users of the facilities at RCSI who are currently using or contemplating use of recombinant DNA research must comply with these Guidelines. All protocols, in which recombinant DNA will be used, regardless of the funding source, must be submitted to the IBC for review. For further information go the IBC page on the Staff Portal http://staff.rcsi.ie/research/committiees/institutional-biosafety-committee-ibc/information-and-forms

Further Information

For further information in relation to all Health and Safety matters, please go the Health & Safety page on the Staff Portal http://staff.rcsi.ie/administration-and-support/estate-services/health-and-safety or contact the Health & Safety Office @ 01 402 2107 or safety@rcsi.ie

16.1 RESEARCH SUMMER SCHOOL

RCSI has a **Research Summer School (RSS)** which provides an opportunity for undergraduate students across all campuses (Dublin, Bahrain and Perdana) to become involved in research projects during the summer months.

The RCSI Research Summer School (RSS) is committed to supporting and nurturing our undergraduate students by offering them rewarding research experiences for the enhancement of human health. We achieve this by giving our students the opportunity to work with RCSI's highest-calibre, research-active staff. Our intention is to encourage and support our undergraduate students in carrying out biomedical research in the dynamic context of RCSI's Research Institute Strategy for a period of eight weeks during the summer.

Through the RSS Programme, we reveal the passion of RCSI researchers to our students while they are undertaking their research project. We train our students in 'hands on' research techniques and provide them with the skills for critically assessing current research and communicating their own research findings. We aim to make their research experience relevant to their undergraduate education. We want our students to gain a better understanding of how biomedical research 'works'; to equip themselves with the skills to debate and criticise current 'hot topics' in research. Our aspiration is that our students continue to be ambitious and curious in biomedical research and continue to engage in it beyond their graduation.

The Programme commences at the beginning of June and concludes at the end of July. Students are informed of the programme events through the RSS Moodle page and via the RCSI RSS web page. The RSS also has a twitter account to announce RSS events as they unfold. The programme consists of the Research Skills Workshops and the Friday Discovery Series. The intention of the workshops is to provide our students with their 'tool box' as they set out on their research journey for the summer. It is composed of a series of talks and hands-on workshops. The Friday Discovery Series runs each Friday afternoon for 6 -7 of the remaining 8 weeks. The timing of this session is intentional. The students are prompted to organise their week so they are available to participate. During these sessions students directly interact with researchers other than those who are involved in their projects. It also opens up the research community to the students. The programme finishes with the Wrap Up session, at which students are randomly chosen to share their Summer Research experience with their peers and colleagues.

Projects are funded through the SARA Office, as well as the Health Research Board (HRB) and Wellcome Trust (WT); whereby students receive a personal stipend for the duration of the programme and support is provided for the running costs of projects. Projects range across a broad spectrum of disciplines, from molecular biology and drug delivery to clinical investigation and bioethics.

In addition to the Research Summer School programme is the **International Stream Programme**. This is an exchange programme between RCSI and Soochow University College of Pharmaceutical Sciences, in Suzhou, Jiangsu China as well the University of Hoshi in Tokyo in Japan. The programme is open to 2nd and 3rd year students in the Schools of medicine, Pharmacy and Physiotherapy. After a rigorous application process, 4 RCSI undergraduate students are selected for the Soochow exchange. And an additionally 4 are selected to travel to Hoshi University. All 8 students travel in early June and stay for a total of 8 weeks in their host institutes to work on various research projects. RCSI in turn, host students from both Soochow University and Hoshi University.

ICHAMS (**International Conference for Healthcare and Medical Students**) is a biomedical conference for undergraduate healthcare and medical students hosted by RCSI undergraduate students. This event allows students to present their work to peers and researchers from diverse fields of biomedical research. In addition to the high calibre of delegates attending conference, there are numerous workshops offered on a variety of topics, as well as the opportunity to network with delegates from all over the world. More than 200 undergraduate healthcare students from around the world now attend this event on an annual basis.

Students are encouraged to attend national and international conferences. It is compulsory for students who receive RCSI funding to present their work at the following years RCSI Research Day which includes two awards for excellence in undergraduate research presentation.

The Summer Undergraduate Research Program is a wonderful opportunity and a great platform for students to work with distinguished faculty members, develop sound research methodologies, experience excellent mentorship and start their own collaborations.

Sources of funding (see http://rcsi.ie/ugundergraduateresearch)

The RSS in conjunction with the SARA Office fund as many students as possible every year. However, due to the large number of applications and because of the competitive nature of the application process, it is not usually possible for the RSS to fund all projects so undergraduate students should also explore the following options:

- **Option 1 – External funding**

Student identifies sources of external funding.
For example: The HRB and Wellcome Trust run annual undergraduate research summer funding schemes. Students are encouraged to apply to these, and other, possible external funding sources. If a student is successful in an application for external funding they are obliged to accept and inform the RSS. The ORI will administer this type of funding from third party funding bodies.

- **Option 2 – Funding by the Project Supervisor**

The supervisor funds the student through an operating grant, affiliated research facility funds etc. This option is at the sole discretion of the supervisor. The ORI can help to administer this option if required.

- **Option 3 - Joint funding**

The RSS and project supervisor occasionally come to the arrangement that the RSS fund a proportion and the project supervisor tops up the grant using funds as in Option 2 above. The ORI can help to administer this option if required.

- **Option 4 - No funding**

The student can work on the project and attend any summer school event in the absence of funding.

How to apply for internal RSS funding

All students applying for internal RSS funding are required to apply online through the common application system on Moodle. For further information, contact rss@rcsi.ie.

What does the award include?

The grant consists of a stipend of €100 - €250 per week for an 8 week period during the months of June to September dependent on the funding available. The stipend is paid directly to the student on the last working day of the month in which the research project finishes.

How to register a summer studentship

1. All supervisors complete 'Recruitment Form (E) - for Summer Students' on the RCSI RMeS http://research1.rcsi.ie/researchdb/. Supervisors are the only ones with access to this form - students will not be able to complete this form. When completing the recruitment form supervisors will be instructed to use an official Grant Code (Funding Agency) as provided by the Finance Department and attach the relevant documentation as stipulated by Human Resources (student CV, project description, student ID card, passport and GNIB/Visa if appropriate). Only when all paperwork has been submitted will the recruitment form be approved.

2. HR will contact the students so that they might sign a contract. This contract also contains a Summer-Researcher IP Agreement ensuring all IP belongs to the supervisor and RCSI.

3. A once off payment will be made to each student at the end of the month in which their research project finishes. (ie: If an eight week project takes place over June-July, payment will be made on the 31st July).

Award Conditions

Students are informed that there are conditions to the acceptance of their awards as follows:

a) Registration and attendance (80%) of the Research Summer School is required.

b) Submission of a research abstract, poster and PowerPoint presentation to the Summer Studentship Co-ordinator at rss@rcsi.ie. Deadline for submission is the end of September.

c) Submission of an abstract to the following Research Day is required (details on how to do this are sent out by email later in the year).

d) Acknowledgement of the financial support received through the programme in all research communications resulting from the project. Where relevant, copies of publications should be forwarded to rss@rcsi.ie at the time of publication.

The Director of the RCSI Research Summer School programmes is Dr. Sarah O'Neill

For further information contact rss@rcsi.ie

16.2 SCHOOL OF POSTGRADUATE STUDIES

The School of Postgraduate Studies oversees:

1. Higher degrees (PhD, MD, MCh and MSc) by research and taught Masters Programmes in the School of Medicine
2. Postdoctoral training
3. Workshops (for supervisors and thesis examiners)

All queries on higher degree courses, postgraduate registration, thesis examination, postdoctoral training courses, conferring and postgraduate entitlements can be directed to the School of Postgraduate Studies: postgraduateschool@rcsi.ie

Guidelines & Policies for Postgraduate Research students and their Supervisors
As a Postgraduate Researcher, or a Supervisor of a Postgraduate Researcher, you should be aware of the School's policies and procedures. These are available on the School of Postgraduate Studies website at http://www.rcsi.ie/ResearchPostgraduatePolicies

17.1 RESEARCH FACILITIES

The RCSI Institute of Research is a multi-site research infrastructure encompassing the research activities of RCSI at the St Stephen's Green campus and the RCSI-Education and Research Centre (ERC) at Beaumont Hospital.

The research activities of RCSI Institute of Research are sustained by an integrated research infrastructure consisting of a network of research centres and core facilities for:

- Clinical Research (RCSI Clinical Research Centre at Beaumont Hospital – Director, Professor Dermot Kenny)
- Automated Biopolymer & Biomaterial Synthesis Facility (123 SSG ,Prof Marc Devocelle & Prof Andreas Heise)
- Molecular & Live Cellular Imaging (Physiology & molecular Medicine Department – Dr Heiko Düssmann)
- Human Imaging (ERC Beaumont – Professor Alice Stanton)
- Biobanking (ERC Beaumont Hospital – Director: Professor Elaine Kay and Professor Alice Stanton)
- Centre for Systems Medicine (York House – Director Professor Jochen Prehn)
- Data Science Centre- biostatistics service (Beaux Lane House – data@rcsi.ie)

For further information on the above and the relevant contact details please visit the RCSI website at: http://www.rcsi.ie/technology_cores_Research_Facilities

17.2 EQUIPMENT ACCESS

A large number of RCSI funded research projects strongly rely on equipment-based technologies which are very expensive to purchase and maintain. The RCSI has introduced the concept of central shared facilities, where access to critical equipment is fee-based and centrally managed, so that equipment maintenance costs are shared by the actual users, and, in return, the functionality of the equipment is safeguarded by adequate training, supervision and technical support. In the long term it is envisaged that the introduction of central shared facilities will prevent equipment duplications.

As an RCSI researcher, if you wish to access any of the equipment listed below, please review the associated **Equipment Access Policy**. Please note if you intend to pay these charges from research grants, ensure in advance that the charges are eligible. If you have shared equipment with a high maintenance cost and you wish to add an Access Policy to the list, please contact researchadministration@rcsi.ie.

1. Equipment Access Policy - Molecular & Cellular Imaging Core
2. Equipment Access Policy - Confocal Imaging Core
3. Equipment Access Policy - Transmission Electron Microscope (TEM)
4. Equipment Access Policy - Reverse Phase Protein Array Platform
5. Equipment Access Policy - Sequenom MassArray System

Further information at the following link: http://staff.rcsi.ie/research/research-institute/research-facilities/equipment-access-policy.

17.3 EQUIPMENT ACCESS TO INDUSTRY

From time to time companies may expressed an interest in performing company directed research using RCSI's facilities and equipment to conduct preliminary research and development activities in pursuit of company objectives ("Service Activities").

RCSI encourages the participation of RCSI employees in Service Activities whenever this is possible and considered desirable by both the RCSI and the outside party in accordance with the following criteria outlined below. RCSI employees wishing to engage in Service Activities are required to contact RCSI's Head of Industry Partnerships for more detailed advice and support at the earliest opportunity prior to discussing the Service Activities in detail with the third party.

- The primary academic mission and research activities of RCSI shall take first priority over Service Activities.
- Service Activities must not interfere with the performance of normal academic and research duties of the RCSI employee and have been approved by the RCSI employee's line manager
- Service Activities are related to the academic and professional interests of the RCSI employee and RCSI.
- Service Activities do not give rise to any conflict of interest for the RCSI employee or for RCSI
- Service Activities shall occur under the supervision of a named RCSI employee who is appropriated trained and skilled in the use of the RCSI facilities and equipment.
- Any use of equipment purchased with funds supplied by government, special financing arrangements or private enterprise, will remain subject to any restrictions on the use of such equipment imposed the provisions of the associated funding agreement.
- Service Activities will normally take place on RCSI premises. Off-campus use of RCSI equipment may, in very exceptional circumstances, be authorised by the Director of Research and Innovation, provided all other RCSI use of the equipment is not prejudiced or made impossible by the removal of the equipment from RCSI premises.
- Service Activities must be based on fully costed proposals submitted through RCSI'S Research Management e-System that have been reviewed and approved by RCSI Office of Research and Innovation. Employees must refer to the Budgeting Advice below in this regard **prior** to contacting company)
- Service Activities must be governed by an appropriate Services agreement provided by RCSI's ORI. All Services agreements must be negotiated by RCSI's Head of Industry Partnerships and signed by an authorised signatory in RCSI's ORI.

All income from Service Activities shall be paid into a RCSI research account. Expenditure of funds obtained from Service Activities shall be at the discretion of the RCSI employee performing the Service Activities provided such expenditure does not involve remuneration of RCSI employees. RCSI HR approval is required before funds obtained from Service Activities can be expended on RCSI employee remuneration.

17.4 EQUIPMENT MAINTENANCE

The Institute of Research does not provided funding support for equipment maintenance contracts except in very well justified cases, but will support equipment repairs. So far, this approach to the maintenance of equipment has proven to be more cost effective.

In order to manage equipment maintenance requests, a Research Infrastructure Support Scheme has been developed. All PIs requiring Institutional funding support for the maintenance of equipment will be asked to submit requests for support only after having carefully assessed the maintenance contract option against the costs of repairs and the age of the equipment.

If, as a result of the assessment, the maintenance contract option is well justified and worth the investment, PIs are invited to submit a **"Request for maintenance contract"** to the Office of Research and Innovation (researchadministration@rcsi.ie) using the **Form A (see ANNEX 3)**.

If, on the other hand, the repair of the equipment option is more appropriate and PIs wish to avail of the College support as a need arises, they are invited to submit a **"Subscription to equipment repair support"** to the Office of Research and Innovation (researchadministration@rcsi.ie) using **Form B (see ANNEX 4)**.

Equipment which subscribe to the RCSI Research Infrastructure Support Scheme have to meet the following conditions:

- Their purchase price is no less than €30k
- They are available to all RCSI researchers on an open access basis and have an open access policy in place
- The access to the equipment is monitored through a logging system, which could be subject to internal audits
- Have a charging structure in place to ensure the long term sustainability of the equipment.

Depending on funding availability, we expect that a call will be made every year.

17.5 WRITING-UP SPACE

The Office of Research and Innovation (ORI) manage the shared writing-up space on the ground and 2nd Floor of York House and 2nd & 3rd Floor of 123 St. Stephen's Green.

Space allocation is made:
- On a first-come first-served basis
- Space is only allocated to full time staff or postgraduates- undergraduates and visiting scientists are not assigned write up space.
- On the principle that once a contract ends and the researcher leaves, the PI has one month to reassign the vacated desk before it is reassigned to\ another PI.

In order to facilitate the allocation of write-up stations, Principal Investigators are encouraged to observe the following requirements:
- The Research Institute Support and Development manager must be contacted before recruiting new team members to assess space needs (christopherbyrne@rcsi.ie).
- Contract extensions should be communicated in a timely manner
- PIs must ensure that researchers maintain their assigned desks and do not take free desks without prior approval from the ORI.

18. IT POLICIES & PROCEDURES

IT policies & procedures apply to all RCSI staff and students and all other users authorised by the College to use IT resources (eg: visiting scientists)

A detailed list of policies and procedures are available on the Staff Portal under the IT section:
http://staff.rcsi.ie/administration-and-support/information-technology/policies-and-procedures.

19.1 ANNUAL RCSI RESEARCH DAY

Traditionally held in the first quarter of every year, this annual forum is for the presentation of the most recent research studies being undertaken in the RCSI, to highlight and emphasize the importance and significance of research; and to recognize the different areas of research peculiar to the different disciplines within the College. The day features oral and poster presentations by young Investigators early in their career, Post-doctoral Fellows, Postgraduate and Undergraduate Scholars and Academic Staff. Full participation by all staff and students is encouraged for this event.

19.2 RESEARCH PRIZES

❖ **Kamal Sayed Prize in Neurosurgery**

The Royal College of Surgeons in Ireland with Dr. Yacoob Kadwa, RCSI graduate (Class of 1965) has created the "Mr Kamal Sayed Prize for Neurosurgery". The prize was named in order to pay special tribute to the memory of Mr Kamal Sayed, a graduate of RCSI (Class of 1960).

The prize is a prestigious award of the Irish Institute of Clinical Neuroscience to a neurosurgery trainee and is presented at the Annual Research Day to reward outstanding work and excellence in the field of neurosurgery. For further details, please contact the RCSI Alumni Office (alumni@rcsi.ie).

❖ **Innovation awards**

Innovation Awards aim to foster awareness of IP and commercialisation and to encourage post doc/post grad inventors to take the lead in the invention disclosure submission process. They also aim to develop and incentivise a culture of industry engagement among RCSI researchers and associated clinicians. The prize is presented at the Annual Research Day.

Categories include:

1. Invention disclosure award for researchers who identify a potential commercial application for their research and submit an invention disclosure to the ORI.
2. Commercialisation award for researchers whose research is licensed or optioned by a company.
3. Industry engagement award for researchers active in industry funded research projects.

For further details, please contact:
Aoife Gallagher; aoife.gallagher@rcsi.ie and Seamus Browne; seamusbrowne@rcsi.ie.

ACRONYMS

AMBER	Advanced Materials and BioEngineering Research Centre
BDI	Biomedical Diagnostics Institute
BioAT	PhD Programme for BioAnalysis and Therapeutics
BRF	Biomedical Research Facility
CRC	Clinical Research Centre
CSCB	Chemical Synthesis Chemical Biology
DSC	Data Science Centre
ePubs	Electronic Publications
ERC	Education and Research Centre
ERDF	European Regional Development Fund
EU	European Funding
FP7	Framework Programme 7 European Funding
GAIS	Grant Application Impact Statement
GR	Grant Registration
H2020	Horizon 2020 European Funding
HEA	Higher Education Authority
HRB	Health Research Board
HRS4R	Human Resources Strategy for Researchers
ICRIN	Irish Clinical Research Infrastructure Network
IP	Intellectual Property
IRC	Irish Research Council
IUA	Irish Universities Association
NBIPI	National Biophotonics Imaging Platform Ireland
NCE	No Cost Extension
PI	Principal Investigator
PRTLI	Programme for Research in Third-Level Institutions
REC	Research Ethics Committee
RERG	Regional Renewal Grant Scheme
RF	Recruitment Form
RFES	Research Facilities Enhancement Scheme
ORI	Office of Research and Innovation
RSS	Research Summer School
SFI	Science Foundation Ireland
SPGS	School of Postgraduate Studies
WOK	Web of Knowledge
WOS	Web of Science

ANNEX 1 – Template for Private Donations letter (other than industry)

FUNDER HEADED PAPER [16]

Dr. Paola della Porta,
Associate Director of Research,
RCSI Office of Research and Innovation,
121 St Stephens Green,
Dublin 2.

Date: _ _ / _ _ / _ _

Dear Dr. Della Porta,

I wish to confirm to you that I will transfer funding in the amount of (€ _ _, _ _ _)[17] from my (_ _ _ _ _ _ _)[18] account at (_ _ _ _ _ _ _ _ _ _)[19] into a RCSI research account.
This funding will include a _ _ %[20] indirect costs contribution.
This funding will support a research project which (_)[21]
The funding is unconditional on behalf of (_ _ _ _ _ _)[22] and may be used at the discretion of Prof / Dr (_ _ _ _ _ _)[23]

The total funding breakdown is as follows:

Cost type	€
Salary (including PRSI &/or pension)	
Fees	
Materials	
Travel	
Equipment	
Other (please specify)	
Indirect costs (% of non-equipment costs) [24]	
Total (equivalent to amount (2) above)	

I understand the total funding must be transferred to RCSI in advance of the project start date.

Kind Regards,

_____
(NAME & POSITION)

---

[16] Use Official Headed Paper of Donor Organisation
[17] Insert total amount of funding for this project
[18] Description of a/c e.g. General Research Funds a/c, HRB Research a/c, General Practice a/c etc
[19] Insert Organisation name e.g. Beaumont Hospital
[20] Insert 5% Non-RCSI space (individual donors only ie: Consultant, Patient etc), 25% RCSI desk space, 30% RCSI lab & desk space
[21] Provide brief description of Research Project
[22] Insert Organisation / Donor name (your own name, if applicable)
[23] Insert name of RCSI Research Staff (your own name, if applicable)
[24] Calculated as follows; Salary + Fees + Materials + Travel + Other = Z. Indirect Costs = Z x 5%, 25% or 30% contribution.

ANNEX 2 – Donation Letter from Industry for Research Projects

THIS AGREEMENT is made on the   {Insert} ("Effective Date") by and between Royal College of Surgeons in Ireland (hereinafter "RCSI") having its registered office 123 St Stephen's Green, Dublin 2, Ireland and {Insert}.

(hereinafter individually the "Parties" and collectively "the Parties")

NOW, THEREFORE, the Parties AGREE AS FOLLOWS:

1. **Context:** The Company wishes to contribute € {Insert} to the cost of a research project described in Schedule 1 ("Project") in a manner set out Schedule 2 ("Project Budget").
2. **Project Performance:** RCSI, through the Principal Investigator, shall use reasonable endeavours to direct and perform the Project in a proper manner in accordance with generally accepted good practice and with due regard to the health and safety of those involved in the carrying out of the Project. Neither Party makes any representations or warranties that any particular result or outcome will be achieved. The Principal Investigator shall be {Insert}.
3. **Intellectual Property:** All right, title and interest in any intellectual property created in the course of the Project shall be owned solely by RCSI and the Company hereby assigns any right, title and interest in any such intellectual property to RCSI. RCSI shall be free to publish any intellectual property created in the course of the Project where it wishes to do so.
4. **Publicity:** No Party to this agreement shall make any public statement or release (including but not limited to any advertising or publicity material) using the name of or concerning the involvement of another Party in the Project without the prior written approval of the Party in question.
5. **Liability:** The aggregate liability of each Party to the other for all and any breaches of this Agreement, any negligence or arising in any other way out of the subject matter of this Agreement, the Project and associated intellectual property, shall not exceed the total value of the Project Budget.
6. **Disputes:** If any dispute arises in connection with this Agreement then the Parties will negotiate in good faith to resolve the dispute. If the dispute cannot be resolved in the first instance the Parties agree to refer the dispute to, in the case of RCSI, the Director of Research and Innovation or his nominee, and, in the case of the Industry Partner, to the Chief Executive Officer, or his nominee. All disputes which cannot be settled in this manner shall be referred to mediation. The parties hereunto may agree to appoint a mediator or failing agreement then at the request of either party by the President called for the time being of the Law Society of Ireland
7. **Governing Law:** Agreement shall be construed and interpreted in accordance with, and its performance governed by, the laws of Ireland.

Signed for and on behalf of **RCSI**   Signed for and on behalf of {Insert}

Name: Dr Aoife Gallagher   **Name: {Insert}**

Signature_____   Signature _____

Schedule 1: Project

The Parties have agreed the follow details in relation to the project work plan:

Project Title:	{Insert}
Project Description:	{Insert}
Project Duration	{Insert}

Schedule 2: Project Budget

The Parties have agreed the follow details in relation to the project budget:

Personnel:	{Insert}
Consumables:	**0**
Total costs:	{Insert}
Payment schedule	Payment in advance of project commencement

All payments by the Company to RCSI will be made by bank transfer to:

Bank Name: Allied Irish Bank, 1 to 4 Lower Baggot Street, Dublin 2, Ireland.

Account Name: Royal College of Surgeons in Ireland
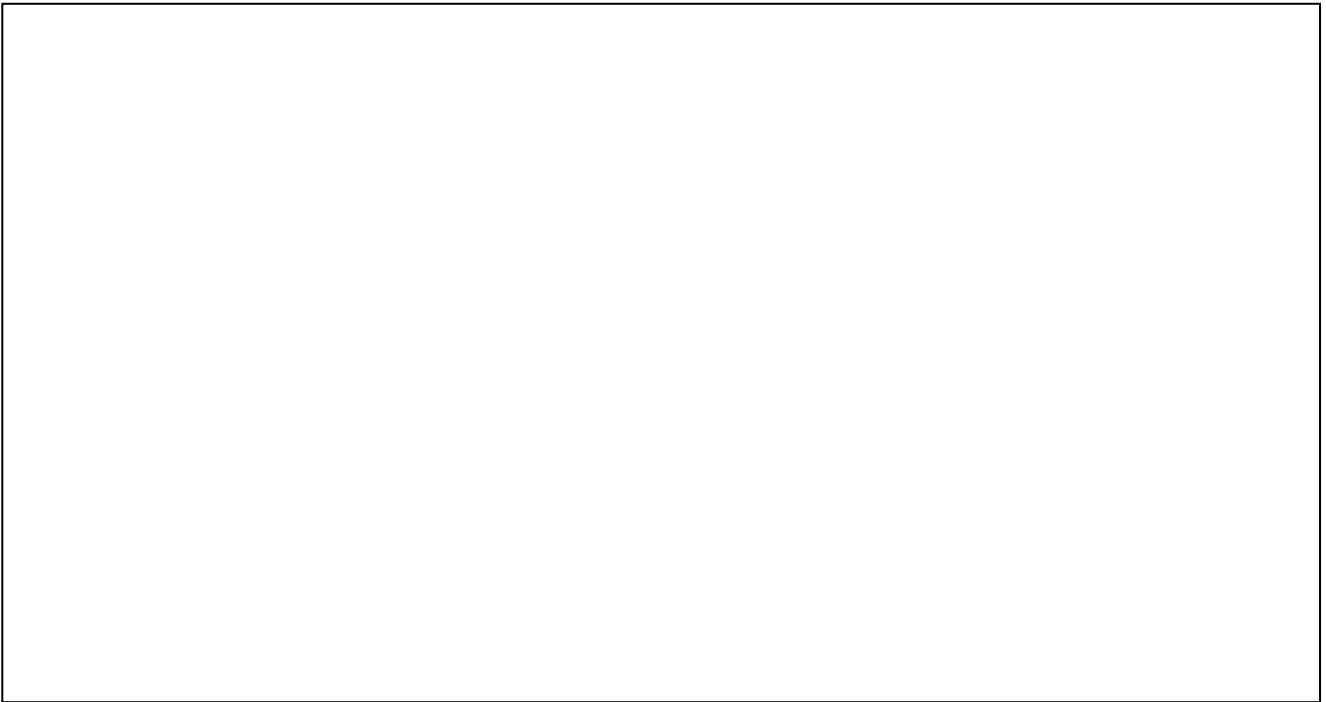
Account Number: 25685019 Sort Code: 93 11 52

IBAN: IE83 AIBK 93115225685019
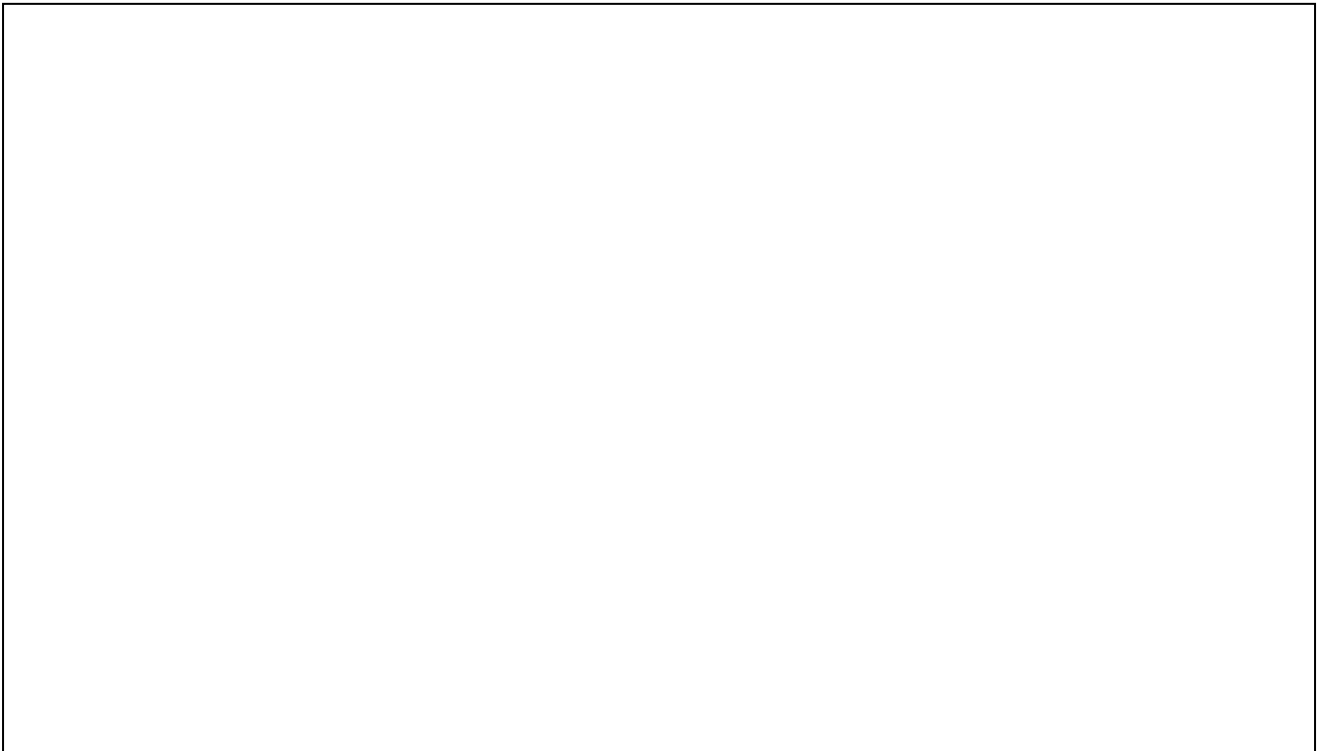
BIC: AIBKIE2D (SWIFT CODE)

Please quote RCSI Finance reference number {Insert} and the name of the Principal Investigator {Insert} on the remittance.

ANNEX 3 – Research Infrastructure Support Scheme

Equipment information

Name of the equipment:	
Funding source:	
RCSI grant code:	
Manufacturer:	
Purchase price:	
Year of purchase:	
Annual maintenance contract cost (including VAT)	
Cost of an out service call (excluding parts, including VAT)	
Annual cost of expensive parts which require regular replacement (e.g. lasers, lamps)	

Equipment Users

Name of the RCSI/Non-RCSI PIs who require the equipment for currently funded research projects	Active grants which rely on the equipment (please provide RCSI research account numbers)	Total budget of associated active grants which require the equipment

Please add more lines if necessary

Please provide a justification of the maintenance contract against the repair option:

Please provide information on how the equipment access is being managed to date:

Please provide information on how technical support and training of users have been managed to date:

Access fee in place or planned (cost and rationale for it):

Any additional comment

Please Note: when submitting Form A please include a copy of the Equipment Access Policy and a photocopy of the original quote for the maintenance contract

SIGNATURE page

Equipment users (grant holders only):

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

ANNEX 4 – Research Infrastructure Support Scheme

Equipment information

Name of the equipment:	
Funding source:	
RCSI grant code:	
Manufacturer:	
Purchase price:	
Year of purchase:	
Cost of an out service call (excluding parts, including VAT)	
Annual cost of expensive parts which require regular replacement (e.g. lasers, lamps)	

Equipment Users

Name of the RCSI/non-RCSI PIs who require the equipment for currently funded research projects	Active grants which rely on the equipment (please provide RCSI research account numbers)	Total budget of associated active grants which require the equipment

Please add more lines if necessary

Please provide information on how the equipment access is being managed to date:

Please provide information on how technical support and training of users have been managed to date:

Access fee in place or planned (cost and rationale for it):

Any additional comment

Please Note: when submitting Form B please include a copy of the Equipment Access Policy

SIGNATURE page

Equipment users (grant holders only):

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

_____   _____

Name, Surname   Signature

Visiting Scientist Agreement

This form must be completed when a student/researcher/scientist attends RCSI Laboratories in a visiting capacity. The Visiting Scientist and Head of Department/Principal Investigator must co-sign the agreement

Personal Details

Title (Dr. Mrs. Ms. Mr.)	
First Name	
Surname	
Date of Birth	
Nationality	
Gender	
Contact Address	
Contact Telephone Number	
Contact Email Address	
Emergency Contact Name and	

Phone Number	

Post Details

Department	
Job Category / Job Title (e.g. Post-doc , Research Fellow, PhD, MSc)	

What Work Station will you be using?	Building:	Floor:	Room:
What Writing-Up Station will you be using?	Building:	Floor:	Room:

Arrival Date	
Departure Date (must be given) **NOTE: All access rights will cease as of 5pm on this end date**	
Is IT access / RCSI ID card required?	
Head of Department/Principal Investigator (print name)	

HoD / PI Contact Number	
Reason for visit (Please give a brief description of the purpose of visit)	
Name and Address of visitors employer or educational institution	
Are there costs associated with this visit (Y/N)	
If the answer to above is Yes, please detail the costs which will be incurred / approval for costs and the source of the funding	

Declaration

1. I accept and will abide by all applicable RCSI policies and procedures, such as Dignity at Work policy, Health & Safety policy, RCSI Code of Business Conduct policy, and RCSI policies and procedures specific

for researchers. For further information on specific policies, please contact hrqueries@rcsi.ie or researchadministration@rcsi.ie.

2. I agree to comply with the rules and regulations of the Health and Safety Act 2005 and RCSI's rules and regulations.

3. I understand and hereby agree that all information acquired through my work at RCSI is confidential to RCSI and I hereby undertake not to release any such information either during the term of my visit or thereafter to any third parties provided that this obligation of confidentiality shall not apply to information that is or becomes known to the public generally, other than through a breach of my obligations as set out in this agreement. I also hereby agree to obtain the written approval of any RCSI colleagues who have been associated with me in my work at RCSI at least 45 days prior to submitting any such work to a conference, scientific journal or any other third party.

4. I accept that RCSI shall be entitled to withdraw its permission for use of its premises and facilities if I do anything which breaches the provisions set out above or do anything which in the reasonable opinion of RCSI brings or is likely to bring RCSI's name or reputation into disrepute.

5. I confirm that at the end of my visit I will return all property belonging to RCSI (specifically including access / ID cards, keys etc).

6. Please circle the relevant option:

Option (A)

To be used when:

•*The scientist is based in RCSI for a period of time, working on an RCSI derived project.*

As a condition of my use of RCSI facilities I hereby agree to inform my RCSI Head of Department/Principal Investigator and the Director of RCSI Institute of Research or nominee of any discovery, innovation, invention or intellectual property arising from my activities at the RCSI. I hereby assign to RCSI, all rights, title and interest in any materials, results, discoveries, inventions or other intellectual property of any nature whatsoever arising from my research at RCSI and I hereby agree to provide any assistance as and when required by RCSI in applying for any form of registered protection including but not limited to any forms of intellectual property protections. In the event that I am named as an inventor in any patent application I hereby agree that any revenues, net of costs, shall be shared in accordance with the RCSI Inventions Policy and any updates thereof.

Option (B)

To be used when:

• *An existing intellectual property or collaboration agreement exists.*

- *The scientist is visiting for the purpose of using equipment only*.

As a condition of my use of RCSI facilities I hereby agree to inform my RCSI Head of Department/Principal Investigator and the Director of RCSI Institute of Research or nominee of any discovery, innovation, invention or intellectual property arising from my activities at the RCSI. Ownership of intellectual property will be determined on a case by case basis.

Signed: _____   **Date: _____**

    Visiting Scientist

Signed: _____   **Date: _____**

    Home Institution Head of Department/Principal Investigator of Visiting Scientist

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I confirm that I have invited the Visiting Scientist to join RCSI for the stated reasons and times. I understand that I will be responsible for their activities and that I will coordinate the process for the return of any RCSI property loaned to them. I confirm that I have contacted all the necessary departments concerning their work activities and any access to sensitive information or work areas. I also confirm that I have provided the Visiting Scientists with copies of relevant Health and Safety rules, codes of practice, guidance and information relevant to the work they are undertaking.

Further to **Section 6** above, I confirm that the relevant option for the Visiting Scientist will be (<u>Please circle</u>)**:**

                    Option (A)   /   Option (B)

Signed_____   **Date: _____**

    RCSI Host Institution Head of Department/ Principal Investigator

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