

# SFI Reporting Compliance Policy

Applies to reporting submissions due from 1<sup>st</sup> of January 2022

This policy accompanies the [SFI Grant General Terms & Conditions](#) and supports clauses 6 and 8 which outline the reporting responsibilities of the Principal Investigator and Research Body for awards made by Science Foundation Ireland.

1. This policy applies to all Annual, Final and Progress Scientific reports (“Scientific reports”) submitted to Science Foundation Ireland with the following exclusions: Awards made under the SFI Discover programme, and those where the award holder does not report to SFI<sup>1</sup>.
2. This policy also applies to the submission of Research Outputs where the award holder is active (on SFI’s Grants and Award management system SESAME) within the calendar year<sup>2</sup>.
3. Points will be applied in accordance with the number of days a submission is made after a deadline has passed.
4. **Scientific reports** will accrue points according to the following:
  - 4.1. Submission (or report outstanding) <14 days after the deadline, the Principal Investigator receives 1 point.
  - 4.2. Submission (or report outstanding) ≥ 14 days and <30 days after the deadline, the Principal Investigator receives 2 points.
  - 4.3. Submission (or report outstanding) ≥30 days after the deadline, the Principal Investigator receives 3 points.
5. **Research Outputs** will accrue points according to the following:
  - 5.1. Submission <14 days after the deadline, the Principal Investigator will accrue 2 points.
  - 5.2. Failure to submit Research Outputs or submission ≥ 14 days after the deadline, the Principal Investigator will accrue 4 points.
6. Where Research Outputs are submitted by an award administrator, any points accrued will be transferred to the lead applicant.
7. Points will be cumulative.
8. When 5 points have been accrued, the Principal Investigator will be excluded from applying for a subsequent application to a Science Foundation Ireland Funding Programme (as lead applicant or co-applicant) for a period of 5 years.
9. Application technical checks will consider outstanding reports and associated points when evaluating eligible applications.
10. Following application of a sanction, the points balance will be expunged, however, points may still be accrued from subsequent late submissions on active awards.
11. Where multiple sanctions are administered, exclusion periods will be applied concurrently.
12. Where no points have been accrued over a 5-year period, any existing points will be expunged.

<sup>1</sup> HRB-SFI Translational Research Award (TRA) Programme, the Royal Society – SFI University Research Fellowship Programme, the SFI-HRB-Wellcome Trust Biomedical Research Partnership, SFI-IRC Policy Project Grant Programme, ERC Support Programme, China / Ireland Science & Technology Collaboration Research Fund

<sup>2</sup> As per Clause 7 of [SFI’s Grant General Terms & Conditions](#) and relevant guidance under SFI’s policies concerning [Change to PI](#) and [SFI’s Maternity/Adoptive Policy](#), the Research Body must notify SFI at the earliest opportunity of any actual or planned extended absence (> 3 months) such as extended sick leave, sabbatical, maternity leave etc., or departures concerning a Principal Investigator or Co-Investigator. In these scenarios, it is recommended that the Principal Investigator or Co-Investigator contacts their programme manager and/or [reporting@sfi.ie](mailto:reporting@sfi.ie) as early as possible.

13. Principal Investigators can inspect their points balance through a 'Report card' available on their Researcher Portal in SESAME.
14. Where a Principal Investigator considers that points have been mistakenly applied, SFI encourages them to contact [reporting@SFI.ie](mailto:reporting@SFI.ie) and present their case for consideration. Note that exemptions may apply to Principal Investigators who are COVID-19 and frontline healthcare workers, and those who experience a bereavement or who themselves succumb to a serious illness that results in significant absence. Exemptions cannot be granted for missed deadlines or busy schedules. SFI encourages Principal Investigators to contact their programme manager and / or [reporting@sfi.ie](mailto:reporting@sfi.ie) in advance of any deadline if they are experiencing difficulties.
15. The details of points accrued and associated sanctions for each Principal Investigator will be communicated to the relevant Research Bodies on an annual basis.

Version number	Date	Edits / Updates
V1	05/12/2019	-
V1.1.	11/01/2021	Penalty points to be applied to late submissions have been updated. See sections 4 and 5.
V1.2.	12/01/2022	Penalty points to be applied to late submissions have been updated. See sections 5. See section 14 for new guidance regarding appeals and exemptions.