

SFI Research Centres Guidelines for Completion of Monthly Reports on Industry Collaborative Research Agreements (CRAs)

December 2016

Guidelines for Completion of Monthly Reports on Industry Collaborative Research Agreements (CRAs)

Research Centres (RCs) are required to update Science Foundation Ireland (SFI) on a monthly basis on the status of the Collaborative Research Agreements (CRAs) with industry partners

As of the end of December 2016, any updates to CRAs are to be made directly on SESAME before COB on the 5th working day of each month. On the 6th working day of each month SFI will run a SESAME report for further analysis, the results of which are used for important internal and external briefings. Hence, unless advised otherwise, updates will be due in **2017** on the following dates:

- Q1: January 9th, February 7th, March 7th
- Q2: April 7th, May 8th, June 8th
- Q3: July 7th, August 8th, September 7th
- Q4: October 6th, November 7th, December 7th

SFI will *not* be issuing reminders on these reporting dates. RCs are required to introduce practices appropriate to ensuring that the monthly reports are prepared and submitted on schedule and in an appropriate manner. SFI will contact the relevant Centre staff if there are any queries relating to the data reported on SESAME.

Industry Collaborative Research Agreements (CRAs)

RCs are required to provide a status update of CRAs under discussion, in preparation or signed with industry partners on a monthly basis. Updates can be made by:

- manually editing existing transaction on SESAME
- manually adding new transactions to SESAME
- populating an excel template (Funding Diversification) which may be completed offline and then uploaded into the Centre Research Profile in SESAME

The metrics provided by each RC are combined for further analysis for monthly reporting to the SFI executive committee. To that end, it is essential that RCs provide their metrics in a clean and reusable fashion. Statistics relating to the industry partners are often requested by DEJI and IDA and can feed into discussions on the Action Plan for Jobs.

The following information is required:

Transaction ID:

- All new records should have a blank (or zero) transaction ID. These will be allocated a transaction ID once imported.
- All existing records should have the correct transaction ID. If there is a transaction ID in the spreadsheet that does not belong to the Centre / Award's Research profile, you will get an error message on import. If there is no transaction ID, SESAME will assume they are new records to be added, resulting in duplication.

Primary Proposal Attribution: The primary attribution reflects the main award whose outputs and outcomes have contributed to securing this new award. For Cash and In-Kind commitments to be counted as Cost Share, the Research Centre Award must be listed as the primary attribution.

Secondary Attribution: The secondary attribution reflects other sources of funding that have contributed to the same award.

Funding Body: = "Private Enterprise"

Funding Programme or Company Name: Name of the company

Title of Proposal: Internal name of the project within the RC. Previously referred to as "Project/Spoke Name".

Nature of Project (if Private Enterprise): Must be "Collaborative" to count as cost share.

Brief description. For pending awards, please also indicate expected decision date: Please describe.

Grant No: Internal ID of the project within the RC. Previously referred to as "Project ID". For CRAs that do not have an internal ID please input "NA".

Status: The CRA status column has a drop down list with the following options listed along with their definitions:

CRA Status	Suggested Definition (as agreed by Centre BDMs)
1. New discussion	<ul style="list-style-type: none"> • BDM held physical meeting(s), or significant telcon(s) with industry partner • NDA/CDA executed;
2.1 Scope Discussion	<ul style="list-style-type: none"> • Project(s) outline drafted • Background IP identified and due diligence completed (available & unencumbered)
2.2 Proposal drafting	<ul style="list-style-type: none"> • Project work packages written up; • Project sized and budgeted; • Outline timetable, milestones and deliverables; • Cash value estimated;
3.1 Proposal Submitted	<ul style="list-style-type: none"> • Project risk analysis completed; • Proposal completed and submitted; • BDM has clear path to close deal (timeline, objection-handling, budgets, who will decide); • TTO Term Sheet issued;
3.2 Funding allocated	<ul style="list-style-type: none"> • Written e-mail communication indicating funding approval; • Budget allocated;
4.1 In discussion	<ul style="list-style-type: none"> • Timetable, milestones, deliverables, resource provisionally committed;
4.2 In preparation	<ul style="list-style-type: none"> • TTO on-track to issue contract; • Any special terms agreed with TTO (e.g. IP/ licensing terms)
4.3 Issued	<ul style="list-style-type: none"> • Industry Partner CRA signed and issued by TTO;

	<ul style="list-style-type: none"> Awaiting partner finalisation;
CRA Signed	The industry partner and Research Centre representative have signed the CRA
CRA expired	This refers to the situation where the project has been completed. In some cases, the project may only have been partially completed, e.g. due to a change in research direction. In this case the CRA should be classified as “CRA expired” and the industry funds which have been invoiced should be listed in the Cost Share columns.
CRA at risk	This refers to the situation where, despite negotiations, there is a strong probability that the company will withdraw from discussion before the CRA is signed.
CRA Terminated	This refers to the situation where a CRA was signed but the project never got off the ground, for example in the case of a company being taken over, or a company going out of business. The signed CRA has been terminated before the project start (before any funds have been invoiced) through unforeseen circumstances and no industry funds have been invoiced.
Company withdrawn	The company has withdrawn from the discussions before the CRA has been signed.

If a company withdraws from CRA discussions, it is important that this information is retained on SESAME with a status of ‘Company withdrawn’.

Total Amount of Funding for the Project (€): This refers to the “Total project cost” as stated in the CRA. The total project cost should include both the SFI contribution to the project (direct costs) and the total industry contribution (both cash and in-kind, and overhead only if it goes directly into the Centre).

Amount of Funding Allocated to PI (€): This refers to “Total Amount of funding for the project” minus SFI’s contribution i.e. the total industry contribution (cash and in-kind and any overhead that goes back to Centre).

Amount of the allocated funding that is cash: The amount of direct cash contribution to be provided by the company for the duration of the project i.e. “Cost Share (cash)”. The direct contributions are net of any institutional overhead or VAT. Provide the total value of the CRA, regardless of the period over which the CRA runs.

Position held on Award: Select "PI" from dropdown list.

Time Commitment (%): This field is not mandatory.

Start Date: Start date of the project as per the signed CRA (provide an estimate if the CRA is not yet signed).

End Date: End date of the project as per the signed CRA (provide an estimate if the CRA is not yet signed).

Headcount: This field is not mandatory.

MNC/SME: Define whether the company is a Multi-National (MNC) or a Small/Medium Enterprise (SME). Use Enterprise Ireland definitions of the relevant company type¹.

Company Country of Origin: Provide the country in which the company was originally founded. For example, for an international company such as Intel who have a base in Ireland, the country of origin is the USA and not Ireland. A drop down list is provided to avoid multiple versions of the same country (e.g. USA, US, America etc).

Award Type: Indicate whether the CRA is associated with a platform/target project funded through the original RC (Research Centre Award) or from an award granted through the Spokes Programme (Spokes Award). While target projects associated with the RC may sometimes be referred to as spoke projects, 'Spokes Award' in this context refers only to projects funded through the Fixed or Rolling Spokes Programme.

Is Company Name Confidential? This column refers to whether or not the RC's interaction with a named company is confidential or not. It does not refer to the details of the CRA between the RC and the company. If 'No' is selected, SFI may use the name of this company in connection with the RC in PR initiatives and the company should be included in the RC Researcher Snapshot. If 'Yes' is selected, SFI will honour the wishes of the company and will not use their name in any PR activities.

Committed Cost Share (in kind): The amount of in-kind contribution to be provided by the company for the duration of the project. Provide the total value of the CRA, regardless of the period over which the CRA runs.

Overhead on Cost Share (cash): The amount of institutional overhead provided by the company for the duration of the project. Provide the total value of the overhead amount, regardless of the period over which the CRA runs.

Completion Date of Contract: The date that the CRA is signed (if not yet signed, provide the expected or estimated date on which the CRA will be signed)

IP Arrangements: Please select from the dropdown list, indicating where the IP Arrangements are "Default", as per the National IP Protocol², or whether other arrangements exist.

Note: In the case of a Spoke project across multiple RCs, the information in the monthly update should be provided for each Centre separately and refer only to the industry contributions relating to that Centre as per the agreed budget breakdown. The total project cost in this case is the total cost of the project associated with only that Centre.

If using the excel templates to upload to SESAME, a number of rules around the completion of the Excel spreadsheet, and in particular the use of dropdown lists, are listed below. RCs are asked to review the following guidelines:

¹ <http://www.enterprise-ireland.com/en/about-us/our-clients/sme-definition.html>

² http://www.sfi.ie/assets/media/files/downloads/Funding/grant_policies/The%20National%20IP%20Protocol%202016.pdf

- Do not add any new columns to the spreadsheet template.
- Do not change any of the row or column titles.
- If a particular validation does not include an appropriate value to your Centre's situation, use the next most appropriate one and explain any variation in the 'Comment' column.
- In the case of monetary amounts, provide the exact amount, not an abbreviation. For example, provide 250000, not €250k or €0.25m.
- In the case of dates, provide an exact date, not an abbreviation. For example, provide 31/3/2016, not Q1 2016.
- If the value is unknown or not applicable, input NA – do not leave the cell blank.
- If any values need to be estimated, provide the best estimate possible. Do not append any other text. If your estimate for a particular value is 100, report, 100, not 100 (est) or 100 (approx.).

Repeat industry Collaborative Research Agreements

If a company already engaged with the centre wishes to undertake a new project (i.e. work not covered in the previous collaborative research agreement (CRA)) then this should be entered as a new funding diversification transaction in SESAME – with dates and costs/ commitments for this specified work clearly defined from previous CRAs with the same company.

If, however, the company wish to have a costed extension to the project that is covered by the original Statement of work/ CRA then, when agreed and signed off by all partners, the additional cash commitments and revised project end date can be updated on the original SESAME transaction – SFI check these columns against previous months to ascertain if there have been any costed extensions but a note can also be included in the comments section to clarify that this is the case.

If there is to be a NCE to a CRA then please just update the "Project End Date" in the original SESAME transaction.