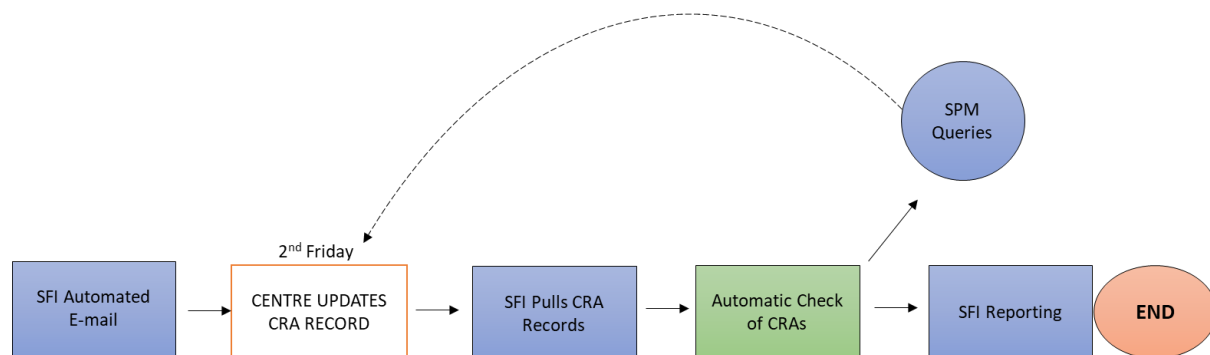


## Guidelines for Completion of Monthly Reports on Industry Collaborative Research Agreements (CRAs)

February 2020

### 1.0 Introduction

Research Centres (RCs) are required to update Science Foundation Ireland (SFI) on a monthly basis on the status of the Collaborative Research Agreements (CRAs) with industry partners. Updates to CRAs are to be made directly on SESAME before COB on the 2<sup>nd</sup> Friday of each month. SFI will run a SESAME report for further analysis, the results of which are used for important internal and external briefings (Figure 1).



**Figure 1:** Overview of monthly CRA updating process.

SFI will issue *courtesy* email reminders on these reporting dates. However it is the responsibility of RCs to introduce practices to ensure that the monthly reports are prepared and submitted on schedule and in an appropriate manner. SFI will contact the relevant Centre staff if there are any queries relating to the data reported on SESAME. RCs are required to provide a status update of CRAs under discussion, in preparation or signed with industry partners on a monthly basis. Updates can be made by:

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

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

## 2.0 Definitions of SESAME fields to be completed

The following information is required:

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

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

Funding Body: = "Private Enterprise"

Funding Programme or Company Name: Name of the company

Title of Proposal: Internal name of the project within the RC.

Nature of Project (if Private Enterprise): Must be "Collaborative" to count as cost share. See below for definitions of wholly funded collaborative research vs contract research.

Brief description of proposal including website and names of partners, where available. For pending awards, please also indicate expected decision date.

Please describe:

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

Status: The CRA status column has a drop-down list with the following options listed along with their definitions as outlined in Table 1.

**Table 1: CRA Status.**

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

*CRA expired	This refers to the situation where the project has been completed. In some cases, the project may only have been partially completed, e.g. due to a change in research direction. In this case the CRA should be classified as “CRA expired” and the industry funds which have been invoiced should be listed in the Cost Share columns.
CRA at risk	This refers to the situation where, despite negotiations, there is a strong probability that the company will withdraw from discussion before the CRA is signed.
*CRA Terminated	This refers to the situation where a CRA was signed but the project never got off the ground, for example in the case of a company being taken over, or a company going out of business. The signed CRA has been terminated <b>before the project start (before any funds have been invoiced)</b> through unforeseen circumstances and no industry funds have been invoiced.
Company withdrawn	The company has withdrawn from the discussions before the CRA has been signed.

*\*in calculating industry commitments SFI sums the CRA expired, CRA signed and CRA terminated values.*

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

**NB: ‘Current’, ‘Expired’ and ‘Pending’ are not valid status for CRAs. These are only for non-CRA sources of funding (e.g. grants from SFI, the EU etc).**

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

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

**\*Amount of the allocated funding that is cash:** The amount of direct cash contribution to be provided by the company for the duration of the project i.e. “Cost Share (cash)”. The direct contributions do not include any institutional overhead or VAT. However, if the industry overhead paid to the Research Body is given directly to the Research Centre (or part thereof), then this amount can be counted as a cash contribution. Provide the total value of the CRA, regardless of the period over which the CRA runs.

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

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

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

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

Headcount: This field is not mandatory.

MNC/SME: Define whether the company is a Multi-National (MNC), Small/Medium Enterprise (SME), Start-up or ‘Other’. Use Enterprise Ireland definitions of the relevant company type<sup>1</sup>.

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

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

<sup>2</sup> <http://www.sfi.ie/funding/sfi-policies-and-guidance/national-policies-sfi-positions/>

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

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

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

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

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

**IP Arrangements:** Please select from the dropdown list, indicating where the IP Arrangements are "Default", as per the National IP Protocol<sup>2</sup>, or whether other arrangements exist.

*\*in calculating industry commitments SFI uses the "Amount of the allocated funding that is cash" and "Committed Cost Share (in kind)" fields to capture committed industry cash and in-kind respectively*

## 3.0 Nature of Project Definitions

### 3.1 Partially Funded Collaborative Research

The majority of Targeted Projects in the Research Centres are partially funded collaborative research projects, where costs are shared by SFI and the industry partner. The cash (directs costs plus any overhead returned to the Centre) and in-kind contributions from the industry partner can be counted

towards the industry cost share. In the case of a partially funded Collaborative Research Project, the IP normally resides with the Research Body and the industry partner usually benefits by way of a licence.

### *3.2 Wholly Funded Collaborative Research*

In some cases, the industry partner stipulates full ownership of the foreground IP and is willing to pay the full cost of the project. Although the industry partner can have automatic rights to own the IP arising from such a project, a Collaborative Research Agreement (CRA) must still be negotiated and signed by the parties before the research project commences, and the agreement must include a clause describing how the results of the project will be disseminated. This is called a wholly funded Collaborative Research Project. If such an agreement is in place and the Research Centre Director is satisfied that the contribution of the project towards the goals of the Research Centre is clearly justified, the cash paid (directs costs plus any overhead returned to the Centre) and any in-kind contributions made by the industry partner can be counted towards the industry cost share.

A wholly funded Collaborative Research Project should not be confused with a contract research project. A contract research project involves a company paying a Research Performing Organisation (RPO) to deliver a product or service with a definitive outcome. For this kind of project, a profit margin is normally built into the costs, VAT is applicable and there is no requirement for the RPO to disseminate the results of the project. **Cash from contract research projects cannot be counted towards the industry cost share.** Although SFI recognises that these are important activities in which the Research Centre can engage with industry partners, they are not viewed as Collaborative Research Projects in which the industry partner is making an intellectual contribution, the research results can be disseminated, and new IP can be generated.

## 4.0 Additional Notes for Excel Uploader templates

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

- Do not add any new columns to the spreadsheet template.
- Do not change any of the row or column titles.
- If a particular validation does not include a value appropriate to your Centre's situation, use the next most appropriate one and explain any variation in the 'Comment' column.

- In the case of monetary amounts, provide the exact amount, not an abbreviation. For example, provide *250000*, not *€250k* or *€0.25m*.
- In the case of dates, provide an exact date, not an abbreviation. For example, provide *31/3/2016*, not *Q1 2016*.
- If the value is unknown or not applicable, input NA – do not leave the cell blank.
- If any values need to be estimated, provide the best estimate possible. Do not append any other text. If your estimate for a particular value is 100, report, *100*, not *100 (est)* or *100 (approx.)*.
- Transaction ID: All new records should have a blank (or zero) transaction ID. These will be allocated a transaction ID once imported.
- All existing records should have the correct transaction ID. If there is a transaction ID in the spreadsheet that does not belong to the Centre / Award's Research profile, you will get an error message on import. If there is no transaction ID, SESAME will assume they are new records to be added, resulting in duplication.

## 5.0 Repeat industry Collaborative Research Agreements

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

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

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