

# SCIENCE FOUNDATION IRELAND

## SFI/EI Technology Innovation Development Award (TIDA) 2018

### Call for Submission of Proposals

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#### KEY DATES

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|------------------------------------|-----------------------------|
| • Call Launch                      | 30 <sup>th</sup> April 2018 |
| • Webinar                          | 16 <sup>th</sup> May 2018   |
| • Deadline for Abstract Submission | 30 <sup>th</sup> May 2018   |
| • Deadline for Proposal Submission | 22 <sup>nd</sup> June 2018  |
| • Funding Decision                 | November 2018               |

#### Terms of Reference

While every effort has been made to ensure the accuracy and reliability of this document, it is provided for information purposes only and as a guide to expected developments. It is not intended, and should not be relied upon, as any form of warranty, representation, undertaking, contractual, or other commitment binding in law upon Science Foundation Ireland, the Government of Ireland, or any of their respective servants or agents. Science Foundation Ireland Terms and Conditions of Research Grants shall govern the administration of SFI grants and awards to the exclusion of this and any other oral, written, or recorded statement.

All responses to this Call for Submission of Proposals will be treated in confidence and no information contained therein will be communicated to any third party without the written permission of the applicant except insofar as is specifically required for the consideration and evaluation of the proposal or as may be required under law, including the Industrial Development (Science Foundation Ireland) Act, 2003, the Industrial Development (Science Foundation Ireland) (Amendment) Act 2013 and the Freedom of Information Acts 1997 and 2003.

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## 1. Introduction

Science Foundation Ireland's (SFI) legal remit<sup>1</sup> is to promote, develop and assist the carrying out of oriented basic and applied research in strategic areas of scientific endeavour that concern the future development and competitiveness of industry and enterprise in the State. As outlined in SFI's Strategic Plan, Agenda 2020<sup>2</sup>, the Foundation is committed to continuing its focus on funding excellent science that will deliver strongly on impact, thus realising significant benefits for the Irish economy and Irish society. SFI has committed to invest in translational research capability to enhance the progression of research from discovery to delivery. In the case of discoveries that have potential commercial application; a key objective is to increase the number and quality of these discoveries entering both State and private commercialisation systems. SFI in collaboration with Enterprise Ireland<sup>3</sup> (EI), is pleased to launch the Technology Innovation Development Award (TIDA) 2018. EI is the government organisation responsible for the development and growth of Irish enterprises in world markets.

The SFI TIDA programme is aligned with a number of key Government RD&I strategies including Innovation 2020<sup>4</sup>, the National Policy Statement on Entrepreneurship in Ireland<sup>5</sup> and Project Ireland 2040<sup>6</sup>.

**Innovation 2020** is Ireland's five-year strategy on research and development, science and technology. This strategy sets out the roadmap for continuing progress towards the goal of making Ireland a Global Innovation Leader, driving a strong sustainable economy and a better society, underpinned by excellent research that is defined within six designated enterprise themes. For this SFI TIDA call, proposals must either be aligned to one of the 14 priority research areas<sup>7</sup> that sit within the six designated enterprise themes or to any other area under SFI's legal remit where there is convincing evidence that there will be significant potential for economic and/or societal impact.

### Disruptive Technologies Initiatives

Following on from Innovation 2020, the Irish Government recently launched **National Development Plan 2018-2027 (Project Ireland 2040)**, which is the overarching policy and planning framework for the social, economic and cultural development of Ireland from 2018 to 2040. As a part of the Project Ireland framework, strong emphasis has been placed on supporting Disruptive Technologies Initiatives to ensure that the Irish public gains substantial societal and economic benefits from ground-breaking scientific research and innovation.

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<sup>1</sup> [About SFI - What we do](#)

<sup>2</sup> [Agenda 2020; Published 2012](#)

<sup>3</sup> <https://www.enterprise-ireland.com/en/>

<sup>4</sup> <https://dbei.gov.ie/en/Publications/Innovation-2020.html>

<sup>5</sup> <https://www.localenterprise.ie/Documents-and-Publications/Entrepreneurship-in-Ireland-2014.pdf>

<sup>6</sup> <http://www.gov.ie/en/project-ireland-2040>

<sup>7</sup> <https://dbei.gov.ie/en/publications/research-priority-areas-2018-to-2023.html>

## Fostering Entrepreneurship

Entrepreneurship is the motivation, attitude and skill to realise new opportunities and create economic and societal impact from them. Entrepreneurship is recognised as a powerful driver of economic and societal impact. **The National Policy Statement on Entrepreneurship in Ireland**, sets out a number of strategic objectives to support Ireland's ambition to be among the most entrepreneurial countries in the world. Innovation 2020 highlights the important role of entrepreneurship in the translation of knowledge between Research Performing Organisations (RPOs) and enterprise to deliver economic and societal impact. In this context, it is important that a flourishing entrepreneurial culture in RPOs is encouraged through the provision of supports that allow researchers to realise new and emerging opportunities for innovative ideas and to encourage researchers to pursue those opportunities by considering entrepreneurship as an alternative career path. In particular, SFI would like to encourage women to apply to this programme.

Towards achieving these objectives and in support of other national initiatives, SFI is seeking to fund researchers who are at the initial stages of developing a new or innovative technology, product, process or service with strong commercial potential. Given recent focus on disruptive technologies, SFI would especially encourage researchers to consider the disruptive potential of their proposals where appropriate.

## Purpose of the TIDA Programme

The TIDA is an SFI programme designed to enable researchers to focus on the initial stages of an applied research project which may have a commercial benefit if further developed. The TIDA programme enables researchers to demonstrate the technical feasibility of an applied research project directed toward the development of a new, innovative or potentially disruptive technology, product, process or service that has potential for further commercial development. While the proposed research may address early stage technology development, supporting data which clearly demonstrates that development has progressed beyond basic proof of principle must be provided as part of the application. The TIDA programme can be used to address key technical issues that currently limit the potential for further commercial development as a technology, product, process or service. Following completion of a TIDA, researchers should be in a position to demonstrate the viability and robustness of their idea in the context of competing technologies and market potential.

The current TIDA call is open to Independent Investigators who are Lead Principal or Co-Principal Investigators based at eligible research bodies who have demonstrated their competitiveness through securing an internationally peer reviewed research grant over the last 5 years (2013-2018). Furthermore, the TIDA 2018 call is open to early-career stage postdoctoral researchers based at eligible research bodies who are currently funded under a competitively awarded internationally peer reviewed research grant. As part of an application to TIDA 2018, it is expected that supporting data, which clearly demonstrates the potential of the idea, is provided. The award duration is 12 months.

Researchers who have the scientific and technical capability to produce novel and/or potentially disruptive technologies or products and who are keen to develop a better understanding of entrepreneurship and the commercialisation process are especially encouraged to apply for this award. Applications from early career stage postdoctoral researchers interested in technology entrepreneurship are particularly welcome.

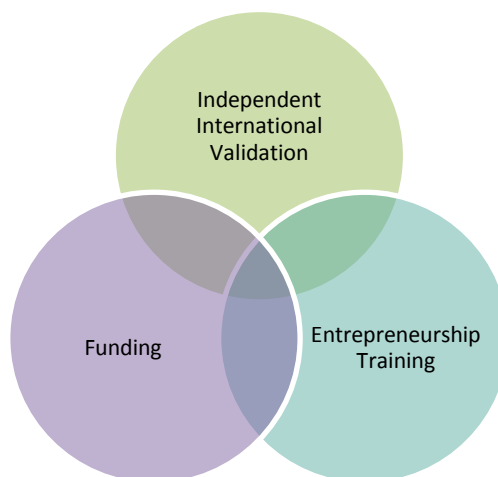


Figure 1. Features of TIDA.

In the context of supporting researchers who wish to pursue the commercialisation of a technology, TIDA offers a number of important features (see Figure 1):

- Validation by independent international peer review process
- €100k in project funding for technology development
- Innovation and entrepreneurship skills training

### **SFI Spark Pre-Accelerator**

To enhance the innovation and entrepreneurship skills of researchers, foster entrepreneurial thinking and strengthen the commercialisation pipelines of RPOs, SFI has a strong expectation that all researchers funded as part of the TIDA programme will undertake innovation and entrepreneurship skills training through the SFI Spark Pre-Accelerator.

The SFI Spark Pre-Accelerator provides a structured skills development programme to support researchers at the very early stages of commercial development. The SFI Spark Pre-Accelerator supports skills development in several areas relevant to research commercialisation including: evidence-based entrepreneurship, innovation, business model development and design thinking. The programme is delivered through a blended-model comprising lecture-based learning, practical work and case studies (including the requirement to complete a portfolio). For further details on the SFI Spark Pre-accelerator see Appendix B.

To foster entrepreneurial culture and strengthen the commercialisation pipelines of RPOs, SFI will also support staff from the Host Research/Technology Transfer Offices to participate in the SFI Spark Pre-Accelerator. To facilitate this, Host Research Bodies that are successful in securing awards under the TIDA 2018 programme call will be allowed to

nominate up to two staff members to participate in the pre-accelerator. This process will be managed by direct correspondence between SFI and the Research/Technology Transfer Offices following notification of awards under the call.

### Objectives of the TIDA Programme

- To demonstrate the feasibility of an innovative idea for further commercial exploitation
- To build demonstrators/prototypes
- To develop awareness of entrepreneurship and the commercialisation process
- To encourage movement from academia into enterprise activities
- To improve existing industrial processes

The Progress Reporting Requirements, which include relevant metrics denoting success, are outlined in Section 12.

**Note: The TIDA programme is not an academic-industry collaborative funding programme; however, the input of and endorsement by potential future customers/beneficiaries (incl. industry partners) is encouraged where appropriate. Please note the conditions regarding the ownership of IP resulting from TIDAs in Section 9.**

## 2. Programme Eligibility and Remit

Under the TIDA 2018 call, proposals will be accepted from two different categories of applicant: **(A) Independent Investigator** who is Lead Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on a competitively awarded, internationally peer reviewed research grant secured/active over the last 5 years (2013 – 2018); and **(B) Postdoctoral researcher** (with a maximum of 8 years' postdoctoral research experience) currently funded under a competitively awarded, internationally peer reviewed research grant. For full details of applicant eligibility see Section 5.

### Eligibility of Research Body

The Research Body<sup>8</sup> is the body responsible for the overall financial and administrative co-ordination of research programmes supported by research grants from SFI. A list of Eligible Research Bodies<sup>9</sup> is available on the SFI website.

### Programme Remit

The Irish Government has recently undertaken a review of the objectives of Research Prioritisation, building upon the original exercise carried out in 2012,<sup>10</sup> and taking into

<sup>8</sup> The term 'Research Body' and 'Institution' are equivalent and interchangeable in SFI documentation and in the SFI SESAME system.

<sup>9</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/eligibility-related-information/>

<sup>10</sup> [Report of the Research Prioritisation Steering Group, Published 2012](#)

account a number of important current challenges and developments, including the growth of disruptive technologies, Brexit and the adoption of UN Sustainable Development Goals, amongst others.<sup>11</sup> Research Prioritisation will continue to demand that the majority of Ireland's competitive funding is concentrated on areas deemed likely to yield the greatest economic and societal impact. For this SFI TIDA call, proposals must either be aligned to one of the 14 *Refreshed Priority Areas* for 2018-2023, which are the constituents of six designated enterprise themes or to any other area under SFI's legal remit where there is convincing evidence that there will be significant potential for economic and/or societal impact.

### 3. ORCID ID

ORCID<sup>12</sup> provides a unique identifier for all researchers which can then be linked to their different research works across different platforms.

There are a number of benefits to creating an ORCID ID that include:

1. ORCID allows you to pull information from different platforms creating a centralised reference to your different works (e.g. publications, patents, awards) in one location using a single sign in.
2. Your ORCID ID is a unique identifier which distinguishes you from other researchers with a similar name.
3. Using the ORCID ID assists in making your research works more visible to funders and publishers. You are able to build a complete picture of your research in one location.

As part of the integration of SESAME with ORCID, it is possible for researchers to import publication data from ORCID directly into their SESAME Researcher Profile.

For the TIDA 2018 call, applicants and mentors (where relevant), are required to have their SESAME Researcher Profiles linked to an ORCID ID before an application can be submitted.

### 4. Review Process

Following the submission of proposals to the TIDA 2018 Programme Call, all proposals are checked for compliance with: **non-technical** mandatory criteria (e.g. all sections complete, page numbers not exceeded); **technical** mandatory criteria (e.g. publication and prior funding requirements, justification of alignment with the legal remit of SFI and alignment with NRP, where required); and any other requirements outlined in the call document. Proposals identified as ineligible at this stage will be declined without review.

Distinguished international peer reviewers are employed in the review of applications to the TIDA programme. All reviewers engaged by SFI are required to adhere to the SFI

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<sup>11</sup> <https://dbej.gov.ie/en/Publications/Publication-files/Research-Priority-Areas-2018-to-2023.pdf>

<sup>12</sup> <http://orcid.org/>

Reviewer Code of Conduct (see below). At all times the identity of the reviewers will be confidential.

The first stage of full proposal review is undertaken by a panel of international experts engaged by SFI. This panel comprises distinguished international peer reviewers with significant expertise across the subject areas of proposals submitted to the call. A number of proposals are assigned to each member of the panel based on expertise. During review, the following review criteria are applied by the international reviewers:

- *Quality and novelty of the proposed innovation*
- *Potential commercial opportunities for the proposed innovation*
- *Significance, including usefulness of the proposed innovation*
- *Quality of the project plan to realise the commercial potential of the innovation*
- *Potential impact of the proposed innovation*

Following submission of reviews from this first stage, a triage step will be carried out and the highest quality proposals, as measured by the above criteria, will progress to the second stage of review. Applicants whose proposals do not proceed to the subsequent review stage will not be informed until the end of the overall review process.

The second stage of full proposal review is undertaken by a sitting panel of international experts engaged by SFI. This panel convenes to discuss each proposal and the postal reviews submitted as part of the first stage of review. This panel meeting is also attended by a number of senior commercialisation specialists from EI who contribute to the evaluation. The following review criteria are applied by Enterprise Ireland:

- *Does the proposal have strong innovative potential?*
- *Does the proposal present a compelling commercial opportunity?*
- *Is this research of interest to Enterprise Ireland or its current clients?*
- *Does the proposal have potential for technology transfer to current Enterprise Ireland clients?*
- *Is there potential for a technology spin-out company to be formed based on this proposal?*

Representatives from EI in attendance at the sitting panel meeting will provide input on proposals during the panel discussion. The discussion of the sitting panel will be summarised and provided as feedback to applicants at the end of the overall review process.

Only proposals deemed to be of both excellent scientific quality and demonstrating strong commercial potential are recommended for funding by the sitting panel.

### **SFI Reviewer Code of Conduct**

Experts engaged by SFI are required to abide by the SFI Reviewer Code of Conduct<sup>13</sup>. Amongst other requirements, this includes operation in a confidential, fair, independent and equitable manner. Experts are required to confirm, in advance of carrying out their

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<sup>13</sup> [http://www.sfi.ie/resources/Reviewer-Code-of-Conduct\\_March-2017.pdf](http://www.sfi.ie/resources/Reviewer-Code-of-Conduct_March-2017.pdf)



review(s), that they will do so in a confidential manner. The identity of experts who conduct the postal reviews shall remain confidential and shall not be disclosed to the applicant. SFI shall not be liable for the release of information concerning proposals to third parties by those international experts involved in the peer-review process.

Adherence to the SFI Reviewer Code of Conduct also requires experts to immediately identify and declare where a conflict of interest exists or arises; in such cases, alternative reviewers will be appointed.

Reviewers must adhere to high standards of integrity during the peer-review process. They must not compromise the intellectual property integrity of the application and may not appropriate and use as their own, or disclose to any third party, ideas, concepts or data contained in the applications they review.

## 5. Programme Details

### 5.1 Definition of Lead Applicant and Collaborator

The **Lead Applicant** will be responsible for the scientific and technical direction of the research programme and the submission of reports to SFI. The applicant has primary responsibility and accountability for carrying out the research within the funding limits awarded and in accordance with the *SFI Terms and Conditions of Research Grants*. The lead will serve as the primary point of contact for SFI on the award and during the review process. Co-applicants are not permitted on a TIDA.

A **Mentor** will be an established researcher within an eligible Research Body who will give advice and provide laboratory space and related infrastructure to a postdoctoral award holder. The mentor will act as an advisor and host to the postdoctoral award holder.

An **Academic Collaborator** is an individual from an academic institution who is committed to providing a focused contribution to the project and can enable a convergence across disciplines. The collaborator will serve under the direction of the applicant, and may or may not receive funding through the award. The nature of the collaboration should be referenced in the body of the research proposal. (For example: *Will the collaborators be supplying samples, data, etc.? Will the collaborators be providing training in techniques or the use of equipment? Will the collaborators directly participate in specific work projects? Will collaborators be acting in a purely advisory capacity?*).

## 5.2 Eligibility Criteria of Applicant

Under the TIDA 2018 Programme Call, proposals will be accepted from two different categories of applicant:

- (A) Independent Investigator** – Lead Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on a competitively awarded, internationally peer reviewed research grant secured/active over the last 5 years (2013 – 2018);
- (B) Postdoctoral researcher** (with a maximum of 8 years' postdoctoral experience) currently funded under a competitively awarded, internationally peer reviewed research grant.

In all cases, the applicant must be:

- 5.2.1 A member of the academic staff of an eligible Research Body (permanent or with a contract that covers the period of the TIDA),  
*or*
- 5.2.2 A contract researcher with a contract that covers the period of the TIDA (contract may be subject to receipt of the TIDA).

**Research Body submission confirms that the lead applicant meets these criteria and is either a member of the academic staff, a contract researcher, or awaiting appointment as defined above.**

- 5.2.3 The applicant must hold a PhD or equivalent. Please consult the SFI Policy of PhD Equivalence<sup>14</sup> for further information.
- 5.2.4 Applicants who currently hold a TIDA award (i.e. awarded under TIDA 2017 Programme Call) are not eligible to apply. In such cases, TIDA awardees are strongly encouraged to support and mentor a postdoctoral researcher eligible to apply under Category (B). This is in keeping with the objectives of the TIDA programme to develop awareness of entrepreneurship and the commercialisation process; and to encourage movement from academia into enterprise activities. Furthermore, it provides an important opportunity for early-career stage researchers to gain experience in the management of an award.
- 5.2.5 Applicants who were awarded a TIDA prior to the 2017 Programme Call may be eligible to apply to the current call provided all eligibility criteria are met. However, they must clearly highlight in the proposal how the current TIDA application differs from any previous TIDA applications. In particular, applicants should outline the current technological and commercial development of their most recent TIDA. In the case where an applicant is seeking funding to continue work developed as part of a previous TIDA project, the applicant must outline how all milestones were met in the previous project and justify the rationale to receive funding in the current call.

<sup>14</sup> [http://www.sfi.ie/resources/PHD-equivalence-policy\\_Final\\_June\\_2016.pdf](http://www.sfi.ie/resources/PHD-equivalence-policy_Final_June_2016.pdf)

- 5.2.6 Only one application per person is allowed.
- 5.2.7 Only one application per award is allowed with the exception of the SFI Research Centre programmes (see below: SFI Funded Investigators).

### **(A) INDEPENDENT INVESTIGATOR**

- The applicant must be/have been Lead Principal Investigator (PI) OR Co-Principal Investigator (Co-PI) on a competitively awarded, internationally peer reviewed research grant secured/active over the last 5 years (2013-2018). Awards which only include the salary of the PI and not research-team costs (i.e., salary for team member(s), consumables, etc.) are ineligible as they are not regarded as independent research grants. In addition, awards of short duration (i.e., less than 12 months), travel grants or fellowships are also not considered to be independent research grants. Awards which expired before January 1<sup>st</sup> 2013 may not be used to meet this eligibility criterion.

This includes applicants who hold or have held within the past 5 years an SFI award as Lead Principal Investigator (PI) or Co-Principal Investigator (Co-PI) under the following programmes<sup>15</sup>: PI, SFI IvP Awards and Projects, PICA, RFP, Strategic Partnerships, SRC, CSET, SFI Research Centres, Stokes, Research Professor, PIYRA, SIRG, CDA, Charles Parsons, Mathematics Initiative, US-Ireland (excluding US-Ireland planning grant holders), SFI-Royal Society University Research Fellowship. Applicants who have only held awards which expired before January 1<sup>st</sup> 2013 are not eligible to apply under this condition.

- In the case of large collaborative EU framework projects, a Co-PI/work package leader is eligible to apply provided he/she meets all other eligibility criteria and are the lead PI for their institution. Please note that you may be required to provide evidence of your role in any such projects. As evidence, SFI may request the Research Office of your Host Research Body to provide it with details of the project to satisfy the Foundation of the applicant's role and that research has been undertaken as part of the project. If this evidence is not satisfactory then the Foundation may disregard the inclusion of this project which may in turn, make the application ineligible.

#### **Note: SFI Funded Investigators**

- For SRCs, CSETs, SFI Research Centres and other large-scale awards, SFI Funded Investigators are no longer recognised as a special category of applicant. As such, SFI Funded Investigators are eligible to apply under Category (A) provided all eligibility criteria are met.
- The applicant must be senior author on at least three international peer-reviewed articles. Only original research publications, and not review articles, are

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<sup>15</sup> For information on eligibility of awards not currently listed, applicants should contact SFI at [TIDA@sfi.ie](mailto:TIDA@sfi.ie) prior to the deadline for proposal submission.

acceptable. Please consult the accompanying FAQs regarding the definition of “senior author”.

## **(B) POSTDOCTORAL RESEARCHER**

One of the objectives of the TIDA programme is to encourage movement from academia into enterprise activities. In order to achieve this objective, applications are accepted from postdoctoral researchers who are interested in leading a TIDA and who, at the time of application, are funded under a competitively awarded, internationally peer reviewed research grant. The postdoctoral researcher will be able to request a contribution toward their own salary as part of the budget request. Interested postdoctoral researchers who will be coming to the end of an existing contract before the end of 2018 are particularly encouraged to apply. This provides the postdoctoral researcher with the opportunity to transition to the TIDA and to lead and focus solely on the TIDA for the duration of the award.

- The applicant must not have more than eight years of research experience beyond the PhD or equivalent (i.e., those who graduated after 2010 are eligible to apply). Allowances will be made for documented leave, including maternity leave, paternity leave, parental leave, military service, sick/disability leave, time spent in industry and carer’s leave.
- The applicant must currently be funded under a competitively awarded, internationally peer reviewed research grant and work under the guidance of the Lead Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on the award.
- The applicant must be endorsed by the Lead Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on the award in the form of a Letter of Support. This Letter of Support must indicate that the PI/Co-PI endorses the applicant and must confirm that the PI/Co-PI has agreed to act as mentor (see Section 5.1) to the applicant and to allow the applicant to carry out research within their laboratory space for the duration of the TIDA.

**Note:** The title, identification code and awarding body of the grant under which the Category (B) applicant is funded must be included in (i) the Letter of Support from the mentor AND (ii) the CV of the mentor uploaded to SESAME as part of the application (see Section 5.5).

- The applicant must be an author on at least three internationally peer reviewed articles and must be senior author on at least one internationally peer reviewed article. Only original research publications, and not review articles, are acceptable. Please consult the FAQs regarding the definition of “senior author”.
- The applicant must not hold or have held a competitively awarded, internationally peer reviewed research award of greater than one-year duration.
- An applicant who currently holds a competitive internationally peer reviewed postdoctoral fellowship (e.g. IRC Fellowship) may apply under Category (B)

provided that all eligibility criteria are met, and they can dedicate 100% of their time to the TIDA award, if successful.

- The applicant must not hold a faculty position at the time of application.
- The applicant must be committed to work solely on the TIDA for one year and may not hold another concurrent award.
- The Research Body must confirm that the applicant meets the above criteria and must also provide assurance that the space and infrastructure to carry out the proposed research are available for the duration of the award.

**Where an applicant fails to meet the eligibility criteria outlined above, the application will be deemed ineligible and will not be accepted for review.**

### 5.3 Funding

Applications may be submitted for a TIDA up to a maximum of **€100k** direct costs for a **period of 12 months**. Eligible costs include:

- Materials, consumables and travel.
- Access charges may be sought for use of infrastructure where SFI pre-approved access charge plans are in place.
- SFI offers a place on the Spark Pre-Accelerator as an optional but strongly recommended part of the TIDA programme. Depending on the number of successful applicants, multiple courses may be run during the year. Logistical details will be made available once the awards have commenced. The list of indicative course modules is shown in Appendix B. Note that appropriate justification for attendance at the entrepreneurship training course should be provided in the budget justification section of your application.

Participation in the Spark Pre-Accelerator is only permitted for the PI and, where applicable, other team member(s) directly funded as part of the award.

**Where the applicant is (A) Independent Investigator, they may not apply for their own salary but are permitted to apply for the following staff costs** (In all cases below, please consult the SFI Grant Budget Policy<sup>16</sup>).

- Stipends and Fees to support an MSc student for up to 12 months subject to the condition that MSc students must be registered by the end of June 2018 at the latest.
- Contribution to salary of a Research Assistant.
- Contribution to salary of a Postdoctoral Researcher.

**Where the applicant is (B) Postdoctoral Researcher, they are not eligible to hire additional staff but may apply for funding to support their own salary, on a full-time basis, for the duration of the TIDA.**

<sup>16</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/>

In addition to direct costs, SFI also makes an indirect or overhead contribution to the host research body, which is reflected as a percentage (30%) of the direct costs (excluding equipment). Overheads are payable as a contribution to the Research Body for the indirect costs of hosting SFI-funded research programmes and are intended to enable the research body to develop internationally competitive research infrastructure and support services.

#### 5.4 Submission

**Proposals will only be accepted through SESAME, SFI's online grants and awards management system.**

Access to SESAME is controlled by staff at the Research Office of your Host Research Body. Please follow your internal organisational process to request this access.

Once you have been registered by your Research Office, **you will receive an email** containing:

1. Username
2. Password
3. SFI PIN number
4. SESAME website address

Your **username** and **password** are needed to log in to SESAME.

**SFI's grants and awards management system, SESAME**, is accessed using the Internet; no additional software needs to be installed. You can access SESAME online from any location. The configuration of some browsers and internet infrastructure (pop-up blockers, firewalls, etc.) can restrict an individual's access to the internet and as a result to the SESAME system. If you are having any such difficulties, please contact your organisation's IT support team.

**The SESAME system is accessed using the following Internet address:**

<https://grants.sfi.ie>

Please see the SESAME Users Guides<sup>17</sup> for more detailed information.

**SESAME enables:**

- Individual researchers to apply online for SFI grants.
- Host research bodies to review and authorise all applications.

**Once submitted by the host research body to SFI through SESAME, an application cannot be withdrawn** and subsequently modified for resubmission in the same call, regardless of the date of submission.

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<sup>17</sup> <http://www.sfi.ie/funding/award-management-system/>

## 5.5 Application Procedure

### Abstract Sheet

Researchers intending to act as a Lead Applicant on a proposal must first contact the Research Office of their Host Institution and provide preliminary information through a completed version of the Abstract Sheet found in Appendix D of this call document. This sheet provides a provisional title for the proposal and a brief scientific abstract (max. 200 words) that describes in high-level detail the main objectives of the research to be carried out.

Research Offices must provide SFI with a list of the Lead Applicants from their institution, and the associated titles and abstracts (using the Excel template linked on the TIDA webpage) by email ([TIDA@sfi.ie](mailto:TIDA@sfi.ie)) no later than the 30<sup>th</sup> May 2018, 13:00 Dublin Local Time. Details regarding Mentors and Academic Collaborators are not required at this stage. Research Offices are strongly encouraged to liaise with their corresponding Technology Transfer Offices (TTOs) during this process.

**The abstract requested is mandatory and is required by SFI for planning purposes. No assessment of the eligibility of applicants or proposals will be carried out at this stage.**

**The detail in the abstract may be modified when completing the proposal to this call. However, SFI expects the details in the proposal to be consistent with the preliminary information submitted to the host institution Research Office. SFI reserves the right to withdraw applications where the preliminary information differs significantly from the proposal.**

**Only Lead Applicants that have submitted an Abstract Sheet through their host institution Research Office will be permitted to submit a proposal to the call. Any information submitted directly to SFI, and not through the host institution Research Office, will not be accepted, and submission of a proposal will not be permitted.**

### Full Proposal

Full proposals must be submitted online through SESAME to SFI by the Research Office of the lead applicant's research body before the call deadline.

Applicants must ensure that their SESAME Researcher Profile is linked to an ORCID iD before an application can be submitted.

Applicants should follow carefully the instructions below and in the SESAME Users Guides<sup>18</sup> to complete the various sections of the application. In addition, a checklist of requirements is provided in Appendix C of this call document.

<sup>18</sup> <http://www.sfi.ie/funding/award-management-system/>

### Full proposal submission requirements:

- All text in uploaded PDFs should be provided in Times New Roman font, or similar, with minimum font size of 11, and at least single-line spacing as well as a minimum margin size of 2.5cm. Text in diagrams may be in any clearly legible font.
- Uploads in SESAME must be submitted in Adobe or Microsoft PDF format only.
- The number of pages in uploads must not exceed the specifications for any given section. Applications that do not comply with these requirements will be deemed ineligible and will be returned without review.
- Appendices or other unsolicited documentation are not permitted. Applications that include such unsolicited documentation will be returned without review.
- The currency to be used is the euro (€).
- File sizes of attachments should be less than 5MB.

**Full proposals must be submitted online through SESAME to SFI by the Research Office of the lead applicant's Research Body in advance of the call deadline.**

**Applications not adhering to these requirements, or with incomplete content, will be deemed ineligible and will not be accepted for review, regardless of the date of submission.**

**It is the responsibility of the applicant to ensure that eligible proposals are received by SFI on, or before, the deadline indicated. In order to safeguard against ineligibility, applicants are reminded to adhere rigorously to the guidelines in the call documentation and to review the proposal document prior to submission in SESAME.**

**Early submission in SESAME is strongly recommended. Applicants who wait until shortly before the close of the call to upload their proposal for Research Body review and approval prior to the deadline, take serious risk of encountering submission issues. The submit button will cease to be active at the indicated deadline.**

**Applications cannot be withdrawn and subsequently modified for resubmission in the same call.**

### Step 1: Eligibility Questionnaire

Applicants will be asked to select one of the two options below:

- (A) Independent Investigator – Lead Principal Investigator (PI)/Co-Principal Investigator (Co-PI)** on a competitively awarded, internationally peer reviewed research grant secured/active over the last 5 years (2013-2018)
- (B) Postdoctoral researcher** (with a maximum of 8 years' postdoctoral experience) currently funded under a competitively awarded, internationally peer reviewed research grant



The appropriate set of relevant eligibility questions will then appear for completion.

Category (A) applicants are requested to briefly provide details of any previous funding that has contributed to the current application. In cases where the most relevant award is from SFI, applicants are also requested to provide the award code in the text field provided.

## Step 2: Full Proposal Preparation

### (i) Proposal Summary

#### (a) Proposal Title (max. 30 words)

The Research Proposal title should clearly convey the nature of the research to be undertaken, in up to 30 words. Please note that the title should be non-confidential.

#### (b) Duration of Award Requested (In months)

The duration of the award (in months) should be provided. In the case of TIDA, the duration of the award is always 12 months.

#### (c) Number of Team Members Attending Entrepreneurship Training

An entrepreneurship training course (Spark Accelerator) is offered as part of the award. Applicants should indicate the number of team members expected to attend this training.

#### (d) Priority Area

Please select one of the 14 Refreshed Priority Areas from the drop-down menu as the **Primary Priority Area**, which best describes the proposed research. It is also possible to detail **Secondary Priority Areas** that the research will be relevant to. Alternatively, applicants may select "Other"; in this case, applicants must demonstrate that the proposed research will be of significant industrial relevance and strong economic impact.

#### (e) Research Area

Applicants should select a primary and secondary SFI research areas from the drop-down menus, which best describes the proposed research.

#### (f) Alignment with SFI's legal Remit (max. 250 words)

The applicant must complete a statement (250 words maximum) justifying how their proposed research is aligned with SFI's legal remit. This statement will be used as part of SFI's determination on the eligibility of the application.

#### (g) Ethical Issues

All applicants, in particular, those expecting to carry out research involving the use of animals, human participants, biological material or identifiable (or potentially identifiable) data, are required to complete an Ethical Issues Table, which forms part of the application. The Project Proposal section must include a description of the proposed research and methodology relating to the intended animal- and/or human-based studies. Guidance on the ethical and scientific issues in carrying out such studies is provided on the SFI website.

SFI will require evidence that relevant ethical and regulatory approval has been granted for studies involving human or animal subjects prior to an award commencing.

In exceptional cases where such research may not commence until a later stage of an award, SFI may permit submission of ethical and regulatory approvals following the award start date but prior to commencement of the research involving animal and/or human subjects.

**Clinical Trials**

**Clinical trials and investigations requiring approval by the Health Products Regulatory Authority (i.e., HPRA) will not be permitted through the TIDA Programme.**

**(h) Resubmission Statement**

Applications to any call that are based primarily on previously unsuccessful submissions (following peer review) to any SFI programme must demonstrate that the review comments resulting from the initial application have been taken into account in the preparation of the new submission. Resubmissions that have not clearly taken into account the major comments or concerns resulting from the prior assessment will be withdrawn without review. Please see SFI Policy on Resubmission of Grant Applications for further information.

Applicants must declare whether a new proposal relates to a previously submitted application to any SFI scheme. Where the application is a resubmission, a statement referencing the previous application and explaining the differences must be provided and references to reviewers' comments must be made where relevant. This statement will assist SFI Scientific Staff in the assessment of eligibility of a revised application and will not be shared with reviewers.

**(ii) Lead Applicant Details**

**(a) Location of Applicant**

Please provide the location of the Lead Applicant at the time of application from the drop-down menu.

**(b) Lead Applicant % Commitment to Project**

Please provide the % time commitment of the lead applicant to the project. Note that in the case of applications made under Category (B) this must be 100%.

**(c) Lead Applicant CV - (Upload to SESAME)**

A CV of the lead applicant (max. 6 pages) using the template found at the end of this document should be completed and uploaded (see Appendix A). The CV template is also available for download from the TIDA webpage. The CV not only provides information about the applicant's education, employment record and research outputs, but also identifies up to five key achievements in research and impact.

**(b) Summary information on publication output and supervisory experience to date**

Please provide summary information on the total numbers of publications and supervisory experience to date for the lead applicant.

### (iii) Collaborator(s) Details

#### **Mentor**

Addition of Collaborators (Mentor) Information must be included in this section. Clicking on the “Add” button will open a form into which details about the mentor should be completed. Ensure that “Mentor” is selected in the ‘Collaborator Type’ drop-down menu. Only one mentor may be assigned in the proposal. Once details regarding the name and institution of the mentor have been added and saved, which is achieved by clicking on the “Save Draft” button at the bottom of the application form, it will be possible to upload the mentor’s CV (maximum of two pages) by clicking on the appropriate button. A template is not provided for mentor CVs. Relevant publications for the mentor should be listed, ensuring that the two-page limit is not exceeded.

#### **Academic**

Addition of Collaborators (Academic) Information must be included in this section. Include name, contact information and other requested details of academic collaborator(s), if any. Collaborator CVs are not permitted. Any other planned collaborative activities may be briefly described within the main body of the proposal.

**Industry collaborators are not permitted on TIDA applications, although relevant Letters of Support may be included (see this Section Step 2 (ix)).**

#### **Conflict of Interest**

**SFI recognises that applicants may have a prior relationship with Industry (e.g., a decision-making role in company, such as being the CEO or a major shareholder in the company). In the context of applications submitted to SFI that involve Industry either directly (e.g. as partners or collaborators) or indirectly (e.g. through engagement for concept/market validation), applicants and Research Bodies should manage any potential conflicts of interest. Where a potential conflict of interest exists, SFI requires that it is disclosed by the applicant to the Foundation and Research Body and is managed by the Research Body in accordance with the principles and mandates laid out in the document: *Inspiring Partnership - the National IP Protocol 2016*.<sup>19</sup>**

**Potential conflicts of interest with respect to any Industry partners named in the application should be directly declared within the applicant CV. Furthermore, the Host Research Body Letter of Support (See Section 5.5 (ix)) should contain a description of the institutional policy regarding management of such conflicts.**

### (iv) Main Body of Proposal

#### **(a) Keywords (max. 15 words)**

Please list the keywords/phrases from the research discipline or sub-discipline that best describe the research proposed in the application.

<sup>19</sup> <http://www.knowledgetransferireland.com/ManagingIP/KTI-Protocol-2016.pdf>

**(b) Scientific Abstract** (max. 200 words)

This should be a succinct and accurate summary, in technical language, of the proposed work when separated from the application. Confidential information should **not** be included in the Scientific Abstract.

**(c) Lay Abstract** (max. 100 words)

This should be a succinct and accurate summary in lay, non-technical language of the proposed work when separated from the application. Confidential information should **not** be included in the Lay Abstract.

**(d) Project Proposal** (max. 6 pages) - (Upload to SESAME)

The project proposal must be at maximum 6 pages in total (excluding references) and must be structured under the following headings and sub-headings:

- **Personal Statement** (max. 1/2 page)

The statement should describe any qualifications, experience (e.g. entrepreneurship), achievements or awards and interests relevant to the application. Applicants are particularly encouraged to describe their ambitions and aspirations for the TIDA.

Importantly, the personal statement may be used by reviewers as part of the overall evaluation process to gain deeper insight into the motivations of the applicant and understand the broader context of their application.

- **Technical Description**

**What is the question that this proposal addresses?**

This section should include project objectives and hypotheses, as appropriate. The objectives should be coherent and well planned and should be linked with tangible deliverables that demonstrate the commercial potential of your idea. This section must include supporting data which clearly demonstrates that development has progressed beyond basic proof of principle.

**Why is this question significant?**

This section should include the scientific and commercial background for context. Details of the state of the art in the research field should be included (with references). A clear explanation should be given as to why the questions addressed are key ones to addressing the commercial potential. In this context, specific reference should be made to the supporting data.

**How will the question be addressed and what are the expected outcomes?**

This section should provide details of the methodology and what achievable outcomes are to be expected. The current stage of development, as indicated by the supporting data should be described, and a description of what is to be achieved during the award should be provided (applicants should as part of the Commercial Opportunity section reference how the proposed technological development will progress any commercial objectives and enable commercial opportunities to be exploited).

A clear project plan with specific reference to expected timelines, milestones and deliverables for the proposed research must be included. A Gantt chart may be included as part of project plan (applicants should ensure that the chart is clearly legible).

- **Commercial Opportunity**

**What is the potential market for your technology?**

This section should include a description of the potential addressable market for the technology, identify the unmet market need and clearly outline how the proposed technology will address this need. A description of how this unmet market need was identified and validated should be provided. In cases where there is disruptive potential, briefly describe the impact of the technology (e.g. how it could drastically alter the way we work and live; or alter how businesses operate and compete).

**What are the innovative aspects of your technology and how does it compare to competing technologies/products in the market?**

This section should provide details of competing technologies currently in the market that you are aware of. Describe what is novel and innovative about your technology and describe how it is/will be differentiated from existing/competing technologies/products in the marketplace. As part of this description, please outline any potential advantages/disadvantages associated with your technology/product.

**How do you propose to commercialise this technology/product?**

Describe a potential route to commercialisation for this technology. In particular, refer to any interactions you have had or intend to develop with industry that may facilitate this process.

In addition, refer to any interactions you have had with your Institution's Technology Transfer Office in relation to the development of a potential route to commercialisation. These interactions should be reflected in the Letter of Support provided by your Institution's Technology Transfer Office. As part of this, describe briefly how you propose to develop this technology and clearly indicate the role of the TIDA in this roadmap. Please also refer to any other funding mechanisms that you could potentially employ to progress this idea following completion of a TIDA project (e.g. SFI/NSF I-Corps@SFI Entrepreneurial Training Programme<sup>20</sup>).

**Intellectual Property**

This section should include a brief description of the current status of any IP relevant to the current proposal and future plans to manage IP arising from the proposal. This section should be completed in close consultation with your Institution's Technology Transfer Office.

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<sup>20</sup> <http://www.sfi.ie/funding/funding-calls/i-corps@sfi/index.xml>

- **If you have held a TIDA previously you must clearly highlight how the current TIDA application differs from previous applications.**

If the application relates to a previous TIDA, the applicant must outline how all milestones were met in the previous project and justify the rationale for follow on funding within the scope of TIDA.

**(e) References** (max. 1 page)

**(v) Expired, Current and Pending Support of Applicants**

**The lead applicant must report on any expired, current and pending funding.**

- The applicant should include details of any financial support pending or received over the previous 10 years. This should include competitive research funding received from funding agencies (international & national), charities, industry, etc.
- The applicant must include details of any financial support from another body *currently provided*, or *currently being sought*. SFI will not support research programmes currently being funded by another source.
- For each current and pending grant listed, the applicant should provide a brief description of the research. Applicants must also indicate their percentage time commitment to these other projects, as a function of 100% of their total working time.
- For pending grants, please include the expected decision date in the description box.
- For grants for which the applicant is/was contractually responsible (expired or current), the applicant must indicate the funding source, the value of the grant (€), the grant number, and the duration. The grant specific website, where possible, should also be provided in the description box.
- For collaborative expired and current grants where the applicant is not the sole grant-holder, indicate the funding source, whether the applicant is the PI, or Co-PI, name the other partners on the grant, state the total value of the grant (€) and the amount of the grant (€) allocated in the applicant's name, state the grant number, and the duration. The grant specific website, where possible, should also be provided.
- If the applicant is solely a collaborator on a collaborative research project, the grant should not be included here.
- The portion of research funding that you claim in your name must be an accurate and a fair reflection of your responsibility in the projects listed and must be verifiable as such. SFI may conduct audits to verify such claims and reserves the right to reject proposals where the above principle of proportionality is not observed.
- This section of the proposal will be reviewed as part of the applicant's track record. Applicants with extremely large numbers of expired grants over the previous ten years may be selective with which funding grants to include in this

section. The most prestigious grants and those most relevant to the proposed research should be included.

**Research funding may be added directly to the application or added from the applicant's profile (see SESAME Users Guides<sup>21</sup>). If this section is left blank it will indicate that the applicant has NO expired, current or pending funding.**

The applicant must complete the textbox detailing potential overlap between current and pending funding and the proposed research in this application. For each current and pending grant listed above, the applicant must clearly indicate any scientific overlap with this application, referring only to overlap in content.

#### **(vi) Proposed Budget**

Please note that the **Budget Table** for completion by the applicant(s) is located at the end of the full proposal application in SESAME.

The costs eligible for grant support by SFI are those costs which can, uniquely and unambiguously, be identified with the proposed research programme. Applicants must give details of all relevant costs, including staff, equipment, materials travel and training. Ensure that the final total provided includes all costs requested from SFI. All grants are made directly to the lead applicant's research body. Please also refer to the **SFI General Terms and Conditions<sup>22</sup>** and also the **SFI Grant Budget Policy<sup>23</sup>**.

**See notes for completion in the SESAME Users Guides<sup>24</sup> and within SESAME.**

##### **a) Staff: Salaries and benefits**

Please refer to the SFI Grants Team Member Budgeting Scale<sup>25</sup> and note that the 'Cost to Grant' figures in these scales include the 20% employer's pension. Please note that the submission of an application by the host Research Body must only take place once salaries requested have been approved and justified.

See Section 5.3 for details on allowable salaries and benefits under the TIDA Programme.

##### **b) Equipment**

Details of all requested equipment necessary for the research programme should be itemised. Requests for large pieces of equipment should not be included in the proposal. Small equipment of a value of **less than €2,000** should be included in the materials and consumables section. The exception to this is costs associated with computers/laptops, which must be listed in the equipment section regardless of cost. If funding for computer cluster resources is requested, justification must be given as to why national high-performance computing facilities cannot be used for the purposes of the project.

<sup>21</sup> <http://www.sfi.ie/funding/award-management-system/>

<sup>22</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/sfi-general-terms-and-conditions/>

<sup>23</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/>

<sup>24</sup> <http://www.sfi.ie/funding/award-management-system/>

<sup>25</sup> [http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/1.-SFI-Team-member-scales\\_amendments\\_January-2018\\_Final.pdf](http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/1.-SFI-Team-member-scales_amendments_January-2018_Final.pdf)



### c) Materials and Consumables

Details of all materials and consumables that will be used in the course of the research programme should be provided.

Access charges may be sought for use of infrastructure where SFI pre-approved access charge plans are in place<sup>26</sup>. These may include, with SFI approval, access to facilities and services not available to the applicant, such as the costs associated with accessing international databases or commissioning specific experiments in national facilities (e.g. Tyndall, CRANN etc.). The Tyndall National Access Programme (NAP) provides researchers with access to Tyndall National Institutes' facilities and expertise and Tyndall NAP access costs should be included with appropriate justification.

Access charge requests must be included as a separate line item in the budget and where relevant must include the name of the relevant infrastructure to be used. A rationale for the amount of use proposed must be provided in the budget justification.

#### **SFI Spark Pre-Accelerator**

Funding requested for team members to attend the SFI Spark Pre-Accelerator may be included under the Materials and Consumables budget heading. Applicants wishing to attend the pre-accelerator should include a line item entitled “**SFI Spark Pre-Accelerator**” in the Materials and Consumables budget section. The course cost is €950 per person. The pre-accelerator is delivered by the DCU Ryan Academy for Entrepreneurs<sup>27</sup>. Please note that any travel related to pre-accelerator attendance should be listed in the Travel section of the budget.

### d) Travel

Only travel costs for journeys directly related to the progress of the TIDA may be requested. The applicant should detail travel expenses directly related to commercialisation activities. In the case of working visits, the rates sought for subsistence and other allowances may be no more than those which the Research Body's permanent staff may claim. In the case of travel budget requests to attend academic conferences a strong case must be made as to how attendance at the conference would further the commercialisation aspects of the project.

#### **Travel and accommodation to attend the SFI Spark Pre-Accelerator**

If a team member is interested in attending the SFI Spark Pre-Accelerator, a request for reasonable travel and accommodation costs may be made as part of the budget. Economy fares on trains, buses or flights can be requested. As a public sector agency, SFI supports the use of public transport but where this is not possible, budget for taxi fares can also be requested. The maximum allowable budget for travel to the SFI Spark Pre-Accelerator is €500. The maximum allowable budget for accommodation for the SFI Spark Pre-Accelerator course is €500.

### e) Ineligible Costs

The following costs are *examples* of ineligible costs: PhD stipends and fees; teaching buyout, clinical buyout, contingency or miscellaneous costs, hospitality and

<sup>26</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/>

<sup>27</sup> <http://ryanacademy.ie/>



entertainment costs; technology transfer or any Intellectual Property protection costs (e.g. patent costs); workshop organisation; journal subscriptions; relocation expenses.

**(vii) Infrastructure, facilities, services and space to be provided by Research Body (max. 1 page)**

Describe the infrastructure, facilities and space to be provided by the Research Body. This should include details of the office, laboratory, computing, animal or other facilities as necessary, where the research will be done, including all of the equipment that will be available, but excluding equipment requested in this application.

**(viii) Budget Justification (max. 2 pages)**

The applicant should outline the required expertise for the requested team member and justify the team member's role in the research programme. Please include the salary scale (as per SFI Grants Team Member Budgeting Scale<sup>28</sup>) for the team member. Clear and explicit justification is required for any request for an experienced post-doctoral researcher, i.e. one who will be appointed higher than Level 2A, Point 1 of the SFI team member budgeting scales.

Justification should also be provided for all requests relating to: small items of equipment, consumables and travel. Justification for the attendance of the SFI Spark Pre-Accelerator course must also be included.

Clear indication should be given where funding is apportioned to collaborators (within the Republic of Ireland and within an eligible Research Body only). Please note that collaborators outside the Republic of Ireland are not eligible to receive funding through the TIDA. Only eligible Research Bodies will be entitled to receive direct funding through the grant and all funding will be administered through the lead applicant's research body.

SFI encourages TIDA applicants, where appropriate, to avail of national facilities to demonstrate their technology. Costs for the use of national facilities should be clearly outlined and justified. Where available, SFI pre-approved access costs must be used.

If funding is sought for use of overseas equipment/services, this should be clearly justified and the rationale for not carrying out this activity in Ireland must be provided.

**(ix) Letters of Support**

- A Letter of Support from the **Technology Transfer Office** outlining the commercialisation strategy for the TIDA and highlighting any relevant details regarding the TIDA, including for example possible routes to market, IP landscape etc., **must** be included.
- A Letter of Support from the **Host Research Body** of the lead applicant which should comment on the significance of the proposal in terms of the commercialisation strategy of the Host Research Body and related infrastructure and services available to the applicant. In addition, in cases where team members will be transferring to the TIDA from another active SFI research grant, an outline the management plan (i.e. a description of how the individual will be replaced on the original award) to assure that

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<sup>28</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/budget-finance-related-policies/>

both awards progress satisfactorily should be provided. Note also the Host Research Body Letter of Support should contain a description of the institutional policy regarding management of conflicts of interest.

- Where the applicant wishes to apply under **Category (B) Postdoctoral researcher**, a signed Letter of Support from the Mentor must be included. The Mentor is the PI (award holder) of the award on which the applicant currently works. This Letter of Support must indicate that the PI endorses the applicant and must confirm that the PI has agreed to act as mentor and to allow the applicant to carry out research within their laboratory space for the duration of the TIDA. The Letter of Support must include details of the applicant's current role and funding arrangements including remuneration level. The grant identification code and grant title under which the applicant is currently funded must be included in (i) the Letter of Support from the Mentor AND (ii) the CV of the Mentor uploaded to SESAME as part of the application (see Section 4.6). The Letter of Support must demonstrate that the Mentor has the infrastructure and capability to host the team member during the course of the TIDA.
- Letters of support from potential future industry partners may also be included where appropriate to demonstrate the relevance and business need for the proposed technology.

#### **(x) View Proposal Prior to Submission**

A PDF of your proposal is available in SESAME and should be reviewed prior to submission to enable you to validate your application. The responsibility lies with the applicant in this regard. Submission is made initially to your local research office for approval, prior to submission by the research office to SFI.

Please contact your Research Office well in advance in order to obtain registration details for SESAME and familiarise yourself with any internal Research Body submission deadlines.

Applicants will receive a notification from SESAME periodically when the status of their proposal changes. Alternatively, if you wish to track the status of your proposal e.g. proposal pending Research Office approval or under review at SFI, this information will be displayed in SESAME.

## **6. Application Agreement to Terms and Conditions**

It should be noted that submission of an application represents agreement from the applicant to the SFI General Terms and Conditions<sup>29</sup>. The submission of an application shall also be construed as consent by the applicants to participate in the peer-review process. SFI reserves the right to return applications without review where they do not meet the eligibility criteria.

## **7. Research Body Approval**

It should be noted that Research Body submission of an application represents their approval of an application and agreement to SFI General Terms and Conditions of Research Grants<sup>29</sup>. Submission must only be made by an authorised Research Body representative. In particular, the Research Body is approving:

<sup>29</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/sfi-general-terms-and-conditions/>

- The eligibility of the applicants
- That the applicants are, or will be upon receipt of the grant, recognised as employees of the Research Body for the duration of the grant
- That the requested budget including salaries/stipends, equipment, travel and consumables are in line with accepted institutional guidelines
- The availability of infrastructure within the institution as outlined by the applicant in the research proposal
- That the proposed research programme has not been funded by other sources
- That relevant ethical and regulatory approval has been or will be sought and must be granted prior to the award commencing
- That the relevant licences will be in place at the time of award
- That the details provided in relation to research funding history i.e., current, pending or expired grants, as detailed in the application, are valid and accurate
- That permission from all team members and collaborators has been obtained, such that SFI may receive their personal information, and may process such data for the purpose of peer review.

## 8. Deadlines

The deadline for submission by Research Offices of a list of the Lead Applicants from their institution, and the associated titles and abstracts (using the Excel template) by email ([TIDA@sfi.ie](mailto:TIDA@sfi.ie)) will be **30<sup>th</sup> May 2018, 13:00 Dublin Local Time**.

**Only Lead Applicants that have submitted an Abstract Sheet through their Host Institution Research Office will be permitted to submit a proposal to the call. Any information submitted directly to SFI, and not through the Host Institution Research Office, will not be accepted, and submission of a proposal will not be permitted.**

The deadline for full proposal submission will be **22<sup>nd</sup> June 2018, 13.00 Dublin Local Time**.

**After this deadline, applications will not be accepted by SESAME, and therefore, will not be reviewed by SFI.**

## 9. Intellectual Property Management

IP management practices will be in accordance with national guidelines. In particular, IP processes arising out of TIDAs must comply with the practices and procedures described in the national IP protocol document *Inspiring Partnership – the national IP Protocol 2016*<sup>30</sup>. Specifically, all IP generated through the TIDA will be owned by the Research Body named on the Letter of Offer and will be subject to the following conditions:

### **Disclosure of conflict of interest and prior communication with third parties**

The Host Institution hereby represents and warrants on its own behalf and on behalf of the Applicant, all Research Staff and Other Staff associated with the Project, having made reasonable and diligent enquiries of them, that no conflict of interest arises from their

<sup>30</sup> <http://www.knowledgetransferireland.com/ManagingIP/KTI-Protocol-2016.pdf>

participation in the Project and full and frank disclosure has been made in the TIDA proposal concerning all prior or pending communications with industry, any company, scientific publisher, person or other body concerning the Project including the possible exploitation of potential Foreground IP and/or Background IP insofar as the latter would affect the exploitation of Foreground IP in accordance with the terms of this Letter of Offer.

### **Intellectual Property Access**

The Host Institution hereby warrants that it has a right to full and unfettered ownership of all Foreground IP and that there is no formal or informal arrangement with, or commitment given by it to any person, group of persons, company or other body that could affect that right or attach conditions to it. The Host Institution hereby further warrants that there is no formal or informal arrangement with, or commitment given by on behalf of the Applicant, any member of the Research Staff or Other Staff associated with the Project to any person, group of persons, company or other body that could affect its rights to unfettered ownership of all Foreground IP or attach conditions to it. The Host Institution hereby further warrants that, insofar as can be reasonably determined it is not aware that any arrangement or commitment of the type referred to in this clause is in place with respect to Background IP that would affect the exploitation of Foreground IP in accordance with the terms of this Letter of Offer.

## **10. Common Issues with Applications Submitted to TIDA**

A number of examples of reasons of why applications have not been funded by the TIDA programme in previous calls are outlined below; applicants are strongly advised to consider these points when preparing their application to ensure they are adequately addressed.

- ***The research is too early stage:*** Keeping in mind that the timeline for commercialising an idea or technology can vary significantly with area, a proposal to the TIDA programme should have the necessary data or information to show that a one-year project will progress the idea to a stage where the technical feasibility has been demonstrated and potential for commercialisation has been investigated.
- ***The route to market is unclear:*** This review feedback is usually a symptom that the applicant has not given enough thought to what the market is for their idea, how they would go about accessing that market, what commercialisation activities they would undertake, what technologies or products already exist in the marketplace to address the problem being tackled by the TIDA application and why their idea is better.

Applicants should also note:

- Proposals where there is no viable commercialisation route in Ireland, either through the formation of a start-up, or via technology or knowledge transfer to an Irish-based industry partner, for example, will need to make a compelling case for the value of the project to Ireland in order for funding to be considered.
- Applicants should include as much detail as possible on the relevant Intellectual Property (IP) landscape surrounding their idea and also include detail on the target market, demonstrating that they will have freedom to operate within this landscape. If a proposal is deemed fundable, the successful applicant's institution will be asked to sign off that they have the right to full and unfettered ownership of all Foreground IP.

Applicants are strongly encouraged to obtain input and advice from their institution's Technology Transfer Office (TTO) as early as possible during proposal preparation. A Letter of Support from the TTO must be provided. Detailed TTO input shows that the applicant is thinking about, and has knowledge of, the next stages in the commercialisation process. It should be noted that typically reviewers have looked on this favourably.

## 11. SFI Policies and Positions

In advance of applying to any SFI programme, applicants are expected to be familiar with all relevant national and SFI policies including, but not limited to, the following:

**Clinical Trials** – Research programmes that include clinical trials as part of the study must adhere to the **SFI Clinical Trial and Clinical Investigation Policy**,<sup>31</sup> as well as with the requirements set out by the Health Products Regulatory Authority (HPRA).

**Animal Usage** – Applicants intending to use animals in their research projects are obliged to comply with the **SFI Use of Animals in Research Policy**,<sup>32</sup> and should also ensure that their studies are in line with the HPA's position on the use of animals in research.

**Research Integrity** – SFI places high importance on ensuring research integrity and endorses the **National Policy Statement on Ensuring Research Integrity in Ireland**.<sup>33</sup> All applicants and institutions are expected to abide by this policy and the **European Code of Conduct for Research Integrity**.<sup>34</sup>

**Doctoral Education** – For postgraduate students funded by SFI, the host Research Body is expected to adopt the principles, standards and good practice for doctoral education as described in the **National Framework for Doctoral Education (2015)**,<sup>35</sup> which SFI has endorsed.

**Intellectual Property Management** – Please refer to Section 9.

**Gender Strategy** – Research should fully consider potential biological sex and socio-cultural gender dimensions as key analytical and explanatory variables. As articulated in the **SFI Gender Strategy**,<sup>36</sup> applicants are recommended to demonstrate that they have considered any potential sex/gender aspects in their proposed research programme.

**Appeals Process** - This policy establishes procedures and responsibilities for the appeal of the declination of a proposal by SFI.<sup>37</sup>

**State Aid** - All SFI funding granted under this call will be subject to and must be compliant with State aid law. As such, proposals must be designed to ensure that any funding received from SFI does not, directly or indirectly, give rise to the granting of State aid.

Potential applicants are referred to the guidance provided by the European Commission in Section 2 of its **2014 Framework for State aid for research and development and innovation**

<sup>31</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/ethical-and-scientific-issues/>

<sup>32</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/ethical-and-scientific-issues/>

<sup>33</sup> <http://www.iaa.ie/wp-content/uploads/2014/06/National-Policy-Statement-on-Ensuring-Research-Integrity-in-Ireland-2014.pdf>

<sup>34</sup> [http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics\\_code-of-conduct\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf)

<sup>35</sup> [http://www.heai.ie/sites/default/files/national\\_framework\\_for\\_doctoral\\_education\\_0.pdf](http://www.heai.ie/sites/default/files/national_framework_for_doctoral_education_0.pdf)

<sup>36</sup> <http://www.sfi.ie/about-us/women-in-science/>

<sup>37</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/other/>

(2014/C 198/01)<sup>38</sup>. If in any doubt as to the interpretation or application of this guidance, potential applicants are advised to seek independent legal advice.

**Child Protection** – Where relevant, applicants and Research Bodies are required to comply with the provisions of the **Children First Act 2015**,<sup>39</sup> and the **National Guidance for the Protection and Welfare of Children 2017**.<sup>40</sup> It is the responsibility of the Research Body to ensure that they are compliant with all applicable law.

**Data Protection Policy – The General Data Protection Regulation** is a legal framework that sets out guidelines for the collection and processing of personal information of individuals within the European Union.<sup>41</sup> Applicants are advised that they must be compliant with this regulation if they collect or process personal data.

SFI may collect, use and disclose personal data provided in the application and/or otherwise obtained under, or in connection with, the application for processing the submission, for the performance of its statutory powers and functions, and for the general activities of SFI. Further details regarding SFI's collection, use and disclosure of personal data, and the rights of individuals with respect to any personal data held by SFI, are available in the **SFI Privacy Statement**.<sup>42</sup>

During peer-review procedures, information may be sent to external experts in countries outside of the European Economic Area, including countries that are not recognised by the European Commission as having adequate data protection laws. By submitting an application to SFI, the Research Body and members of the Research Team are agreeing that they consent to the processing and transfer of personal information in this way.

During the application process or at any time thereafter, SFI may contact the Research Body, the Principal Investigator, or any member of the Research Team with regard to funding opportunities, activities or events organised by SFI or other relevant bodies, or for the purposes of monitoring and evaluation (including, but not limited to, the collection of scientific data or data relating to the application process). SFI may choose to authorise a third party to contact the Research Body, the Principal Investigator or any member of the Research Team on its behalf.

Current SFI policies and positions will be reviewed on a regular basis; applicants are advised to consult the policy information in advance of submission of a proposal.

## 12. Award Management

### Progress Reporting Requirements

SFI has stringent requirements for the reporting on awards that it makes. Individuals who hold the primary responsibility for reporting and who fail to comply with reporting requirements, run the risk of having their grant payments suspended.

In order for SFI to evaluate the success of a TIDA, awardees will be asked to report on the outputs arising from their award. As such, at the end of the 12-month TIDA, award holders

<sup>38</sup> [http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52014XC0627\(01\)&from=EN](http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52014XC0627(01)&from=EN)

<sup>39</sup> <http://www.irishstatutebook.ie/eli/2015/act/36/enacted/en/pdf>

<sup>40</sup> [http://www.tusla.ie/uploads/content/Children\\_First\\_National\\_Guidance\\_2017.pdf](http://www.tusla.ie/uploads/content/Children_First_National_Guidance_2017.pdf)

<sup>41</sup> <https://www.eugdpr.org/>

<sup>42</sup> <http://www.sfi.ie/privacy/>



will be asked to complete both a detailed annual report and an on-line survey. Submission of the annual report is through SESAME where detailed guidelines can also be accessed in relation to the reporting template. The TIDA Survey which enables longitudinal capture of TIDA outputs and impacts is also completed in SESAME (see further details below). The degree to which the award achieves the objectives set out in the TIDA Programme call will be evaluated from these reports.

### **The TIDA Annual Report**

Each of the TIDA programme call objectives, with expected outputs, is discussed in turn below:

- ***To demonstrate the feasibility of an innovative idea for further commercial exploitation***

Success against this objective will be determined from productivity in a number of areas. In the annual report, awardees will be asked to outline milestones that support the feasibility of their idea for further commercialisation. These milestones should include fulfilling the technical objectives of the project and any formal commercialisation steps that have taken place. They might also include steps such as the production of prototypes, the engagement with commercialisation funders or investors, or the protection of intellectual property. It is recognised that innovation can be driven by the combination of ideas or processes from different disciplines. As such, awardees should report on collaborators that are associated with the award and that have supported its successful outcome, if relevant.

- ***To develop awareness of entrepreneurship and the commercialisation process***

It is expected that the TIDA will allow the awardee to gain a better understanding of the business requirements and operations central to commercialising the products of academic research. In the online survey, awardees will be directly asked to rate the improvement of their own and their team's awareness of the commercialisation process. Awardees will be asked to report on initiatives for the training of team members, and to provide details of their participation in various aspects of the commercialisation process. These may include meetings with industry, technology transfer offices or other commercialisation agencies such as Enterprise Ireland. Additionally, evidence of engaging with commercialisation steps such as the protection of intellectual property through invention disclosures, filing patents or applications for follow-on funding should be reported.

- ***To encourage movement from academia into enterprise activities***

One of the key performance indicators described in Agenda 2020 is to 'Increase the percentage of SFI trainees moving to industry as a first destination'. It is expected that a TIDA will provide the experience and opportunities for researchers to carry an idea from the academic sphere to a commercial one. Additionally, the skills gained by participation in a TIDA are expected to improve employability in sectors outside academia. Metrics/outputs in support of this indicator include the destination of team members following the close of the award and all evidence supporting the increased knowledge of TIDA award-holders and their team about the commercialisation process.

- ***To build demonstrators/prototypes***

Where applicable to a particular project, an objective of the TIDA project is to enable the production of a demonstrator or prototype as a stage in the realisation of a new commercial product. In the reporting process, awardees should describe demonstrators/prototypes that have been developed and examples where these have been demonstrated to interested companies or investors.

- ***To improve existing industrial processes***

In cases where the objective of a TIDA is to improve an existing industrial process, technical and scientific information will be provided by the awardee relating to the improvements made.

### **The TIDA Online Survey**

The purpose of the short online-survey is to collate quantitative metrics and to enable awardees to self-assess performance on their award. Due to the nature of a typical commercialisation time-line, it is important to capture the outputs of the project for a period beyond the formal end of the TIDA, and as such the survey will be completed on an annual basis for 5 years after the conclusion of the award. This survey is undertaken using the SESAME award management system.

The self-assessment section instructs the awardees to select one of the categories listed below which most closely matches the output of their award.

1. Commercialisation/Business plan activated.
2. Industrial Collaboration formed.
3. Commercialisation/Business plan developed.
4. Application made for follow on funding, e.g. Enterprise Ireland commercialisation fund, Angel or VC funding.
5. Patent filed.
6. Other commercial IP generated, e.g., copyright, trademark, know-how, standards
7. Invention disclosure filed.
8. Not pursuing project as feasibility study demonstrated no/limited commercial potential.

Awardees will be asked to complete follow on surveys on an annual basis for five years, where they will be instructed to select one of the following categories that most closely matches the output from their award.

1. Company founded
2. Licensing Option/Assignment Achieved
3. Industrial Collaboration formed
4. Patents Granted
5. Follow on funding secured, e.g. EI CF, VC, Angel, Industry
6. Patents Filed
7. Not pursuing project as award outputs demonstrated no/limited commercial potential

### **13. Questions**

FAQs are available on the TIDA webpage. For all additional queries please contact:

[TIDA@sfi.ie](mailto:TIDA@sfi.ie)



## APPENDIX A: Applicant CV Template

Please note that the applicant's full research funding track record and supervisory details should be uploaded via SESAME and should **not** be included in this CV.

The CV should not exceed 6 pages in length.

### SECTION 1 – Applicant Details (max. 3 pages)

#### NAME AND CONTACT DETAILS

#### CAREER PROFILE (Education and Employment)

*Applicants may provide details of any career breaks (for example, due to parental leave or long-term absence through illness) or periods of part-time work.*

#### INNOVATION/COMMERCIALISATION ACTIVITY

*Include details on, for example, relevant industry collaborations, qualified invention disclosures, pending and granted patents, licences and spin-out activities.*

#### KEY ACHIEVEMENTS (Research and Impact)

*Give details of **up to five** achievements that have provided significant impact or which have greatly influenced any field in science, technology, engineering or mathematics. Any type of achievement may be included in this section, and applicants are encouraged to elaborate on the various ways in which they have influenced researchers and their disciplines, or demonstrated significant economic and/or societal impact(s). For each example, provide an outline of the stated achievement, what **specific** role was played by the applicant, and how the field and, where relevant, the wider community and society have benefitted or have been influenced as a result. References to published material may be added as required.*

## SECTION 2 – Publication Details (max. 3 pages)

### A. SELECTED SENIOR-AUTHOR PUBLICATIONS

*Detail up to 10 peer-reviewed, senior-author (that is, first, joint-first or last author) primary-research publications, which will confirm, **where relevant**, that the applicant meets the eligibility requirements for publications for this programme. Refer to the appropriate section of this call document for details on senior-authorship requirements. Preprints may only be included where a Digital Object Identifier (DOI) is quoted. **Note that publications where the applicant claims joint-first authorship will only be accepted as senior-author publications where the article clearly verifies this.***

### B. OTHER PUBLICATIONS

*Applicants should list any other publications (where they are a senior author or otherwise) that they wish to be considered in the assessment of this application. Applicants should ensure that their primary research outputs are prioritised; however, reviews, essays and any other secondary-research articles relevant to this application may also be listed.*

## APPENDIX B: SFI Spark Pre-Accelerator

The SFI Spark Pre-Accelerator aims to foster an entrepreneurial mindset among STEM researchers and to support them in developing innovation and entrepreneurship skills to realise economic and societal impact from their research. The pre-accelerator comprises an intensive 5-day programme, delivered by the DCU Ryan Academy for Entrepreneurs<sup>43</sup>, that will cover a range of topics relevant to STEM research commercialisation including:

- **Entrepreneurship** - principles of entrepreneurship, entrepreneur's characteristics, the importance of entrepreneurship in the market economy, entrepreneurship and innovation
- **Evidence-Based Entrepreneurship** - the Lean LaunchPad Methodology and Business Model Canvas
- **Innovation** - principles of innovation, innovation processes, innovation management, research commercialisation
- **Intellectual Property (IP) and Strategy** – types and uses of IP, IP strategy in value creation
- **Basics of Setting Up A Business** – introduction to business planning, basics of finance, marketing and sales relevant to startups
- **Communications and Pitching** – basic principles of communications, storytelling, value articulation, pitching

The pre-accelerator will employ a blend of lecture-based learning, practical work and case studies, and provide participants with networking opportunities relevant to enhancing their entrepreneurial skills and developing their general knowledge of research commercialisation. The pre-accelerator will culminate in a “pitch-off” competition at which selected candidates will present a business concept based on the technology they are developing under the TIDA.

As part of the pre-accelerator, participants will be expected to undertake practical work that reinforces lecture-based learnings. For examples, participants may develop a Business Model Canvas or map stakeholders associated with research commercialisation both nationally and within their own institutions. This work will be compiled in a portfolio that will be reviewed at the end of the pre-accelerator.

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<sup>43</sup> <http://ryanacademy.ie/>

## APPENDIX C: TIDA Proposal Checklist

<b>SECTION</b>	<b>DESCRIPTION</b>	<b>REQUIREMENTS</b>
<b>Proposal Summary</b>	Title	Max. 30 words
	Total funding requested	Budget is indicative
	Select 1 of 2 eligibility criteria	Choose 1
	Select 'Priority Area' option as appropriate	
	Research categorisation areas	Choose 2
	Alignment with SFI legal remit	Max. 250 words
	Ethical Issues	Complete Table
	Resubmission statement	Complete (where relevant)
<b>Lead-applicant details</b>	Percentage time commitment	NB: Cat. (B) 100%
	Summary info – publication/ supervisory	
	CV – use template provided (see Appendix A)	Max. 6 pages
<b>Collaborator details – Mentor Category (B)</b>	Name/Contact details etc.	
	CV – no template provided	Max. 2 pages
<b>Collaborator(s) details - Academic</b>	Name/Contact details etc.	
<b>Main Body of Full Proposal</b>	Keywords	Max. 15 words
	Scientific abstract	Max. 200 words
	Lay abstract	Max. 100 words
	Project Proposal (Upload to SESAME)	Max. 6 pages
	References	Max. 1 page
<b>Expired, Current or Pending Support of Applicants</b>	Expired, Current & Pending Funding	
	Indicate scientific overlap	Max. 600 words
<b>Proposed Budget</b>	Details of all relevant costs	Budget Table
<b>Infrastructure</b>	Applicant to complete detail on the infrastructure, facilities, services and space to be provided by the Research Body	Max. 1 page
<b>Budget Justification</b>	Outline the justification for the requested costs	Max. 2 pages
<b>Letters of Support</b>	Technology Transfer Office	
	Host Research Body	
	Category (B) – Letter of Support from Mentor	
	Industry (If applicable)	

**Viewing the PDF of your application prior to submission allows you to verify content**

**There is no system validation on multiple upload file fields as the number of documents required may vary for each application.**

**It is the responsibility of the applicant to ensure that all documentation is included and that page lengths are not exceeded.**

**APPENDIX D: Abstract Sheet**

<p><b>PROGRAMME NAME:</b> SFI/EI Technology Innovation Development Award (TIDA) Programme 2018</p>	<p><b>CLOSING DATE FOR RECEIPT OF ABSTRACTS</b> 30<sup>th</sup> May 2018, 13:00 Dublin, Ireland local time</p>
<p><b>PROPOSAL TITLE</b> (max. 30 words):</p>	
<p><b>NAME OF HOST INSTITUTION:</b></p>	<p><b>FULL NAME OF LEAD APPLICANT:</b></p>
<p><b>SCIENTIFIC ABSTRACT</b> (max. 200 words):</p>	