



## Irish Research Council Laureate Awards 2018/19

(Ireland's Frontier Research Programme)

Advanced Laureate Award (ALA)

### TERMS AND CONDITIONS

#### IMPORTANT DEADLINES

|                                       |   |
|---------------------------------------|---|
| Call opening                          | Monday, 14 <sup>th</sup> May 2018                         |
| FAQs open                             | Monday, 14 <sup>th</sup> May 2018                         |
| Expression of Interest (Eoi) deadline | Wednesday, 4pm (Irish time)<br>20 <sup>th</sup> June 2018 |
| FAQ final deadline                    | Thursday, 5 <sup>th</sup> July 2018                       |
| DEADLINE FOR APPLICATIONS             | Thursday, 4pm (Irish time)<br>12 <sup>th</sup> July 2018  |
| Outcome of Phase 1 Assessment         | December 2018   |
| Outcome of Phase 2 Assessment         | March 2019  |
| Outcome of selection process          | March 2019  |
| Award commencement date               | By Monday, 9 <sup>th</sup> September 2019                 |



AN ROINN OIDEACHAIS  
AGUS SCILEANNA | DEPARTMENT OF  
EDUCATION  
AND SKILLS

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## SECTION 1: BACKGROUND TO PROGRAMME

### 1.1. Background

The health of the Irish research eco-system depends on a balanced set of funding measures which cultivate excellent research and researchers across all career stages, from postgraduate students to senior professors at the forefront of their disciplines internationally.

A strong bedrock of basic research is essential to the healthy functioning of our eco-system, providing the environment for world-class education, training and development, for new discoveries and the future application of those discoveries for economic or societal impact. A consensus has emerged in recent years that Ireland's research and innovation framework contains a significant gap, namely opportunities for exceptional researchers to conduct frontier basic research across all disciplines beyond postdoctoral level.

*Innovation2020*, Ireland's strategy for research and development, science and technology, notes that 'frontier research is research at and beyond the frontiers of current understanding. It is intrinsically risky and is characterised by the absence of disciplinary boundaries'<sup>1</sup>. *Innovation2020* affirms the existence of the critical gap in the Irish landscape and recommended the establishment of a frontier research funding programme, to be administered by the Irish Research Council. The Council opened the first Call under this programme in 2017, resulting in the making of 36 awards with an associated investment of c.€18m. Funding to launch the second iteration of the Irish Research Council Laureate Awards programme was made available by the Minister for Education and Skills under the 2018 budget. For this 2018 call, the Council is inviting applications from research leaders at an advanced stage in their career.

Funding will be awarded on the basis solely of excellence, assessed through a rigorous and independent international peer-review process. Laureates will enhance their track record and international competitiveness at their given career stage. As well as the benefits for the Laureate and their team, it is anticipated that the award will enhance the potential for subsequent ERC success as a further career milestone; indeed, it will be a requirement of all Laureates that they make a follow-on application to the ERC.

### 1.2. Mission of the Irish Research Council

The Council, an associated agency of the Department of Education and Skills under the aegis of the Higher Education Authority, funds research across all disciplines on the basis of excellence. The Council supports the development of excellence in research within the higher education system as a whole, facilitating exceptional researchers to independently develop their ideas within their chosen discipline and across disciplines. In addition to its strong focus on early-stage research careers, the Council actively partners with

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<sup>1</sup> Department of Jobs, Enterprise and Innovation (2015), *Innovation 2020: Excellence, Talent, Impact*, p.40. See also High-Level Expert Group Report (2005), *Frontier Research: The European Challenge*, p.9.

enterprise, government departments, statutory agencies and civic society and makes awards for collaborative research with these entities. It does so to enable skills and career development and to enrich the knowledge and expertise available to society and its stakeholders. The introduction of the *Irish Research Council Laureate Awards* programme enables the Council to deliver further on its remit and role by enhancing its investment in excellent basic research across all career stages, from PhD to Senior Professor.

### **1.3. Retaining and attracting world-class researchers**

Government policy promotes the Irish research and innovation system as an attractive location for world-class talent, both ‘home-grown’ and international. Internationalisation within the research system is a healthy and desirable process for a modern knowledge-based society as it brings new knowledge, perspectives, and skills to our research institutions.

The fast-changing geopolitical landscape creates both opportunities and challenges for Ireland’s research eco-system. The system is very well regarded internationally in relation to factors such as academic freedom, a culture of open intellectual engagement and support for innovation. This, together with its position as an English-speaking country within Europe, can make Ireland an increasingly attractive location for international researchers, in particular those for whom unfettered European collaboration and access to EU and other sources of research funding is key to their research work.

The Irish Research Council Laureate Awards programme supports policy to promote the Irish research and innovation system as an attractive location for world-class talent, for both researchers based in Ireland and researchers wishing to relocate to Ireland. Applications for a Laureate award are invited from researchers based anywhere in the world who wish to relocate to an Irish research-performing institution to carry out frontier research.

## **SECTION 2: OUTLINE OF PROGRAMME**

### **2.1. Overall Aims & Objectives**

The aims and objectives of the Irish Research Council Laureate Awards programme are as follows:

- To enhance frontier basic research in Irish research-performing organisations, across all disciplines;
- To support exceptional researchers to develop their track record, appropriate to their discipline and career stage;
- To build the international competitiveness of awardees and Ireland as a whole;
- To leverage greater success for the Irish research system in European Research Council awards;
- To encourage excellent researchers in Ireland to continue to develop their work, and to catalyse opportunities for talented researchers currently working outside Ireland, to relocate to Ireland.

## 2.2. Description of Irish Research Council Laureate Awards Programme 2018<sup>2</sup>

The 2018 Call invites applications for *an Advanced Laureate Award*

The aim of the Advanced Laureate Award is to enable excellent Principal Investigators, who are already established research leaders with a recognised track record of research achievements, to continue to pursue world-class research. Applicants must demonstrate the ground-breaking nature, ambition and feasibility of their scientific proposal. Applicants will have a track record of significant research achievements in their chosen field spanning a minimum of a 10-year period (unbroken or broken) within the last fifteen years.

A summary of the award is outlined below:

| Award Type              | Duration      | Value  | Award Start Date                                      | Discipline coverage | Location                        |
|-------------------------|---------------|--|---|---------------------|---------------------------------|
| Advanced Laureate Award | Up to 4 years | Max. of €1,000,000 (inclusive of 25% overhead and pro rata temporis <sup>3</sup> ) | Awards must commence by 9 September 2019 <sup>4</sup> | All disciplines     | Irish HEI/RPO (see footnote 5). |

**The Council invites excellent and original research proposals from suitably qualified, individual applicants. It is important to note that this programme will NOT support applications that seek to extend current research projects funded by the Council or other funding agencies.**

### 2.2.1. Application to the European Research Council (ERC)

It is a condition of holding an Irish Research Council Advanced Laureate award that a follow-on application is made by the awardee to the ERC for an Advanced Grant. Ideally this will occur prior to the end of the Laureate award, but no later than within one year of the award end-date or next available ERC call deadline where this does not occur within one year of the end of the Laureate award. In fulfilling this condition, awardees are not expected to apply to ERC within the first 24 months of the Laureate award. Should a Laureate awardee not submit an application to the ERC within the expected timeframe, the awardee will NOT be eligible to apply for further Council PI-led programmes.

<sup>2</sup> The Irish Research Council acknowledges the European Research Council (ERC) as many aspects of this programme are closely informed by the ERC Advanced grant programmes.

<sup>3</sup> The maximum award is reduced pro rata temporis for projects of a shorter duration.

<sup>4</sup> Contracts must be signed, and accounts must be set up with host institution for deposit of funding by 31 May 2019.

Applicants should bear in mind that the ERC does not fund incremental research. Any subsequent application to the ERC must be for a novel idea and not research too closely related to the Laureate Award proposal.

### 2.2.2. Who can apply for an Irish Research Council Laureate Award?

Researchers based in Ireland or anywhere in the world may apply to the Irish Research Council Laureate Awards programme. Awards must be held at an eligible higher-education institution or research performing organisation in Ireland.<sup>5</sup> *Applications may be made in any of field of research.*

### 2.2.3. Portability

Awards are held by individual researchers and will be portable within the Republic of Ireland, subject to conditions and approval of the Irish Research Council.

## SECTION 3: WHO SHOULD APPLY & ELIGIBLE EXPENSES

### 3.1. Eligibility Criteria

All applicants to the Irish Research Council Laureate Awards programme must meet the following eligibility criteria:

#### (i) PhD eligibility

In order to be eligible to apply for an Advanced Laureate award, applicants must have been awarded his or her first PhD (or equivalent doctoral degree)<sup>6</sup>.

| Award Type                     | Applicant   |
|--------------------------------|---|
| <b>Advanced Laureate Award</b> | <p>Applicant should have been awarded their first PhD*</p> <p>&gt;15 years prior to 1 January 2019</p> <p>(&gt;17 years prior to 1 January 2019 if holding a medical degree**)</p> <p>Cut-off date:</p> <p>1 January 2004 (inclusive)</p> |

<sup>5</sup> An eligible higher education institution in Ireland must be: within the meaning of Section One of the Higher Education Authority Act, 1971; and/or approved for the purposes of the Free Fees initiative; and/or in receipt of some other form of public funding from the Department of Education and Skills. An eligible research performing organisation (RPO) is one that possesses an existing in-house capacity to carry out research that materially extends and enhances the Irish research base and is in a position to demonstrate an independent capability to undertake and lead research projects/programmes, **as approved by the Council**. A list of eligible Irish HEIs and RPOs is provided on [www.research.ie](http://www.research.ie). Ireland shall for the purposes of these Terms & Conditions mean the Republic of Ireland.

<sup>6</sup> See Appendix 4 for more information on PhD and Equivalent Doctoral Degrees for the Laureate Awards programme.

*\*The official date of the PhD is defined as the year in which the PhD was conferred, i.e. the year stated on the official PhD certificate. The number of years refers to calendar years.*

*\*\*For medical doctors, this may be the applicant's medical degree or PhD - depending on whether the applicant has held a position requiring doctoral equivalence and when. Please note that if the medical degree is the earliest degree that makes the applicant eligible for the call, the certified date of the MD completion plus two years is the time reference for calculation of the eligibility time-window and the date that needs to be entered in this field (i.e. over 17 years past MD for Advanced Laureates).*

As part of the application process, applicants will be required to upload a verifiable copy of the degree certificate in order to confirm the date of award of the PhD degree. In order to substantiate the equivalence of their overall training to a PhD, medical doctors need to provide certificates of both a medical doctor degree and a PhD or proof of an appointment that requires doctoral equivalency, e.g. clinical appointment and information on their research experience, including peer-reviewed publications.

The Council recognises that in exceptional cases, senior researchers with a competitive track record may not have a PhD or equivalent qualification. In recognition of this, applications will be accepted from these researchers provided they have over 20 years of research experience. These applicants must ensure that Section E of their institutional letter of support is filled out. This will confirm that they have suitable research experience and track record to apply.

## **(ii) Track record**

The aim of the Advanced Laureate Award is to enable excellent Principal Investigators, who are already established research leaders with a recognised track record of research achievements, to continue to pursue world-class research. Applicants must demonstrate the ground-breaking nature, ambition and feasibility of their scientific proposal.

Principal Investigators will be active researchers and have a track record of significant research achievements spanning a minimum of a 10-year period (unbroken or broken) within the last fifteen years. There is little prospect of an application succeeding in the absence of such a record. Applicants whose research has been impacted by a career break or increased time commitment to an administrative role in their institution should highlight this in their application.

Principal Investigators are expected to demonstrate a record of achievements appropriate to the field by matching one or more of the following:

- 10 publications as main author (or in those fields where alphabetic order of authorship is the norm, joint author) in major international peer-reviewed, multi-disciplinary journals and/or in the leading international peer-reviewed journals and peer reviewed conferences proceedings of their respective field;



- 2 major research monograph(s) and any translations thereof;
- 2 granted patent(s);
- Invited presentations to internationally established conferences and/or international advanced schools;
- At least 1 research expedition led by the applicant Principal Investigator;
- Major contributions to launching the careers of outstanding researchers;
- Examples of leadership in research in their chosen fields;
- International recognition through prizes/awards/memberships;
- Other forms of peer-reviewed recognition of achievement.

For this highly competitive programme, applicants are encouraged to evaluate their track-record against these benchmarks to assess their likelihood of success, thus avoiding investing effort in proposals that are very unlikely to succeed.

### **(iii) Employment status**

Applicants must either:

- Hold an academic post (permanent, or a contract that covers the duration of the award) in the proposed host institution, **or**
- Be an individual who, upon receipt of a Laureate award, will be conferred by the proposed host institution with a contract of employment of sufficient duration to cover the term of the award. The contract of employment must enable the Laureate to independently direct the research project and provide for the necessary accommodation and supporting infrastructure.

By providing the letter of support, the proposed host institution confirms that the applicant is either a member of the academic staff or will be conferred with such status as defined above if the application is successful.

All Laureates must be based within, and employed by, the proposed host institution for the period of the award. Awards will not be made on a joint appointment basis with other institutions.

International applicants must satisfy the State's regulations on immigration and employment and have the support of their proposed host institution with respect to these regulations and requirements if not a national of a member state of the European Union (EU). Arrangements with respect to immigration will be a matter for settlement between the applicant and his/her proposed host institution and the relevant immigration authorities of the State.<sup>7</sup>

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<sup>7</sup> <http://ec.europa.eu/euraxess/index.cfm/services/index> provides information on living and working in Europe.

#### **(iv) Expected time commitment of the Principal Investigator**

It is the expectation of the Council as funder that the research project of the Laureate will be the main research focus/activity over the lifetime of the award. Accordingly, laureates are expected to spend a **minimum** of 25% of their time working on the project.

In cases where a new research contract of employment arises as a result of obtaining a Laureate Award, and the Laureate wishes to charge their full employment costs to the award, their minimum time commitment to the project must be 50% (see Section 3.3 below for more details).

Principal Investigators funded through Irish Research Council Advanced Laureate Awards shall be tax resident in the Republic of Ireland (ROI).

#### **(v) Funding History<sup>8</sup>**

Eligibility to apply for the Advanced Laureate awards may be affected if the applicant has held or currently holds, any of the following awards:

- Irish Research Council Starter or Consolidator Laureate Award

Current holders of Irish Research Council Laureate awards are not eligible to apply for this Call.

- ERC Starting or Consolidator Grant

Applicants holding an ERC Starting or Consolidator Grant which finishes within twelve months of the Laureate Advanced Award Call deadline (11<sup>th</sup> July 2018) may apply for an Advanced Laureate Award. It is not intended that successful applicants would concurrently hold an ERC Grant and an Advanced Laureate Award. However, the Council will allow a maximum period of overlap of three months from the start-date of the Laureate award (until December 2019 if selecting the latest allowable start date of 9 September 2019) to enable successful applicants to finish out their ERC Grant obligations.

- ERC Advanced Grant

Applicants who currently hold or who have ever held an ERC Advanced Grant cannot apply for this scheme.

#### *Pending ERC applications*

Applicants may have a pending ERC grant application at the time of application for a Laureate award. Where an applicant for a Laureate award secures an ERC award during the Laureate application process or in the conditional offer phase, the Laureate application/award will be terminated. In these circumstances, Laureate applicants are required to inform the Council immediately of the ERC award.

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<sup>8</sup> Applicants will be deemed to hold an award at a particular date if any obligations from any of the parties to the award remain outstanding as at that date.

Applicants who are successful in obtaining ERC funding after the conditional offer phase, must inform the Council. They may retain the Laureate award only if the project is distinct from the ERC grant. The Council will not double-fund similar projects.

#### **(vi) Resubmissions**

The number of applications across all the Council's programmes always greatly outnumber the number of awards that can be made. As such, restrictions will apply as to how many times an applicant can re-submit a proposal for an Irish Research Council Laureate Award. Applicants may apply for each of the Laureate awards a maximum of twice.

Ineligible or withdrawn proposals do not count against any of the above restrictions.

Applicants should carefully and objectively evaluate their track record against the criteria set out above – in order to ascertain if they are competitive at the time of application for this programme – before deciding whether to apply.

### **3.2. Eligible Costs**

All costs sought must be detailed and fully justified. Applicants must clearly demonstrate that the costs sought are necessary to undertake the research project and that facilities are not available via any other means. Demonstration of value for money is an important consideration under the evaluation process. Applicants need to provide clear and convincing justification of their costings and should think carefully about the time and resources needed to complete the research successfully within the specified period. Overheads can be requested up to a maximum rate of 25% (of direct costs less equipment).

Only eligible costs as set out below will be considered. Applicants should ensure that their budget calculations are correct and seek guidance from their research office when preparing their budget to ensure that they are adhering to institutional guidelines and policies.

### **3.3. Staff Costs**

The budget for staff costs as proposed in the application must be clearly justified. It will not be sufficient to provide a breakdown of how the costs are calculated; applicants must explain why the costs are sought for the project; and how all personnel for those costs are sought will contribute to the project.

#### **3.3.1. Laureate (Principal Investigator) costs**

There are two types of eligible cost associated with the Laureate's salary.

- (i) Replacement costs

- (ii) Employment costs for a new research contract of employment

**The two categories are mutually exclusive and both types of costs cannot be sought within the same application.**

- (i) Replacement costs to alleviate the Laureate's commitments and facilitate their participation as Principal Investigator.

Costs may be requested to facilitate the re-allocation of existing commitments of the Laureate (e.g. teaching) in order that they can devote appropriate time and effort as Principal Investigator to successfully complete the Irish Research Council Laureate award. Up to €54,189<sup>9</sup> per annum on a pro rata basis can be charged to the project to facilitate the Laureate's participation. If the existing academic commitments of the Laureate are fully replaced, the full amount of €54,189 per annum can be charged to the project and the funding will be used to recruit one whole-time person, e.g. a postdoctoral fellow, to discharge the Laureate's existing commitments.

Calculation for replacement costs:

$$y * \text{€}54,189 = \text{Maximum Eligible costs}$$

$$y = \text{Whole-Time Equivalent (WTE) applicant will spend on the project}$$

Example a: 0.3 WTE to be spent on project, max. eligible cost is  $0.3 * \text{€}54,189 = \text{€}16,257$

Example b: 0.6 WTE to be spent on project, max. eligible cost is  $0.6 * \text{€}54,189 = \text{€}32,513$

*Employment Costs of Laureates who are permanent members of staff are not eligible costs under the Laureate awards. Any budget requests for such costs in the application will not be considered.*

- (ii) Contribution to employment costs of a new research contract of employment of the Laureate.

Where hosting of the Laureate gives rise to a new research contract of employment, up to 100% of the Laureate's employment costs may be charged to the award for the duration of the award. In this regard, consideration must be given to sector salary norms and the overall budgetary requirements for a feasible research project, including the engagement of other research personnel. If a contribution to the Laureate's employment costs is being requested, the host institution must guarantee to fund the balance of the employment costs for the duration of the award (only applies if the Laureate is requesting less than 100% of their employment costs).

In these cases of a new research contract of employment, to charge 100% of the applicant's employment costs to the Laureate Award, the applicant must devote a minimum of 50% of their WTE to the research project. If their time commitment is less than

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<sup>9</sup> This rate aligns with the whole-time costs of a Post-Doctoral Researcher (L2.5) <https://www.iua.ie/download/68507/>

50%, the applicant's employment costs must be calculated on a pro rata basis. As per Section 3.1, please note that the minimum time commitment expected of any Laureate remains 25%.

Calculation for employment costs of Laureates with new research contract of employment:

$$y*z/0.5 = \text{Maximum eligible costs}$$

$$y = \text{WTE applicant will spend on the project}$$

$$z = 100\% \text{ of the employment costs of a WTE (including employer's PRSI and pension costs if applicable)}$$

Example a: 0.45 WTE to be spent on project, max. eligible cost is  $0.45 * \text{€}109,128 / 0.5 = \text{€}98,215$ .

Example b: 0.375 WTE to be spent on project, max. eligible cost is  $0.375 * \text{€}109,128 / 0.5 = \text{€}81,846$ .

Example c: 0.25 WTE to be spent on project, max. eligible cost is  $0.25 * \text{€}109,128 / 0.5 = \text{€}54,564$ .

A summary of the policy is as follows:

| Options   | Approved contribution costs   |
|---|---|
| (i) Seek costs to re-allocate existing commitments of Laureate                              | Up to €54,189 per annum <sup>10</sup> pro rata to time commitment on the project (inclusive of Employers PRSI (10.85%) and pension costs (20%) where applicable) to re-allocate existing commitments of Laureate. These costs can be pro-rated.   |
| (ii) Seek contribution to costs for new research contract of employment awarded to Laureate | Up to 100% of the employment costs (including Employers PRSI and pension costs where applicable) of the Laureate can be charged to the award for the duration of the award, subject to sector salary norms and the overall budget requirements for a feasible project.<br><br>The applicant must devote at least 50% of their time to the Laureate Award project to avail of 100% employment costs. Please see section above for further details. |

<sup>10</sup> Fifth point on the [IUA salary scale](#) for postdoctoral fellows.

### 3.3.2. Laureate award team members

| Staffing Category   | Approved rates   |
|---|--|
| PhD Students/<br>research masters<br>students <sup>11</sup> | Postgraduate stipend of €16,000. The stipend can be supplemented from other funding sources if required.<br><br>Tuition fees are capped at the Irish Research Council rates of €5,750 for EU and non-EU students.  |
| Postdoctoral<br>Fellows                                     | Applicants should use the IUA researcher salary scale for research assistants and postdoctoral fellows. The point on the scale should be determined by qualifications and experience and the rationale for selecting this point should be explained in the budget justification. The requested salary must include provisions for PRSI (10.85%) and Employer Pension Contribution (20%). These costs can be pro-rated where appropriate. |
| Research<br>Assistants                                      |  |
| Other   | Other personnel costs may be considered such as technicians and digital archivists etc. These costs must be explicitly justified and institutional salary scales can be used for this category. As part of the award acceptance process, the research office must provide documentary evidence of the salary scale used.   |

### 3.3.3. Recruiting Staff

The recruitment of staff (e.g. research assistants, postdoctoral researchers, postgraduate students) must be done openly, through public advertisement. Staff must be recruited for the specific project and awarded topic only. Recruitment of staff can commence before the start date of the project and costs for recruitment can be charged to the project (outside the official start date) with the prior approval of the Council.

An Employment Control Framework (ECF) for the higher education sector was issued to the sector on 11th March 2011. Discussions with the Department of Education and Skills in relation to a new Delegated Sanction Agreement to replace the ECF are expected to conclude shortly. In the interim, institutions must continue to adhere to the principles of the ECF.

### 3.4. Eligible Research Expenses

All research expenses must be strongly justified. Should a particular expense be insufficiently justified within an otherwise successful application, the Council reserves the right to remove/amend this particular expense item at award-offer stage.

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<sup>11</sup> Taught masters/diploma/taught doctorate students cannot be recruited to a Laureate award.

|   |  |
|---|--|
| <b>Travel costs</b>                                 | Costs for travel, subsistence and accommodation may be requested. Details on the number of trips, location, purpose and duration of the trips should be provided and the team members involved. Requests for travel and accommodation should be in line with institutional rates and norms for travel and accommodation. <b>Business class travel is NOT an eligible cost.</b>   |
| <b>Materials &amp; consumables</b>                  | Where relevant to the viability of the project, the following research costs may be sought but are not limited to: books and journals, animal costs, bench fees, laboratory fees, recruitment fees, survey costs, costs for participants in focus groups, etc. Costs related to data management for the duration of the project can be included in this category.<br><br>Small equipment of a value of less than €1,000 should be included in the materials and consumables section, with the exception of computer equipment.   |
| <b>Publication Costs</b>                            | Publication costs can include the following but are not limited to: open access costs (see Section 6.6), copyediting, indexing, copyright, images, proofreading, etc. Archival and digitization costs may be included in this category.<br><br>It is the Council's expectation that all publication costs should be incurred <u>during</u> the period of the award rather than being built into a budget but with anticipated expenditure after the award has concluded. If the costs are not incurred during the lifetime of the award, the funds cannot be transferred to any other budget heading and must be returned to the Council.  |
| <b>Dissemination &amp; Knowledge Exchange costs</b> | Costs associated with the dissemination of the research, seminar/conference attendance (provide details of name and location where possible) and other channels of dissemination and material e.g. leaflets, reports, websites, etc. and other knowledge exchange activities.  |
| <b>Access to research infrastructure</b>            | Research Infrastructures are facilities, resources and services that are used by research communities to conduct research and foster innovation in their fields. They include: major scientific equipment (or sets of instruments), knowledge-based resources such as collections, archives and scientific data, e-infrastructures such as data and computing systems and communication networks and any other tools that are essential to achieve excellence in research and innovation. They may be 'single-sited', 'virtual' or 'distributed'. <sup>12</sup><br><br>Charges for access to facilities and services not directly available to the applicant, such as the costs associated with commissioning specific experiments in research facilities and National Testbeds (e.g. ICHEC, Tyndall, CRANN, etc.) and access to necessary facilities, services, |

<sup>12</sup> European Commission (2016), [European Charter for Access to Research Infrastructures: Principles and Guidelines for Access and Related Services](#), p.9.



|                            |  |
|----------------------------|--|
|                            | <p>archives which are not available in the host institution, i.e. consultancy fees, methodological support, bio banking, Clinical Research Facility (CRF) support, MRI facilities may be requested.</p> <p>Requests may also be included for accessing international databases and facilities or for the commissioning of experiments in international facilities/research labs where appropriately detailed. Justification should be provided where the required infrastructure is not available in Ireland.</p>  |
| <b>Relocation expenses</b> | <p>Only applies to applicants who are moving to Ireland from another country specifically to take up the award. <b>A maximum of €5,000 can be sought under this heading and can only be sought for Year 1 of the award.</b></p>  |
| <b>Overheads</b>           | <p>Overheads can be charged at a rate of 25% of modified direct costs less equipment.</p>  |
| <b>Equipment</b>           | <p>For equipment costs, provide details and justification for any small items of equipment being sought. The Council will pay particular attention to any equipment sought (e.g. laptops, voice recorders, etc.). Any such requests will require a strong rationale and an account of why such items might not be already available to an applicant or fundable from core budgets.</p> <p>All Equipment must be acquired, in compliance with all National and EU procurement guidelines, at the most cost-effective price and upon the most competitive terms having regard to the needs of the Laureate Research Programme in relation to economy, time, and quality, and without any conflict of interest.</p> <p>Details of all requested equipment necessary for the research programme should be itemised and the rationale for why it must be purchased (i.e. access to it is not currently available to the applicant) should be included.</p> <p>In the event of an equipment item which costs in excess of €50,000, the quote number and cost must be included in the budget justification. Quotations should also be available for services costing in excess of €50,000. Documentation supporting such quotations must be kept in a manner and form that will meet audit requirements and such documentation must be made available to the Council on request.</p> <p>The financial elements of proposals will be considered as part of the assessment process.</p> |

### 3.5. Ineligible research expenses

Examples of ineligible costs include:

Journal subscriptions; Fees for speakers (Honoraria); Legal fees; Membership fees; Childcare costs; Smartphones/tablets; Subventions to publishers.



### 3.6. Gender Equality in Research

The Irish Research Council is an excellence-based, equal opportunities funder.

The Council has a responsibility to ensure that it actively works to maximise collective research intelligence, creativity and innovation, and to only fund excellent research which has maximum impact and societal benefit, thus ensuring the quality of the Irish research system.

The Council's gender strategy and action plan<sup>13</sup> commits it to systematically and consciously working to address gender challenges by:

- encouraging more equal gender representation in the research population, for example by showcasing relevant role models;
- acknowledging unconscious gender bias may exist and taking steps to limit any effect on internal processes and procedures to deliver a level playing field for all applicants;
- supporting the development of national initiatives to remove gender related structural constraints and barriers in the recruitment, advancement, retention and mobility of all researchers in the Irish research system;
- increasing awareness of the need to consider whether a potential sex and/or gender dimension is relevant in a research proposal and, where relevant, requiring integration of sex/gender analysis into the design, implementation, evaluation and dissemination of the research (see Section 4.2.1 below) in relation to requirements for the Laureate awards.

The Council as a research funder is contributing to the implementation of the National Review of Gender Equality in Higher Education Institutions<sup>14</sup>. Work has already commenced in this regard with the joint announcement by Ireland's research funding agencies that future institutional funding will be contingent on Athena Swan accreditation<sup>15</sup>. Also relevant is the Council's statement on Dignity in the Conduct of Research (see Section 6.12 below).

In accordance with the Council's Gender Strategy and Action Plan, gender balance<sup>16</sup> will be sought on each of the International Assessment panels for the Laureate awards. In addition, all international peer reviewers will be provided with information on unconscious bias.

## SECTION 4: HOW TO APPLY

### 4.1. Application Process

Intending applicants who do not already have a user profile on the Council online submission portal will need to create one before submitting an application.

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<sup>13</sup> [http://research.ie/assets/uploads/2013/01/irish\\_research\\_council\\_gender\\_action\\_plan\\_2013\\_-2020.pdf](http://research.ie/assets/uploads/2013/01/irish_research_council_gender_action_plan_2013_-2020.pdf)

<sup>14</sup> <http://hea.ie/assets/uploads/2017/06/HEA-National-Review-of-Gender-Equality-in-Irish-Higher-Education-Institutions.pdf>

<sup>15</sup> <https://www.ecu.ac.uk/equality-charters/athena-swan/athena-swan-ireland/>

<sup>16</sup> At least 40% of each gender to be represented

An Expression of Interest (Eol) form must be submitted to [laureate@research.ie](mailto:laureate@research.ie) by the applicant via their institution's Research Office. Their Research Office must submit the Eol form on their behalf on or before **4pm (Irish time), Wednesday 20<sup>th</sup> June 2018**. Failure to submit an Eol by this deadline will disqualify applicants from submitting a full proposal. This will be strictly enforced.

Please note, the Eol is for internal Council use only, it will not be critically assessed or distributed externally. The sole function of the Eol is to enable the Council to identify suitable remote peer reviewers and panel members (based on the focus of your research) in a timely fashion so that we are prepared to invite them to participate in this process as soon as possible. As such, while the Eol should have similar themes and focus to the final proposal, it is not expected to perfectly match the final proposal. A template Eol form is available on the Council website on the Advanced Laureate Award page.

A **full application** will be submitted using the Council online submission portal by the applicant on or before **4pm (Irish time), Thursday 12<sup>th</sup> July 2018**.

Please refer to the online **Guide for Applicants** for a step-by-step guide to submitting an application via the Council online submission portal.

Applicants affiliated to a recognised higher-education institution or recognised RPO in Ireland must inform the research office (or other appropriate office) of their institution of their intent to submit an application to the programme. Canvassing by or on behalf of applicants will render an application automatically ineligible. Where this occurs, the application will not proceed to the competition proper.

## **4.2. Preparing Your Application**

### **4.2.1. Sex/Gender Dimension**

The Irish Research Council requires all applicants to demonstrate that they have given full consideration to whether there is a potential sex and/or gender dimension in their proposed research. Applicants should consult Appendix 1 *Guidance on the Sex-Gender Dimension in Research Content* for further information.

### **4.2.2. Data Management Plan**

In 2016 the European Commission adopted three goals for EU research and innovation policy: open science, open innovation and open to the world.<sup>17</sup> An important aspect of open science is a move towards open access to research results funded with public money. Facilitating access to those results encourages the re-use of research output. Science and research have always been open, but some of the processes for producing research and disseminating its results are not. It is now widely recognised that making research results more accessible to all societal actors contributes to better and more efficient science, and to greater innovation in the public and private sectors.

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<sup>17</sup> European Commission (2016), [Open Innovation, Open Science, Open to the World: a vision for Europe](#), pp.6-7.

Applicants are required to address the data management needs of their research project. As part of the application, applicants will furnish an outline Data Management Plan (DMP) appropriate to their project and, if successful, a detailed DMP will be submitted to the Council within six months of the award commencement date. If a DMP is not required, applicants must justify why this is so.

A DMP is a **key element** of good data management. A DMP describes the data management life cycle for the data to be collected, processed and/or generated by a research project. As part of making research data *findable, accessible, interoperable and re-usable* (FAIR), a **DMP should include information** on:

- the handling of research data during and after the end of the project;
- what data will be collected, processed and/or generated;
- which methodology and standards will be applied;
- whether data will be shared/made open access. If data cannot be made available, explain why;
- how data will be curated and preserved (including after the end of the project).

Applicants should be cognisant of the upcoming General Data Protection Regulations (GDPR) and should consult the list of resources in Appendix 2 for further information. Funded proposals should meet the upcoming GDPR requirements.

#### **4.2.3. Ethical Approval**

The Council is committed to the maintenance of high ethical standards in the research that it funds through this programme. The proposed research proposal shall comply with ethical principles and relevant national, EU and international legislation including the *Charter of Fundamental Rights of the European Union* and the *European Convention on Human Rights and its Supplementary Protocols*. Awardees should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different various national, sectoral or institutional Codes of Ethics.

The Council is not in a position to award funding for research activity under any of the following prohibited areas:

- human cloning for reproductive purposes;
- genetic modification of human beings that could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be funded);
- creation of human embryos solely for the purpose of research, or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

#### *Ethics Self-Assessment*

Ethics serves to identify any ethical aspects of the proposed work. The ethics self-assessment table has to be completed (via the Council online submission portal only)

even if there are no issues (simply confirm that none of the ethical issues apply to the proposal). Please note that, in case you answer YES to any of the questions, you are requested to provide an Ethics Self-Assessment. The aim of the ethics self-assessment is to provide guidance for discussion of ethics issues that may arise in the proposal and to identify how the applicant will deal with the identified issues.

Common ethical issues include:

- the involvement of children, patients, vulnerable populations;
- the use of human embryonic stem cells;
- privacy and data protection issues;
- research on animals and non-human primates.

Ethical concerns also include the avoidance of any breach of research integrity, which means, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct.

Where a Laureate's research proposal requires approval by the Host Institution Ethics Committee or equivalent committee, written evidence of such ethical approval is required by the Council within six months of the start of the award.

Applicants are advised to consult the H2020 Guidance document [How to complete your ethics self-assessment](#) before completing the ethics self-assessment. See Appendix 3 for more information on the ethics self-assessment table.

#### *Responsibilities of the Host Institution*

The Host Institution must have in place clear ethical guidelines and assurance procedures designed to manage research under its direction. The Host Institution and awardee must ensure that the research complies with all national and international regulation requirements governing the use of sensitive materials or processes, for example: radioactive isotopes, ionising radiation, laboratory animals or other animals, pathogenic organisms, genetically manipulated organisms, toxic and hazardous substances, and research on human subjects and human embryos. The aforementioned examples do not constitute an exhaustive list.

If access to archival material in private custodianship or archival material with restricted access is required for the project, written evidence of appropriate permission to consult such material must be furnished to the Council at the award acceptance stage

#### **4.2.4. Application Documents**

A single submission of all required documentation will be followed by a two-stage evaluation approach. At both stages, the full proposal will be assessed.

A **complete proposal** will comprise the following documents, to be uploaded via the Council online submission portal:

- a) Lay Summary – 300 words max.
- The lay summary should provide a concise description of the research proposal which is written in easily accessible language to a general audience.
- b) Abstract – 300 words max.
- The research abstract should, at a glance, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved.
- c) Detailed Research Proposal – 15 pages max.
- The research proposal must provide a detailed description of the scientific and technical aspects of the proposal, demonstrating the originality and novelty of the research, the proposed research methodology (including key risk and contingency plans) and its potential impact. The detailed proposal must include a detailed budget justification. Explicit and clear justification should be provided for each budget category. References do not count towards the page limit. *The research proposal should include the following:*

**(i) State-of-the-art and objectives**

Specify clearly the objectives of the proposal, in the context of the state-of-the-art in the field. When describing the envisaged research it should be indicated how and why the proposed work is important for the field, and what impact it will have if successful, such as how it may open up new horizons or opportunities for science, technology or scholarship. Specify any particularly challenging or unconventional aspects of the proposal, including multi- or interdisciplinary aspects.

**(ii) Methodology**

Describe the proposed methodology in detail including, as appropriate, key intermediate goals. Explain and justify the methodology in relation to the state-of-the-art, including any particularly novel or unconventional aspects addressing 'high-risk/high-gain' balance. Highlight any intermediate stages where results may require adjustments to the project planning.

**(iii) Resources (including project costs)**

State the amount of funding considered necessary to fulfil the objectives for the duration of the project. The resources requested should be reasonable and fully justified in the proposal. The requested grant should be in proportion to the actual needs to fulfil the objectives of the project. Describe the size and nature of the team, indicating, where appropriate, the key team members and their roles. Specify any existing resources that will contribute to the project. Describe other necessary resources, such as infrastructure and equipment. It is advisable to include a short technical description of the equipment requested,

a justification of its need as well as the intensity of its planned use. When estimating the costs for travel, please also consider participation of the PI and team members in conferences and dissemination events.

- d) CV – 2 pages max.
  - The CV should include the standard academic and research record including current funding awards.
- e) Track Record – 2 pages max.
  - Applicants must provide a list of achievements, highlighting her/his track record. Applicants should refer to the profile for the relevant Laureate award for the type of achievements expected, as outlined in Section 3.1 above and in the “Expected Profile of Laureates” document on the Council website.
- f) Data Management Plan – 2 pages max.
  - Applicants should address the following issues:
    - What standards will be applied?
    - How will data be exploited and/or shared/made accessible for verification and reuse? If data cannot be made available, why?
    - How data will be curated & preserved?
    - If applicable, how does the applicant plan to make the research data [FAIR \(findable, accessible, interoperable and reusable\)](#).
- g) Statement on ethical issues to be addressed – 2 pages max.
  - The self-assessment table in the Council online submission portal must be completed even if there are no issues (simply confirm that none of the ethical issues apply to the proposal). Please note that, in case you answer YES to any of the questions, you are requested to provide a statement on ethical issues to be addressed.
- h) Two letters of support from the Host Institution as specified below.

With due deference and fairness to all applicants, the specified pages limits will be strictly adhered to. The independent assessors (panel members and peer reviewers) will be instructed not to read any material provided beyond these limits.

Applications will be accepted in English or Irish only. In order to facilitate evaluation by the international panel members and remote peer reviewers, applications submitted in Irish must be provided with a translation of the documents in English. The translated documents must also adhere to the page limits as specified above. Copies of official documents can be submitted in any of the EU languages. Supporting documentation submitted in any language other than English must be accompanied by a certified translation in English.

Please note that the Irish Research Council will not follow up any supporting documentation related to the application, for example, CV, track record, etc. It is the sole responsibility of the applicant to upload all supporting documentation prior to submission. If the documentation is not submitted by stated deadlines, the application will be deemed ineligible and will not proceed to the evaluation stage.

#### 4.2.5. Nominating Peer Reviewers

Applicants can nominate up to ten international academics/renowned experts in their discipline to peer review their proposal. The role of a peer reviewer is to provide an expert academic review of proposals, not personal testimonials. Nominated peer reviewers must **NOT**:

- (i) Be a collaborator on the proposed project or have collaborated on a research project, or worked closely, with the applicant in the last 10 years;
- (ii) Have, or have had, in the past, a mentor/mentee relationship with the applicant of the proposal;
- (iii) Be employed, or was employed within the three previous years, by the proposed host institution<sup>18</sup>;
- (iv) Be a former PhD supervisor of the applicant;
- (v) Have close ties (spouse, domestic or non-domestic partner, child, sibling, parent, friend, etc.) or other close personal relationship with the applicant of any proposal s/he is requested to evaluate;
- (vi) Be resident in the Republic of Ireland.

***Please note, the Council perform rigorous Conflict of Interest (Col) checks on each reviewer. The Council reserves the right to appoint a peer reviewer to the proposal which is not a nominated peer reviewer of the applicant.***

#### 4.2.6. Request to exclude certain Peer Reviewers

Applicants can also specify up to five individuals who they wish to be excluded as an international peer reviewer in the evaluation of their proposal. The persons identified will be excluded from the evaluation of the proposal concerned as long as it does not compromise the Council's ability to have the proposal evaluated in line with the evaluation process as set out.

Applicants are required to provide the name, institution and e-mail address of both the nominated and/or excluded peer reviewers via the online system. Please see the Guide for Applicants for further guidance.

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<sup>18</sup> When an expert is working in a different department/laboratory/institute to the one where the work is to be carried out, and where the constituent bodies operate with a high degree of autonomy, the Irish Research Council may exceptionally allow the expert to participate in the evaluation, if duly justified by the limited size of the pool of qualified experts.



#### 4.2.7. Endorsement from proposed Host Institution

All applications must be endorsed by the proposed Host institution. Two letters of support are required:

- Letter of support from the Head of Centre/Department/Faculty/Research Institute /School<sup>19</sup> in which the applicant is or will be based;
- Letter of support from the proposed Host Institution, signed by the Vice-President/Dean for Research.<sup>20</sup>

Applications that are not accompanied by completed & signed letters of endorsement will be deemed ineligible and will not go forward for assessment.

The proposed Host Institution is required to confirm the following via the letters of institutional support:

- Based on the information available to it, the eligibility of the applicant;
- The applicant is, or will be, upon receipt of a Laureate award, recognised as an employee of the institution for the duration of the award;
- The applicant, if successful, will be based at the institution for the duration of the award;
- The requested budget is consistent with institutional policies;
- The infrastructure required to undertake the research project will be made available to the applicant, if successful;
- Where relevant, evidence of ethical approval is required by the Council within six months of the start of an award;
- Where sought, the transfer of a hosted award to another eligible research institution subject to the approval of the Council;
- The institution is satisfied as to the applicant's standards of research conduct and integrity based on available information.

#### 4.2.8. Frequently Asked Questions

Any queries relating to these terms and conditions, or the operation of the programme generally should be submitted to the relevant Research Office/Officer of the HEI or RPO in the first instance. In the interest of transparency and fairness to all applicants, the Council Executive will not discuss queries over the telephone.

A list of all queries not resolved by the Research Office should then be submitted as a batch to [laureate@research.ie](mailto:laureate@research.ie) by the designated Research Officer. The FAQ page on the Irish Research Council website will be updated on a weekly basis (Friday afternoon), between 14<sup>th</sup> May and 5<sup>th</sup> July 2018.

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<sup>19</sup> Letter from Head of School must be used where this position exists in the institution. Only otherwise should a letter from the Head of Faculty be used.

<sup>20</sup>Where neither of these positions exist in the host institution, the letter of endorsement should be signed by the most senior institutional officer with responsibility for research. The use of authorised signatories or pro-persona signatories will not be accepted.



## **SECTION 5: ELIGIBILITY CHECKS AND EVALUATION PROCESS**

### **5.1. Eligibility checks**

Before applications are forwarded to Stage 1 assessment, the Council will perform eligibility checks, including checks on the following:

- Funding awards (ERC);
- Submission of all required elements of the proposal and completeness of same;
- Supporting documentation as appropriate.

Any applications that do not adhere to the eligibility criteria, or are incomplete, will be eliminated at this stage and will not go forward for assessment.

### **5.2. Evaluation of proposals**

The Irish Research Council is committed to rigorous peer review of its funding programmes in line with international best practice.

For the Laureate Awards programme, the Council is adopting a two-step evaluation process. All applications to the programme will be evaluated by remote peer reviewers who are subject area experts at Stage 1. Top ranked proposals will be shortlisted to Stage 2 where a panel will evaluate their proposal supported by remote peer reviewers. Three panels will convene, each representing the three domains:

- Humanities and Social Sciences (HSS);
- Life Sciences (LS);
- Physical Sciences and Engineering (PE).

The composition of each panel will broadly reflect the disciplines within the respective domain. The members of each panel will act as ‘generalists’ and both the Chair of each panel and the constituent members will be appointed by the Council based on their international scientific standing. The remote peer reviewers will provide specific expertise within disciplines. All peer reviewers engaged by the Council are subject to an agreed Code of Conduct.

In summary, the evaluation process will be implemented as follows:

#### **Evaluation Stage 1**

The full proposal (lay summary, detailed proposal, track record and CV) will be reviewed by remote peer reviewers.

Based on the outcome of the remote peer reviewer evaluation, a cohort of applications (Rated ‘A’, see below) will be retained for Stage 2.

## Evaluation Stage 2

For retained applications, the full proposal (lay summary, detailed proposal, track record and CV) will be reviewed by the relevant domain panel, supported by the remote peer reviewers from Stage 1<sup>21</sup>.

### **5.3. Outcome of the evaluation steps**

At the end of each step, the proposals will be ranked on the basis of the marks each application has received.

#### Outcome of Step 1

At the end of Step 1, applicants will be notified that their application has been categorised as one of the following:

|                   |   |
|-------------------|---|
| <b>'A' rating</b> | Proposal is of excellent quality and will pass to Step 2 of the evaluation process.   |
| <b>'B' rating</b> | Proposal is of high quality but not sufficient to pass to Step 2 of the evaluation process. Applicants may apply for the same award on one subsequent occasion. |

#### Outcome of Step 2

At the end of Step 2, applicants will be notified that their application has been categorised as either:

|                   |  |
|-------------------|--|
| <b>'A' rating</b> | Proposal fully meets the excellence criterion and is recommended for funding subject to available budget.  |
| <b>'B' rating</b> | Proposal meets some but not all elements of the excellence criterion and will not be funded. Applicants may apply for the same award on one subsequent occasion. |

### **5.4. Evaluation Criteria**

**Excellence** is the sole criterion of evaluation for the Irish Research Council Laureate Awards programme. The criterion will be applied to both the research project and the applicant:

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<sup>21</sup> Additional remote peer reviews may be commissioned at Stage 2 at the request of panel members.

| Criteria             | Description  |
|----------------------|--|
| The Research Project | <p><b>Ground-breaking nature and potential impact of the research project:</b></p> <p>To what extent are the objectives ambitious and go beyond the state-of-the-art, e.g. novel concepts and approaches, or developments between or across disciplines?</p> <p>To what extent does the proposed research address important challenges?<sup>22</sup></p> <p>To what extent is the proposed research high risk/high gain?</p>   |
|                      | <p><b>Scientific Approach:</b></p> <p>To what extent is the scientific approach as outlined feasible having regard to the extent to which the proposed research is high risk/high gain?</p> <p>To what extent does the proposal involve the development of novel methodology?</p> <p>To what extent is the proposed research methodology appropriate to achieve the goals of the project?</p> <p>To what extent are the proposed timescales and resources necessary and properly justified?</p>  |
| The Applicant        | <p><b>Intellectual capacity and creativity:</b></p> <p>To what extent has the applicant demonstrated the ability to propose and conduct ground-breaking research?</p> <p>To what extent does the applicant provide evidence of creative independent thinking?</p> <p>To what extent have the achievements of the applicant typically gone beyond the state of the art?</p> <p>To what extent has the PI demonstrated sound leadership in the training and advancement of early-career researchers?</p> <hr/> <p><b>Commitment:</b></p> |

<sup>22</sup> Challenges in this context refers to the potential ground-breaking nature of the research project and the 'big' question(s) at the frontiers of the applicant's discipline that will be addressed.

|  |  |
|--|--|
|  | To what extent does the applicant demonstrate the necessary level of commitment and time to successfully undertake and complete the project (minimum 25% of the total working time on it)? <sup>23</sup> |
|--|--|

## 5.5. Feedback

Applicants will receive a feedback report (comprising a panel consensus statement and individual reports) which will include the ranking range of their proposal among all proposals evaluated by the panel.

## 5.6. Appeals Procedure

The Irish Research Council has a '[Declined Funding Appeals](#)' Policy. The primary function of the appeals procedure is to ensure that the Council's review process has been fair and reasonable, and that the Council's review procedures were followed. The appeal procedure is not a peer review process itself and will not re-open such a process. Rather it is designed to examine the possibility of procedural errors that may have occurred during assessment and other aspects of proposal review including: unaccounted-for conflicts of interest, inappropriate consideration of extraneous information / rumour / hearsay or incomplete / inconsistent documentation being made available to the reviewers.

# SECTION 6: CONDITIONS OF AWARD

## 6.1. General responsibilities of Laureates

Award holders are bound by the Council's Terms and Conditions, letter of offer and acceptance form, grant monitoring and recruitment procedures, and financial controls. Should an award holder be in breach of the programme's Terms and Conditions, conditions of the letter of offer, acceptance form, grant monitoring or financial control procedures, the Council reserves the right to take appropriate action which may include terminating the award, recovering awards funding allocated, and/or prohibiting the awardee from applying for further Irish Research Council funding in the future.

The Council will have a direct relationship with the Laureate both in terms of project management and reporting.

The Council aims to deal with any issues that arise with its funding awards in a timely and fair manner. Laureates are required to engage with the Council in the resolution of any issues arising via appropriate bi-lateral or, together with the host institution, tri-lateral channels. The use of public fora, including social media, for this purpose will be considered by the Council to be a serious departure from this requirement. Such incidents will be

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<sup>23</sup> As part of the application process (via the online system), applicants will be required to specify their research commitments in order to demonstrate evidence of their ability to successfully execute the project.

reported by the Council to institutional management.

## **6.2. Application to the European Research Council (ERC)**

Laureates are required to submit an application to the ERC. Ideally this will occur prior to the end of the Laureate award, but no later than within one year of the award end-date or next available ERC call deadline where this does not occur within one year of the end of the Laureate award. In fulfilling this condition, awardees are not expected to apply to ERC within the first 24 months of the Laureate award. Should a Laureate awardee not submit an application to the ERC within the expected timeframe, the awardee will NOT be eligible to apply for further Council PI-led programmes.

## **6.3. Responsibilities of the Host Institution (HEIs/RPOs)**

Irish Research Council grants are awarded to the host institution on the basis that the host will provide the appropriate conditions<sup>24</sup>, (including the 'portability' of the grant) for the Laureate to independently manage the research. By agreeing to host the Laureate, the host institution commits to ensuring that s/he is able to:

- Manage the research and the funding for the project including making appropriate resource allocation decisions;
- Have access to the appropriate space and facilities for conducting the research;
- Supervise the work of team members including postgraduate research students;
- Publish independently as a main author and include co-authors who have contributed substantially to the reported work;
- Apply for funding independently.

In addition, the host institution must obtain and comply with all necessary and statutory permissions laid down by local and national authorities in relation to protecting the environment, preventing pollution and ensuring wider societal health and safety protection.

## **6.4. Research Integrity**

It is essential to maintain and promote a culture of integrity at all stages of the application and evaluation process in order to make the Council's programmes fair and efficient, and to maintain the trust of both the research community and society as a whole. The Council is committed to ensuring that its evaluation process is governed by principles of research integrity, in particular through rules on confidentiality and conflict of interest.

The Host Institution must ensure that the highest quality of research conduct is maintained. The Host Institution must ensure that systems are in place to manage research misconduct (e.g. plagiarism, falsification of data, improper data selection). The

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<sup>24</sup> These conditions are consistent with ['The European Charter for Researchers'](#) and ['The Code of Conduct for the Recruitment of Researchers'](#).

systems in place to manage research misconduct should align with the basic principles that underpin all research integrity and good practice as outlined in the national policy statement on [‘Ensuring Research Integrity in Ireland’](#) and the [‘European Code of Conduct for Research Integrity’](#). The Host Institution is required to report to the Council all findings of any proven case of research misconduct arising from a Council-funded research project. The Council reserves the right to take all appropriate measures and implement appropriate sanctions in the event of proven misconduct associated with a Laureate award.

## **6.5. Intellectual Property/Knowledge Transfer**

The Council does not make any claim to intellectual property arising from the award.

Where appropriate, the Council encourages the commercialisation of research output as outlined in [‘Inspiring Partnership – the national IP Protocol 2016’](#) and [‘Putting public research to work for Ireland: Policies and procedures to help industry make good use of Ireland’s public research institutions \(2012\)’](#). For research funded under this programme, foreground intellectual property generated will be owned by the HEI. The Council requires that background IP is captured clearly prior to the initiation of the project, that there is clarity on who has access to background IP and declarations made on the basis of the same. Good practice in IP management through the maintenance of notebooks and records must be adhered to. Preferential terms with third parties may be negotiated if the HEI is of the view that the best interests of the State are advanced. The Host Organisation must establish rules and procedures for protecting and managing any intellectual property arising during the award. These rules and procedures must be in accordance with national guidelines.

## **6.6. Open Access Policy**

The Council has established and will promote the following policy relating to the placement of research publications and outputs in Open Access Repositories. (It is accepted that there will be recognised instances in which the following might not be feasible; in such circumstances, the PI should contact his/her Research Office or equivalent, where relevant, for advice):

- All PIs must lodge their publications and other research outputs, resulting in whole or in part from Council-funded research, in an Open Access repository and should make such publications publicly discoverable, openly accessible and re-usable as soon as is possible;
- All peer-reviewed journal articles and conference publications should be deposited as soon as possible: ideally, at the time of acceptance by the journal/conference and no later than the date of formal publication;
- Other research outputs such as monographs, books, book chapters, research theses and reports should be deposited where possible;
- The repository should ideally be a local institutional repository to which the appropriate rights must be granted to replicate to other repositories. However,

suitable repositories are those, both local and other, that provide free public access to, and make provision for long-term preservation of, published research findings.

Repositories should release the metadata immediately upon deposit. Open access to the full text paper should be made immediately upon deposit or once access restrictions, as required by certain publishers, have expired.

Researchers should agree terms of deposit with publishers. Clarity should be sought on copyright, licensing and embargo policies, and agreed policies with publishers must be respected. Access restrictions to full text articles may be applied as required by certain publishers; however, these restrictions should not normally exceed 6 months after publication for scientific, technical and health science research publications and 12 months for arts, humanities and social sciences research outputs. However, the Council recognises that this may not be a feasible option in all cases, and in such a case, an expected embargo of up to 24 months may be facilitated in the arts, humanities and social sciences, but this will be subject to ongoing review.

More information on the Council's [Open Access Policy](#) is available on the Council's website.

Whenever data is to be collected with the support of a grant awarded by the Council and/or partners, applicants must specify the means by which that data will be made available as a public good for use by other researchers, national data archives, institutional repositories or other appropriate channels.

Irish Research Council awardees are free to choose the repository in which they want to deposit their publications. However, the Council recommends the use of subject specific repositories for publications, where such repositories exist. Alternatively, awardees can use a general-purpose repository such as [Zenodo](#).

For publications from the Life Sciences domain, the recommended repository is [Europe PubMed Central](#), for publications from the Physical and Engineering Sciences, the use of [arXiv](#) is recommended. For publications from the Social Sciences and Humanities, the use of [Digital Repository Ireland \(DRI\)](#) is recommended.

The recommended repository for monographs, book chapters and other long-text publications is the [OAPEN](#) Library.

## **6.7. Career Development Policy**

The Council has established and will promote the following policy relating to the development of early stage researcher. It is the Council's ambition to ensure that the early stage researchers it funds are equipped with relevant disciplinary and transferrable skills allowing them to pursue diverse career paths and to establish themselves as independent researchers and thinkers.

The category of “early stage researchers” encompasses researchers up to the point of achieving PhD and PhD holders who are not yet fully independent.

It is a condition of award that Laureates and their host institutions will promote the development of personnel funded by Laureate Awards and to equip them with the competencies required for achieving their mid- and long-term career goals.

More information on the Council’s [Career Development Policy Statement](#) is available on the Council’s website.

## **6.8. Gender balance**

It is a condition of award that Laureates and their host institutions promote gender balance in research development and dissemination activities, in particular in relation to the organisation of conference or networking panels associated with the award.

## **6.9. Finance and Reporting**

### **6.9.1. Financial Accountability**

The Host Institution is responsible for and accountable for the proper use of the funding under the Irish Research Council Laureate award. The Council reserves the right to ask for confirmation from external auditors of the following:

- that the annual accounts of the Host Institution are up to date and have been approved by the Auditors without qualification;
- that the management letter from the Auditors raised no matters that did or could significantly affect the administration of Awards awarded by the Council;
- that the monies received under the award have been used for the purpose for which they were awarded.

The Council also reserves the right to commission audits of the participating Host Institution for financial or other compliance. The Host Institution undertakes to fully facilitate these reviews.

The Council accepts no responsibility, financial or otherwise, for expenditure or liabilities arising out of work carried out under the Laureate Award programme, and the Host Institution must fully indemnify the Council against all such expenditure or liabilities and against any actions, proceedings, costs, damages, expenses claims and demands arising from them including, in particular, but without limitation, any claims for compensation for which the Host Institution may be liable as an employer or otherwise, or any claims by any person in relation to any intellectual property.

**The Host Institution will return all unspent funds to the Council at the end of the funding term.**



All awards under this programme are subject to receipt of funding from the Department of Education and Skills. In the event of such funding being reduced or discontinued, neither the Department nor the Irish Research Council will be under any liability to provide funding or to compensate an awardee or their host institution for any reduction or cessation of such funding. All amounts payable in respect of the award are paid directly to the host institution which co-ordinates the payments under the award. Any disbursements by a host institution of this programme may only be made in accordance with usual institutional practice and Department of Finance guidelines.

### **6.9.2. No-cost Extensions**

A request, with justification, for a No-cost extension to an award may be submitted in advance to the Council for approval. A No-cost extension can be sought for a period of up to six months (this restriction does not apply to maternity, adoptive or parental leave which may be longer). Requests for no-cost extensions will not be considered within **three months** of the end date of the project.

### **6.9.3. Budget re-allocations**

Requests for budget reallocations will only be considered by the Council if submitted through the form provided. All requests must be strongly justified. Requests for budget re-allocations will not be considered **within two months** of the end date of the project. Prior approval must be sought from the Council for budget reallocations as the Council will not retrospectively approve budget reallocations.

### **6.9.4. Review of Progress**

The Council attaches considerable importance to monitoring the progress, outputs and outcome of Laureate awards. Funding will be dependent on the demonstration of sufficient progress through regular written reports (see indicative reporting requirements below). It is the sole responsibility of the Laureate to ensure that such reports are filed by the due dates. Failure to file these reports by the required dates or submission of an unsatisfactory report may result in the Council suspending and/or cancelling a grant. Where a grant is cancelled, the Council will have leave to seek recovery of monies which have been awarded under this programme. In any event, a certain percentage of funding for the award will be held back to ensure satisfactory completion of the project.

All projects may be subject to external research and financial audit. The purpose of any audit is to verify the original aims of the project and determine progress as specified. The research audit may include independent peer review, site visit and project presentation during and post-completion of the project. The Laureate will be required to maintain a complete research record and vouched expenditure receipts.

### **6.9.5. Indicative reporting requirements:**

The table below comprises the reporting timetable over the duration of a Laureate award.

| Stage            | Reporting task  |
|------------------|---|
| <b>6 months</b>  | Data Management Plan (if applicable)<br>Ethics Approval documents (if applicable)<br>Financial report only. Templates will be sent in advance.  |
| <b>12 months</b> | First interim progress report (both narrative and financial) to cover months 1 – 12 of the project.<br>Templates will be sent in advance  |
| <b>18 months</b> | Financial report only.<br>Templates will be sent in advance.  |
| <b>24 months</b> | Second interim report (both narrative and financial) to cover months 13-24 of the project.<br><br>As part of the review process, awardees may be required to attend a showcase meeting with international evaluators, to present on their project and discuss progress.   |
| <b>30 months</b> | Financial report only.<br>Templates will be sent in advance.  |
| <b>36 months</b> | Third interim report (both narrative and financial) to cover months 25-36 of the project.   |
| <b>42 months</b> | Financial report only.<br>Templates will be sent in advance.  |
| <b>48 months</b> | Fourth interim report (both narrative and financial) to cover months 37-48 of the project.<br><br>A Final Report (over-arching and summarising the project) should be submitted twelve weeks after the end date of the project.<br><br>Templates will be sent in advance. |

## 6.10. Deferral, suspension and termination of award

### 6.10.1. Deferral of an Award

Awards may not be deferred, other than for eligible career breaks (e.g. maternity or parental leave) or in exceptional circumstances (e.g. illness). The decision is at the discretion of the Council whose decision on the matter will be final. Where there is an agreed suspension of the award, the Council can consider requests for no-cost

extensions beyond the funding term.

#### **6.10.2. Termination of an Award**

Should a Laureate be unable for any reason (including medical reasons) to pursue his/her project in accordance with these Terms and Conditions, s/he must, as soon as possible, inform the Council and the research office or its equivalent in the Host Institution. The Laureate must do this within two weeks of such a situation arising. In such situations, the Council will have regard to the usual conventions of the Laureate's Host Institution. However, given the basis on which awards are made, the Council reserves the right to withdraw or suspend the award.

The Council reserves the right to suspend or terminate the award and/or require reimbursement by the Host Institution of some or all payments as have already been made in respect of the award, if in the opinion of the Council there has been a material breach of the Terms and Conditions as outlined in this document.

#### **6.11. Acknowledgement of Council funding**

It is an explicit requirement for successful awardees to acknowledge funding received from the Irish Research Council. All publicity, including public lectures, interviews, email signatures, letterheads, office signs, publications, monographs, print materials, online materials, press releases, television and radio advertisements, websites, film, video and audio recordings associated with or arising from the research undertaken by the Laureate while in receipt of a Council award must contain acknowledgement of funding received from the Irish Research Council.

The Laureate will utilise the title "*Irish Research Council Laureate*" when communicating in any format on the project.

##### Laureate team members

The following titles should be used in appointing research team members funded by the Laureate award:

- Postgraduate research students should be referred to as Irish Research Council Laureate Project Scholars;
- Postdoctoral researchers should be referred to as Irish Research Council Laureate Project Fellows.

Where possible the Council logo should always be included in any such acknowledgement or communication (the logo is available to download from the Council website). Laureates should consult and follow the Council's [requirements](#) for acknowledging Council support.

Laureates are required to notify the Council (via [communications@research.ie](mailto:communications@research.ie)) in

advance of their participation in any significant events, for example, attaining an award of significant merit or substantial participation in events of national interest or impact that is connected to their Laureate award.

Laureates may be required to participate in dissemination events, such as a public lecture or awardee symposium, organised by the Council.

### **6.12. Additional Awards**

The Irish Research Council Laureate Awards programme is not intended to substitute for or to augment funds available under programmatic research actions. It may be held in conjunction with other externally funded travel bursaries, equipment grants or awards (excluding ERC awards, see 3.1 (v) above) provided that:

- should the awardee apply for further funding to another source, they will state as part of that application (whether or not they are required to do so) that they hold an Irish Research Council Laureate Award and will notify the Council prior to submitting the application;
- awardees who have other sources of funding (other than through paid employment) such as travel grants etc., must inform the appropriate offices in their Irish HEI/RPO, and the Council about the amount and source of the funding in writing. This information must also be recorded in the required progress reports. This applies to research funding received before or during the life of the Award;
- the other funder(s) agree that the Irish Research Council Laureate Award can be held alongside their award. The Council will not involve itself in the decisions of other funding agencies/local authorities in this regard.

Tax issues which may arise from such bursaries or awards are of concern to the individual awardee and not the Council or the Irish HEI/RPO.

### **6.13. Dignity in the Conduct of Research**

The Council supports a research system in which individual researchers are enabled to reach their full potential at all stages of their career. Researchers, both staff and students, are entitled to carry out their research free from any form of harassment, victimisation, or bullying. Host Institutions have the responsibility to ensure an appropriate work environment and to deal with any complaints or issues speedily, in line with agreed grievance procedures. The Council's full statement on dignity in the conduct of research is available [here](#).

All Irish Research Council staff are entitled to be treated with courtesy and respect at all times and, accordingly, are encouraged to report any instances of infractions to management. In cases where staff experience abusive or inappropriate behaviour from an individual, the Council reserves the right to report any such behaviour to the relevant personnel in the Host Institution connected with the individual.

## Appendix 1

### Guidance on the Sex-Gender Dimension in Research Content

#### 1. Introduction

Excellent research fully considers the potential biological sex and social gender dimensions as key analytical and explanatory variables. If relevant sex-gender issues are missed or poorly addressed, research results will be partial and potentially biased. Full consideration of the sex-gender dimension in research content is a requirement for all Irish Research Council awards and will also be a requirement for Horizon 2020 funding.

The following is provided to help applicants complete the Sex-Gender dimension statement in the application. This taken from the Toolkit Gender in EU-funded research<sup>25</sup> which aims to give the research community practical tools to integrate gender aspects into their research, including equal opportunities for women and men and the sex-gender dimension of research, thereby contributing to excellence in research. Additional key guidance resources include <http://genderedinnovations.stanford.edu/> (for examples of case studies in Science, Health & Medicine, Engineering and Environment) and the [‘IGAR’ tool<sup>26</sup>](#) developed by the [GENDER-NET ERA-NET](#) project.

A summary from the ‘Toolkit Gender in EU-funded research’

**The best possible research validity:** Investing in a sex-gender-sensitive approach to the research content makes for higher quality and validity. If research takes into account the differences between men and women in the research population, the results will be more representative. General categories such as ‘people’, ‘patients’ or ‘users’ do not distinguish between men and women.

Research based on such categories may well draw partial conclusions based on partial data. For example, research on a new breast cancer treatment should include male patients, so as to draw a complete picture. Most basic research with animal models focuses on males to the exclusion of females (Zucker et al., 2010; Marts et al., 2004). Research on economic migrants cannot limit itself to male points of view if it wants to understand the whole migrant population.

#### 2. How to consider the potential gender dimension and implications for your research

**Research ideas and hypotheses:** The relevance of sex-gender for and within the subject matter needs to be analysed and an assessment made of the state of knowledge

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<sup>25</sup> [http://www.yellowwindow.be/genderinresearch/downloads/YW2009\\_GenderToolKit\\_Module1.pdf](http://www.yellowwindow.be/genderinresearch/downloads/YW2009_GenderToolKit_Module1.pdf)

<sup>26</sup> IGAR – Integration of (Sex and) Gender Analysis into Research

in this respect. The formulation of hypotheses can draw upon previous research and existing literature. Indeed, the body of knowledge on sex-gender issues has been steadily growing over recent decades and can serve as interesting reference material to build new hypotheses for future research.

**Project design and research methodology:** While research methodologies may vary, they all strive to represent (aspects of) reality. Whenever this reality concerns humans, any sound methodology should differentiate between the sexes and take into account the men's and women's situations equally. Groups such as 'citizens', 'patients', 'consumers', 'victims' or 'children' are therefore too general as categories.

### 3. Research implementation

*Data collection tools* (such as questionnaires and interview checklists) need to be gender-sensitive, use gender neutral language, and should make it possible to detect the different realities of men and women. This will help to avoid gender bias. For example, answers to be provided by the 'head of household' are not necessarily valid for all household members.

*Data analysis:* In most research concerning human subjects, data are routinely disaggregated by sex, which would logically lead to analyses according to sex. However, to date this is still not common practice. Systematically taking sex as a central variable and analysing other variables with respect to it (e.g. sex and age, sex and income, sex and mobility, sex and labour) will provide significant and useful insights. Involving gender-balanced end-user groups in the course of the research is also a good way of guaranteeing the highest impact.

**Dissemination phase – reporting of data:** Collecting and analysing sex-gender-specific data is not enough if they are omitted from the published results. Sex-gender should be included in 'mainstream' publications as it is as much part of daily reality as any other variable studied. Specific dissemination actions (publications or events) for sex-gender findings can be considered. Institutions and departments that focus on gender should be included in the target groups for dissemination. Publications should use gender-neutral language.

## CHECKLIST FOR SEX-GENDER IN RESEARCH CONTENT

### Research ideas phase:

- If the research involves humans as research objects, has the relevance of sex-gender to the research topic been analysed?
- If the research does not directly involve humans, are the possibly differentiated relations of men and women to the research subject sufficiently clear?
- Have you reviewed literature and other sources relating to sex-gender differences

in the research field?

**Proposal phase:**

- Does the methodology ensure that (possible) sex-gender differences will be investigated: that sex-gender differentiated data will be collected and analysed throughout the research cycle and will be part of the final publication?
- Does the proposal explicitly and comprehensively explain how sex-gender issues will be handled (e.g. in a specific work package)?
- Have possibly differentiated outcomes and impacts of the research on women and men been considered?

**Research phase:**

- Are questionnaires, surveys, focus groups, etc. designed to unravel potentially relevant sex and/or gender differences in your data?
- Are the groups involved in the project (e.g. samples, testing groups) gender-balanced? Is data analysed according to the sex variable? Are other relevant variables analysed with respect to sex?

**Dissemination phase:**

- Do analyses present statistics, tables, figures and descriptions that focus on the relevant sex-gender differences that came up in the course of the project?
- Are institutions, departments and journals that focus on gender included among the target groups for dissemination, along with mainstream research magazines?
- Have you considered a specific publication or event on sex-gender-related findings?

## Appendix 2

### Resources on Data Management Plans and FAIR Principles

- [H2020 Programme \(2016\) Guidelines on FAIR Data Management in Horizon 2020](#)
- [H2020 Programme \(2016\) Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020.](#)
- [OpenAire](#) - The OpenAIRE2020 project
- [FAIR data principles FORCE 11](#)
- [ROAR](#)- Registry of Open Access Repositories
- [OpenDoar](#) – Directory of Open Access Repositories
- [Registry of Research Data Repositories](#)



## Appendix 3

### Ethics Self-Assessment Table

Applicants are required to consider carefully ethical implications of their proposed research. The ethics self-assessment table below, which is drawn from Horizon2020, should be completed by applicants as they are undertaking the relevant assessment in advance of completing the application form in the Council online submission portal system. Detailed guidance on completing the ethics table below and further information is available on the European Commission's [website](#).

| Section 1: HUMAN EMBRYOS / FOETUSES  |   |     |    |   |   |
|--|---|-----|----|---|---|
| <b>Does your research involve Human Embryonic Stem Cells (hESCs)?</b>              |   | YES | NO | Information to be provided in two-page document   | Documents to be kept on file. <sup>27</sup>                                     |
| If <b>YES:</b>   | Will they be directly derived from embryos within this project? |     |    | <i>Research cannot be funded</i>  | <i>Research cannot be funded</i>  |
|  | Are they previously established cells lines?                    |     |    | Origin and line of cells. Details on licensing and control measures by the competent authorities of the Member States involved. | Copies of relevant Ethics Approval.   |
| <b>Does your research involve the use of human embryos? If YES:</b>                |   |     |    | Origin of embryos. Details on recruitment, inclusion and exclusion criteria and informed consent procedures.                    | Copies of relevant Ethics Approval. Informed Consent Forms. Information Sheets. |
| <b>Does your research involve the use of human foetal tissues / cells? If YES:</b> |   |     |    | Origin of human foetal tissues / cells. Details on informed consent procedures.   | Copies of relevant Ethics Approval. Informed Consent Forms.                     |

<sup>27</sup> These documents should be kept on file and furnished to the Council if requested.

|   |  |     |    |  |   |
|---|--|-----|----|--|---|
|   |  |     |    | Information Sheets.  |   |
| <b>Section 2: HUMANS</b>                              |  |     |    |  |   |
| <b>Does your research involve human participants?</b> |  | YES | NO | Information to be provided in one of the subcategories below:  |   |
| <b>If YES:</b>  | Are they volunteers for social or human sciences research? |     |    | Details on recruitment, inclusion and exclusion criteria and informed consent procedures.  | Copies of relevant Ethics Approval. Informed Consent Forms. Information Sheets. |
|   | Are they persons unable to give informed consent?          |     |    | Information above plus: details on the procedures to obtain approval from guardian / legal representative. Details on the procedures used to ensure that there is no coercion on participants.   | Documents as above.   |
|   | Are they vulnerable individuals or groups?                 |     |    | Details on the type of vulnerability. Details on recruitment, inclusion and exclusion criteria and informed consent procedures. This must demonstrate appropriate efforts to ensure fully informed understanding of the implications of participation. | Documents as above.   |
|   | Are they children / minors?                                |     |    | Information above plus: details on the age range. Details on children / minors assent procedures and parental consent. This must   | Documents as above.   |

|  |  |     |    |   |                                       |
|--|--|-----|----|---|---------------------------------------|
|  |  |     |    | demonstrate appropriate efforts to ensure fully informed understanding of the implications of participation. Describe the procedures to ensure welfare of the child / minor.                    |                                       |
|  | Are they patients?   |     |    | Details on the nature of disease / condition / disability. Details on recruitment, inclusion and exclusion criteria and informed consent procedures. Details on policy for incidental findings. | Documents as above.                   |
|  | Are they healthy volunteers for medical studies?   |     |    | Information as above  | Copies of relevant Ethical Approvals. |
| <b>Does your research involve physical interventions on the study participants?</b>  |  | YES | NO |   |                                       |
| If <b>YES:</b>   | Does it involve invasive techniques (e.g. collection of human cells or tissues, surgical or medical interventions, invasive studies on the brain, TMS etc.)? |     |    | Risk assessment for each technique and as a whole   | Copies of relevant Ethical Approvals. |
|  | Does it involve collection of biological samples?  |     |    | Details on the type of samples to be collected. Details on procedures for collection of biological samples.   | Copies of relevant Ethical Approvals. |
| <i>If your research involves processing of genetic information, please also complete the section "Protection of Personal Data" i.e. Section 4.</i> |  |     |    |   |                                       |
| <b>Section 3: HUMAN CELLS / TISSUES</b>  |  |     |    |   |                                       |
| Does your research involve human cells or tissues? (Other than from  |  | YES | NO | Information to be provided in one of the subcategories below:   | Documents to be                       |

|  |   |  |  |  |   |
|--|---|--|--|--|---|
| “Human Embryos/Foetuses” i.e. Section 1) |   |  |  | details of the cells and tissue types involved.  | provided at award stage   |
| If<br><b>YES</b>                         | Are they available commercially?          |  |  | Details on cell types and provider (company or other).   |   |
|  | Are they obtained within this project?    |  |  | Details on cell types.   | Copies of relevant Ethical Approvals.   |
|  | Are they obtained within another project? |  |  | Details on cell types.<br>Provider of the cell types.<br>Country in which the material is located. | Authorisation by primary owner of cell/tissues (including references to ethics approval). |
|  | Are they deposited in a biobank?          |  |  | Details on cell types.<br>Name of the biobank.<br>Country in which the biobank is located          | Details on biobank and access to it.  |

#### Section 4: **PROTECTION OF PERSONAL DATA**

|   |     |    |                            |  |
|---|-----|----|----------------------------|--|
| <p><b>Does your research involve personal data collection and/or processing?</b></p> <p><i>It should be noted that:</i></p> <p>1. “Personal data” can be defined as identifiers: any information that could, in any way, lead to the specific identification of one unique person, such as name, social security numbers, date of birth, address, mails IPs etc.</p> <p>2. Any data that you are using should be taken into account, regardless of the method by which they are/were collected: for example, through interviews, questionnaires, direct online retrieval etc.</p> | YES | NO | Information to be provided |  |
|   |     |    |                            |  |

|  |   |     |    |   |  |
|--|---|-----|----|---|--|
| 3. <i>Processing should be understood to not only include data usage, but also merging, transformation, transfer and, more generally, as all actions using data for research purposes.</i> |   |     |    |   |  |
| If<br><b>YES:</b>  | Does it involve the collection and/or processing of sensitive personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?<br><br><i>It should be noted that this involvement applies, whatever the research topic or Programme. The above list is only indicative. If the type of data that you will be handling in your research is not included the list, it does not mean you should not take into consideration the subject of data processing.</i> | YES | NO | <p>Details of the data safety procedures (compliance with privacy by design and protection of privacy/confidentiality).</p> <p>Details of procedures for data collection, storage, protection, retention, transfer if any, destruction or re-use.</p> <p>Explicit confirmation of compliance with national and EU legislation</p> | <p>Copies of relevant Ethical Approvals for the collection of personal data.</p> <p>Information sheets.</p> <p>Informed Consent Forms.</p> |
|  | Does it involve processing of genetic information?  | YES | NO | <i>Information as above</i>   | Copies of relevant Ethical Approvals for the processing of genetic data.   |
|  | - Does it involve tracking or observation of participants?<br><br><i>It should be noted that this issue is not limited to</i>   |     |    | <i>Information above plus:</i>  |  |

|  |  |    |   |   |  |
|--|--|----|---|---|--|
|  | <i>surveillance or localization data. It also applies to Wan data such as IP address, MACs, cookies etc.</i> |    |   | Details on methods used for tracking or observing participants.   |  |
| <p><b>Does your research involve further processing of previously collected personal data (secondary use)?</b></p> <p><b>If YES:</b></p> <p><i>It should be noted that this question is threefold. If you answer YES to any of the 3 questions below, you fall within its scope:</i></p> <p><i>Are you planning to use pre-existing other data sets or sources and/or does your research involve further processing of previously collected data?</i></p> <p><i>Does your research involve merging existing data sets?</i></p> <p><i>Are you planning to share data with non-EU member states?</i></p> | YES  | NO | <p>Details of the database used or to the source of data.</p> <p>Confirmation of open public access to the data or of authorisation for secondary use. More specifically, detail how this consent was obtained specifically in case of public archives usage (Automatic opt in, etc.).</p> <p>Permissions from the owner/manager of the data sets.</p> <p>A mitigation procedure to avoid private appropriation of the data.</p> <p>A mitigation procedure to avoid the unforeseen disclosure of personal information (i.e.: mosaic effect).</p> <p>Explicit confirmation of compliance with national and EU legislation.</p> <p>Conformity to Safe Harbour, if applicable.</p> | <p>Document confirming open public access to the data (e.g. print screen from Website) or authorisation by primary owner of data.</p> <p>Informed Consent Forms (if applicable)</p> |  |

| Section 5: <a href="#">ANIMALS</a>  |     |    |   |  |
|-------------------------------------|-----|----|---|--|
| Does your research involve animals? | YES | NO | Information to be provided  | Documents to be provided at award stage  |
|                                     |     |    | <p>Details on implementation of the Three Rs (Replacement, Reduction and Refinement).</p> <p>Justification of animal use and why alternatives cannot be used.</p> <p>Details on species and rationale for their use, numbers of animals to be used, nature of the experiments, procedures and techniques to be used in a chronological order. Details on procedures to ensure animal welfare during their lifetime and during the experiment and how its impact will be minimised.</p> <p>Details on severity assessment and justification.</p> | <p>Copies of all appropriate authorisations for the supply of animals and the project experiments.</p> <p>Copies of training certificates/personal licences of the staff involved in animal experiments.</p> |

|   |   |    |  |  |   |
|---|---|----|--|--|---|
| If<br><b>YES</b>  | Are they vertebrates or live cephalopods?                     |    |  | Information as above   | Documents as above.   |
|   | Are they non-human primates (NHP)?                            |    |  | <i>Information above plus:</i><br>Confirmation of Compliance with Art. 8, 10, 28, 31, 32 (Directive 2010/63/EU).<br>Discussion of specific ethics issues related to their use. | Documents as above.<br><br>Personal history file.   |
|   | Are they <a href="#">genetically modified</a> ? <sup>28</sup> |    |  | Confirmation of compliance with relevant EU and national legislation and details as for no genetically modified animals above.   | Copies of all appropriate authorisations for the supply of animals and the project experiments.<br><br>Copies of the training certificates/personal licences of the staff involved in animal experiments. |
|   | Are they cloned farm animals?                                 |    |  | <i>Information as above</i>  | Documents as above  |
|   | Are they an endangered species?                               |    |  | <i>Information above plus:</i><br>Discussion of specific ethics issues related to their use.   | Documents as above  |
| <b>Please indicate the species involved</b><br>(Maximum number of words allowed: 200) |   |    |  |  |   |
| <b>Section 6: THIRD COUNTRIES</b>   |   |    |  |  |   |
| <b>Does your research involve third countries?</b>                                    | YES   | NO |  | Information to be provided:  | Signed declaration to confirm compliance with   |

<sup>28</sup> [DIRECTIVE 2009/41/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 6 May 2009 on the contained use of genetically modified micro-organisms](#) and [REGULATION \(EC\) No 1946/2003 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 15 July 2003 on transboundary movements of genetically modified organisms](#) – see specifically its articles 4 to 11 and its annexes III to V



|   |  |  |   |   |
|---|--|--|---|---|
| <i>Countries:</i> (Maximum number of words allowed: 200)  |  |  | Details on activities carried out in non-EU countries                       | ethical standards and guidelines of H2020. Copies of relevant Ethics Approvals from EU country host and non-EU country (double ethics review, is possible).   |
| <b>Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?</b><br><br>If YES:                      |  |  | Details on type of local resources to be used and modalities for their use. | In case of human resources, copies of relevant Ethics Approvals.<br><br>In case of animals, plants, micro-organisms and associated traditional knowledge, document showing compliance with Convention on Biodiversity (e.g. access permit and benefit sharing agreement). |
| <b>Do you plan to import any material, including personal data, from non EU/third countries into the EU?</b><br><i>If your research involves importing data, please also complete the section “Protection of Personal Data” i.e. Section 4.</i> |  |  | Details on type of materials or data to be imported.                        | As above (use of local resources) and: Material Transfer Agreement (MTA)  |
| If YES: Specify the materials and countries involved (maximum number of words allowed: 200)   |  |  |   |   |
| <b>Do you plan to export any material, including personal data, from the EU to third/non-EU countries?</b>  |  |  | Details on type of materials or data to be imported.                        | Authorisation for export from EU. Material Transfer Agreement (MTA).  |

|   |  |  |   |  |
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| <i>If your research involves exporting data, please also complete the section “Protection of Personal Data” i.e. Section 4.</i>     |  |  |   |  |
| <b>If YES:</b> Specify the materials and countries involved (maximum number of words allowed: 200)                                  |  |  |   |  |
| <b>If your research involves <a href="#">low and/or lower-middle income countries</a>, are any benefit-sharing actions planned?</b> |  |  | <p>Details on benefit sharing measures.</p> <p>Details on responsiveness to local research needs.</p> <p>Details on procedures to facilitate effective capacity building.</p> | As above (use of local resources) and narrative document describing benefit sharing, responsiveness to local research needs and capacity building. |
| <b>Could the situation in the country put the individuals taking part in the research at risk?</b>                                  |  |  | Details on safety measures that will be implemented, including personnel training   | Insurance cover.   |

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| <b>Section 7: ENVIRONMENTAL PROTECTION AND SAFETY<sup>29</sup></b> |  |
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<sup>29</sup> [DIRECTIVE 2000/54/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 September 2000 - On the protection of workers from risks related to exposure to biological agents at](#)

|   |  |     |    |  |   |
|---|--|-----|----|--|---|
| <b>Does your research involve the use of elements that may cause harm to the environment, animals or plants?</b><br>If YES: |  | YES | NO | Information to be provided:<br>Details on safety measures to be implemented.         | Documents to be provided at award stage:<br>Safety classification of laboratory.<br>GMO authorisation if necessary. |
| <b>Does your research deal with endangered fauna and/or flora /protected areas?</b> <sup>30</sup><br>If YES:                |  |     |    | Confirmation of compliance with international/national/local guidelines/legislation. | Specific approvals, if applicable   |
| <b>Does your research involve the use of elements that may cause harm to humans, including research staff?</b><br>If YES:   |  |     |    | Details on health and safety procedures.   | University safety procedures.<br>Safety classification of laboratory.   |
| <b>Does your research involve the use of elements that may cause harm to humans, including research staff?</b>              |  |     |    | Details on health and safety procedures.   |   |
| If YES  | Does your research involve harmful biological agents? <sup>5</sup> |     |    |  |   |

[work](#) – see specifically its Chapter II and article 16; [DIRECTIVE 2009/41/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 6 May 2009 on the contained use of genetically modified micro-organisms](#) – see specifically its annex IV; [DIRECTIVE 2008/56/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 17 June 2008 establishing a framework for community action in the field of marine environmental policy \(Marine Strategy Framework Directive\)](#) – specifically its Annex III; [COUNCIL DIRECTIVE 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora](#) [Council directive 79/409 EEC on the conservation of wild birds](#) and [Council Regulation \(EC\) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein](#)

<sup>30</sup> See, in particular:

[Directive 2008/56/EC](#); [Council Directive 92/43/EEC](#); [Council Directive 79/409/EEC](#) [Council Regulation \(EC\) No 338/97](#)

[Council Decision 93/626/EEC](#)

|                                   |  |     |    |  |  |
|-----------------------------------|--|-----|----|--|--|
|                                   |  |     |    |  |  |
|                                   | Does your research involve harmful chemical and explosive agents? <sup>6</sup>   |     |    |  |  |
|                                   | Does your research involve harmful radioactive agents? <sup>7</sup>  |     |    |  |  |
|                                   | Does your research involve other harmful materials or equipment, e.g. high-powered laser systems?  |     |    |  |  |
| <b>Section 8: <u>DUAL USE</u></b> |  |     |    |  |  |
|                                   | <b>Does your research have the potential for military applications?</b>  | YES | NO | Information to be provided   | Narrative document describing the potential dual use implications of the research. |
| If <b>YES</b>                     | Does your research have an exclusive civilian application focus?   |     |    | Explanations on the exclusive civilian focus of the research                                       |  |
|                                   | Will your research use or produce goods or information that will require export licenses in accordance with legislation on dual use items? |     |    | Details on what goods and information used and produced in your research will need export licences |  |
|                                   | Does your research affect current standards in military ethics – e.g., global  |     |    | Details on how the research might affect current standards in military ethics.                     |  |

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|                          | ban on weapons of mass destruction, issues of proportionality, discrimination of combatants and accountability in drone and autonomous robotics developments, incendiary or laser weapons?                                 |     |    |  |   |
| <b>Section 9: MISUSE</b> |  |     |    |  |   |
|                          | Does your research have the potential for malevolent/criminal/terrorist abuse?   | YES | NO | Information to be provided   | Narrative document describing the potential dual use implications of the research |
| If <b>YES</b>            | Does your research involve information on/or the use of biological-, chemical-, nuclear/radiological-security sensitive materials and explosives, and means of their delivery?   |     |    | Details on the legal requirements of the possession of such items and proposed risk mitigation strategies. |   |
|                          | Does your research involve the development of technologies or the creation of information that could have severe negative impacts on human rights standards (e.g. privacy, stigmatization, discrimination), if misapplied? |     |    | Details on measures to prevent malevolent abuse.<br><br>Details on risk mitigation strategies.             |   |

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|   | Does your research have the potential for terrorist or criminal abuse e.g. infrastructural vulnerability studies, cybersecurity related research? |    |                            | <p>Details on measures to prevent malevolent abuse.</p> <p>Details on risk mitigation strategies.</p> |  |
| <b>Section 10: OTHER ETHICS ISSUES</b>  |   |    |                            |   |  |
| Are there any other ethics issues that should be taken into consideration? Please specify: (Maximum number of words allowed: 200) | YES   | NO | Information to be provided | Any relevant document.  |  |

Resources for completing ethics self-assessment:

- [How to complete your ethics self-assessment](#)
- [Horizon 2020 Online Manual – Ethics](#)
- [Ethics for researchers](#)
- [Strategy to minimize ethical misconduct](#)
- [Textbook on ethics in research](#)
- [Guidance Note for Researchers and Evaluators of Social Sciences and Humanities Research](#)

## Appendix 4

### Policy on PhD and equivalent doctoral degrees for the Irish Research Council Laureate Awards Programme

In order to be eligible to apply to the Irish Research Council Laureate Awards programme, an applicant must have been awarded a PhD or equivalent doctoral degree. For the purposes of this programme, the Irish Research Council is adopting the ERC policy on PhD and equivalent doctoral degrees as a condition of the Laureate award is a subsequent application to the ERC, therefore Laureate award-holders must be able to satisfy the ERC eligibility requirements.

#### 1. PhD degrees

The research doctorate is the highest earned academic degree. It is always awarded for independent research at a professional level in either academic disciplines or professional fields. Irrespective of entry point, doctoral candidates have to meet a certain number of criteria in terms of the duration of the degree and the written assignments required, e.g. successful completion and examination of the research thesis comprising work of publishable quality, is the basis of the doctoral award and an original contribution to knowledge in the respective field. For applicants who hold more than one PhD award or equivalent, the date of the earliest award will define the applicant's eligibility for the Irish Research Council Laureate Awards programme.

#### 2. Degrees equivalent to the PhD

It is recognised that there are some other doctoral titles that enjoy the same status and represent variants of the PhD in certain fields. All of them have similar content requirements. Potential applicants are invited to consult the following for useful references on degrees that will be considered equivalent to the PhD:

- EURYDICE: [Examinations, qualifications and titles - Second edition, Volume 1, European glossary on education](#) (2004)<sup>31</sup>. Please note that some titles that belong to the same category with doctoral degrees (ISCED 6) may correspond to the intermediate steps towards the completion of doctoral education and they should not be therefore considered as PhD-equivalent.
- List of research doctorate titles awarded in the United States that enjoy the same status and represent variants of the PhD within certain fields. These doctorate titles are also recognised as PhD-equivalent by the U.S. National Science Foundation (NSF)<sup>32</sup>.

#### 3. Medical Doctors

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<sup>31</sup> [http://eacea.ec.europa.eu/education/eurydice/thematic\\_studies\\_archives\\_en.php](http://eacea.ec.europa.eu/education/eurydice/thematic_studies_archives_en.php)

<sup>32</sup> <http://www2.ed.gov/about/offices/list/ous/international/usnei/us/edlite-structure-us.html>



A medical doctor (MD) degree will not be accepted by itself as equivalent to a PhD award for the purposes of application to the Irish Research Council Laureate awards. In order to substantiate the equivalence of their overall training to a PhD, medical doctors need to provide certificates of both a medical doctor degree and a PhD or proof of an appointment that requires doctoral equivalency, e.g. post-doctoral fellowship and information on their research experience, including peer-reviewed publications. In these instances, the certified date of the medical doctor degree plus two years is the time reference for calculation of the eligibility time-window (i.e. 17 years past the medical doctor degree for Advanced Laureate Awards).

For medical doctors who have been awarded both an MD and a PhD, the date of the earliest degree that makes the applicant eligible takes precedence in the calculation of the eligibility time-window (17 years past the medical doctor degree for Advanced Laureate Awards).

#### 4. First professional degrees

It is important to recognise that the initial professional degrees in various fields are first degrees, not graduate research degrees. Several degree titles in such fields include the term 'Doctor', but they are neither research doctorates nor equivalent to the PhD.