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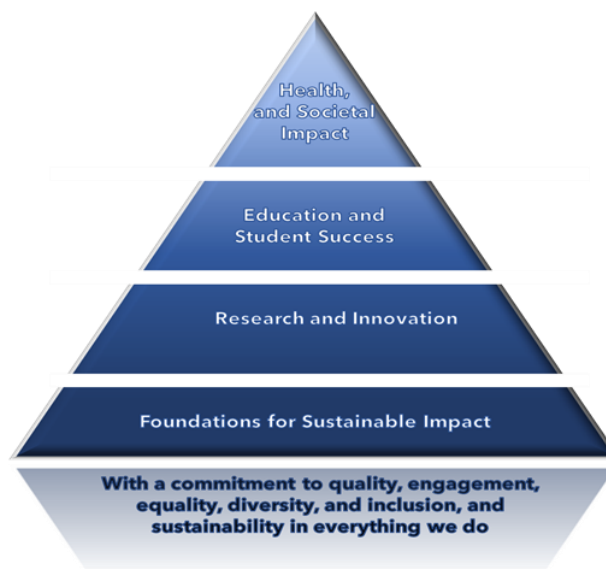
1. INSTITUTE OF RESEARCH

1.1 Research Mission and Focus

The RCSI Institute of Research is one of Ireland’s foremost research centres. RCSI is committed to performing high levels of research activity, commercialising intellectual property arising from its research, and developing collaborative links with industry, educational and research institutions both nationally and internationally. RCSI built Ireland’s first hospital campus Clinical Research Centre in 2000, alongside Beaumont Hospital, its main teaching hospital in Dublin. This supports RCSI’s translational focus and provides ready opportunities for clinician-based research studies.

RCSI’s Mission is to “*Educate, Nurture and Discover for the benefit of Human Health*”. RCSI’s vision is to be an international leader in supporting healthcare professionals, through high quality education, research, and service, to enable people to live long and healthy lives. Through supporting people to manage their health, developing the current and future healthcare workforce, to creating insights and inventions that drive health improvements, and engaging directly with our community and society, RCSI are committed to creating a healthier future. Based on RCSI’s values towards Respect, Collaboration, Scholarship and Innovation, the [RCSI Strategic Plan 2023-2027](#) “*Innovating for a Healthier Future*” focuses on Health & Societal Impact, Education & Student Success, Research & Innovation, and Foundation for Sustainable Impact.

Figure 1: Innovating for a Healthier Future



RCSI Research Strategy

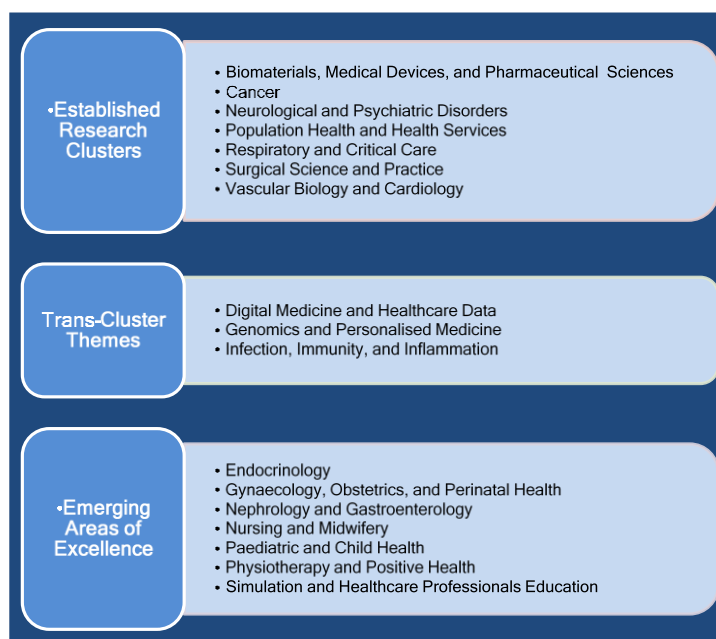
With a focus on translational and patient centred research, RCSI is continually looking to make ground-breaking discoveries that address the health challenges of our time. Focusing on strategic areas of excellence, our agenda will drive scientific breakthroughs, innovations and insights that will allow us to understand and respond to changing health needs and contribute to the medicines, devices, techniques, and system changes that enhance patient treatment and population health. We are

committed to increasing the excellence, critical mass, relevance and impact of our research and innovation.

Over the period 2023 – 2027, RCSI will:

- Grow established and emerging clusters of research excellence
- Strengthen our clinical and translational research infrastructure
- Expand our research capability, capacity and impact through collaboration
- Strengthen our reputation for research excellence, impact, and sustainability

Figure 2: Priority Research Clusters



2. RESEARCH GOVERNANCE, MANAGEMENT AND SUPPORT

2.1 Management Structure and Governance of Research

The Office of Research and Innovation is led by the **Deputy Vice Chancellor for Research and Innovation (DVCRI)**, who represents research on the Senior Management Team (SMT) and Academic Council. The DVCRI has overall responsibility for the implementation of the Research Strategy and the running of RCSI's Institute of Research. The DVCRI reports directly to the Vice Chancellor/CEO and ultimately the Medicine and Health Sciences Board.

The DVCRI is supported by the Deputy Director of Clinical Research and the Deputy Director of Translational Research as well as the Associate Director of Research, Head of Innovation and Head of Strategic Initiatives and Industry Partnerships. Together they make up the **Executive Research Management Team (ERMT)** which the DVCRI chairs. 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 Research Committees

Executive Research Management Team (ERMT): The ERMT is chaired by the Deputy Vice Chancellor for Research and Innovation (DVCRI), and includes the Deputy Directors of Clinical Research (Prof. Ger Curley) and Translational Research (Prof. Gianpiero Cavalleri), the Head of Innovation (Dr. Aoife Gallagher), the Head of Strategic Research Initiatives & Industry Partnerships (Dr. Seamus Browne) and the Associate Director of Research (Dr. Paola della Porta). The ERMT meets weekly and is responsible for the planning and implementation of the Research Strategy, 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. The ERMT also takes decisions on the sponsorship of Clinical Trials.

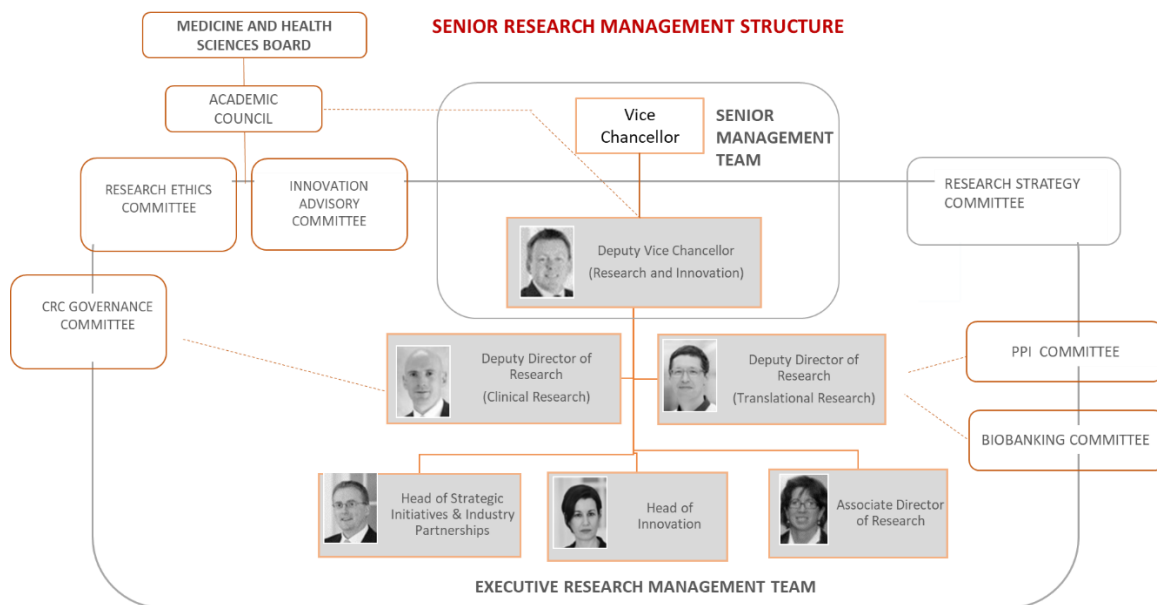
Research Strategy Committee (RSC): The Research Committee, renamed the Research Strategy Committee in Q1 2021, plays a strategic role in the management of research. The main responsibilities of the RSC are to advise the ERMT on the Institutional Research Strategy and ensure that institutional research plans and activities are sustainable and coherent. The RSC is responsible for enhancing RCSI's international competitiveness, reputation and recognition as a research-intensive university, through strategic planning, growth and development of RCSI research activities. The RSC meets quarterly and membership consists of the ERMT as well as the Director of International Engagement & External Relations and Head of Postgraduate Studies. Other members include proportionate representation from:

- Established Research Clusters: Biomaterials, Medical Devices & Pharmaceutical Sciences, Cancer, Neurological & Psychiatric Disorders, Population Health & Health Services, Respiratory & Critical Care, Surgical Science & Practice, and Vascular Biology & Cardiology;
- as well as representatives from the RCSI clinical sites (Beaumont Hospital, Rotunda Hospital, Children's Health Ireland, Connolly Hospital and the Mater Private Hospital).

Innovation Advisory Committee: The Innovation Advisory Committee, established in 2016, supports good governance in the areas of technology transfer, research commercialisation and industry engagement. It also monitors the implementation of policy. The committee provides an escalation path for disputes relating to implementation of the IP policy, reviews changes in IP policy, reviews and guides the development of formal process procedures, reviews proposed commercialisation deals for conflict

of interest and market rates and reviews the IP portfolio and recent patent decisions. Membership includes the DVCRI, Head of Innovation, Head of Strategic Initiatives & Industry Partnerships, Innovation Case Manager, Financial Controller and Senior Financial Accountant as well as up to five external members representing venture capitalists, pharma, and the medical device industry. The committee meets every six months.

Research Ethics Committee (REC): The REC is responsible for ensuring the highest standards of conduct in research and to support staff in pursuing this goal. The REC considers ethical issues related to research and research-related activities brought to its attention by the academic schools, researchers, staff and the wider College community; it also acts in an educational and advisory role regarding ethical aspects of research in order to promote best practice in research conducted throughout the RCSI. The REC oversees and advises on policy regarding the work carried out by its two main sub-committees: the Animal Research Ethics Committee (AREC) and the Human Research Ethics Committee - Humanities (HREC). The REC is led by the RCSI REC Convenor and meets every two months.



2.3 Office of Research and Innovation

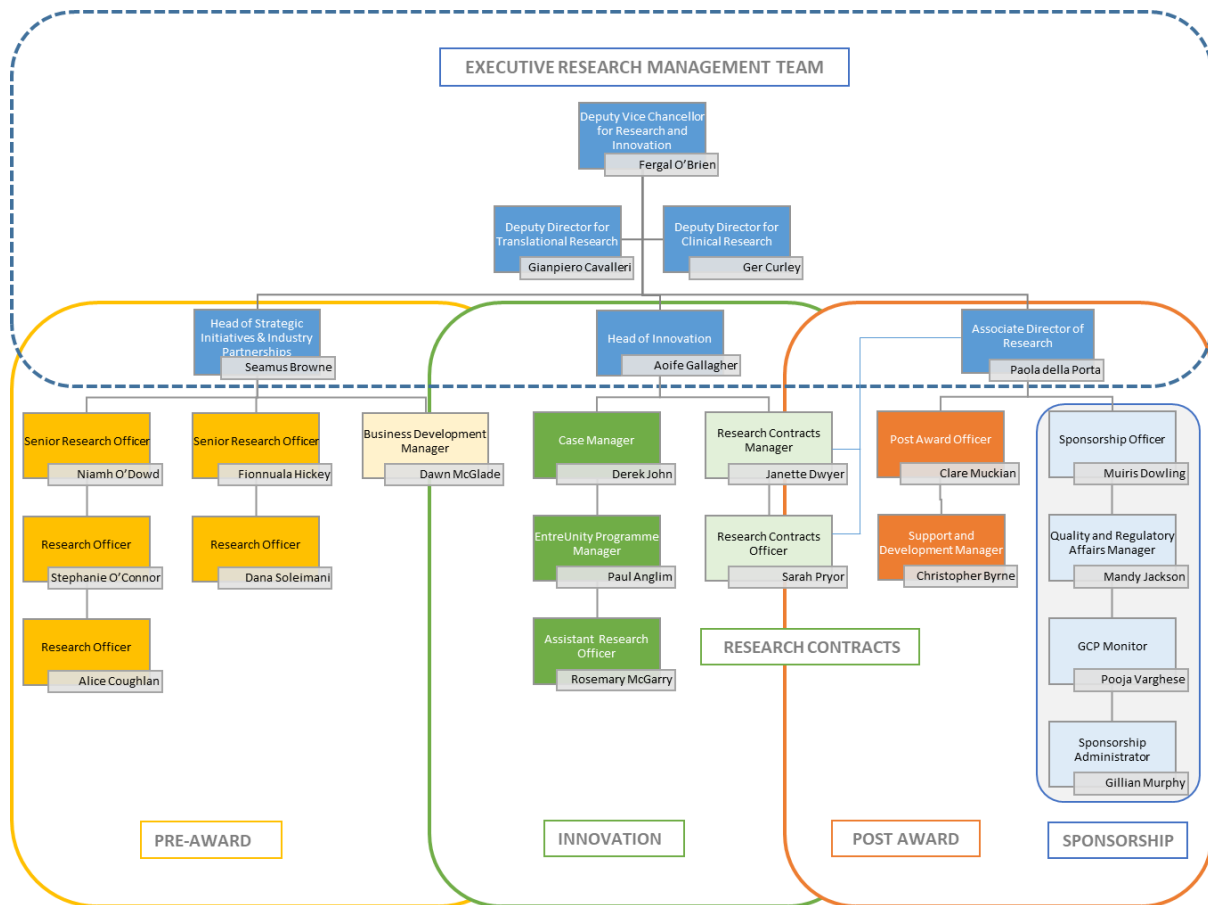
The Office of Research and Innovation (ORI) is responsible for the planning, implementation and review of the [Research and Innovation Action of the RCSI Strategy 2023-2027](#). This is performed through the

promotion of inter-institutional partnerships including collaborative research and training programmes, intellectual property (IP) identification, protection and commercialisation, support for industry engagement through collaboration, contract research and consultancy, planning and coordination of institutional funding proposals, approval of grant applications & acceptance of grant awards, drafting, approval and negotiation of research agreements, and last, but not least, the planning and oversight of research infrastructures and operations.

Research Management and Support



Office of Research and Innovation Staff Support Structure



The **Pre-Award and Post Award Management and Support Team** are responsible for:

- Pre-award support to researchers in the identification of funding opportunities, planning of funding strategy, planning and preparation of grant applications (including training)
- Post-award support to researchers (reporting, RIMS, grant related queries, data protection)
- Post-award management and administration (funding award review and execution, grant registration, review and sign off on research reports, management of research honorary appointments, management of transfer of funding)
- Post-award research contracts (draft, review and execution of research collaboration, mobility, non-disclosure, material transfer and clinical trial agreements)
- Planning and management of Strategic Initiatives
 - (a) institutional research and funding initiatives (e.g. seed-funding programmes, StAR)
 - (b) clinical research development
 - (c) infrastructures (research space, equipment, IT infrastructures and system (e.g. RIMS)
 - (d) resources (Institutional funding allocated to research, staffing of research facilities)
- Coordination of Institutional research events (e.g. Research day) liaison with communication department for research-related communications and annual report, provision of content and research perspective in the planning and up-keeping of the research section of the website.

The **Innovation Team** are responsible for:

- Identification of commercially relevant research outputs
- Support in securing funding to develop such research outputs into a more commercially ready state
- Protection of intellectual property through patent filing
- Commercialisation of research through licensing or spin-out company formation
- Support for all forms of collaborative research, contract research and consultancy engagements with industry
- Innovation contract review and sign off
- Promotion of innovation supports and researcher training on Innovation

The **Sponsorship Office Team** are responsible for:

- Managing the risks of clinical research and ensuring that it is safe, regulatory compliant, sustainable, and delivered with the highest quality standard.
- Reviewing plans for clinical research where RCSI has sponsor responsibilities, risk assessing the research, ensuring that it is sustainable, and that adequate risk mitigation plans and oversight are in place throughout the duration of the study.

Collaborative Links with Internal and External Departments



2.4 Useful Research Contacts

Office of Research and Innovation

Ardilaun House, 2nd Floor
 111 St Stephen's Green
 RCSI, Dublin 2
 Ireland
 Tel: +353 1 402 2550
 Email: researchadministration@rcsi.ie



Points of Contact for Research Queries

Honorary Appointments
Honorary Research Appointments (ORI): Gillian Murphy (gillianpmurphy@rcsi.ie)
Honorary Academic Appointments (HR): Rachel Hipwell (rachelhipwell@rcsi.ie)
Research Information Management Systems (RIMS)
Grant application and registration submission system (support): Clare Muckian
Website profile (support): Christopher Byrne (christopherbyrne@rcsi.ie)
Pre-award (Grant Application Stage)
Grant application support: Dana Soleimani (grantsapplicationsupport@rcsi.ie)
Industry engagement and Collaborations: Seamus Browne (seamusbrowne@rcsi.ie); Dawn McGlade (dawnmcglade@rcsi.ie)
Research Commercialisation grants: Derek John (derekjohn@rcsi.com)
Budget approval: Dana Soleimani (grantsapplicationsupport@rcsi.ie)
Planning and sponsorship of clinical studies Clinical study approval and planning for sponsorship activities: Gillian Murphy (sponsorship@rcsi.ie)
Patients and Public Involvement (PPI): Michelle Flood (michelleflood@rcsi.ie)
Postgraduate fees: Dean Lennon (postgraduateschool@rcsi.ie)
Data Management Planning & FAIR Data support: Andrew Mooney (andrewmooney@rcsi.ie)
Biostatistical support: Leon McCarthy (data@rcsi.ie)
Biobank planning: Joanna Fay (biobank@rcsi.ie)
Data Protection: Paola della Porta (pdellaporta@rcsi.ie)
Fulbright Commission: Helen French (hfrench@rcsi.ie)
ERAMUS Coordinator: Marc Sturrock (marcsturrock@rcsi.ie)
Innovation
Industry Engagement - Seamus Browne (seamusbrowne@rcsi.ie); Dawn McGlade (dawnmcglade@rcsi.ie)
Research commercialisation and Intellectual property management: Aoife Gallagher (aoife.gallagher@rcsi.ie)
Post Award (when funding has been secured)
Review and approval of funding from private donors: Paul O'Reilly (pauloreilly@rcsi.ie)

Review, approval, signing of funding agreements: Clare Muckian (postaward@rcsi.ie)
Registration of research funding/grants: Clare Muckian (postaward@rcsi.ie)
Transfer of Research Awards to or from RCSI: Clare Muckian (postaward@rcsi.ie)
Grant amendments (no-cost extensions, budget reallocations, allocation of funding to a new collaborator); - Clare Muckian (postaward@rcsi.ie)
Research Employee Selection and Recruitment
<p><u>Stage 1</u></p> <ul style="list-style-type: none"> • Initial contact point for research recruitment planning: Mark O’Dea (markodea@rcsi.ie) • Identification of research space: Christopher Byrne (christopherbyrne@rcsi.ie) <p><u>Stage 2</u></p> <ul style="list-style-type: none"> • Research recruitment campaign: Judy Walsh (judywalsh@rcsi.com) • RIMS Recruitment Forms Support (research funding, time allocation and grant account queries): Sarah Miller/Rosemarie Cullen (researchgrants@rcsi.ie) • RIMS Recruitment Forms Support (employment details and contract terms & conditions queries): Rebecca O’Brien (rebeccaobrien@rcsi.ie)
PhD Selection, Recruitment and Registration
Recruitment campaign management, RIMS recruitment forms support (student details and contract terms & conditions queries), onboarding and supporting scholars’ academic journey: Dean Lennon (postgraduateschool@rcsi.ie)
RIMS recruitment forms support (research funding, time allocation and grant account related queries) – Sarah Miller/Rosemarie Cullen (researchgrants@rcsi.ie)
PhD/MDs registration on Quercus: Dean Lennon (postgraduateschool@rcsi.ie)
PhD IT Access and ID card: Dean Lennon (postgraduateschool@rcsi.ie)
Research Contracts
Incoming and outgoing contracts/agreements for research collaboration, confidentiality agreements, material and data transfer, clinical studies/trials (drafting, review and execution): Sarah Pryor (researchcontracts@rcsi.ie)
Clinical Research support, facilities, and sponsorship of clinical trials
Sponsorship oversight, quality, and regulatory compliance: Gillian Murphy (sponsorship@rcsi.ie) Clinical research nursing support, training, and access to Clinical Research Centre facilities: Ailbhe Cullen (acullen@rcsi.ie)
Financial Support
Procurement of research goods and services (above €25k) training and support: Christopher Byrne (christopherbyrne@rcsi.ie)
Financial support on Agresso: <ul style="list-style-type: none"> • purchasing (requisitions and purchase orders): Niall McMahon po@rcsi.ie • payments/invoicing Niall McMahon accountspayable@rcsi.ie
Research Reporting
Reports to funders <ul style="list-style-type: none"> • Approval of research reports to funders (if required by the Funder): Clare Muckian (postaward@rcsi.ie) • Approval of financial reports/claims to funders: Sarah Miller/Rosemarie Cullen (researchgrants@rcsi.ie)

Research Ethics
<ul style="list-style-type: none"> • For studies on patients or patient samples <ul style="list-style-type: none"> - Hospital's patients – please contact the hospital's ethics committee - Patients of General Practices– please contact ICGP ethics committee (research@icgp.ie)
Biostatistical support - Leon McCarthy (data@rcsi.ie)
Biobanking support – Joanna Fay (biobank@rcsi.ie)
Data Management, including Fair Data Support – Ruth Geraghty (ruthgeraghty@rcsi.ie)
Research Dissemination
Communication, research events, seminars and workshops – Christopher Byrne (christopherbyrne@rcsi.ie), Isha McDonnell (discover@rcsi.ie) and for external communications Paula Curtin (communications@rcsi.ie)
Others
Institutional and Research Metrics, Rankings and Reputation, RIMS Profile Management and International Engagement – Grainne McDonagh (jpo@rcsi.ie)
Research integrity (management and training) – Oran Kennedy (rio@rcsi.ie)
Research health and safety – Yvette Moffatt (yvettemoffatt@rcsi.ie)
Access to research facilities (including space) – Christopher Byrne (christopherbyrne@rcsi.ie)
Staff Learning and Development – Catriona Campbell (Staff_L&D@rcsi.ie)
Library services – Andrew Simpson (andrewsimpson@rcsi.ie)

3. RESEARCH REPORTING, COMMUNICATION AND MANAGEMENT TOOLS

3.1 Research Information Management System (RIMS)

What is the Research Information Management System (RIMS)?

The Research Information Management System (RIMS) is an online interface that provides researchers and research support staff with the ability to upload research profiles and manage the submission of grant applications, registration of awards, research recruitment forms, timesheets and research ethics applications.

RIMS is also the RCSI repository for information relating to research activities & achievements of our research community. Researchers actively carrying out research can populate RIMS profiles with information that relates to their own profile.

Targeted Users

RIMS is available to all research staff within the College, however its use by Principal Investigators is essential for the preparation of institutional reports and the dissemination of research at RCSI. Principal Investigators are encouraged to log in to RIMS **as soon as they join RCSI** and avail of Office of support (researchprofiles@rcsi.com) 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.

RIMS enables the management of operations in the following areas:

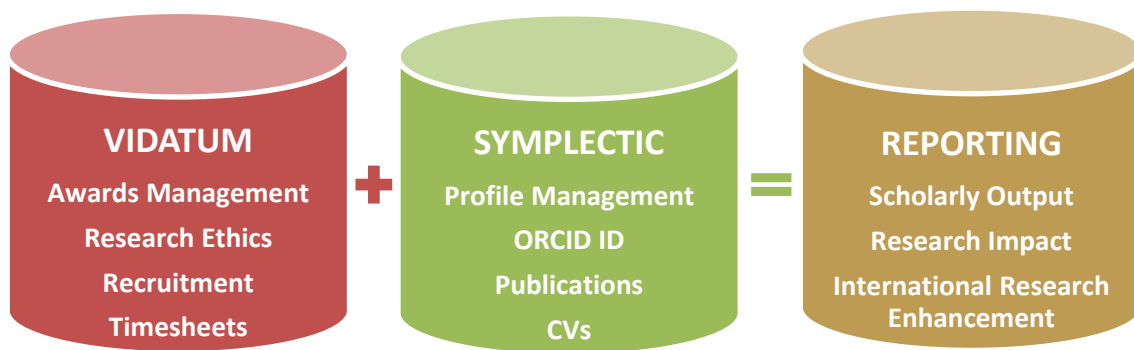
- **Research Profiles** (all your research information in one place)
- **Intent to Submit** (the submission, review, and approval of intentions to submit a funding proposal)
- **Grant Proposals** (the submission, review, and approval of funding proposals to external funders)
- **Grant Registration** (submission, review and processing of funding award documentation and data, prior to the setting up of research accounts)
- **Live Awards** (preview of live awards)
- **Recruitment** (submission, review, and processing of recruitment/on-boarding forms prior to issuing of contracts)
- **Timesheets** (submission and tracking of timesheets for individuals assigned to several projects)
- **Ethics** (submission, review, and processing of applications for ethics approval of research projects)

RIMS includes 3 Platforms: Vidatum, Symplectic and Microsoft Power BI

Each platform provide access to separate modules/applications, which, to an extent, are integrated with each other or with other external platforms which they source data from (eg: RCSI CoreHR system and external publication sources such as Web of Science and Scopus) or share data with internally (eg: the Agresso financial management system, the Library Publication repository, and the content management system for the external website research profiles).

There are two separate links to RIMS:

1. **VIDATUM ACADEMIC** manages the submission and processing of online research related forms https://rcsi.academic.ie/live/w_rms_security.login
2. **SYMPLECTIC ELEMENTS** manages your Research Profile content <https://rims-profile.elements.symplectic.org>

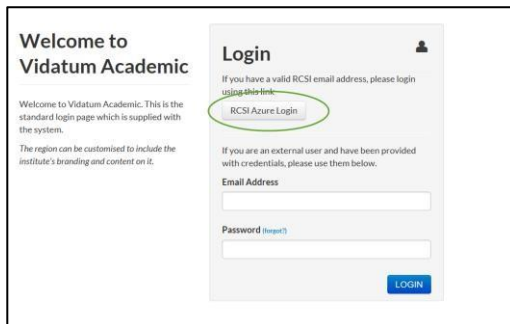


3.2 RIMS Vidatum Academic: Proposals, Awards, Recruitment, Ethics & Timesheets

1. RIMS Vidatum Academic Access

https://rcsi.academic.ie/live/w_rms_security.login

To login click on: RCSI AZURE Login

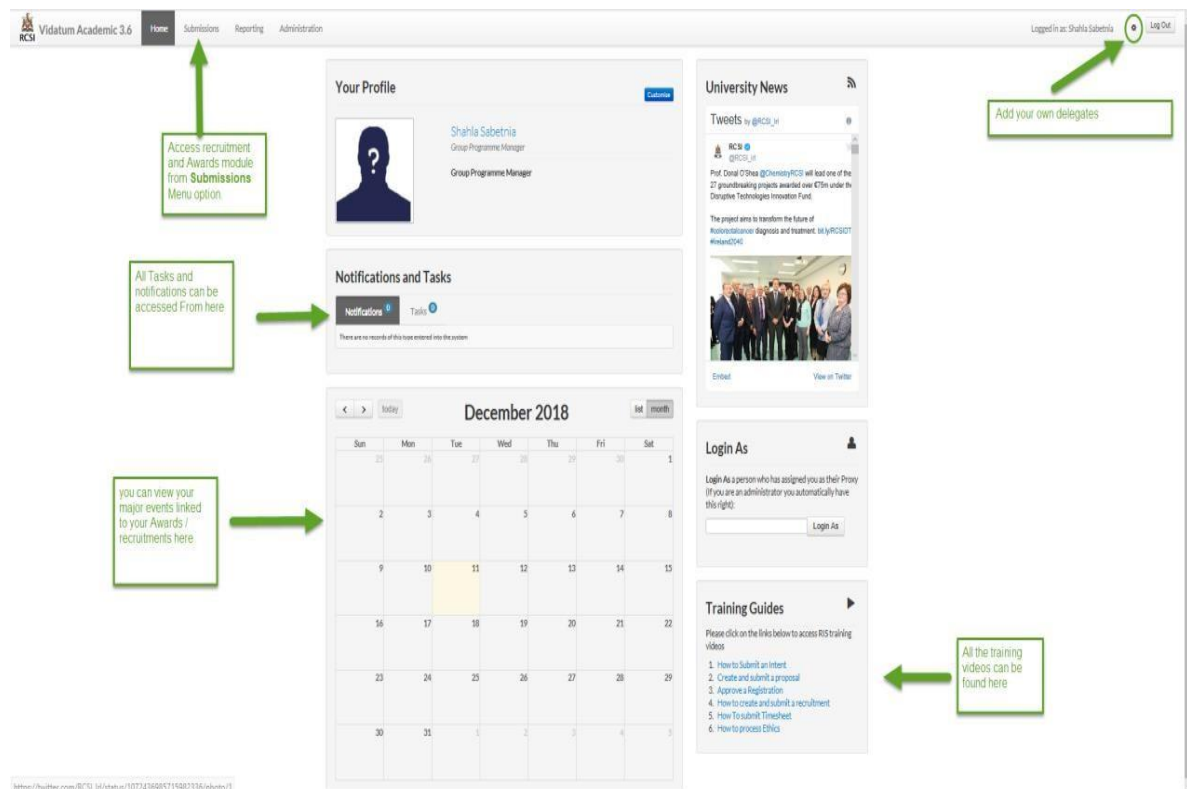


If you are asked for username and password.
Use your RCSI.Com address followed by your windows password.

e.g.: Email: Username@RCSI.COM

Password: *****

Home Tab



Access recruitment and Awards module from Submissions Menu option.

All Tasks and notifications can be accessed From here

you can view your major events linked to your Awards / recruitments here

Add your own delegates

All the training videos can be found here

Logged in as: Shahila Sabetnia

Logout

December 2018

Sun	Mon	Tue	Wed	Thu	Fri	Sat
23	24	25	26	27	28	29
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2

1. How to Submit an Intent
2. Create and submit a proposal
3. Approve a Registration
4. How to create and submit a recruitment
5. How To submit Timesheet
6. How to process Ethics

Submissions Tab

Access to Proposals, Awards, Recruitment, Ethics and Timesheets

The screenshot shows the 'Submissions' tab in the RIMS Vidatum system. On the left, a sidebar menu is annotated with a green box labeled 'Award stages' pointing to the 'Intent to Submit' section, which includes 'Proposals', 'Grant Registration', and 'Live Grants'. Below this, another green box labeled 'you can search for your awards. to widen your search click the check boxes.' points to the 'Refine by Type' and 'Search by Keyword' sections. The 'Refine by Type' section has a dropdown menu and checkboxes for 'Only show entries that currently require my approval' and 'Show Entries already approved / rejected'. The 'Search by Keyword' section has a text input field and a 'Filter' button. On the right, the 'Review Submissions' dashboard is shown, featuring a table of submissions. A green box labeled 'This is your dashboard where you can view all your awards.' points to the table. The table has columns for '#', 'Entry Type', 'PI', 'Name', 'Funding Agency', 'Funding Prog', 'Last Submitted', 'Status', and 'Actions'. One submission is listed with ID 213475933, Entry Type GRANT, PI Raymond Stalings, Name TEST-DO NOT USE, Funding Agency Industry - Cash Industry - In Kind, Science Foundation Ireland (SFI), Funding Prog Cash 1, In-Kind 1, Research Centres, Last Submitted 11/10/2016, Status Pending, and Actions icons.

1. Setting up a Proxy User on RIMS Vidatum

As a RIMS user, you have the option to nominate other users to act as proxy to submit forms on your behalf. You can select the nominated proxy user from the settings tab on RIMS Vidatum.

You still have access to RIMS, even if the proxy is submitting a form. *NB:* A proxy may be affiliated with more than one PI, and a PI can have multiple proxy administrators.

Please note that the proxy must have RCSI login details in order to be visible on the proxy list and in order to access RIMS. If you are unsure of your RCSI login details contact the IT helpdesk at IThelpdesk@rcsi.ie.

RIMS Vidatum Proxy set-up

The first screenshot shows the 'Your Profile' page for Clare Muckian, Research Officer. A red arrow points to the 'Log Out' button in the top right corner. The second screenshot shows the 'User Preferences' page. A red box highlights the 'Login by Proxy' section, which includes a text input field for 'Select the staff member to give Proxy access to' and an 'Add' button. A red arrow points to the 'Add' button. A 'Login by Proxy' information box is also visible on the right.

2. Award Management Module

A. Intent to Submit

For the ORI to gauge interest in a particular funding call and provide the resources accordingly, researchers are required to submit an Intent to Submit on RIMS once they have identified a call they are interested in. This allows the ORI to provide resource documents and advice relevant to the call and manage the time to assist with the grant application development as required.

B. Proposals

The submission of grant proposals/applications by researchers is subject to the online approval of the Proposal on RIMS by the Office of Research and Innovation (and the Finance Department where the budget is over €500K). The proposal includes the information, documentation and data required for institutional approval.

This RIMS module allows the submission of the proposal 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, have been processed by the ORI and/or Finance, or they require amendments).

The Proposal form is integrated with the grant registration system so that when a grant application is successful and needs to be registered, data already inputted through the proposal and required for grant registration, migrates across from the Proposal to the Grant Registration form – see section 4 for more details.

System's users include Research staff (or support staff), ORI staff, and Finance Department.

C. Grant Registration

The submission, review and processing of 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](#)).

ORI postaward@rcsi.ie submit the grant registration forms on behalf of the researcher once they have all the necessary documentation 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 form is reviewed by the PI and submitted to Finance.

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

D. Live Awards

Once fully approved, the grant registration becomes Live. The Live Awards integrate with:

- a) The Research Profile Module, so that when a grant registration form is processed and becomes Live, funding award data migrates across under the Grant Holder research profile.
- b) The Research Recruitment Module, so the research grants/account codes can be linked to contract research staff or postgraduate students – see section 4 for more details.

System's users are Research staff (or support staff), ORI staff, and Finance Department.

3. Recruitment Module

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 RIMS recruitment module, research staff submit a recruitment forms, for any new research staff or postgraduate students, 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.). Recruitment can only be linked to a Live Grant.

Upon submission, the recruitment forms are reviewed and approved online by HR for research staff, the School of Postgraduate Studies (for postgraduate Students), and the Research Summer School for any Undergraduate research summer students.

The Finance Department then process the salary or stipend payments. 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, have been processed or require amendments).

Recruitment system's users are Research staff, School of Postgraduate Studies, Research Summer School, Finance Department, and HR Department – see section 6 for more details.

4. Ethics Module

Research Ethics

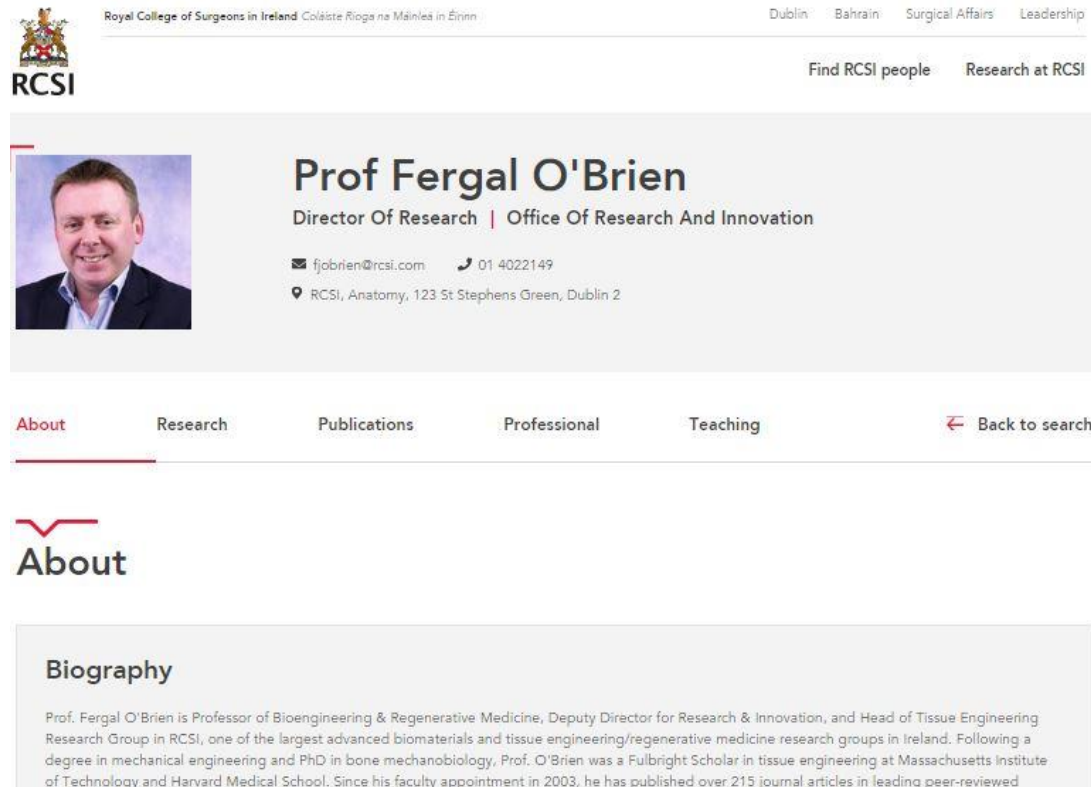
The RIMS Ethics module is used for the submission, review and approval of research projects requiring research ethics approval by the RCSI Research Ethics Committee.

Research Ethics system's users are Research staff, Research Ethics Committee (REC) Convenor, and Research Ethics Committee reviewers – see section 13 for more details.

3.3 RIMS Online Researcher Profile Management

Profile Management Module

The Research Profile Module on **RIMS Symplectic Elements** allows researchers and academics to populate their profile and manage all their research and academic information in one place. You are required to make your profile public so that it will be visible and searchable on the www.RCSI.com/people website. It is vital that these profiles are complete so that external parties can see the breadth and depth of our academic and research community. This is an opportunity to showcase your own work, encourage collaboration and to enhancing RCSI's reputation.



The screenshot displays the RCSI website header with the logo and navigation links: "Royal College of Surgeons in Ireland Coláiste Ríoga na Máinleá in Éirinn", "Dublin", "Bahrain", "Surgical Affairs", "Leadership", "Find RCSI people", and "Research at RCSI". The main profile section for Prof Fergal O'Brien includes a photo, his name, title "Director Of Research | Office Of Research And Innovation", contact information (email: fjobrien@rcsi.com, phone: 01 4022149), and location (RCSI, Anatomy, 123 St Stephens Green, Dublin 2). Below the profile are tabs for "About", "Research", "Publications", "Professional", and "Teaching", along with a "Back to search" link. The "About" section is expanded, showing a "Biography" with text: "Prof. Fergal O'Brien is Professor of Bioengineering & Regenerative Medicine, Deputy Director for Research & Innovation, and Head of Tissue Engineering Research Group in RCSI, one of the largest advanced biomaterials and tissue engineering/regenerative medicine research groups in Ireland. Following a degree in mechanical engineering and PhD in bone mechanobiology, Prof. O'Brien was a Fulbright Scholar in tissue engineering at Massachusetts Institute of Technology and Harvard Medical School. Since his faculty appointment in 2003, he has published over 215 journal articles in leading peer-reviewed".

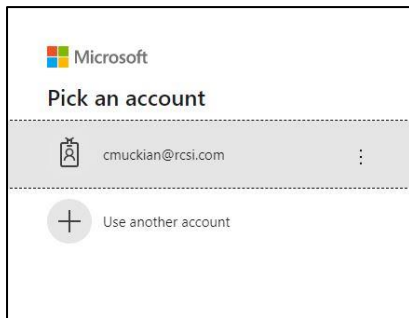
1. Access to RIMS Symplectic

Follow the link: <https://rims-profile.elements.symplectic.org>

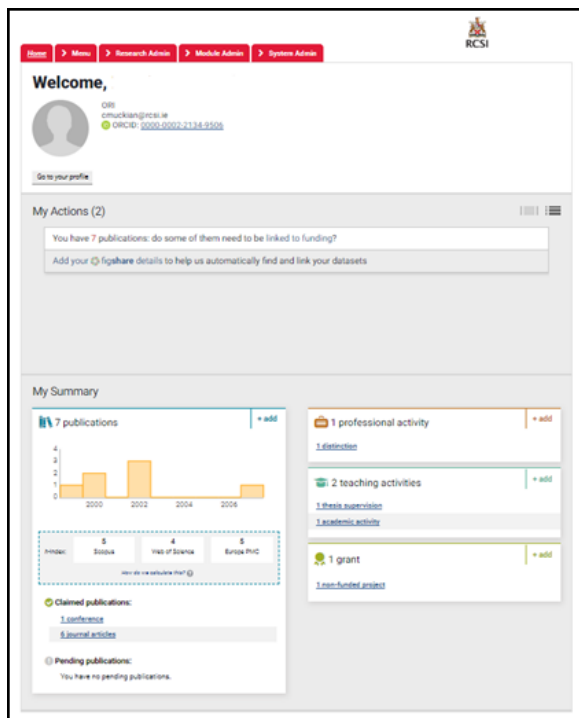
You will be asked for your log in details- if you are asked for user name and password. Use your RCSI.Com address followed by your windows password.

e.g.: Email: Username@RCSI.COM

Password: *****



When you are logged in you will see the profile dashboard similar to below:



This dashboard is used to amend and complete your details - it is not how your profile will appear on the RCSI website. The RCSI website pulls the data (which you have set to public) from Elements once a day. Consequently, any changes that you make here will not be visible on rcsi.com until the next day.

2. Setting up a Proxy User on RIMS Symplectic

As a RIMS user, you have the option to nominate other users to act as proxy for you and complete your profile. You can select the nominated proxy user from the settings tab on RIMS Symplectic.

You still have access to RIMS, even if the proxy is completing your profile. *NB:* A proxy may be affiliated with more than one PI, and a PI can have multiple proxy administrators.

Please note that the proxy must have RCSI login details in order to be visible on the proxy list and in order to access RIMS. If you are unsure of your RCSI login details contact the IT helpdesk at IThelpdesk@rcsi.ie.


RIMS Symplectic Profile Proxy set-up

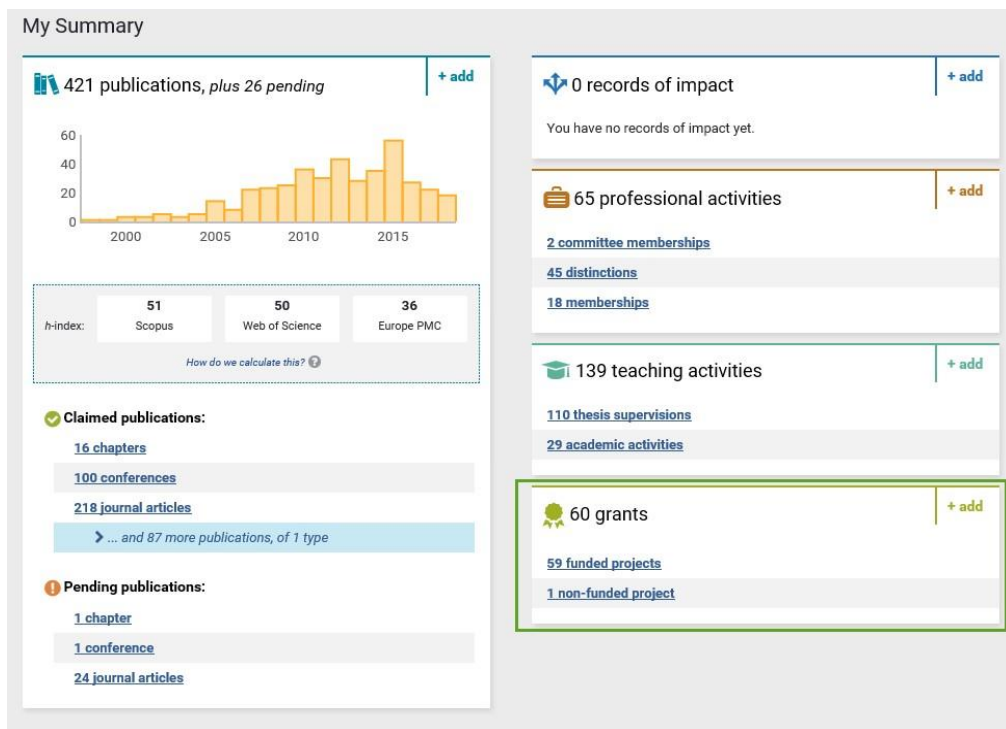
The screenshot shows the RIMS Symplectic Profile Proxy set-up process. The top part of the image shows the user interface with a red box around the 'IMPERSONATE ANOTHER USER' button and a red arrow pointing to it. The bottom part of the image shows the 'Impersonate another user' page with a red box around the 'Last name starts with' filter options and a red arrow pointing to the 'C' option.

3. Managing and editing your profile

Much of your personal details are already populated from CoreHR, including your name, job title, department. If you see anything here that is incorrect you cannot amend it yourself- you must contact hroperations@rcsi.ie as these changes can only be made in CoreHR.

Your publications are pulled in automatically using your ORCID ID: a unique, open digital identifier that distinguishes you from every other researcher with the same or a similar name to you. Set up your ORCID ID at the following address www.orcid.org.

Funding awards are uploaded from the RIMS award management system. You should be able to see all the grant data. All grants are public on the website. If you wish to make them invisible, then click on the icon  beside each award.



Development of an advanced scaffold based delivery system for nucleic acids through the incorporation of novel nanoparticles

Summary | Links (1) | Data sources (1)

Title: Development of an advanced scaffold based delivery system for nucleic acids through the incorporation of novel nanoparticles

Funder reference: GOIPG/2018/371

Funder name: Irish Research Council (IRC)

Reporting dates: 01 Oct 2018 to 30 Sep 2021 [Edit](#)

Funded Project ✕ 🔍 ❤️ 👁️ 🏠

4. Training Material

Training videos and a quick start guide are available in order to assist with the population of your profile rims-profile.elements.symplectic.org/information.html

- Login and Landing Page
- Edit Profile – Profile and Personal Information
- Edit Profile – Research Areas and Experience
- Edit Profile – Education, Language and Address
- Edit Profile – Professional and Teaching Activities
- Edit Profile – Grants and CV
- Edit Profile – Manage Delegates
- Edit Profile – Privacy Level
- Edit Profile – Publications – overview
- Edit Profile – Search and Auto Claim

If you require further support, please contact researchprofiles@rcsi.ie.

If you have an access issue, please contact IThelpdesk@rcsi.ie

3.4 RIMS Reporting

RIMS Symplectic (Profile system) allows the user to run basic reports (eg: CVs).

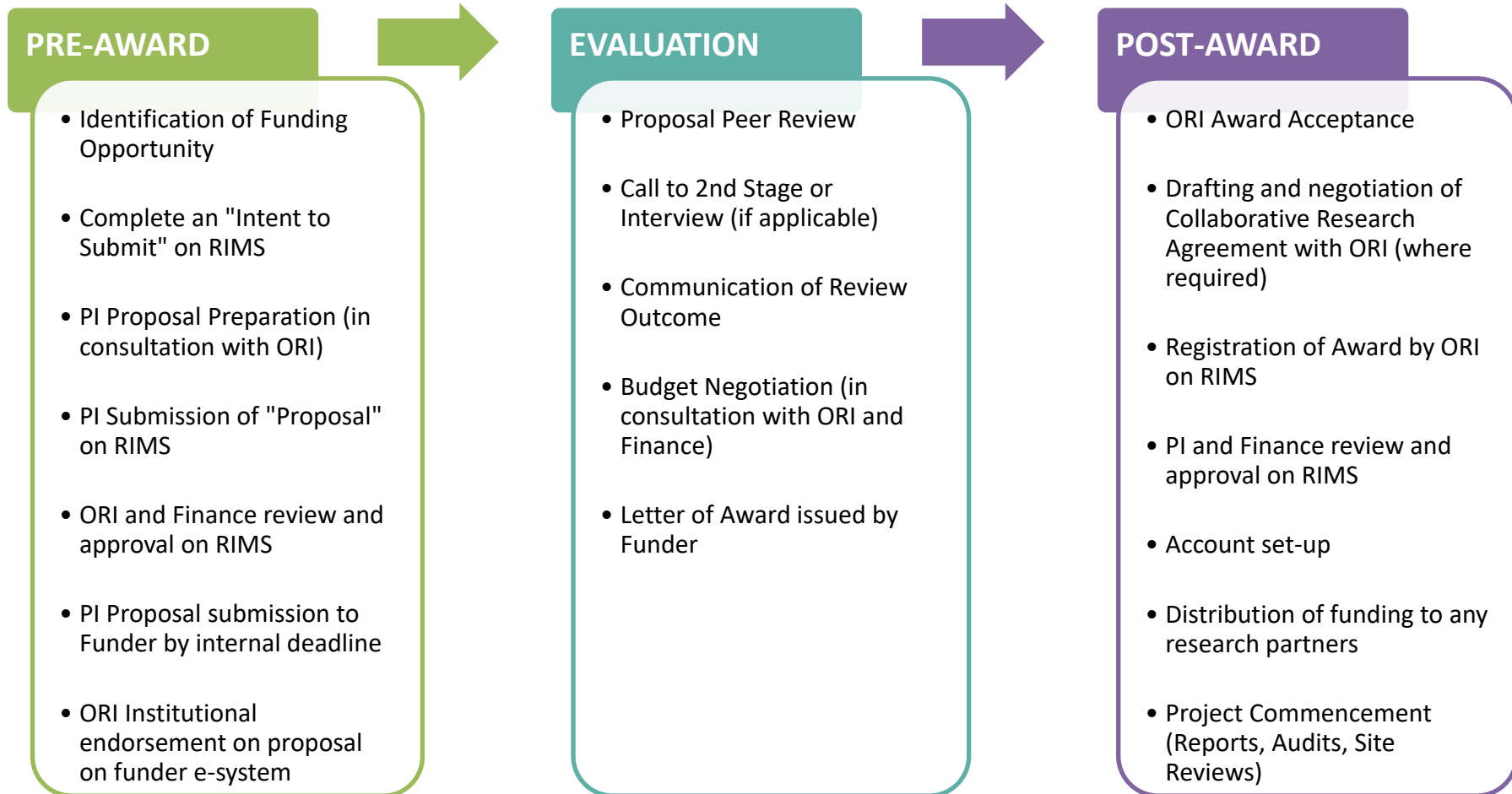
RIMS Vidatum reports on Funding Awards are available through the ORI (contact postaward@rcsi.ie).

The Library can assist with complex **Individual reports** relating to publication metrics or altmetrics (Grainne McCabe; gmccabe@rcsi.ie). They also run several training workshops in these areas. Check the HR staff portal Learning & Development site for upcoming courses.

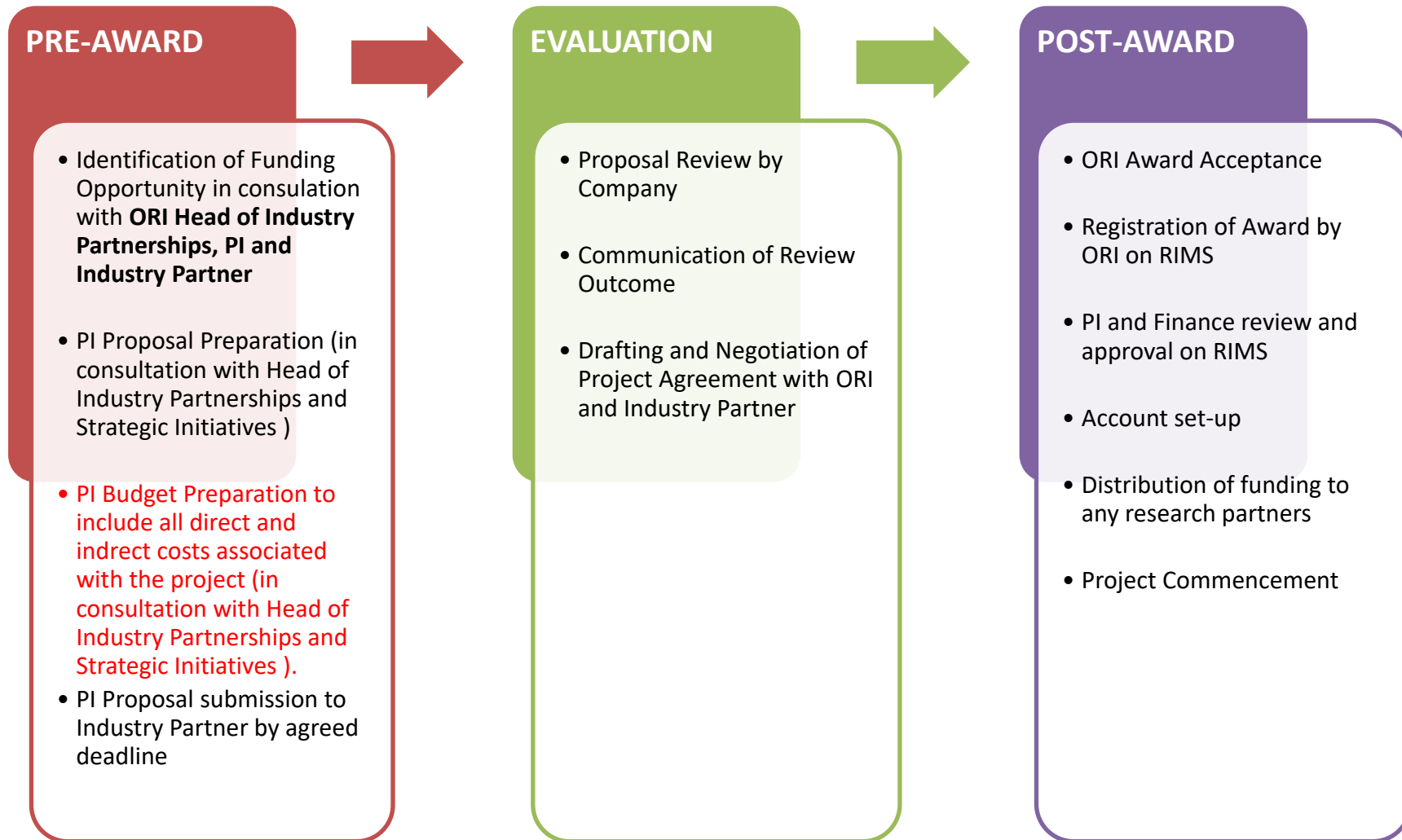
For **Institutional or Departmental reports** on performance, scholarly output, research impact and international research engagement, contact the Insights and Planning Office (IPO) (Grainne McDonagh; gmcdonagh@rcsi.ie).

4. RESEARCH FUNDING – SUPPORT AND REQUIREMENTS

4.1 Research Funding Life Cycle



4.2 Research Funding Life Cycle for Projects with Industry



4.3 Research Funding Opportunities

Relevant upcoming research [funding opportunities](#) including the [RESEARCHconnect International Online Tool](#) 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 to be pro-active in searching for funding opportunities]. Email notifications are disseminated to research staff on a monthly basis (make sure you are 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 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 / innovation@rcsi.ie) and the Finance Department (Mr. Barry McGowan; bmcgowan@rcsi.ie ext. 2478).

- Applicants involved in the preparation of funding applications for **National funding agencies (e.g. SFI, HRB)** and other national schemes (e.g. HSE, Irish charities) should consult with Fionnuala Hickey (fionnualahickey@rcsi.ie) prior to the submission of a funding application.
- Applicants involved in the preparation of funding applications for the **Irish Research Council (IRC) and Wellcome Trust (WT)** should consult with Stephanie O'Connor (sloconnor@rcsi.ie) prior to the submission of a funding application.
- Applicants involved in the preparation of funding applications for **International funding agencies** (including Horizon Europe and other non-national agencies) should consult with Niamh O'Dowd (niamhodowd@rcsi.ie) prior to the submission of a funding application.
- Applicants involved in the preparation of funding applications for **European Research Council (ERC) and Marie-Curie (MSCA)** should consult with Alice Coughlan (alicecoughlan@rcsi.ie) 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 Seamus Browne (seamusbrowne@rcsi.ie) or Dawn McGlade (dawnmclade@rcsi.ie) prior to the submission of a funding request to a company.
- For advice on **commercialisation of research and intellectual property** issues associated with institutional and industry collaborations, applicants are encouraged to contact Aoife Gallagher (aofe.gallagher@rcsi.ie), Derek John (derekjohn@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**, please contact Dana Soleimani or email grantsapplicationsupport@rcsi.ie.

Internal deadlines: Please note that the more notice you give the ORI about your application the more opportunities there are for ORI research support officers to assist you with your application.

The following process will help ensure that your proposal receives due attention:

- All intentions to apply for research funding for a competitive call must be communicated to the ORI through the **INTENT TO SUBMIT FORM** on RIMS. This form is upgraded, upon approval by the ORI, to a **(draft) PROPOSAL FORM**.
- The PROPOSAL FORM should then be used to submit your proposal for ORI review/approval.
- All proposal budgets must be reviewed via the RIMS system. Applications, including a final budget must be submitted at least **FIVE WORKING DAYS** before the external deadline in order

to secure sign-off. Proposals will be fully approved by ORI, unless the budget is €500K or over. On these occasions, Finance will also sign-off (**MANDATORY**).

4.5 Research Funding from Industry

Collaborative and Contract Research

The RCSI Institutional Strategy sets out a specific action to strengthen existing and develop new collaborative links with industry. To this end, RCSI has 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 and Strategic Initiatives (seamusbrownne@rcsi.ie; 01 4028651) or the Industry Engagement Business Development Manager (dawnmcglade@rcsi.ie) 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 should be 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 approved by RCSI Office of Research and Innovation.
- Industry Sponsored Research Activities should be clearly described in an Industry Engagement Research Plan (See Annex 1) prior to approval and commencement.
- 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.

Collaborative Research:

Collaborative Research Project with industry should meet the conditions of “effective collaboration” as set out in the EU Commission’s Framework on State Aid in Research & Development & Innovation 2014/163. “Effective Collaboration” is defined as Collaboration between at least two independent parties to exchange knowledge or technology, or to achieve a common objective based on the division of labour where the parties jointly define the scope of the collaborative project, contribute to its implementation and share its risks, as well as its results. One or several parties may bear the full costs of the project and thus relieve other parties of its financial risks.

Ownership of intellectual property associated with collaborative research programmes with industry is managed in accordance with the National IP Protocol.

There are essentially two forms of collaborative research with Industry:

1. **Wholly Industry Funded Collaborative Research:** This is where the industry party has a specific need and where it meets the full economic cost of carrying out the programme of work. In

accordance with the National IP Protocol, when the full economic cost of research by RCSI is wholly funded by industry, the industry party shall be entitled to either:

- a. a non-exclusive royalty free (NERF) licence;
- b. an exclusive licence; or
- c. an assignment

of any IP arising from the research programme

2. Part Industry Funded Collaborative Research: This is where an industry party partially funds and works with RCSI on a programme of mutual interest. There may be an element of State research funding meeting part of the cost of the programme of research. Industry parties who contribute to the cost of a research programme that is partially funded by the State shall be entitled to benefit from the IP arising in that programme by way of a licence. Such licences shall be granted on fair and reasonable commercial terms (subject to compliance with EU State Aid obligations) which provide opportunities for economic and societal benefits for Ireland.

Research collaborations with industry should be governed by an appropriate Collaborative Research Agreement. RCSI should retain the right to use Foreground IP arising from Wholly Industry Funded Collaborative Research projects and Part-Industry Funded Collaborative Research projects for internal teaching and research purposes.

It is vitally important that all research related programmes with industry and other undertakings are appropriately costed. This requirement is necessary for RCSI to comply with the EU Commission's Framework on State Aid in Research & Development & Innovation 2014/163 (the "RDI Framework"). When costing a research related programme with industry, the budget must include the all of the direct costs and indirect costs associated with the research programme.

Research services

From time-to-time companies may express an interest in performing company directed research services (or contract research) using RCSI's facilities and equipment to conduct activities in pursuit of company objectives ("Research Service Activities").

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

- The primary academic mission and research activities of RCSI shall take first priority over Research Service Activities.
- Research Service Activities must not interfere with the performance of normal academic and research duties of the RCSI employee and should be approved by the RCSI employee's line manager.
- Research Service Activities are related to the academic and professional interests of the RCSI employee and RCSI.
- Research Service Activities do not give rise to any conflict of interest for the RCSI employee or for RCSI.
- Research 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.
- Research Service Activities will normally take place on RCSI premises. Off-campus use of RCSI equipment may, in very exceptional circumstances, be authorised by the Deputy Vice Chancellor for 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.
- Research Service Activities must be based on **fully costed proposals** and approved by RCSI Office of Research and Innovation. Employees must refer to the Budgeting Advice below in this regard **prior** to contacting company).
- Research Service Activities must be governed by an appropriate Services agreement provided by RCSI's ORI.
- All Research Services agreements must be negotiated by RCSI's Head of Industry Partnerships and Strategic Initiatives 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 Research Service Activities provided such expenditure does not involve additional 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 Strategic Initiatives and 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 and Strategic Initiatives 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** 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 Strategic Initiatives 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.

4.6 Research Funding from Private Donations

All Private Donations for Research must be approved by the Development Office. The Development Office will assess and deal with each donation on a case-by-case basis.

- Anyone wishing to register a private donation should contact Paul O'Reilly in the development office (pauloreilly@rcsi.ie).
- Upon acceptance of the donation, the Development Office will sign and email the fully executed funding agreement to ORI (postaward@rcsi.ie), cc'ing the investigator.
- Upon receipt of the agreement, the Post-award Officer registers the funding.

All Private Donations for Research must be approved by the Development Office. The Development Office will assess and deal with each donation on a case-by-case basis.

- Anyone wishing to register a private donation should contact Paul O'Reilly in the development office (pauloreilly@rcsi.ie).
- Upon acceptance of the donation, the Development Office will sign and email the fully executed funding agreement to ORI (postaward@rcsi.ie), cc'ing the investigator.
- Upon receipt of the agreement, the Post-award Officer registers the funding.

4.7 Research Funding from an Internal RCSI source

To transfer funding from an existing RCSI Department Account to an RCSI Research Account, please liaise with Pdraig Barry, Senior Financial Accountant (pbarry@rcsi.ie) and provide a letter from the Deputy Vice Chancellor for Academic Research approving the transfer of funds. Email the signed letter to the ORI (postaward@rcsi.ie) for registration of the funding on RIMS to set-up the research account.

4.8 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 are not 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 bespoke templates, budget guidance and FAQs, at the following link: <http://staff.rcsi.ie/research/grant-application-and-registration/budget-guidance>.

Budgets to be completed using these templates and uploaded to RIMS for ORI review. Please do not email budgets directly to the ORI or Finance.

How to calculate Direct Costs

Direct costs are costs associated with carrying out the research project eg: salaries, consumables, travel to conferences, publications etc.

- **Salaries**

When budgeting for salaries in a funding proposal, please use the RCSI researcher salary scales unless salary is already been stipulated 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](http://www.rcsi.ie/pgpostgraduatefees) available at the following link: <http://www.rcsi.ie/pgpostgraduatefees>. Some national funding agencies (eg: SFI) will contribute 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. If the funding agency does not stipulate any applicable rate, the applicable rate is at the discretion of the applicant but should be in line with national funder rates.

- **Clinical Research Costs**

Please contact the clinical sponsorship officer (mauricedowling@rcsi.ie; sponsorship@rcsi.com) for guidance on clinical research costings particularly if the project involves a clinical trial.

- **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.

- **E-journals**

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

How to calculate Indirect Costs/Overheads

Indirect costs (or overheads) are the research costs attributed to College eg: admin support, lights, waste disposal, etc. 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 typically calculated on total direct costs or total non-Equipment costs. (The HRB also excludes Student Fees).

The College endorses funding applications where indirect costs are not eligible; however, **if indirect costs 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 final budget request includes the indirect cost. Please see <https://staff.rcsi.ie/research/grant-application-and-registration/overhead-rates-indirect-costs> for further details.

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. 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% (non-RCSI based research)

Costing Industry Projects

It is vitally important that all research related programmes with industry and other undertakings are appropriately costed. This requirement is necessary for RCSI to comply with the EU Commission's Framework on State Aid in Research & Development & Innovation 2014/163 (the "RDI Framework").

When costing a research related programme with industry, the budget must include the all of the direct costs and indirect costs associated with the research programme:

- i. **Direct costs:** Direct costs are those that can be identified accurately for a specific research project including, but not limited to, the salaries of staff employed specifically to carry out the research, the cost of materials and consumables for the project, research equipment/infrastructure access charges, project-specific travel or software licences costs, third-party/sub-contract costs and dissemination costs.
 - ii. **Indirect Costs:** Indirect costs are those incurred in the course of a research project but which cannot be attributed specifically or exclusively to the project. Examples of such indirect costs include space, light, heat, maintenance, library services and computer services. Other examples are the indirect administrative support required to run the project, including recruiting staff, professional indemnity insurance, legal costs of generating and negotiating funding, collaborative and IP agreements, procurement costs of purchasing equipment and materials and financial reporting. Indirect costs are also commonly known as overheads.
- **Indirect Costs on Collaborative Research with Industry**

Indirect Costs on Fully Funded Collaborative Research where the industry partner owns Project IP:

The Chief Financial Officer (CFO) and the Vice Presidents for Research (VPDOR) groups of the Irish University Association have agreed a new indirect cost rate of 65.7% should be applied to all new fully funded collaborative research projects with industry in situations where the company funding the research project owns all the intellectual property (IP) arising from the project (hereinafter the "New IUA-wide FEC Indirect Rate"). This New IUA-wide FEC Indirect Rate was based on a three-year sectoral average analysis of all indirect costs not charged directly to a research project including PI time, academic departmental overhead, central administration costs, premises costs etc.

The New IUA-wide FEC Indirect Rate recognises that charging full economic cost for fully funded collaborative research projects with industry, where the company funding the project

owns all the IP arising from the project, is a requirement of EU State Aid Rules and therefore failure to do so represents financial, compliance and reputational risk not only for Irish universities but also for the Exchequer and the Irish research system. While RCSI is not a member of the IUA, it is appropriate for the reasons outlined above that RCSI applies the New IUA-wide FEC Indirect Rate to all new fully funded collaborative research projects with industry in situations where the company funding the research project owns all the IP arising from the project.

Indirect Costs on Part Funded and Fully Funded Collaborative Research where RCSI owns Project IP:

In general, a contribution of 30% of direct project costs (excluding equipment costs) towards indirect costs is required for Part Funded or Fully Funded Collaborative Research Project with Industry where RCSI owns the IP. In these programmes, the requirements of EU State Aid compliance are met by RCSI owning the IP arising from the research project and the industry funder having an option to licence project results at fair market rate. In certain extremely limited instances, a waiver of indirect costs may be permitted where the industry funding is:

- i. For research for the public and common good, the research results could be freely and widely disseminated and RCSI owns all IP rights arising from the Project; or
- ii. Increased co-funding could be leveraged through industry-state co-funded programmes like the EI Innovation Partnership Programme and EU State Aid compliance requirements could be met by the RCSI owning all IP rights arising from the Project.

Please contact RCSI's Head of Industry Partnerships and Strategic Initiatives for more detailed advice and support at the earliest opportunity, prior to discussing the Collaborative Research budgets in detail with the third party.

- **Research Service Contracts**

If an RCSI researcher is performing contract research or research services for industry or other undertakings, these services must be priced at the market price for these services. In situations where the market price is difficult/impossible to determine, the price charged for the contract research programme or research services must:

- i. Reflect the full costs of the service and includes a margin established by reference to those margins commonly applied by undertakings active in the same sector as the service; or
- ii. Be determined as a result of arm's length negotiations where RCSI has negotiated to obtain the maximum economic benefit possible when the contract was concluded and at least RCSI's marginal costs are covered.

Direct Costs: Factors to consider when pricing contract research or research services for industry include:

- i. The daily rate chargeable by the RCSI employees performing the services must be market rate.
- ii. VAT must be added at the prevailing rate.
- iii. The full economic cost of access to equipment, facilities, and personnel has been included. 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.

- iv. Appropriate provision has been made for expenses (e.g. travel, materials, and subsistence) that will be incurred in carrying out the work.
- v. Any special costs relating to security, insurance and indemnification protection for the RCSI and the 3rd Party must also be borne by the user.

Indirect Costs: A contribution to indirect costs of 30%, based on total cost of service activities, must be included in the services budget. Generally, retention of publication rights and IP ownership of project results by RCSI is not possible under contract research and research service engagement with industry. Where the ownership of, or access rights to, IPR remain with RCSI, in certain limited instances their market value may be deducted from the price payable for the services concerned.

- **Consultancy Contracts**

It is important that all consultancy engagements are costed and priced appropriately to ensure compliance with EU State Aid Rules and to protect RCSI's brand value. Due to the broad nature of consulting activities and the wide variety of factors (economic, geographic and otherwise) that may influence cost, each consultancy engagement should be priced on an individual basis. The cost of performing the consultancy activities agreed with the client must reflect the full commercial rate/market value of performing the work in order to comply with EU State Aid Rules. Employees wishing to engage in Approved Consulting Activities are required to contact RCSI's Head of Strategic Initiatives & Industry Partnerships at the earliest opportunity prior to discussing Approved Consulting Activities in detail with the third party.

Factors to consider when pricing Approved Consulting Activities include:

- i. The daily rate chargeable by the RCSI consultant must be market rate.
- ii. VAT must be added at the prevailing rate.
- iii. The full economic cost of access to equipment, facilities, and personnel has been included;
- iv. Appropriate provision has been made for expenses (e.g. travel, materials, and subsistence) that will be incurred in carrying out the work.
- v. 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.

Please contact RCSI's Head of Industry Partnerships and Strategic Initiatives before discussing the cost of consulting activities with the third party.

4.9 Applying for Research Funding - Requirements and Processes

Research Funding refers to any grants or awards to an individual, or the institution, that directly funds a research project.

Non-Competitive Funding in this document refers to funding awarded by Industry, a private donor or internally through another RCSI account. This type of funding is generally not part of a competitive process so does not require an Intent or Proposal on RIMS – see sections 4.5 and 4.6 above – and moves straight to Grant Registration.

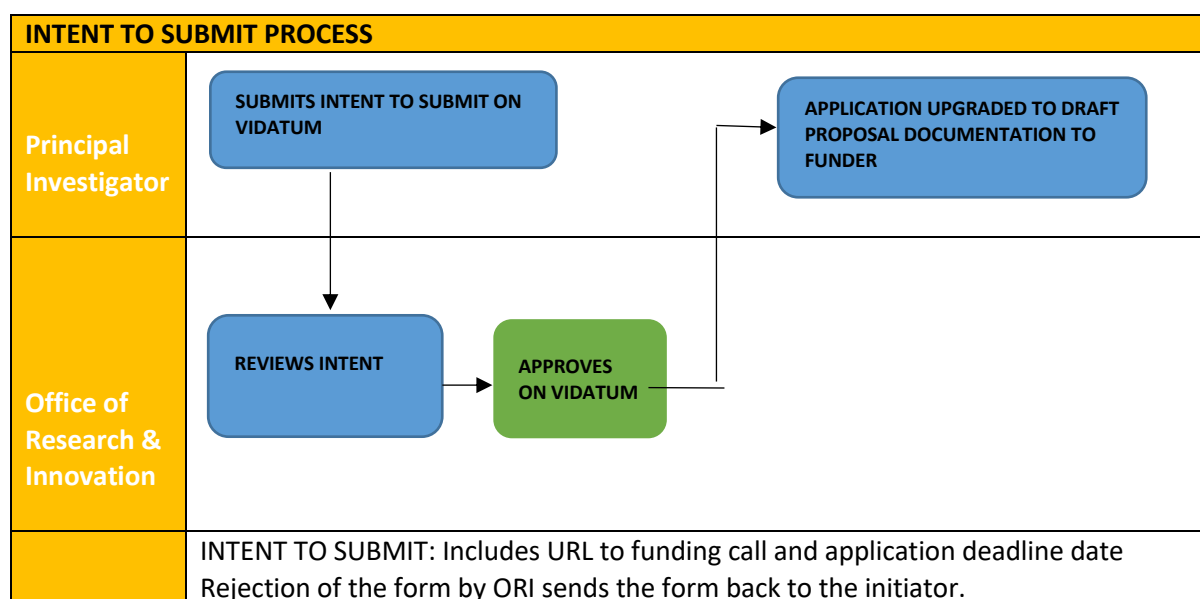
Competitive Funding in this document refers to funding awarded by a research funding body (eg: SFI, IRC, Wellcome Trust) under a competitive process. In these cases, applicants compete against each other for a limited pot of funding. Each applicant must submit a proposal to the funder covering all the funder and institutional requirements by a given deadline. These applications follow all four steps below



STEP 1: INTENT TO SUBMIT

In order for the ORI to gauge interest in a particular competitive funding call and provide the resources accordingly, researchers are required to submit an Intent to Submit on RIMS once they have identified a funding call they are interested in. This will allow the ORI to provide resource documents and advice relevant to the call and manage the time to assist with the grant application development as required.

The researcher submits the form for review and approval by the ORI. Approval of the form upgrades the form to a draft Proposal. The system generates automated email notifications once the PI submits the form, and once the form is approved by ORI.



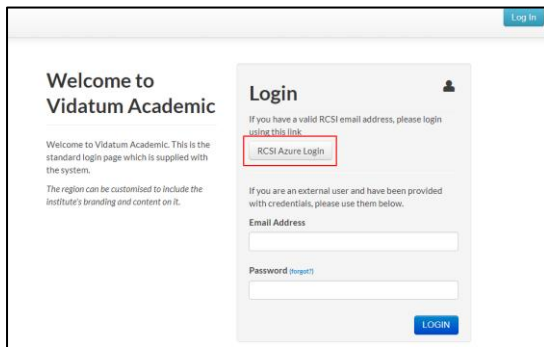
Is the Intent Stage mandatory? Yes, Intent is a mandatory feature for all Competitive-funding calls

How to submit an Intent to Submit

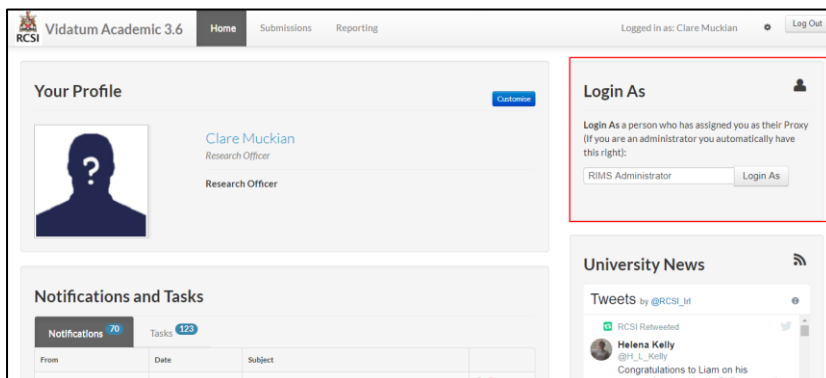
Link [here](#) to training video on how to log in and submit an Intent.

If your funding is directly from Industry, a private donation or internal RCSI funding, contact the ORI directly at postaward@rcsi.ie. An Intent and Proposal stage are not required.

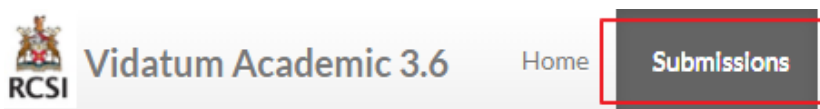
1. Log into RIMS Vidatum



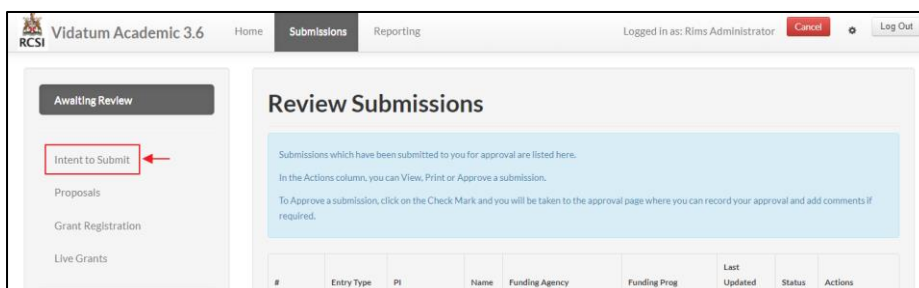
2. Login as proxy / delegate if applicable



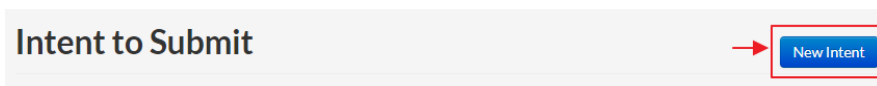
3. Click on the Submissions tab



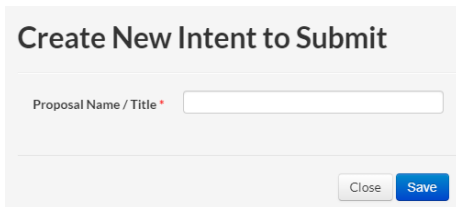
4. Select Intent to Submit



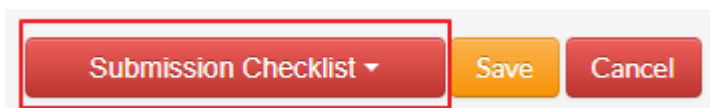
5. Click on New Intent



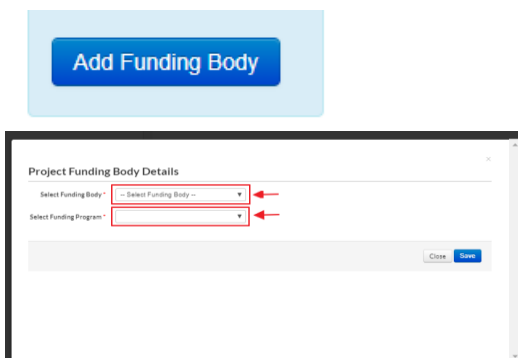
6. Enter Proposal Name/Title and click Save



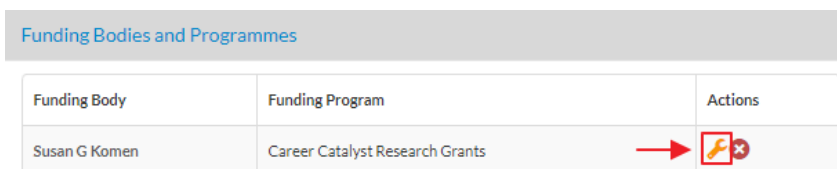
7. Complete all the required fields and SAVE as a draft. Any incomplete fields will be highlighted in the Submission Checklist




8. Select the appropriate funding body and scheme



9. The funding body can be amended or deleted as appropriate



Funding Body	Funding Program	Actions
Susan G Komen	Career Catalyst Research Grants	

If the funding body or funding program are not available on the drop down, contact grantsapplicationsupport@rcsi.ie with the exact name of the Funding Agency and Funding Program. Save the Intent as a Draft until the funding body/scheme have been added.

10. Add any comments to the comments box before submission

Comments and Remarks




Ready for Submission Save Cancel

11. The form can be saved before submission if not all details are available.

Ready for Submission Save Cancel

12. The Draft form can then be edited before submission

Intent to Submit

#	Name	PI	Funding Agency	Funding Prog	Grant Type	Status	Actions
212479074	Intent 001 - January 2019	Shahla Sabethia	AXA Research Fund, BrightFocus Foundation, Irish Cancer Society	Alzheimer's Disease Research Grants, Postdoctoral Fellowships, Research Centre		Draft	  

13. Once complete the form is Ready for Submission

Ready for Submission Save Cancel

14. Complete the checklist and Submit

Confirm and Submit Intent

Compliance: I confirm that the information I have provided is correct to the best of my knowledge.

Researcher Checklist: I confirm that I have provided the Head of my Department with a copy of this document.




Principal Investigators Declarations: Please review before submitting.

Submission Checklist: Please tick each check-box to ensure that the proposal will be submitted.


Cancel Submit Intent

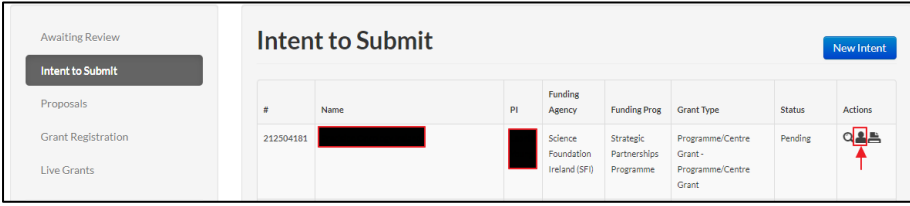
15. The form is now Pending ORI approval

Intent to Submit


#	Name	PI	Funding Agency	Funding Prog	Grant Type	Status	Actions
212504181	[Redacted]	[Redacted]	Science Foundation Ireland (SFI)	Strategic Partnerships Programme	Programme/Centre Grant - Programme/Centre Grant	Pending	  

How to check approval status of Intent to Submit

1. Click on the  icon to check the form status

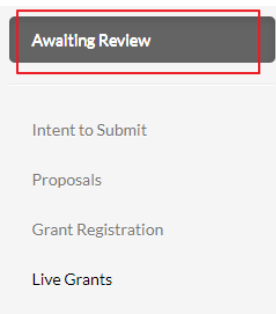


The screenshot shows a navigation menu on the left with 'Intent to Submit' selected. The main content area is titled 'Intent to Submit' and contains a table with the following data:

#	Name	PI	Funding Agency	Funding Prog	Grant Type	Status	Actions
212504181	[REDACTED]	[REDACTED]	Science Foundation Ireland (SFI)	Strategic Partnerships Programme	Programme/Centre Grant - Programme/Centre Grant	Pending	

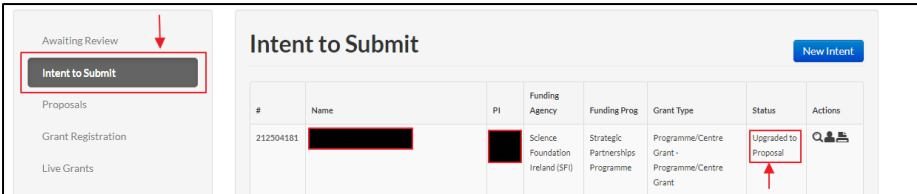
A 'New Intent' button is located in the top right corner of the table area.

2. If an amendment is requested by ORI, an email is sent to the researcher and the form will move to Awaiting Review. The notification will also appear under the Tasks tab on the Home page with a link to the form requiring amendment.




The screenshot shows the navigation menu with 'Awaiting Review' highlighted in a dark grey box. Other options include 'Intent to Submit', 'Proposals', 'Grant Registration', and 'Live Grants'.

3. Once approved by ORI, the form is Upgraded to Proposal



The screenshot shows the 'Intent to Submit' page with the status updated to 'Upgraded to Proposal'. The navigation menu on the left has 'Intent to Submit' selected. The table data is as follows:

#	Name	PI	Funding Agency	Funding Prog	Grant Type	Status	Actions
212504181	[REDACTED]	[REDACTED]	Science Foundation Ireland (SFI)	Strategic Partnerships Programme	Programme/Centre Grant - Programme/Centre Grant	Upgraded to Proposal	

A red arrow points to the 'Upgraded to Proposal' status in the table, and another red arrow points to the 'Intent to Submit' button in the navigation menu.

STEP 2: PROPOSALS

The submission of grant applications/proposals by researchers to a funder is subject to the online approval of the Proposal on RIMS by the Office of Research and Innovation (and Finance where the budget is over €500K). The proposal includes the information, documentation and data required for institutional approval to ensure funder and College requirements are met.

This RIMS module allows the submission of the proposal 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, have been processed by the ORI and/or Finance, or they require amendments).

Within the Proposal, researchers are required to:

- Attach a copy of the grant application
- Attach a final budget - (budget templates are provided at the following link: staff.rcsi.ie/research/grant-application-and-registration/budget-templates)
- Complete the questionnaire section regarding clinical research, secondment, IP, data management and space requirements. Positive responses to these questions will generate an automated email to the relevant parties who determine if your proposal requirements additional institutional support.

The system generates automated email notifications to the PI when the form is submitted, approved or requires amendment.

Is PROPOSAL Stage mandatory? Yes, all research funding applications **must** be submitted through RIMS PROPOSAL for approval and sign-off by ORI before institutional approval can be granted. This needs to be done at least **FIVE WORKING DAYS** in advance of the call deadline to allow ORI/Finance time for budget check and approval.

Exceptions to the above: Industry Funding, Private/Unconditional Funding and RCSI Internal Research Funding – No proposal stage required. Please contact postaward@rcsi.com directly. See section on Grant Registration of Non-Competitive funding.

PROPOSALS INVOLVING CLINICAL RESEARCH

If the proposal involves clinical research, particularly if it involves a clinical trial, the RCSI Sponsorship Officer must review and approve the Proposal before Institutional sign off. This is triggered by selecting “Yes” to the Clinical Research question in the questionnaire section of the Proposal (see details below on how to complete Proposal form).

LETTERS OF SUPPORTS

Where a Letter of Support is required from the Host Institution as part of an application, the applicant must inform the ORI as soon as possible. The ORI has a number of templates available. In all applicable cases, the requested budget application must be and approved by the ORI on RIMS. The Dean’s Office and HR must also approve any Academic buy-out time requests.

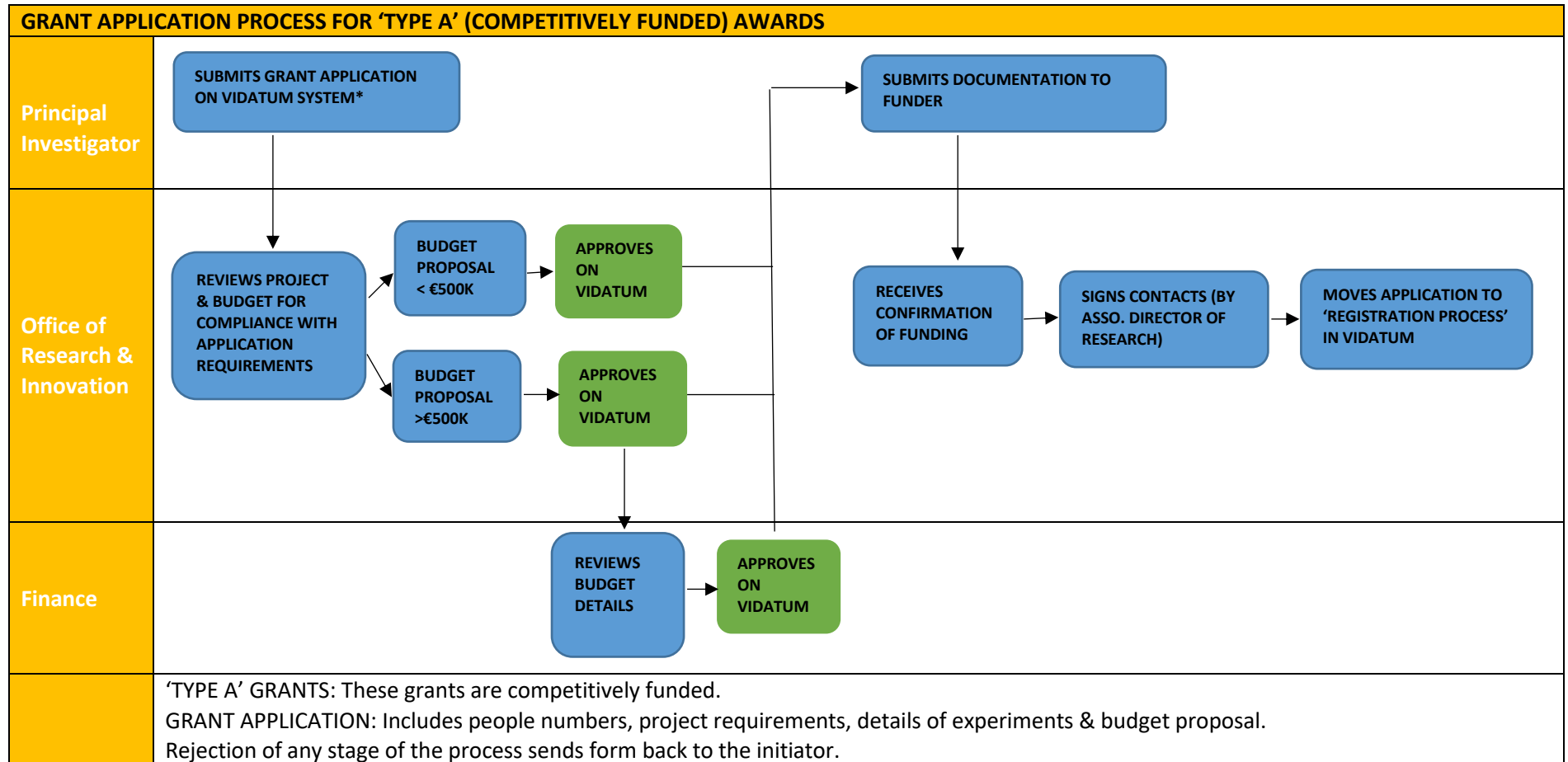
HARDCOPY INSTITUTIONAL SIGNATURES

If a signature page signed by the Institution is a grant application requirement, please notify grantsapplicationsupport@rcsi.ie **AT LEAST 3 DAYS** prior to the submission deadline. All other submission requirements must be complete beforehand ie: submission of proposal and budget approval on RIMS.

Authorised Institutional signatories:

- Deputy Vice Chancellor for Research and Innovation: **Professor Fergal O’Brien**
- Associate Director of Research: **Dr Paola della Porta**
- Head of Innovation: **Dr Aoife Gallagher**

Grant Application Process Overview



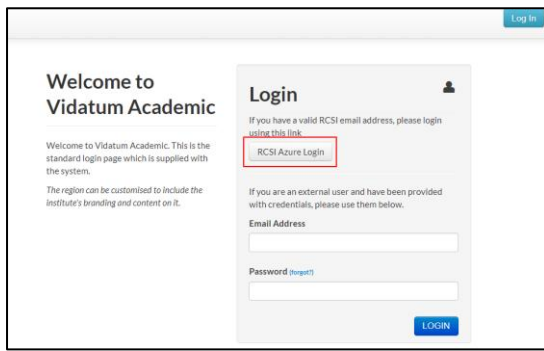
How to submit a Proposal Form

Link [here](#) to training video on how to submit a Proposal.

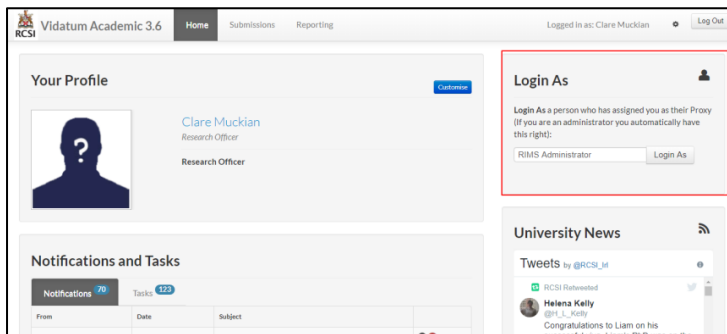
For competitive-funding, an **Intent to Submit** must be submitted before proceeding to Proposal stage (see details above). If funding is directly from Industry, a private donation or internal RCSI funding, contact the ORI directly at postaward@rcsi.ie. An Intent and Proposal stage are not required.

The proposal must include the budget justification, an abstract and methodology. These details are required in order for the ORI to provide institutional sign off for the Proposal. Upload the details at least **FIVE WORKING** days before the external deadline in order to allow time for comment and amendment if necessary.

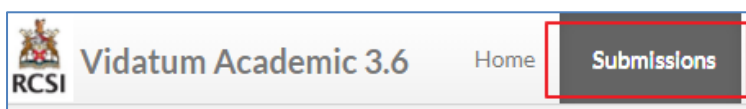
1. Log into RIMS Vidatum



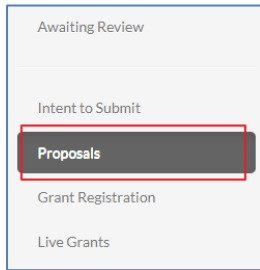
2. Login as proxy / delegate if applicable



3. Click on the Submissions tab



4. Select Proposals



Awaiting Review

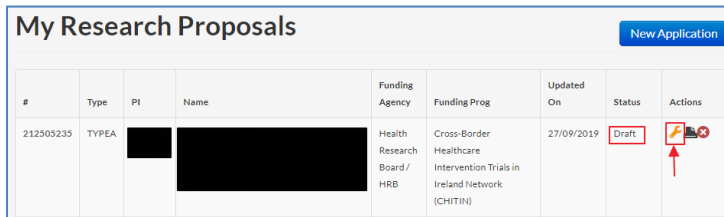
Intent to Submit


Proposals

Grant Registration

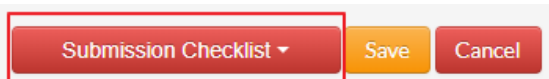
Live Grants

5. Click on the Edit Icon  to complete the form.



#	Type	PI	Name	Funding Agency	Funding Prog	Updated On	Status	Actions
212505235	TYPEA	[REDACTED]	[REDACTED]	Health Research Board / HRB	Cross-Border Healthcare Intervention Trials in Ireland Network (CHITIN)	27/09/2019	Draft	

6. Complete all mandatory fields and attach a copy of your proposal along with your FINAL budget. Refer to submission checklist for any incomplete fields.

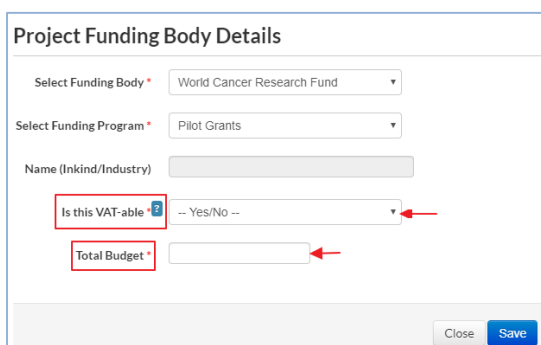


Submission Checklist ▾ Save Cancel

7. Include the total budget requested (including overheads) under the Funding Bodies and Programmes. Proposals over €500K are reviewed and approved by Finance, as well as ORI.



Funding Body	Funding Program	Budget	Actions
World Cancer Research Fund	Pilot Grants		





Project Funding Body Details

Select Funding Body * World Cancer Research Fund ▾

Select Funding Program * Pilot Grants ▾

Name (Inkind/Industry)

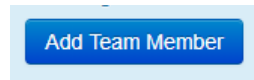
Is this VAT-able * -- Yes/No -- 

Total Budget * 

Close Save

8. Add team members under Proposal Team. A name is not required at this point (unless one of the team members is a co-PI receiving funding from the award), but the Role of the team member should be included.

If an RCSI co-PI is assigned some of the budget, select the PI from the drop-down list and assign their role as Co-investigator. This will facilitate the completion of the next section.



Proposal Team			
Full Name	Project Role	FTE	Actions

Add / Edit Project Personnel

Select Team Member

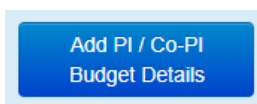
Role * -- Select Role --

Start Date

End Date

FTE (%)

9. Include the budget assigned to you and any co-PIs under the PI/Co-PI Budget Details. This will allow the distribution of funds to the correct PI upon registration of the award when successful.



PI / Co-PI Budget Details			
Name	Funder	Budget	

PI / Co-PI Budget Details

Name of PI / Co-PI *

Funder *

Total Budget *

- Complete all the questionnaire sections in order to notify the relevant departments of any actions to be taken (eg: if the proposal involves Clinical Research, the RCSI sponsorship office will be notified to ensure all requirements are in place)

Part 2 - Questionnaire

- Complete the budget using the appropriate budget template

Proposal Attachments

Choose File No file chosen Add

-- Please Select --

Upload and Description	Type of Attachment	Uploaded by	Actions

Proposal Attachments

To attach the budget and funding application, click on Choose File and Press Add. To delete an attachment, click on delete in the Actions column. To download a file, click on the arrow.

Please select an attachment type.

[Link to Budget Templates](#)

- Attach the FINAL budget and the final or Draft proposal containing the budget justification, abstract and methodology in the Proposal Attachments section.

Proposal Attachments

Choose File No file chosen Add

-- Please Select --

Upload and Description	Type of Attachment	Uploaded by	Actions

- Add comments to the Comments and Remarks section before submission

Comments and Remarks





Add

- The form can be saved before submission if not all details are available.

Ready for Submission Save Cancel

15. The Draft form can then be edited before submission

My Research Proposals New Application

#	Type	PI	Name	Funding Agency	Funding Prog	Updated On	Status	Actions
212505235	TYPEA	Cathal Cadogan	A randomised pilot study of a theory-based intervention to improve appropriate polypharmacy in older people in primary care (PolyPrime)	Health Research Board / HRB	Cross-Border Healthcare Intervention Trials in Ireland Network (CHITIN)	27/09/2019	Draft	   






16. Once complete the form is Ready for Submission




17. Complete the checklist and Submit


18. The form is now Pending ORI approval

My Research Proposals

#	Type	PI	Name	Funding Agency	Funding Prog	Updated On	Status	Actions
212505078	TYPEA			Private Donor	Not Applicable	26/09/2019	Pending	  

How to check approval status of Proposal

1. Click on the  icon to check the form status

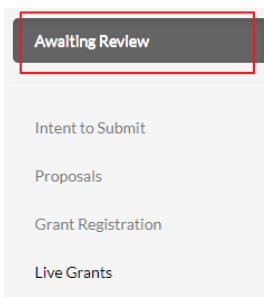
My Research Proposals								
#	Type	PI	Name	Funding Agency	Funding Prog	Updated On	Status	Actions
212505078	TYPEA	[REDACTED]	[REDACTED]	Private Donor	Not Applicable	26/09/2019	Pending	

Review and approval of the Proposal on RIMS is undertaken by the following ORI staff, depending on the funding source:

- International funding schemes, EU funding and EI support for EU funding: **Niamh O'Dowd**
- MSCA fellowships and ERC: **Niamh O'Dowd**
- National funding schemes: **Fionnuala Hickey**
- Irish Research Council and Wellcome Trust: **Stephanie O'Connor**
- Enterprise Ireland Commercialisation funding: **Aoife Gallagher**

If the proposal is over €500K, Finance must also approve the budget on RIMS. **Please do not email budgets directly to the ORI/Finance.**

2. If an amendment is requested by ORI of Finance, an email is sent to the researcher and the form will move to Awaiting Review. The notification will also appear under the Tasks tab on the Home page with a link to the form requiring amendment.



3. Once approved by ORI, the researcher will receive an email and the form is upgraded to Pending Funder Approval

4.10 Successful Research Funding – Requirement and Processes

STEP 1: GRANT REGISTRATIONS

The submission, review and processing of Grant Registrations are required prior to the setting up of a research account on the financial management system [Agresso](#). The registration of grants is subject to the researcher's compliance with RCSI pre-award requirements. These requirements include, but are not limited to, submission of proposal through RIMS, budget approval, and in the case of clinical research projects, sponsorship officer approval.

In the case where there is a transfer of funding to/from other institutions, a collaborative agreement is required (see section on Research Agreements).

Competitive funding awards (Type A)

Notifications of successful funding awards are emailed directly to the applicant by the funder (and on occasion, the ORI depending on the funding body).

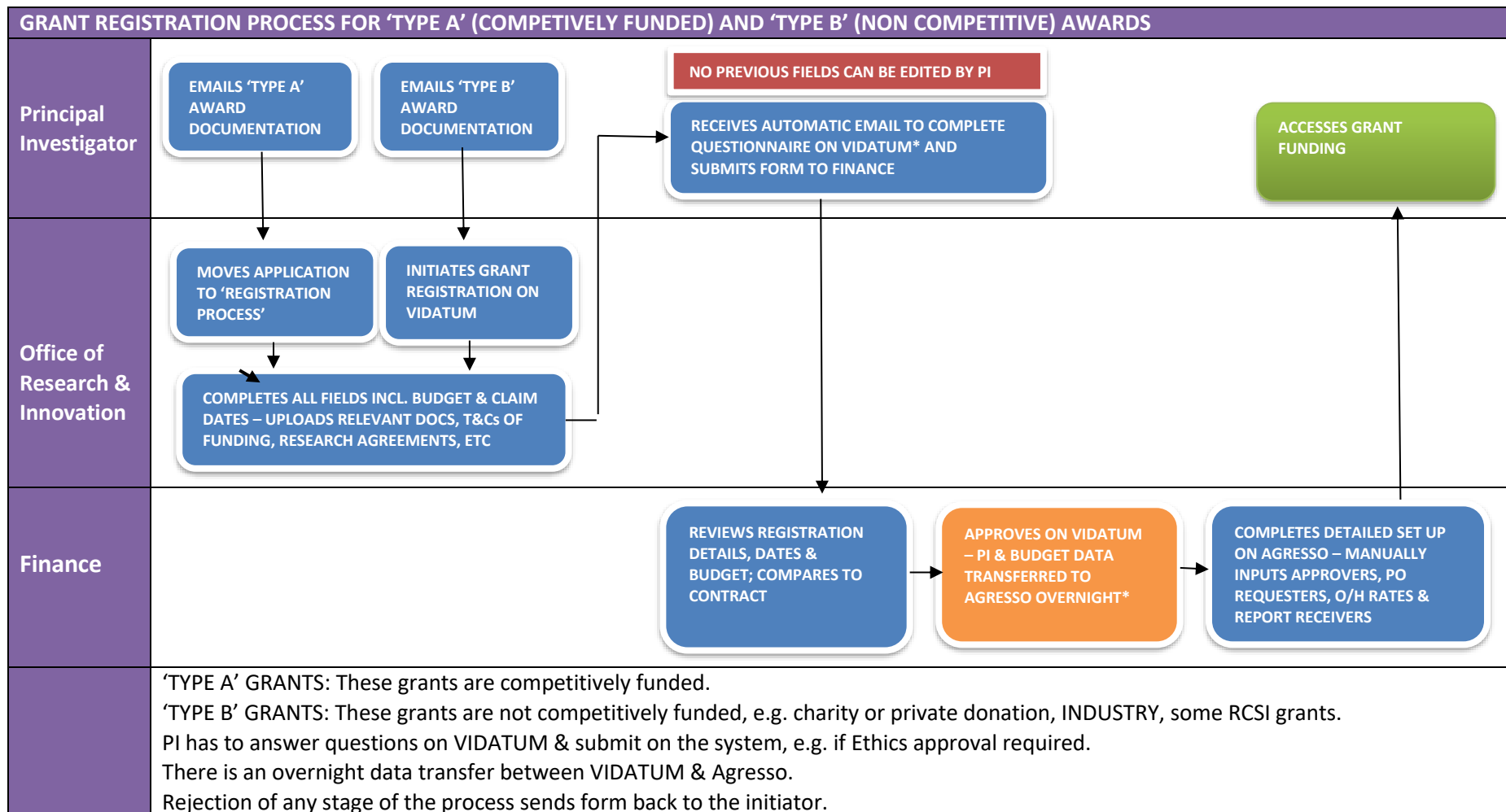
- Researchers are required to complete an Intent and Proposal form submission to enable grant registration. This should take place at time of application. The researcher must ensure that these online forms have been submitted and approved before registration of the award can be actioned (see 4.8 above).
- Contact the ORI postaward@rcsi.ie to arrange for the review and sign-off of the Letter of Award / Grant Agreement.
- ORI postaward@rcsi.ie complete the grant registration step on RIMS on behalf of the researcher once all the required documentation has been received ie: data (financial) and associated supporting documentation (such as fully executed letter of award, award terms and conditions, letter of variations, fully executed collaboration agreements, etc).
- If part of the awarded budget requires transfer to another institution(s), please notify postaward@rcsi.ie and researchcontracts@rcsi.ie so the necessary Collaboration Agreement can be drafted.
- Upon completion of the Grant Registration on RIMS, the form is submitted to the researcher for review and completion of a questionnaire. The researcher then submits the form to Finance for the account to be set-up on Agresso
- Follow the “How to” guide on Grant Registration, Live Grants and Grant Amendments below.

Non-Competitive funding awards (Type B)

Where funding has been awarded to a researcher via Industry, a private donation or an internal RCSI account, an Intent and Proposal are not required. ORI postaward@rcsi.ie register the funding directly.

- ORI postaward@rcsi.ie complete the grant registration step on behalf of the researcher once all the necessary documentation has been received ie: Research Donation Agreement, Internal Funding Agreement or Industry Agreement – see section 4.5-4.7

- Upon completion of the Grant Registration on RIMS, the form is submitted to the researcher for review and completion of a questionnaire. The researcher then submits the form to Finance for the account to be set-up on Agresso
- Follow the “How to” guide on Grant Registration, Live Grants and Grant Amendments below.



How to submit a Grant Registration

1. Ensure a RIMS Proposal has been submitted and approved by ORI to generate the grant registration form on RIMS (for competitive funding awards only).
2. Email all documentation confirming the award to ORI postaward@rcsi.ie for completion of the grant registration (with all authorised signatures included on documentation where required).
 - Letter of Award
 - Terms & Conditions
 - Financial breakdown
 - Collaborative Agreement
3. All letters of award and relevant contracts must be fully executed before registration.
4. Once ORI have completed the registration form, the researcher will receive an automated email to review the form, complete the questionnaire section, and submit to Finance.
5. Once approved, the researcher will receive an automated email from RIMS with the new account number.

How to Review and Approve a Grant Registration

1. Once ORI have registered the funding, the researcher receives an automated email alert.
2. Login to [RIMS Vidatum](#) using the hyperlink in the email.
3. Locate the relevant form
 - a. under Awaiting Review.

The screenshot shows the RIMS Vidatum interface. On the left, a sidebar menu has 'Awaiting Review' highlighted with a red arrow. The main content area is titled 'Review Submissions' and contains a table of pending submissions.

#	Entry Type	PI	Name	Funding Agency	Funding Prog	Last Updated	Status	Actions
212503959	GRANT	[REDACTED]	[REDACTED]	ALS Association	Investigator-Initiated Awards	12/09/2019	Pending	🔍 🗨️ ✓

- b. Or under the Tasks tab on the Home screen

The screenshot shows the 'Notifications and Tasks' section. The 'Tasks' tab is highlighted with a red box and a red arrow. Below it, a notification is displayed with a 'View' button highlighted by a red box and a red arrow.

PI	Submission Type	Title	Approval Step / Role	Notification
[REDACTED]	Projects	[REDACTED]	Principal Investigator.	Dear Marion Hogg, The following grant registration has been assigned to you for review: <ul style="list-style-type: none">• Record ID: 212503959• PI Name: [REDACTED]• Project Title: [REDACTED]• Funding Agency: ALS Association,• Funding Scheme: Investigator-Initiated Awards,

4. Review the form 🔍 to ensure all sections are completed correctly.

Reject the form back to ORI if amendments are required including a note in the comments box, or If correct, complete the Questionnaire section and submit the form to Finance

Approve/Reject Cancel

Grant Approval and Comments


Submission Details Title:
PI:
Status: Pending

Your Approval and Comments

ALSA Investigator Initiated Starter Grant
Marion Hogg
Update Status To:
<input type="radio"/> Return to ORI for amendment
<input type="radio"/> Submit declaration onto Finance

5. Finance will then review and set-up the research account

How to check Grant Registration Approval

1. Login to [RIMS Vidatum](#)
2. Locate the relevant form under Grant Registrations and select the review  icon to check whether the form is with ORI or Finance.
3. The forms can be filtered by status.

Refine by status:

Draft ▼

-- Show All --

Approved / Successful

Draft

Not Successful

Submitted / Pending

Upgraded to Live Grant

Filter

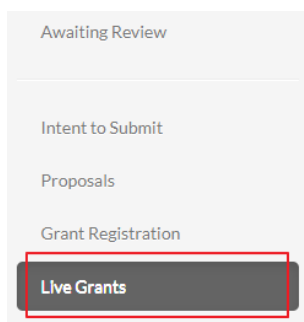
4. If the form is not under Grant Registrations, check under Awaiting Review as it may still be awaiting researcher review and approval.


STEP 2: LIVE AWARDS

Once fully approved, the grant registration becomes Live. The Live grants integrate with:

- The Research Profile Module, so that when a grant registration form is processed and becomes Live, funding award data migrates across under the Grant Holder research profile.
- The Research Recruitment Module, so the research grants/account codes can be linked to contract research staff or postgraduate students

How to Review Live Grants



1. Login to [RIMS Vidatum](#)
2. Locate the relevant form under Grant Registrations. If the form is not under Grant Registrations, check under Awaiting Review as it may be awaiting researcher approval.
3. Select the people  icon to check who the form is with.

STEP 3: GRANT AMENDMENTS

When a funder approves a grant amendment, the live award must be updated to reflect the change of:

- New End date
- Revised Budget
- Any Additional conditions of the award.

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.


NB: The Start Date or Project Title cannot be amended once a grant has gone Live and been uploaded to Agresso. To update these fields, the current registration must be closed by amending the end date, the budget must be set to zero and the grant re-registered under a different account number. Please email postaward@rcsi.ie for further instruction.

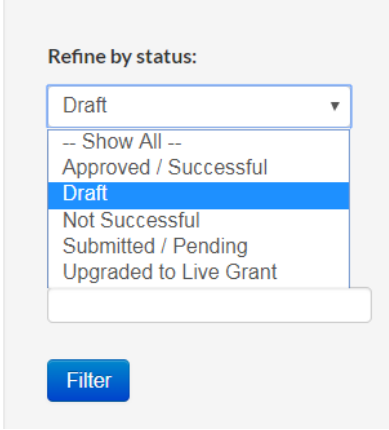
How to submit a Grant Amendment

1. Email the fully executed letter of variation (or email of approval) to ORI postaward@rcsi.ie and the ORI will action the amendment of the Live Award.
2. For amendment of SFI awards, PIs are required to email the SFI confirmation email of approval and a copy of the revised budget downloaded from the SFI SESAME system.
3. Upon completion of the amendment by ORI, the form will re-enter the approval process.
4. The researcher will receive an automated email to review the amendment, complete the questionnaire and submit to Finance.

5. Once approved by Finance, the researcher will receive an automated email from RIMS.

How to check Grant Amendment Approval Status

1. Login to [RIMS Vidatum](#)
2. Locate the relevant form under Grant Registrations and select the review  icon to check whether the form is with ORI or Finance.
5. The forms can be filtered by status.



Refine by status:

Draft ▼

-- Show All --

Approved / Successful

Draft

Not Successful

Submitted / Pending

Upgraded to Live Grant

Filter

6. If the form is not under Grant Registrations, check under Awaiting Review as it may be still awaiting researcher review and approval.

4.11 Funding Body Reporting

Research funding agencies impose specific technical and financial reporting requirements to ensure accountability, transparency, and the proper use of funds. These reporting requirements help funding agencies monitor the progress and financial integrity of funded projects, ensuring that research objectives are met and public funds are used appropriately.

These requirements are typically outlined in the grant agreement and vary by agency, but generally include the following elements:

Technical Reporting Requirements

Progress Reports:

- Frequency: Often required quarterly, semi-annually, or annually.
- Content: Updates on project objectives, methodology, results, and any deviations from the original plan. May include data, analysis, and publications.

Final Reports:

- Content: Comprehensive summary of the entire project, including objectives met, methodologies used, findings, publications, and implications.

Performance Metrics:

- Specific Metrics: Agencies may require reporting on specific performance metrics such as milestones achieved, number of publications, patents filed, or students trained.

Compliance with Regulations:

- Human and Animal Subjects: Reports on compliance with ethical guidelines and regulatory requirements if applicable.

Financial Reporting Requirements

Expenditure Reports:

- Frequency: Typically required quarterly, semi-annually, or annually.
- Content: Detailed accounting of how funds were spent, categorized by budget line items such as personnel, equipment, supplies, and travel.

Final Financial Reports:

- Content: Complete financial summary of all expenditures throughout the project, comparing actual costs to the budgeted amounts.

Budget Justifications:

- Details: Justifications for any significant deviations from the proposed budget.

Audit and Compliance:

- Internal Controls: Agencies may require documentation of internal financial controls to prevent misuse of funds.
- Audits: Agencies may conduct audits to verify financial reports and compliance with grant terms.

Cost Sharing and Matching Funds:

- Documentation: Reporting on any required cost-sharing or matching funds, demonstrating how these contributions were utilized.

Common Reporting Platforms and Formats

Electronic Submission: Most agencies use online portals for the submission of reports (e.g., SFI SESAME, HRB GEMS, NIH eRA Commons).

Standardized Formats: Agencies often provide templates or guidelines to ensure consistency and completeness in reporting.

Consequences of Non-Compliance

- Funding Withholdings: Non-compliance can lead to suspension or termination of funding.
- Future Funding Impact: Poor reporting can affect eligibility for future funding.

Best Practices for Compliance

- Timely Submissions: Adhering to reporting deadlines.
- Accurate and Detailed Reporting: Providing thorough and precise information.
- Regular Monitoring: Keeping track of progress and expenditures throughout the project to facilitate accurate reporting.

Post Award Checklist

- ✓ Ensure all new grant awards are registered on RIMS upon receipt
- ✓ Ensure any No Cost Extensions and/or Budget Reallocations are implemented on RIMS once approved
- ✓ PI Receives monthly reports from Finance which include spend against budget, transactions listing for the month and Open Purchase Order Listing.
- ✓ Check Monthly Reports to ensure transactions are eligible and are coded correctly. Contact researchgrants@rcsi.ie if items need to be recoded.
- ✓ In advance of placing a requisition or order ensure there is sufficient budget available.

- ✓ Contact researchgrants@rcsi.ie to add PO requestors or Invoice 'Approvers' to a research grant
- ✓ Contact researchgrants@rcsi.ie to add more Monthly Report recipients
- ✓ Ensure to attach necessary procurement documents to the requisition (e.g. 3 quotes, National / EU tender details, Supplier evaluation form, Conflict of Interest, Unique supplier form)
- ✓ Ensure sufficient budget is available before submitting Recruitment/ On-boarding forms and relevant salary scales are adhered to
- ✓ Ensure timesheets are completed by all research staff on EU funded grants and by all research staff who are not 100% on a single grant. Timesheets must be counter-signed by the PI.
- ✓ Ensure any publicity requirements are adhered to
- ✓ Ensure grant reporting deadlines (Progress and Financial) are met by inserting comments on Financial Claims and Reports where necessary.
- ✓ Complete an Invoice Request Form and email to accountsreceivable@rcsi.ie where invoices need to be raised
- ✓ If necessary, ensure any refunds to Funders are made in a timely manner.
- ✓ PIs are encouraged to contact researchgrants@rcsi.ie should any budget clarifications be required.

Please note that Finance are present in Beaumont on a regular basis each month or specific face-to-face meetings can be arranged on site. See "Finance" Section for further details on financial post award processes.

4.12 Transfer of Research Funding 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. Please contact postaward@rcsi.ie.

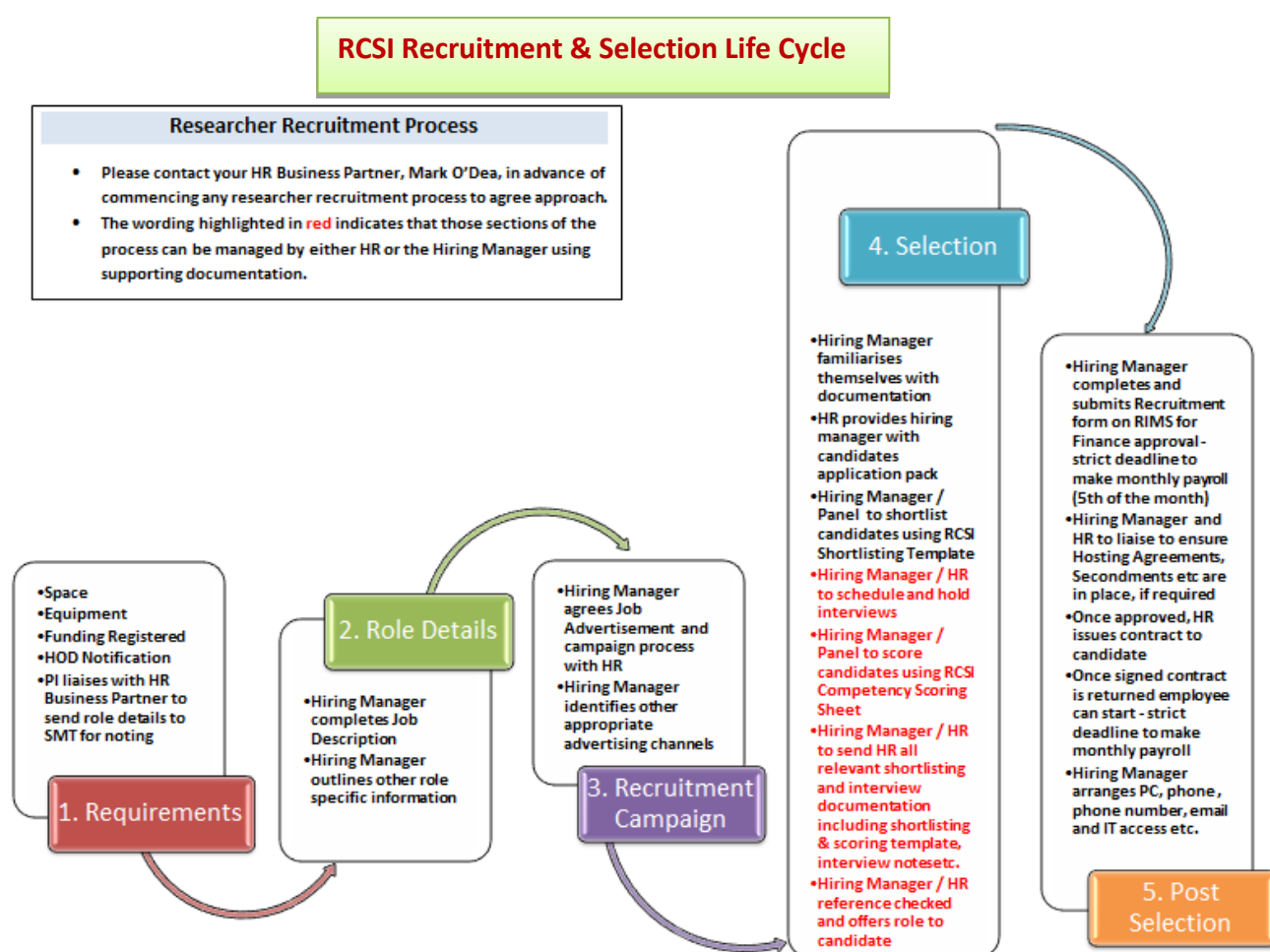
Further details can be found at:

<http://staff.rcsi.ie/research/grant-application-and-registration/transfer-of-awards>

5. RECRUITMENT AND SELECTION

5.1 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.



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.

5.2 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 endeavour, in conjunction with Estates, 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. 2107 or safety@rcsi.ie for further information. The Health and Safety Manager 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 Research Contracts Officer in the ORI (researchcontracts@rcsi.ie) at least 2 months in advance of the contract start date for staff and the SPGS for students.

5.3 Registration of Postgraduate 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 be 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 ORI registers the funding with RCSI (contact the postaward@rcsi.ie team for instructions)
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.
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.

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).

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.

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.

5.4 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: https://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates?preview_id=2091&preview_nonce=5702de267f&thumbnail_id=1796&preview=true

PI's are also encouraged to refer to the [RCSI researcher salary scales](#) available on the Staff Portal at the following link:

https://staff.rcsi.ie/wp-content/uploads/2018/11/RCSI-Researcher-Salary-Scales-Jan2019-Oct2020_23Nov18.pdf

5.5 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>). Additionally, the role will also be advertised on Euraxess.

Procedure for advertising research funded posts

To advertise a research funded post, please first liaise with Judy Walsh, Lead 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: https://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates?preview_id=2091&preview_nonce=5702de267f&thumbnail_id=1796&preview=true

“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-advertisements/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.

5.6 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.

5.7 Recruitment Process

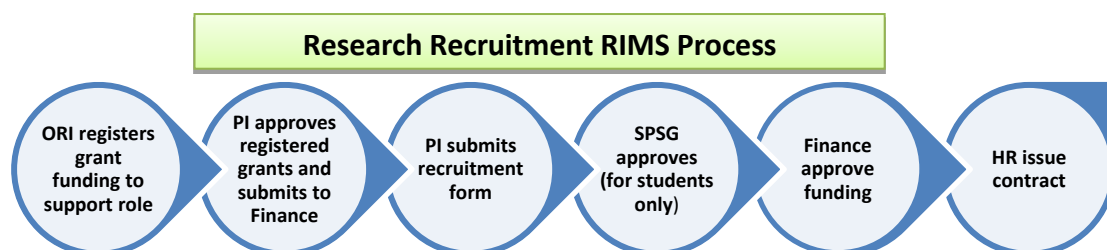
Upon selection of the incoming researcher, in order for the researcher to receive a contract and be set-up on payroll, the Grant holder / PI is required to submit a [Recruitment Form](#) via Research Information Institute Management System (RIMS).

The procedure on how to use the recruitment RIMS system is available at the following link on the Staff Portal Link:

https://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates?preview_id=2091&preview_nonce=5702de267f&thumbnail_id=1796&preview=true

A recruitment 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 either extending or submitting a new recruitment form.

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



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 Deputy Vice Chancellor for 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
- Confirmation the grant is registered
- 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 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.

Please note: Recruitment 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: <https://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).

5.8 Recruitment - Approval Steps

■ Step 1 - School of Postgraduate Studies Approval

This step is only applicable if the researcher is being recruited for a postgraduate position. Otherwise, the form goes straight to Finance for approval (see Step 2).

Upon their submission and within 2-3 working days, the recruitment forms are reviewed by the School of Postgraduate Studies. The School of Postgraduate Studies (SPGS) reviews Postgraduate Student forms and ensures that the relevant information is included. **NB:** As part of the student researcher enrolment process, Postgraduate students must 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.

Once the recruitment form has been approved by SPGS, it passes to Finance for review and approval of the financial details.

Point of contact for general queries and support on the research student recruitment process
School of Postgraduate Studies: Kathleen Molloy (postgraduateschool@rcsi.ie, ext. 8594)

■ Step 2 - Finance Department Approval

Upon the approval by the SPSG (if applicable), the Finance Department checks the costs and dates provided in the 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 form is rejected. If the balance of the account is sufficient to cover the total employment costs, the Finance Department approves the form, which goes to the next step of approval by Human Resources.

Points of contact for financial queries and support on research recruitment
Finance: Rosemarie Cullen (researchgrants@rcsi.ie, ext 8613)

■ 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 form is included in the new Researchers starter pack.

Note: All new staff are required to return a signed contract of employment before being 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

HR: Rebecca O'Brien (<mailto:hrqueries@rcsi.ie>; ext. 2560) and Mark O'Dea, HR Partner (markodea@rcsi.ie; ext. 2754)

5.9 Contract Termination/ Extensions / Amendments

The HR Department alerts Principal Investigators/Supervisors of upcoming contract terminations 12 weeks prior to contract termination requesting information as to whether the contract will be renewed or not. The PI should notify the HR Department of the contract status (to renew the contract or notify HR of the contract termination) a minimum of 5 weeks prior to the contract end date.

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 form as outlined in the section **Recruitment form: Contract Extensions / New Contract**. 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.

5.10 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) they must notify the Head of Department in writing (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 should contact the HR Partner (markodea@rcsi.ie; ext. 2754) in advance of any decisions being taken to terminate the employment contract.

5.11 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.

5.12 Recruitment Forms

How to submit a recruitment form for a **NEW CONTRACT**

The following is a link to RIMS System:

https://rcsi.academic.ie/live/w_rms_security.login?p_url=!w_va_home.show

A guideline of how to submit a RIMS research form is available in video format in the system or alternatively there is a PDF guide available on the staff portal at the following link:

https://staff.rcsi.ie/administration-and-support/human-resources/recruitment/recruitment-templates?preview_id=2091&preview_nonce=5702de267f&thumbnail_id=1796&preview=true

Please Note: If the form is incomplete or incorrect, it will be sent back to the initiator at any point of the approval process in order for the appropriate changes to be made. The PI will receive an email specifying the changes and a link to the relevant recruitment form on RIMS.

The PI is required to edit and resubmit the recruitment form on RIMS for approval.

6. EMPLOYMENT AT RCSI

6.1 Starting Employment with RCSI

Practical information for new starters is available on the Human Resources section of the Staff Portal <https://staff.rcsi.ie/administration-and-support/human-resources/employee-information/new-starter>

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 relevant email distribution lists including the Research Staff mailing list. You may wish to contact the RCSI Postdoctoral Representatives Dr Chiara DeSanti at chiaradesanti@rcsi.com or Dr Thomas Hill at thomashill@rcsi.com.
- Set-up and create a profile on RIMS (PI/Postdoctoral Researcher/Fellow).
- Set-up with an ORCID ID (<http://www.orcid.org>) in order to automatically populate publications on RIMS
- If the PI requires funding to be transferred from their previous institution, please contact researchadministration@rcsi.ie

6.2 Employment Benefits for Research Staff

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>).

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 and provides the provision of 'top-up' maternity pay. 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.

6.3 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 teamwork
- ✓ 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 annual process will usually commence in January with Objective setting. For those who commence after this point they should complete the objective setting process within 4 weeks of commencing with RCSI. 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 how to access the PDP through CORE HR 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>

6.4 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 LinkedIn Learning. LinkedIn Learning provides unlimited access to their library of over 5,000 expert led courses and tutorials on topics including leadership and management, personal effectiveness, and digital skills. This resource gives you a great opportunity to build your skills at a time and pace that suits you. For further details or to enrol on an upcoming session please refer to the [Upcoming Courses](#) page of the Staff Portal. If you have any queries please contact staffL&D@rcsi.ie.

6.5 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 (through 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 stationery 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 can 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.

7. MANAGING INCOMING AND OUTGOING MOBILITY

7.1 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 (at least 8 weeks in advance of the proposed commencement date), possibly as early as the project planning stage. This is to ensure that:

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.

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).

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 to protect RCSI, the affiliated hospitals, the RCSI clinical research staff and PIs.

It is important to note that such an 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 assist you in the preparation and processing of the documentation that is required for the recruitment and secondment of the post holder.

Secondment Procedure

- **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 costs please liaise with Barry McGowan at bmcgowan@rcsi.com 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 Proposal form on RIMS when submitting your application for institutional approval.

- **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 (at least 8 weeks in advance of commencement date) 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:

- the secondment cannot commence until the Host Organisation signs and returns the secondment agreement to RCSI.
- 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 8 weeks in advance of the start date of the secondment period.

The first point of contact for secondment advice and due process is the Research Contracts Officer in the ORI (<mailto:researchcontracts@rcsi.ie>). The Research Contracts Officer will liaise with 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 Research 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 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 8 weeks 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 RCSI's 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.

Host Institution Requirements

The host institution may have specific requirements before the Secondee can commence with them including, Garda Vetting and Occupational Health Assessments. Further information regarding Garda Vetting is available from HR (hrqueries@rcsi.ie)

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.

7.2 Incoming Visiting Scientists

An incoming Visiting Scientist is a researcher (staff or student) who attends RCSI in an unpaid visiting capacity for the purpose of training, access to equipment, 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 by completing the online Visiting Scientist Agreement Form. Throughout this process PI should liaise with the student/staff and his/her home Institutions to put in place a Visiting Scientist Agreement.

This requirement ensures that ownership of intellectual property rights is managed correctly, 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 submitted Visiting Scientists forms will be shared with the ORI, IT and Estates Department.

Procedure

Upon notification of the incoming visitor, the HoD / PI is required to complete a Visiting Scientist Agreement. To review the policy, procedure and Visiting Scientist Agreement Form please click [here](#). If necessary, the agreement can be tailored to specific situations with the input of the Office of Research and Innovation.

The **Visiting Scientist Agreement** is intended to clarify the ownership 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, working on an RCSI derived project in which case RCSI should own the intellectual property.

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. In the case ownership of IP will be managed under the existing agreement.

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.

Submitted Visiting Scientist Agreement will notify the:

- ✓ IT Department if any IT / Security Card access is required.
- ✓ Office of Research and Innovation of the Visiting Scientist's IP obligations.
- ✓ Estate Department for insurance purposes.

In instances where the Visiting Scientist's attendance period is being extended (ie: past the date originally notified), the HoD / PI are required to submit a new Visiting Scientist Agreement with the amended information. Failure to do so may result in loss of access rights.

Useful Orientation Guides for Visiting Scientists:

1. [Orientation Guide for visiting Postgraduate Researchers from Overseas](#)
2. [Orientation Guide for Visiting Staff from Overseas](#)

7.3 Research Mobility Opportunities

There are significant staff and student mobility funding opportunities available through programmes such as [Erasmus](#) and [Fulbright](#) (see below), [COST Actions](#) (create or [join](#) one), Horizon Europe Marie Skłodowska-Curie Actions (MSCA) [Postdoctoral Fellowships](#), MSCA [Staff Exchanges](#), [EMBO](#) Scientific Exchange Grants.

For postgraduate researchers there is a substantial list of postgraduate opportunities on [Moodle](#) and the SPGS Secondment awards.

For Erasmus+ information contact: Dr Marc Sturrock, Assoc. Prof Physiology and Medical Physics/ [Erasmus Officer](#)

- [Erasmus+ Delta Mobility Application Form Final](#)
-

For Fulbright information contact: [Professor Helen French](#), Senior Lecturer in Physiotherapy/Fulbright Ambassador

- [Fulbright Programme](#)
- [Fulbright Inter-Country Programme](#)

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

7.4 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 Institution's 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. Please check with the School of Postgraduate Studies (SPGS) for off-site insurance arrangements in relation to PhD students.

8. FINANCIAL SUPPORT AND PROCEDURES

8.1 Financial Support for Researchers

The RCSI Finance Department provides an effective grant reporting service.

The role of the Finance Department in supporting research activity includes:

- Contributing to the formulation, implementation and review of research strategy and ensuring alignment of finance to strategic objectives.
- Assessing the financial impact of strategy and operating decisions.
- Regularly reviewing grant income and expenditure.
- Liaising with key national and international research partners on relevant financial and budgetary issues.
- Conducting regular business reviews with the Office of Research and Innovation, Research Departments and Principal Investigators.
- Ensuring the timely production of high-quality financial information to relevant stakeholders.
- Ensuring that institutional reporting requirements of Funders are met to their satisfaction.
- Managing audits conducted by funding bodies.

8.2 Research Accounts

In order to set up a research account the grant holder must ensure the funding is registered on the RIMS. 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](#)). The Principal Investigator / Budget Owner receives monthly reports showing the coding details of the cost categories which are in line with the grant award documentation.

- **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* and on the Workvivo homepage under Links: (Finance Online System).

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/Requisition** 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. PIs 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 [Timesheets](#).
- For EU funded research grants (e.g. FP7, H2020, and many Enterprise Ireland awards) timesheets must be maintained even when staff are working 100% of their time on the project. Timesheets should reflect *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.

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, and some funders do not allow travel costs where the researcher is not an official member of the 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 by the PI directly, 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 ([Travel and Expenses Guidelines](#)). 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.

8.3 Purchase of Equipment – Public Procurement

Guidance on the College policy on Public Procurement can be found on the Finance Portal at the attached link - Policy. 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 Principal Investigators, Heads of Department and others with purchasing responsibility in RCSI. 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 €221,000 (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 (See Recommended Suppliers)

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.

8.4 Payments

- **Accounts Payable - How to pay an Invoice or make a Payment request**

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 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.

In all instances goods and services should be processed through the ordering and invoicing system. In exceptional circumstances, if you have a payment request (eg: from a Research Collaborator), please complete a [Payment Request Form](#) and forward the form to our Accounts Payable Team (accountspayable@rcsi.ie).

- **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. For those students funded by a research grant, they should contact the Student Fees Office (studentfees@rcsi.ie) and provide grant code 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 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. 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.

8.5 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 PIs 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 Students receiving a stipend payment will receive a paper payslip posted to their home address. Research staff receiving a salary payment 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 <https://staff.rcsi.ie/administration-and-support/human-resources/core-hr-system-quick-guides>.

For any salary or tax related issues, please contact the Payroll Department (payroll@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>.

8.6 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 obtain 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 2019/20, October 2019 is 202001, November is 202002 up to September 2020 which is 202012. As we change academic year, the year rolls forward thus October 2020 will be 202101 etc.

Common financial errors associated with final reports:

1. Costs claimed that are not substantiated or are not linked to the project
2. Sufficient procurement documentation on file
3. Depreciation correctly applied
4. Ineligible costs included in claim
5. Personnel costs – charging of productive hours worked on the project

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

All costs claimed, *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.

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

8.7 Claiming Funding in Industry Funding Projects

• How to make a claim for funding in Industry Funded Projects

The payment schedule for funds associated with industry projects are generally set out in the associated agreement. It is the responsibility of each grant holder/nominee to monitor and comply with their financial and technical deadlines. Prior to the payments from the industry party falling due, the grant holder should email a completed invoice request form to accountsreceivable@rcsi.ie. The finance department will raise and return the relevant invoice for the grant holder to submit to the funder.

9. RESEARCH AGREEMENTS

9.1 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 which provides clarity on the roles of the partners in the project and defines the terms and conditions that governs their relationship.

In the case where there is a transfer of funding to/from other institutions, a collaborative agreement is required.

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. For further information on collaborative research agreements, contact Research Contracts Officer, Ms Sarah Pryor (researchcontracts@rcsi.ie).

1. 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 ORI is responsible for drafting and negotiating RCSI-led collaborative research agreements tailored to suit the nature of the collaboration and consider the sponsor requirements.

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 ORI as soon as possible and at least one month prior to the commencement of the collaborative project.

2. Research Collaborative Projects 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 performed in RCSI. The ORI will arrange for such agreements to be reviewed, approved and signed.

Please note:

- Collaborative research agreements are legally binding. Researchers should refrain from signing agreements with collaborating partners, where named as the PI or as a Collaborator, without RCSI's prior knowledge and without obtaining and authorised institutional signature.
- **Authorised signatories for collaborative research agreements** are Associate Director of Research, Dr. Paola della Porta, and Deputy Vice Chancellor for Research and Innovation, Professor Fergal O'Brien.
- The drafting and negotiation of collaborative agreements can be a very time-consuming exercise. Therefore, researchers are strongly encouraged to liaise with the ORI (researchcontracts@rcsi.ie) as soon as possible and at least one month prior to the commencement of the collaborative project.
- 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.
- Academic agreements do not fall under the ORI remit. Please contact Dónall King, donallking@rcsi.ie for further information in relation to these agreements.

9.2 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 should include:

1. A Project Plan setting out details of the research programme and the roles of each party in relation to the research programme.
2. A Project Budget setting out the contribution the industry party is making to the costs of the research programme.
3. Mechanisms for the identification and protection of IP developed during the research programme (often called “Foreground IP”).
4. Terms and conditions related to the protection and management of IP developed during the research programme including, where relevant, payment of associated costs.
5. Terms and conditions related to the licensing and/or assignment of IP arising from the performance of the research programme.
6. Terms and conditions related to the licensing of pre-existing IP introduced into the collaboration and owned or licensed by the RCSI and/or the industry party (usually called “Background IP”).
7. Terms and conditions related to the publication of research programme results.
8. Details of the management and oversight of the research programme.

For further information on consultancy, collaborative, and contract research agreements with Industry please contact Dr. Seamus Browne at seamusbrowne@rcsi.ie.

Please note:

- Researchers should refrain from signing agreements with commercial partners, where named as the PI or as a Collaborator, without RCSI’s prior knowledge and without obtaining and authorised institutional signature.
- **Authorised signatories for industry research agreements with Industry are the Head of Innovation, Dr Aoife Gallagher and Deputy Vice Chancellor for Research and Innovation, Professor Fergal O’Brien.**
- The drafting and negotiation of collaborative agreements with Industry can be a very time-consuming exercise. Therefore, researchers are strongly encouraged to liaise with Seamus Browne (seamusbrowne@rcsi.ie) as soon as possible, and at least one month prior to the commencement of the collaborative project.
- 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.

10. INTELLECTUAL PROPERTY AND RESEARCH COMMERCIALISATION

10.1 Intellectual Property - Definition

Intellectual Property (IP) refers to creations of the mind, such as inventions; literary and artistic works; designs; and symbols, names and images used in commerce. IP is protected in law by, for example, [patents](#), [copyright](#) and [trademarks](#), which enable people to earn recognition or financial benefit from what they invent or create.

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 be 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.

10.2 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 2019
<https://www.knowledgetransferireland.com/ManagingIP/National-IP-Protocol/>
- 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 2019 (or subsequent versions).

10.3 Capture, Protection and Commercialisation of Intellectual Property

ORI staff 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 researchers, 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 University's research staff in protecting innovations and commercialising intellectual property assets.
2. Manage the University'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:

- 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 Agreements
- Commercialisation of research
 - Spin-out company creation, advice, and mentoring
 - Licensing to an existing company or a new spin-out
 - 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 - Aoife.Gallagher@rcsi.ie
- Seamus Browne - Head of Strategic Initiatives and Industry Partnerships (for Intellectual Property matters associated with Industry engagement) –SeamusBrowne@rcsi.ie
- Derek John – Technology Transfer Case Manager –derekjohn@rcsi.ie



Authorised signatories are as follows:

Agreements for managing or commercialising intellectual property are legally binding and therefore must be signed by the authorised signatory of the relevant parties.

NDA, MTA: The Deputy Vice Chancellor for Research and Innovation, Professor Fergal O’Brien, the Head of Innovation Dr Aoife Gallagher, and the Associate Director of Research, Dr Paola della Porta.

Industry Collaborative agreements and IP commercialization agreements: The Deputy Vice Chancellor for Research and Innovation, Professor Fergal O’Brien and The Head of Innovation, Dr Aoife Gallagher

10.4 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, commercialisation 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.

10.5 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 by an authorised signatory.

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 by an authorised signatory.

10.6 Benefits of Commercialisation and Industry Engagement

RCSI's focus on clinical and patient centred research may lead to impactful discoveries which address key Irish and international health challenges. We aim to improve human health through innovative translational medical research and to help achieved this we develop meaningful engagement through research commercialisation and collaboration with industry. Increasingly both National and International research funding agencies have prioritised the funding of research that can demonstrate high potential for achieving economic and societal impact. A strong culture of research commercialisation and industry engagement is critical for achieving such impact. There are many benefits of engaging in research commercialization activity and industry engagement some of which are outlined below:

- Researchers get to see their research applied to an Industrial problem.
- It can be career enhancing and help with career development.
- It 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 2019 (or updated version).
- The RCSI Innovation awards encourage the application of RCSI research in the development of new products and services.
- The University is committed to the provision of non-financial rewards including academic recognition, improvements in the department's facilities and support for research.

10.7 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 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](#)

10.8 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. The National IP Protocol 2019 is a national framework that sets out how Intellectual Property arising from Industry collaborative, contract and consultancy engagements should be managed. In summary, ownership of intellectual property arising from industry engagement is managed depending on the type of engagement and the associated source of funding as outlined below:

- **Research programmes fully funded by state agencies (e.g. SFI, HRB):** RCSI owns any IP developed in the course of the project and retains rights for teaching and research after commercialisation. RCSI is free to negotiate exclusive or non-exclusive licenses with industry in defined fields and territories once the IP is created.
- **Research programme co-funded by industry:** Subject to the terms of the funding mechanism, RCSI owns any IP developed in the course of the Project and the industry partner has option to license this IP on fair and reasonable terms. Access to background IP necessary to commercialise the Foreground IP is through a license agreement.
- **Research programme fully-funded by industry:** In accordance with the National IP Protocol, when the full economic cost of research by RCSI is wholly funded by industry, the industry party shall be entitled to either of:
 - a non-exclusive royalty free (NERF) licence;
 - an exclusive licence; or
 - an assignment

of any IP arising from the research programme.

Please note it is particularly important to consider what IP is in existence prior to the commencement of the project with an Industry Partner (“Background IP”) will be required to complete the project. It is important that such Background IP is identified prior to introducing it to the project and that any associated restrictions of use are clearly identified and considered prior to its use in the project.

10.9 RCSI Spin-Out Companies

RCSIs Intellectual Property Policy 2019 covers RCSI Spin-out 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.

11. SPONSORSHIP OF CLINICAL RESEARCH

11.1 Role of the RCSI Sponsorship Office

The role of the Sponsorship Office is to ensure that clinical research sponsored by RCSI is conducted in a safe, compliant, and sustainable manner, and that it is delivered with the highest quality standard and risks are adequately managed.

Under EU legislation, clinical trials of investigational medicinal products or clinical investigations of medical devices require a legal Sponsor to take responsibility for arranging the initiation, management and financing of the trial. Any legal entity (including a University) that is established in the EEA can act as Sponsor for such trials. The responsibilities of a trial Sponsor are defined in legislation and require extensive management oversight and governance.

11.2 When is Sponsorship Required?

Sponsorship is required if the proposed research activity involves:

- An interventional study
- A HPRA regulated study (clinical trial or device investigation)
- A manufacturer/funder who requires sponsorship as part of the funding conditions
-

Sponsorship may not be required the proposed research activity involves:

- An entirely observational study
- A retrospective chart review / hospital led Quality Improvement Project or Clinical Audit

11.3 Sponsorship Office Advice and Assistance

- Regulatory aspects of protocol preparation
- Compliance of patient information leaflets / informed consents with the Health Research Regulations (GDPR)
- Registration of the trial on the EudraCT register (EU clinical trials registration system)
- Applications for Health Products Regulatory Authority (HPRA) clinical trial approval
- Applications for Ethics Committee approval
- Study monitoring for GCP compliance
- Auditing oversight including provision of Standard Operating Procedures (SOPs)
- Advice on Investigational Medicinal Product (IMP) manufacture
- Pharmacovigilance (drug safety) services

11.4 Application for Sponsorship

RCSI must actively consent in writing if it is to act as sponsor. If you would like the University to sponsor your study, please contact us as early as possible and at a minimum at the time of your funding application for the study.

Who to contact: sponsorship@rcsi.ie

11.5 Insurance

For all interventional studies including HPRA regulated clinical trials, the Sponsor is responsible for ensuring that appropriate insurances or indemnities are in place to provide protection to patients in the event of injury whether related to protocol procedures, a medicinal product (e.g. adverse events), a medical device (e.g. device related events) or medical malpractice.

11.6 Costings

Studies sponsored by RCSI will incur a cost. This costing is based on the size, complexity and risk of the trial.

12. DISSEMINATION OF RESEARCH

Openness and Dissemination of Results

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

Internal communications - Research News and Events

Research News stories such as large funding awards or high impact publications are posted on the RCSI website www.rcsi.com/dublin/news-and-events/news and are also shared on social media on [Workvivo](#) (internal), Twitter, Facebook and LinkedIn. Other stories and posts of interest to our research community are shared from the https://twitter.com/RCSI_Research.

RCSI Collaborate Bulletin

Upcoming research events are collated into the fortnightly newsletter “RCSI Collaborate Bulletin”. This includes content on:

- Learning and development
- Research Events
- Research Funding opportunities
- Abstract & Poster Submissions
- Useful resources for researchers

If you would like to submit content to the newsletter, please email collaborate@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.

Publications 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 at innovation@rcsi.ie.

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 at innovation@rcsi.ie.

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**

All RCSI authors **MUST** include the attribution **Royal College of Surgeons in Ireland (RCSI)** or else RCSI University of Medicine and Health Sciences 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 (RCSI)” or else “RCSI University of Medicine and Health Sciences” as your institutional affiliation. (Note: guidance on RCSI’s name for the purposes of branding is available on staff.rcsi.ie/reputation and is distinct from the use in publication attribution).
- Do not abbreviate Department Name or Research Group.
- Where you want to include more than one institutional address, do not put both in the same line. Use the following format:
 - a. Department of Surgery, Royal College of Surgeons in Ireland (RCSI), Dublin, Ireland
 - OR

Department of Surgery, RCSI University of Medicine and Health Sciences, Dublin, Ireland
b. Department of Surgery, Beaumont Hospital, Dublin, Ireland

- **Author personal names recommendations**

- Use a consistent author name throughout your career to ensure your papers are both discoverable and correctly attributed.
- 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.

- **ORCID ID**

- Use an ORCID ID to differentiate yourself and your publications from other authors with the same name or initials.
- Submit the ORCID ID to publishers so that it will appear on your paper
- Link your ORCID ID profile to Scopus, so that your papers will be correctly affiliated to your Scopus profile
- Registration is free at orcid.org
- More information at libguides.rcsi.ie/researchsupport/ORCID

- **International / industry multi-author collaborations**

If you participate as a consortium member on an international or industry multi-author paper, ensure (if possible) that you are a named author on the paper. If the consortium is named but not the participants, then the paper will be indexed in Scopus with the consortium name only (together with the lead authors). In this case, the paper won't attach to your profile and neither you nor RCSI will receive citation credit.

- **Data availability**

Include a statement to indicate the research data associated with the publication, where to access it and any restrictions.

- **Funder**

Acknowledge your funders in full, including the grant reference codes where applicable.

12.4 Publishing Your Research

Each researcher has a unique, individual and discipline specific pathway and it is recognised that there is no single strategy for publication decisions. These guidelines aim to assist the research community in making informed decisions about where to publish. A number of factors will influence publication decisions, including funder mandates, career stage, and open access policies. The scholarly communications environment is a constantly evolving and changing landscape. We urge the RCSI research community to stay informed.

General Advice for Researchers

Key starting points for deciding where to publish are of course speaking to colleagues and reviewing where other work in your specialty is appearing. There are also tools such as JANE (jane.biosemantics.org) or JournalGuide (journalguide.com) which can be used to match the text of titles or abstracts to possible relevant journals. The coverage of key bibliographic databases (eg. Medline, Cinahl) can also guide you to potential journals (rcsi.ie/library).

It is then necessary to check the scope of the journal, the publisher's terms and conditions, and to consult with colleagues regarding their experience of a proposed title. If you're not familiar with a

particular journal and want to check that it is genuine and trustworthy, sites such as Think Check Submit (thinkchecksubmit.org) can help.

Top Journal Selection

Researchers publishing with RCSI attribution are encouraged to seek journals in the top quartile (25%) in their field. This information can be found on the following websites:

- Journal Citation Reports: from Clarivate are available from RCSI library's database listing at rcsi.ie/library. This is also the source of Journal Impact Factor, probably the most widely used journal metric.
- Scimago Journal & Country (SJR) Rank (scimagojr.com/journalrank.php) weights citations by the prestige of a journal.
- Scopus sources* (scopus.com/sources). Journal rankings are based on CiteScore, an alternative to Journal Impact Factor based on three years of citations. Also provides SJR (weights by the prestige of a journal) and SNIP (weights according to the subject field).

(*note: researchers should ensure that the relevant journals are indexed by Scopus if they wish for citations to count towards Times Higher Education (THE) subject and world university rankings).

It should be noted that journal rankings are no guarantee of high citations for your article, and the number of citations for individual articles in a journal do vary a lot. Other factors such as publicity and open access availability can also influence whether your article gets highly cited. For more information and tips on scholarly publication please refer to the review article by Tennant et al., Publications 2019 ([doi:10.3390/publications7020034](https://doi.org/10.3390/publications7020034)).

Guidelines on Authorship

Most reputable biomedical journals follow the authorship guidelines adopted by the International Committee of Medical Journal Editors (ICMJE) and/or specifically list their own on their journal website. For those that do not, it is advisable to consider the ICMJE guidelines when deciding on authorship of a paper. These guidelines recommend that authorship be based on meeting all four of the following criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or revising it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved

These criteria strongly mitigate against the inclusion of guest or gift authors and the exclusion of so-called ghost authors. Best practice recommends that authorship and authorship order should be decided and agreed upon by all authors at an early stage of writing a manuscript. Should additional authors need to be included at a later date e.g. during the revision of a manuscript, this should be communicated to and agreed upon by all authors. Although not specifically addressed by the ICMJE guidelines the 'contributed equally' designation should honestly and accurately reflect scientific contributions and should not be used only for career advancement.

Individuals who contributed to the work, but whose contributions were not of sufficient magnitude to be listed as authors should be properly acknowledged, usually in an acknowledgements section. In particular, the help of technical services staff (e.g. facility staff) should be acknowledged, if relevant. Authors should be careful to ensure fair and proper acknowledgement of contributions from individuals

who have not been listed as an author and make sure that acknowledgements fully reflect the level of the input of the contributor.

Additional useful advice available in:

Resnik DB, Tyler AM, Black JR, Kissling G. *Authorship policies of scientific journals*. *J Med Ethics*. 2016 Mar;42(3):199-202. doi: 10.1136/medethics-2015-103171. Epub 2015 Dec 29. PMID: 26714812; PMCID: PMC4769679.

Tarkang EE, Kweku M, Zotor FB. *Publication Practices and Responsible Authorship: A Review Article*. *J Public Health Afr*. 2017 Jun 27;8(1):723. doi: 10.4081/jphia.2017.723. PMID: 28748064; PMCID: PMC5510206.

12.5 Open Access Publishing

Open Access (OA) is the free online availability of research articles, normally supported with an open licence to allow some level of use and reuse with attribution. Making published research open access is a mandatory requirement of most research funders (notably, the Health Research Board (HRB), Science Foundation Ireland (SFI), Wellcome Trust and the Higher Education Authority (HEA)). The policy of each funder will vary so it is important to understand the exact requirements, especially as there continue to be developments in policies and the publishing landscape. For instance, a group of funders including SFI have signalled with Plan S (www.coalition-s.org) more stringent requirements from 2021 to ensure immediate open access without restriction.

Open access is one part of a broader movement, normally referred to as Open Science or Open Scholarship, looking for ways to improve the way research is conducted and communicated. Many organisations' policies already reference this broader context. European research funding including H2020 requires both publications and research data to be made open access. RCSI is a signatory to the National Framework for the Transition to an Open Research Environment (norf-ireland.net) giving the principles for a national approach to these areas from which an Action Plan will be created in 2020.

RCSI also has its own Open Access Policy (libguides.rcsi.ie/researchsupport/openaccesspublishing) which sets out the responsibilities of staff. RCSI Library provides information and support to help with understanding the options and compliance with the various requirements.

Making your research open access increases its visibility and citations. There are two main 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.**

This is cost free to you and your research funder but the publisher normally 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. Before signing a Copyright Transfer Agreement with a publisher you should ensure the rights and permissions are acceptable to you and challenge anything that stops you complying with the RCSI policy or funder requirements.

The RCSI Open Access Policy states that all peer-reviewed journal articles and published conference papers must be deposited in the RCSI repository. This must include deposit of the author's final accepted, peer-reviewed manuscript (i.e. post-print) within 6 months of publication, subject to publishers' permissions. Some funders may have stricter requirements for the length or acceptability of an embargo period before an article becomes Open Access. For further information contact library@rcsi.ie

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, often by charging for services before publication, rather than for access 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 often funders are willing to meet these costs. Plan S funders have signalled an intention to ultimately not support publishing in journals which still charge a subscription fee as well as an APC, so compliance requirements do need to be checked.

RCSI does not centrally fund Gold Open Access publishing. Researchers may choose to fund Gold access as part of their grant funding and include this in funding bids.

To ensure you are choosing a reputable Open Access journal check the Directory of Open Access Journals at doaj.org. There is guidance on how to spot predatory journals that may approach you at LibGuides libguides.rcsi.ie/researchsupport/wheretopublish.

12.6 RCSI Institutional Repository

- **RCSI Repository**

The RCSI Repository is the RCSI open access institutional repository for RCSI. All material deposited is made freely available on the internet. Peer-reviewed journal articles and published conference papers must be deposited in the RCSI repository, and other material may also be submitted.

Content deposited in the RCSI repository is also automatically included in RIAN, the national portal for Irish open access research, and the European portal OpenAIRE, as well as being discoverable by Google and other search engines. The RCSI Repository is also listed in OpenDOAR, the Directory of OA repositories worldwide.

The RCSI Repository can be found at <https://repository.rcsi.com/>

- **Funder mandates**

Depositing our work into the RCSI Repository 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:

- contact the repository administrators at epubs@rcsi.ie or
- go to <https://www.rcsi.ie/library> and follow links to RCSI Repository

- **Copyright and use of work in RCSI Repository**

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 RCSI Repository 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

Research Information Management System (RIMS) and Repository

Visibility is essential for success.

- It is expected that all RCSI staff who carry out research will maintain an accurate and up to date record of their research on the Research Information Management System (RIMS) and will deposit the full text for uploading to the RCSI Repository (rcsi.ie/library)
- Wherever possible supporting material for a publication such as research data should be made available so that it is Findable, Accessible, Interoperable and Reusable (FAIR). Further information and advice is available from: libguides.rcsi.ie/researchsupport/researchdatamanagement
- The RCSI repository is indexed by Google and GoogleScholar and content regularly appears in the top results, as well as appearing in key international repositories.

Key External Profiles

It is acknowledged that maintaining profiles is time consuming. The most important external profiles to gain maximum visibility for your research and your profile as a researcher are:

ORCID

Create an ORCID ID orcid.org - a persistent digital identifier that distinguishes you from every other researcher. Registration is free.

- RCSI is an ORCID Member Organization and encourages the use of ORCID as a researcher identifier throughout the research process
- Submit the ORCID ID to publishers so that it will appear on your paper
- Link your ORCID profile to your Scopus ID, so that your papers will be correctly affiliated to your Scopus profile, as well as to other linked services such as your Web of Science ResearcherID
- More information at libguides.rcsi.ie/researchsupport/ORCID

Scopus

Ensure your Scopus profile is accurate. Request profile merges if more than one exists and amendments to your profile if necessary.

Additional Profile Management

If you have time and interest the following platforms can also lead to improved visibility, citations and impact:

- Set up a Google Scholar profile. More information at scholar.google.com/intl/en/scholar/citations.html
- Set up a ResearchGate profile. More information at explore.researchgate.net/display/support/Getting+started

Note: be careful when uploading full text – copyright and licensing restrictions apply.

Social Media

- Create and actively manage a consistent digital identity - consider using the following:
 - Twitter
 - LinkedIn
 - Blogging

RCSI's Communications Department have created a Social Media Toolkit, a photobank of RCSI images to use on social media and deliver workshops for researchers. The Communications Department are also happy to organise a press release about your research or new paper or post on the RCSI social

media channels on your behalf. Please ensure as much advance notice is given as possible. For more information see: <http://staff.rcsi.ie/administration-and-support/communications>

Furthermore, RCSI's in-house design team can help you to create innovative ways to communicate your research, for example with infographic visualisations.

It is important to regularly discuss your research outputs online and always include a link to the article (via the RCSI repository or the article DOI).

12.8 Measuring Your Impact – Bibliometrics & Altmetrics

- 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.
- RCSI has an institutional licence for SciVal – a research intelligence tool linked to the Scopus database. This is the preferred source for RCSI research analytics as it is also used for Times Higher Education (THE) in calculating citation impact for the World University Rankings.
- Further info libguides.rcsi.ie/researchsupport
- 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. RCSI has an institutional license for Altmeter.com which is connected and populated by your RIMS profile.

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

12.9 Research Data Management

Research data management refers to how you handle, organise, and structure your research data throughout the research process.¹ Research data is any information that has been collected, observed, generated or created to validate original research findings² and can include data files or spreadsheets, laboratory notebooks, interview transcripts, audio or video files, photographs, protocols, workflows or software. Research data is a valuable institutional asset and good research data management ensures that data are accurate, complete, authentic and reliable, stored securely, preserved where necessary and accessible as required.

The RCSI Research Data Management Policy (2018) requires that research data must be as compatible as possible with the FAIR data principles whereby data are “as open as possible and restricted as necessary”. Data must be stored securely and in accordance with legal obligations, funder requirements and college policy; and preserved for the research life-cycle with appropriate high-quality metadata (e.g. data documentation). In most instances you will be required by your funder to prepare a data management plan (DMP), but it is good practice to create a DMP regardless of the funding status of your research project.

¹ CESSDA Training Team (2017 - 2022). *CESSDA Data Management Expert Guide*. Bergen, Norway: CESSDA ERIC. Retrieved from <https://dmeg.cessda.eu/>

² Leeds University Library. *Research data management explained - What is research data?* Retrieved from <https://library.leeds.ac.uk>

The RCSI Research Data Coordinator, Ruth Geraghty, can support you with preparing and updating your DMP, and with research data management more broadly. You can request support from Ruth using this form [Research Data Management support request \(libwizard.com\)](https://libguides.rcsi.ie/researchsupport/researchdatamanagement) or by sending your query to ruthgeraghty@rcsi.com. The Research Data Management LibGuide has guidance on writing a DMP, storing data securely, and ensuring data is FAIR, and is available from: <https://libguides.rcsi.ie/researchsupport/researchdatamanagement>

12.10 Online Journals & Other Library Resources

- **E-journals**

Access to e-journals is via the library web site <https://www.rcsi.com/dublin/library>, scroll down to Quick Links and choose Journal Search. The library service recommends you connect to the full-text of e-journals via the library website 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 A-Z Resources page of the library website: <https://libguides.rcsi.ie/az.php>

- Key resources available include: 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
- Web of Science

Full content descriptions for each database are on the A-Z Resources and further guidance can be found on the Finding Information pages <http://libguides.rcsi.ie/findinginfo>

Contact the library at Ext: 2407, email: library@rcsi.ie or Eliska Komarkova 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 brefnismith@rcsi.ie Tel: 809 2545

- **Literature searching for systematic reviews**

A Library guide to Systematic Reviews is available at <https://libguides.rcsi.ie/systematicreviews>

The library provides a consultancy and support service for projects requiring literature searching to systematic review level. Contact: Paul Murphy Ext:2406.

For literature searching support for BEMEs and systematic reviews contact library@rcsi.ie

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 Eliska Komarkova 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. RESEARCH ETHICS AND INTEGRITY

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.

[RCSI Guidance for Pre-Clinical Research](#)

13.3 The Application Process: Overview

The HREC application is online (via RIMS Vidatum https://rcsi.academic.ie/live/w_rms_security.login) 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 via RIMS 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 through the RIMS system. The AREC requests 4 parts to be completed online. Part 4 allows the applicant to upload supporting documentation (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

<https://www.rcsi.com/dublin/research-and-innovation/research/resources-and-facilities/research-ethics/submit-an-application>

- You can login into RIMS by clicking on the following link:
https://rcsi.academic.ie/live/w_rms_security.login
- Choose the animal or human template

- The animal online form requires the completion 4 short sections of general information followed by all documentation to be uploaded within the relevant “attachments” (section 4).
- All animal applications should be accompanied by the following documentation:
 - HPRA project licence (or application for the licence),
 - ✓ HPRA individual licence for any individual involved with the study (or application 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.

Human form

- This is an online version of the Standard Application Form For the Ethical Review of Health-Related Research Studies, updated in August 2018 to comply with GDPR and HRR
- There are 12 separate sections (Section A to Section L) followed by a document list section (located within section L) where all relevant documentation pertaining to the application (such as research protocol, consent form, information leaflet, questionnaire, CV etc.) must be uploaded.
- **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 2018 <http://www.irishstatutebook.ie/eli/2018/act/7/enacted/en/pdf>, GDPR and the Health Research Regulations <https://www.hrb.ie/funding/gdpr-guidance-for-researchers/gdpr-overview/gdpr-and-irish-data-protection-law/>

Study data should be securely stored in OneDrive in adherence to GDPR. 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
- ✓ Data Protection
- ✓ Templates, Useful links and Further reading
- ✓ FAQs
- ✓ Guidelines and Notes
- ✓ Remit
- ✓ Contact information

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.

13.5 Useful Links

- RCSI Biomedical Research Facility:
staff.rcsi.ie/research/committees/biomedical-research-facility
- HPRAs 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

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 a [Code of Research Conduct](#) as well as a Policy on Investigation into Allegations of Research Misconduct. Good Research Practice guidelines are outlined in Section 2 of the RCSI Code of Research Conduct.

Research Integrity

RCSI requires that its researchers should apply the highest standards of honesty to all aspects of their own research including application for funding, experimental design, the generation and analysis of data, the publication of results, acknowledgment of input, both direct and indirect, of others and the declaration of conflicts of interest. These standards must also be applied to their dealings with other researchers and their work (see [RCSI Code of Research Conduct](#) document).

Plagiarism, deception or the fabrication or falsification of results will be regarded as a serious offence and will be disciplined accordingly. Researchers have a duty to report cases of suspected misconduct without fear of recrimination and to do so in a responsible way. Such a report should be to the RCSI Research Integrity Officer (Professor Oran Kennedy, RIO@rcsi.ie). Reports will be treated in the strictest confidence, will be dealt with in a thorough and serious manner and, if sustained, will lead to appropriate disciplinary action (see [RCSI Procedure for Investigation of Allegations of Research Misconduct](#) document).

Research Integrity Training

Research integrity training is now a requirement of almost all research funding agencies e.g. SFI, HRB, EU, EI etc. and is mandatory within RCSI. The National Research Integrity Forum has purchased a national license for *Epigeum* online research integrity training that has been provided to all Irish higher education institutes including RCSI.

To be enrolled in this training please contact RIO@rcsi.ie to request information and instructions on how to access the training programme. At the end of the 4-hour training course for new research staff or 1 hour course for academic staff, there is an assessment which must be successfully completed.

When this is completed an internationally recognised certificate of completion is issued that should be downloaded and retained carefully as evidence for future grant reports/job applications.

Openness and Dissemination of Results

In the interests of promoting knowledge acquired through research, the College encourages its researchers to be as open as possible in discussing their work with other researchers (without disclosing any intellectual property), inside and outside the Institution, and with the public. See section 11.5 on “Open Access Publishing”)

Senior researchers will endeavour to ensure the existence of a research climate of mutual cooperation with an open exchange of ideas. An example of the approach to openness in RCSI is the Annual Research Day, which has existed since the early 1980s. This is now a fixed event in the College calendar, at which researchers throughout the College present their most recent findings. The meeting is open to the public and usually gets press coverage.

The College also facilitates its academic researchers to attend and present at national and international conferences (see <https://staff.rcsi.ie/administration-and-support/finance/travel-expenses-guidelines/academic-travel>).

Once published, the College expects researchers to make results, relevant data and materials available to other researchers on request, subject to compliance with ethical and consent issues as well as intellectual property rights.

The College expects the highest standard of publication outputs from its researchers (see section 11.4 on “Publishing your Research”). It expects its researchers to publish their results within a reasonable period of time, to do so in the best possible journals and to avoid unnecessary fragmentation of material for the sake of multiple publications. However, where intellectual property protection may be an issue, the College respects the need for reasonable delay in publication.

Legal Requirements, Research Standards

The College requires that its researchers be aware, as far as can be expected, of the legal requirements regulating their work. It also expects its researchers to observe the standards of research practice set out in guidelines published by scientific and learned societies, and other relevant professional bodies.

Supervision and Training

The College endeavours to ensure that the supervision of researchers meets the highest standards. A supervisory team, that includes two supervisors, guides the postgraduate researchers. The primary supervisor must be a permanent member of RCSI faculty. Secondary supervisors may be postdoctoral researchers or honorary appointees.

The School of Postgraduate Studies stresses the need for supervision of all stages of the research process from the initial project design and application for funding, through the supervision of the research work to the final publication outcome.

Supervisors of RCSI research students are made aware of their general responsibilities in the [RCSI Code of Research Conduct](#).

The School of Postgraduate Studies not only provides clinical and research support but also supports professional development. The *Professional Certificate in Research Practice* combines professional development skills with technical research training for RCSI researchers with multi-disciplinary

approaches and interests. All PhD scholars are expected to complete four core modules. For more information go to: rcsi.com/Dublin/postgraduate/research-courses/researcher-development

The School of Postgraduate Studies also organises an annual induction day for new researchers dealing with matters relating to best research practice such as health and safety, research design, regulatory and ethics approvals and consents, the use of equipment, sourcing of information, data management, record keeping and intellectual property rights. Heads of Department are required to ensure that all new researchers within their departments receive specific training relevant to their research.

Maintaining records, storage and disposal of data

The College requires its researchers to keep clear and accurate research records ie: procedures followed, approvals granted, interim results, and the final research outcomes.

This follows good research practice and facilitates proper investigation should questions later arise regarding the conduct of the research or the results obtained.

The College requires that data generated in the course of research should be kept securely either in paper or electronic format (with back-up records in the latter case), as appropriate for a minimum period of ten years.

Data generated during the tenure of a research grant are the property of the College, the grant holder and the department concerned. On joining RCSI, researchers are required to sign a declaration to the effect that they will leave the research supervisor all experimental records, laboratory notebooks, reprints, etc. on leaving the College. It is the responsibility of the primary supervisor to ensure that this is executed. Should a research supervisor leave the College e.g. for employment elsewhere she/he is obliged to retain the research records for the ten year period and make them available for RCSI scrutiny in the event of investigations of malpractice.

Information on maintaining records can be found in the [RCSI Code of Research Conduct](#).

Ethical Practice

Research involving human participants

Prior to the commencement of research involving human participants or biological samples, approval from the RCSI Human Research Ethics Committee (HREC) or an equivalent hospital, institution, or Health Board Research Ethics Committee is required. Ethical approval is only given following a satisfactory objective ethical review of the proposed research (see pg. 62). The ethics committee will check that all necessary measures for the ethical aspects relating to the interaction with human participants and the collection of data and samples including informed consent, harvesting, collection, storage and ensuring confidentiality of participants have been considered before any work begins. The RCSI HREC also requires that researchers engage with the RCSI Data Protection Officer before receiving ethical approval, to ensure that the appropriate data protection and confidentiality of personal information relating to participants in research has been considered or implemented, and that the research fulfils any relevant legal requirements such as those of the EU General Data Protection Regulation (Regulation (EU) 2016/679) (GDPR) and the Irish Data *Protection Act* 2018 (Section 36(2)) (*Health Research Regulations* 2018).

Research involving animals

Research involving animals must have prior approval of the RCSI Animal Research Ethics Committee (AREC), and the RCSI Biomedical Research Facility Committee (BRF) requires that any person using an animal for scientific purposes be in possession of a valid project licence authorisation and or personal authorisation license from the Health Products Regulatory Authority (HPRA) for the project, and also has the necessary documented training to conduct the work. Researchers must have passed the

LAST Ireland/UK Home Office/Belgium FELASA animal handling course or recognised equivalent for which training records will be maintained.

The BRF closely monitors the use and maintenance of the facility. The College Animal Welfare Body (AWB) emphasizes to its researchers their obligation to the application of the 3Rs to all research projects: to reduce and refine animal experiments to the minimum level possible and of the necessity of replacing animals at every opportunity. Information relevant to the 3Rs principles is disseminated on a weekly basis to research groups delivering laboratory animal work within the RCSI BRF.

The AWB works in line with the relevant national and European legislation ([Directive 2010/63/EU](#)) to protect the care and welfare of animals used in scientific research and to ensure that the cost of any scientific experiments, in terms of animal suffering, is balanced by the potential benefit of the research. The College does not permit research involving animals if another means of reaching the same research outcome is available.

The **RCSI Biosafety Sub-committee** (a sub-committee of the RCSI Research Committee) was established in June 2001 with responsibility for monitoring research involving genetically modified organisms according to EU regulations as set out by the Environmental Protection Agency. All recombinant DNA research carried out in RCSI must be notified to the Biosafety Sub-committee. For further information, please contact Prof. Steve Kerrigan (skerrigan@rcsi.ie).

13.7 Handling of Allegations of Research Misconduct

Definition of research misconduct: Cases of research misconduct are fortunately 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, misuse of research funds, illegal use of another researcher's data and/or plagiarism of written work.

RCSI expects that all its research activities are conducted in consistency with the four fundamental principles of the European Code of Conduct for Research Integrity that underpin all research integrity and good practice in carrying out research. These principles guide researchers in their work as well as their engagement with the practical, ethical and intellectual challenges inherent in research. These principles are:

- **Reliability** in ensuring the quality of research, reflected in the design, the methodology, the analysis and the use of resources.
- **Honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way.
- **Respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment.
- **Accountability** for the research from idea to publication, for its management and organization, for training, supervision and mentoring, and for its wider impacts.

The RCSI approach to Research Integrity is aligned with the National Policy Statement on Ensuring Research Integrity in Ireland. Therefore RCSI (i) is represented on the National Forum on Research Integrity (NRIF), (ii) has appointed a Research Integrity Officer, (iii) has introduced Research Integrity training for all research staff to provide education and increase awareness of the principles and practices of Research Integrity, (iv) has endorsed the National Guidelines on Good Research Practice in the RCSI Code of Research Conduct, and (v) has introduced new procedures for handling allegations of misconduct in Research that are informed by the NRIF Guidelines on Investigation of Misconduct in Research.

RCSI 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 are investigated in a thorough, fair and totally confidential manner.

It also has mechanisms in place to ensure that all interested parties (e.g. funding agencies, journal editors, examining committees) are informed in the event that 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.

The RCSI Research Integrity Officer is **Professor Oran Kennedy** (RIO@rcsi.ie).

RCSI procedure for dealing with allegations of research misconduct

Step 1 – Notification of Alleged Research Misconduct

Step 2 – Investigation by an Expert Panel

Step 3 – Right of Appeal

See [RCSI Procedure for Investigation of Allegations of Research Misconduct](#)

14. DATA PROTECTION, RECORDS MANAGEMENT AND FREEDOM OF INFORMATION

14.1 Data Protection

Where research involves personal data, the Data Protection Acts 1988 & 2018 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 below.

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 such as:

- a) the racial or ethnic origin of the data subject,
- 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 diagram³ 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.'*⁴

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.⁵

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.⁶ 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.⁷ 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.

³ Data Protection Guidelines on Research in the Healthcare Sector, p5

http://www.dataprotection.ie/documents/guidance/Health_research.pdf

⁴ Data Protection Guidelines on Research in the Healthcare Sector, p7

⁵ <https://www.dataprotection.ie/docs/Anonymisation-and-pseudonymisation/1594.html>

⁶ *ibid*

⁷ *ibid*

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'⁸.

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.'*⁹ It is therefore strongly recommended that every effort be made to ensure that the context 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'*¹⁰.

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'*¹¹.

Clinical Audit

⁸ Article 29 Working Party

⁹ Data Protection Guidelines on Research in the Healthcare Sector, p9

¹⁰ Data Protection Guidelines on Research in the Healthcare Sector, p8

¹¹ *ibid*

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.'¹²

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.

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.

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 5-7 years post-publication i.e. 5-7 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 Donall King, RCSI Data Protection Officer (dpo@rcsi.ie) 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 Donall King, RCSI Data Protection Officer (dpo@rcsi.ie) who will advise you on how to proceed with this request.

¹² Data Protection Guidelines on Research in the Healthcare Sector, p12

Data Protection in 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 agreement which will outline the responsibilities under the data protection legislation for all parties.

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.’¹³ 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.

Data Processor is defined as a body who ‘holds or processes personal data, but does not exercise responsibility for or control over the personal data’¹⁴. 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 (DTA) should appropriately reflect the use of and analysis of data.

Where data will be processed, a Data Processing Agreement (DPA) is required between the data controller and the data processor and again should appropriately reflect the use, processing and analysis of data.

Researchers should refrain from signing DTA/DPAs with collaborating partners, where named as the PI or as a Collaborator, without RCSI’s prior knowledge and without obtaining and authorised institutional signature.

- Authorised signatories for Data Transfer Agreements are Head of Innovation, Dr Aoife Gallagher, and Deputy Vice Chancellor for Research and Innovation, Professor Fergal O’Brien.
- Authorised signatories for Data Processing Agreements are Associate Director of Research, Dr. Paola della Porta, and Deputy Vice Chancellor for Research and Innovation, Professor Fergal O’Brien.

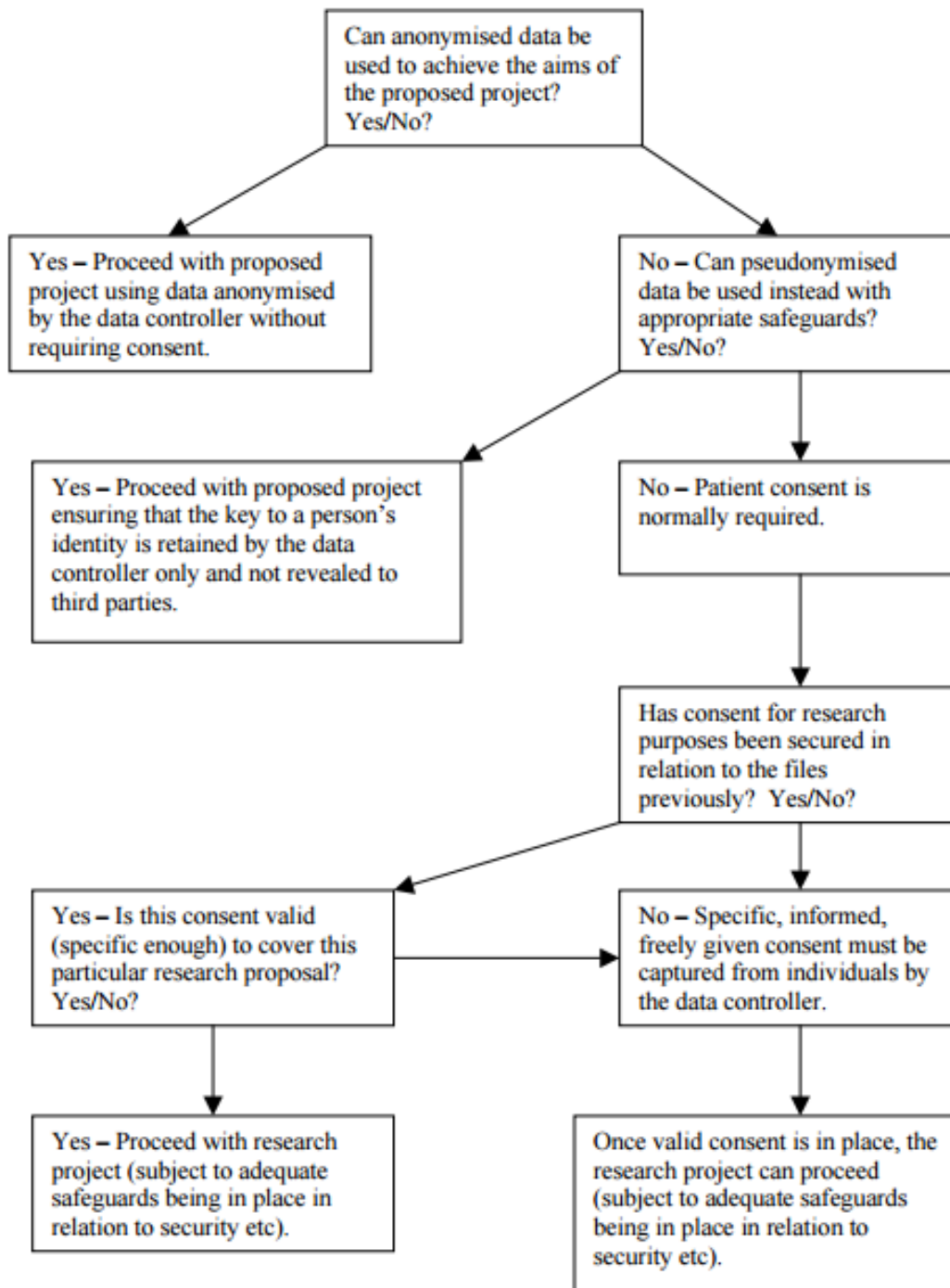
Please contact the Research Contracts Team (researchcontracts@rcsi.ie) who can assist you further in this regard.

Further information on Staff Portal at staff.rcsi.ie/research-and-innovation/data-protection

¹³ <http://www.dataprotection.ie/ViewDoc.asp?fn=/documents/responsibilities/3bi.htm&CatID=53&m=y>

¹⁴ *ibid*

Best Practice Approach to Undertaking Research Projects using Personal Data:



14.2 Records Management

Awareness of the importance of records has grown in recent years, with an increasing emphasis on accountability and the introduction of legislation such as Freedom of Information and Data Protection.

RCSI has formally adopted and approved a Records Management Policy Statement which will form the basis for all related guidelines and procedures: <http://staff.rcsi.ie/administration-and-support/records-management/about-records-management/policy-and-procedures/rcsi-records-management-policy>

If you have an issue regarding records and how to deal with them, contact the RCSI Library for advice at library@rcsi.ie

Further information:

staff.rcsi.ie/administration-and-support/records-management/about-records-management

14.3 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.¹⁵ 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.¹⁶

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 at <http://www.rcsi.com/dublin/freedom-of-information>

14.4 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.

¹⁵ Section 6(g) Freedom of Information Act 2014

¹⁶ Section 2(1) Freedom of Information Act 2014

- 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.

15. HEALTH AND SAFETY

Policy

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 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., to assist Managers, PI's and Supervisors to 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/committees/institutional-biosafety-committee-ibc>

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. UNDERGRADUATE AND POSTGRADUATE TRAINING

16.1 Research Summer School

RCSI has a **Research Summer School (RSS)** providing 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) 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

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 run an 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. Once the student has been accepted to the RSS, the ORI will register the summer school funding and make the grant code available to successful supervisors on RIMS.
2. All supervisors complete an online recruitment form via [RIMS](#). Students will not be able to complete this form.
3. When completing the recruitment form supervisors will be instructed to use the grant code as provided by the RSS and attach the relevant documentation as stipulated by Human Resources (student CV, project description, student ID card, passport and GNIB/Visa if appropriate).
4. HR will contact the students so that they might sign a contract when all paperwork has been received. This contract also contains a Summer-Researcher IP Agreement ensuring all IP belongs to the supervisor and RCSI.
5. A once off stipend payment will be made to each student at the end of the month in which their research project finishes.

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 (rss@rcsi.ie)

16.2 School of Postgraduate Studies

The School of Postgraduate Studies oversees:

- Higher degrees (PhD, MD, MCh and MSc) by research
- Taught Masters Programmes in the School of Medicine

All queries on higher degree courses, postgraduate registration, thesis examination, 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. RESEARCH INFRASTRUCTURES

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)
- Biobanking (ERC Beaumont Hospital – Tony O’Grady, togrady@rcsi.ie)
- 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: <https://www.rcsi.com/dublin/research-and-innovation/research/resources-and-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 for 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 Deputy Vice Chancellor for 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 **proposals fully costed at market rate (see above sections on budgeting industry projects)** 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 Strategic Initiatives 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 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 AND PROCEDURES

IT policies and procedures apply to all RCSI staff and students and all 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:
<https://staff.rcsi.ie/administration-and-support/information-technology/policies-and-procedures>

19. ANNUAL RESEARCH PROGRAMMES AND EVENTS

19.1 Annual RCSI Research Day

Traditionally held in the first quarter of every year, this annual forum:

- Allows for the presentation of the most recent research studies being undertaken in the RCSI
- Highlights and emphasises the importance and significance of research
- Recognises the different areas of research particular to the different disciplines within the College.

The day features oral and poster presentations by early career investigators (Post-doctoral Fellows, Postgraduate, and Undergraduate Scholars) and Academic Staff with a number of prizes presented on the day.

❖ Research awards

Best Undergraduate Poster Presentation
Best Undergraduate Oral Presentation (Harry O’Flanagan Medal)
Best Postgraduate Poster Presentation (Year 1)
Best Postgraduate Poster Presentation (Year 2+)
Best Postgraduate Oral Presentation
Best Early Career Investigator Poster Presentation
Best Early Career Investigator Oral Presentation (Joe Barnes Medal)
Research Day Abstract Book Cover Prize
Health Professions Education Centre Award

For further details, please contact: Christopher Byrne; christopherbyrne@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:

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Full participation by all research staff and students is encouraged. Further details on the RCSI Research Day website: <http://rd.rcsi.ie>

20. ACRONYMS

BRF	Biomedical Research Facility
CRC	Clinical Research Centre
CSCB	Chemical Synthesis Chemical Biology
DVCRI	Deputy Vice Chancellor for Research and Innovation
DSC	Data Science Centre
ePubs	Electronic Publications
ERC	Education and Research Centre
ERDF	European Regional Development Fund
ERMT	Executive Research Management Team
EU	European Funding
FP7	Framework Programme 7 European Funding
H2020	Horizon 2020 European Funding
HEA	Higher Education Authority
HRB	Health Research Board
HRS4R	Human Resources Strategy for Researchers
IAC	Innovation Advisory Committee
IP	Intellectual Property
IRC	Irish Research Council
IUA	Irish Universities Association
NCE	No Cost Extension
PI	Principal Investigator
PRTL	Programme for Research in Third-Level Institutions
REC	Research Ethics Committee
RERG	Regional Renewal Grant Scheme
RF	Recruitment Form
RIMS	Research information Management System
RFES	Research Facilities Enhancement Scheme
RSC	Research Strategy Committee
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

Industry Engagement Research Plan

Work scope	<ul style="list-style-type: none"> Describe the research to be undertaken and key roles and obligations for each participant
Goals	<ul style="list-style-type: none"> Describe the main aims of the Project
Commencement Date	<ul style="list-style-type: none"> Insert project commencement date
Completion Date	<ul style="list-style-type: none"> Insert project completion date
Timetable	<ul style="list-style-type: none"> Provide an estimated timetable of activities.
Project staffing	<ul style="list-style-type: none"> List who will work on the Project and who employs them, and where they will work. State if any elements of the research be subcontracted to third parties. Name the project managers for each of the parties. Are suitable contractual arrangements in place with personnel? Y/N? If not, is there a suitable recruitment plan? Y/N
Facilities	<ul style="list-style-type: none"> List the premises, laboratory, specialist equipment and consumables that will be needed for the Project and who will supply these and who will own them. If equipment is being loaned, who will insure the equipment? Will any equipment be loaned and, if so, who will insure it? If RCSI equipment, confirm appropriate access charges have been included.
Reporting requirements	<ul style="list-style-type: none"> Describe how and how often progress will be reported amongst the parties and to research funders (as applicable)
Project management	<ul style="list-style-type: none"> Describe the project management arrangements for the Project. Who is the primary point of contact for each organisation? Will there be a steering committee? If so, what role will it have, how often will it meet?
Dissemination	<ul style="list-style-type: none"> Describe how the results of the research will be disseminated and describe any restrictions to be imposed.
IP management	<ul style="list-style-type: none"> Describe IP ownership and access rights.
Changes	<ul style="list-style-type: none"> Are any alterations to the Project possible, and if so what steps are needed to make
Project Classification	<ul style="list-style-type: none"> Is the project deemed collaborative research, contract research or consultancy?
Direct Costs	<ul style="list-style-type: none"> Have all direct costs been included in project budget? Direct costs are those that can be identified accurately for a specific research project including, but not limited to, the salaries of staff employed specifically to carry out the research, the cost of materials and consumables for the project, research equipment/infrastructure access charges, project-specific travel or software licences costs, third-party/sub-contract costs and dissemination costs.
Indirect Costs	<ul style="list-style-type: none"> Indirect costs are those incurred in the course of a research project but which cannot be attributed specifically or exclusively to the project. Examples of such indirect costs include space, light, heat, maintenance, library services and computer services. Other examples are the indirect administrative support required to run the project, including recruiting

	<p>staff, professional indemnity insurance, legal costs of generating and negotiating funding, collaborative and IP agreements, procurement costs of purchasing equipment and materials and financial reporting. Indirect costs are also commonly known as overheads.</p>
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