



Comhshaoil, Pobal agus Rialtas Áitiúil  
Environment, Community and Local Government

ENVIRONMENTAL PROTECTION AGENCY  
An Ghníomhaireacht um Chaomhnú Comhshaoil

Science, Technology, Research & Innovation for the  
Environment (STRIVE) Programme 2007 – 2013

EPA STRIVE & Climate Change Research Programmes  
***Guide for Grantees***

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This document provides general guidance for successful applicants under EPA call for proposals who have been awarded a research grant as part of the Science, Technology, Research & Innovation for the Environment (STRIVE) Programme 2007-2013. For further information, please refer to the relevant Terms & Conditions document available on the EPA website ([www.epa.ie](http://www.epa.ie)).

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## 1. Payment of the Research Grant

Funding is provided on a discretionary basis by the EPA to the Grantee. The term 'Grantee' is defined in the Notification of Award of Research Grant and includes the Lead Organisation, the principal investigator and project participants there defined. It means each of them separately and all of them together or any number of them collectively.

Grant awards are subject to the conditions specified in the relevant Terms and Conditions document.

Lead organisations will be responsible for all aspects of management and implementation of the STRIVE project. All of the participants will be required to ensure that accurate accounts of expenditure are maintained. They should maintain appropriate documentation to support and justify in particular the costs and time reported in their Cost Statements. This documentation must be complete (e.g. include reference material such as purchase order numbers, cheque numbers, etc.) and be accurate. They should be held separately from other project records and be retained for a minimum of three years after completion of the Programme. It should also be noted that normal accounting rules and procedures require that all financial records and information should be retained for seven years after the financial period to which they relate.

Grant aid will be made in the form of reimbursement of eligible costs, together with supporting documentation. Eligible costs shall be reimbursed where they are adequately justified by the participant. This reimbursement will be made on the basis of submission of certified Cost Statements in respect of expenditure already incurred and paid for. The only exception to this is an initial advance payment of up to 50% of the grant funding. This will normally be payable within two months of the issue of the notification of grant award.

Reimbursements will normally be made twice a year (in spring and autumn) provided that six-monthly reports are submitted on time and that all relevant documentation (both financial and technical) is in order and has been accepted and approved by the EPA or its appointed representative (see the relevant Terms and Conditions document for details)

An amount equal to 15% of the total grant aid related to the project completion costs will be retained in all cases pending satisfactory completion of the project. For the purposes of release of retained funding a project will be deemed to be completed satisfactorily, following the certification of the final cost statement, the submission of a satisfactorily completed End of Project Questionnaire and sign-off of the final project report(s) by the EPA (or submission of thesis for scholarships). The Final Cost Statement for the project and the End of Project Questionnaire must be submitted within 28 days of the agreed project completion date. Grantees who do not comply with these requirements may be deemed ineligible to apply for future STRIVE research grants.

Following the satisfactory completion of the project the EPA will issue a De-commitment letter outlining the certified expenditure, any financial adjustments made by its appointed financial agents and potential de-commitment amount represented by the uncertified amount of the grant award (excluding post completion dissemination costs). Where the remaining available grant aid has not been claimed or where responses to any outstanding financial queries have not been resolved within 28 days of the date of the letter the EPA will de-commit the uncertified portion of the grant award for the project.

Funding agreed and ring fenced for the purpose of post completion dissemination will be reimbursed following submission of a final cost statement at the end of the 12 month period during which this funding may be utilised. At this time the EPA will issue an additional decommitment letter.

All accounts and financial management systems will be subject to verification and audit by the EPA and/or their appointed representative. These financial management systems must also be open to inspection by the Department of Environment Heritage and Local Government and/or Department of Finance or their

appointees for the purpose of their financial control and audit procedures.

Grantees will be required to present a valid tax clearance certificate prior to grant award in accordance with Department of Finance regulations (in the case of residents outside the State a tax clearance certificate should be obtained by completing form TC1 which is available from <http://www.revenue.ie/en/tax/it/forms/webtc1.pdf>). Completed forms should be returned to the office of the Collector-General, Sarsfield House, Limerick, Ireland. Grantees are required to provide valid copies of Public and Employer's Liability insurance and Professional Indemnity insurance (where relevant). Tax clearance and insurance documentation must be updated annually. Evidence of compliance with relevant Health and Safety legislation may be requested.

## 2. Project Management

Each project should have a single lead organisation with a nominated principal investigator who will coordinate the research and drive the overall objectives. The Principal Investigator has the following specific responsibilities:

- oversee the coordination of the various sub-projects to ensure that all deliverables are met,
- ensure effective dissemination/networking activities. The dissemination and communication of research findings to stakeholders including policy makers, the research community and the public is a key objective for these projects, therefore personnel, time and budget should be made available for these tasks,
- ensure compliance with technical and financial reporting requirements (see section 4 below),
- organise and ensure attendance of all relevant parties at all meetings required (see section 5 below) during the lifetime of the project,
- where a project steering committee has been established, ensure that any recommendations made by it are addressed,
- establish and maintain a project website (for Medium-Scale, Large-Scale and Capability Development projects – see Section 9 below),
- ensure that data from the sub-projects is provided to participants where required and uploaded to EPA Environmental Research Centre (ERC) data management system,
- organise and host dissemination seminars throughout the project as appropriate,
- ensure that relevance to policy is included in technical and final reports,
- ensure compliance with financial reporting guidelines,
- provide photos, logos etc. as required for communication and dissemination purposes,
- act as a focus for information exchange between researchers and policy makers to ensure well founded scientific knowledge informs environmental policy.

In the case of capability development projects the EPA encourages the appointment of a full-time Project Manager to oversee the research work, integrate sub-projects and also to ensure linkages with relevant policy-makers. It is expected that the project manager will work solely on the research project and will not have other responsibilities.

Principal Investigators and Project Managers should liaise regularly with the relevant STRIVE officer, who is managing the project for the EPA.

### 3. Interim Reporting Requirements

Financial Reports (Cost Statements) and Technical Progress Reports should be submitted to the EPA during the lifetime of the project, via the EPA Grant Application & Project Management Portal (<https://epa.smartsimple.ie>), as per the schedule outlined in the table below.

Project Type	Technical Progress Report	Financial Cost Statement
Capability Development	28th January & 28th July	28th January & 28th July
Large-Scale	28th January & 28th July	28th January & 28th July
Medium-Scale	28th January & 28th July	28th January & 28th July
Desk-Study	28th January & 28th July	28th January & 28th July
Post-Doctoral Fellowship	28th January & 28th July	28th January & 28th July
Doctoral Scholarship	1st October	1st October

It is the responsibility of the principal investigator to ensure that reports are submitted on time and that they are of a satisfactory standard that clearly details financial and technical progress on the project. Any difficulties arising should also be reported as well as the actions planned to overcome these difficulties.

The information provided in these reports, may be used by the EPA, to report to the NDP managing authorities as specified by the Department of Finance NDP/CSF Audit and Evaluation Unit.

### 4. Research Project Meetings

#### Project-based awards:

Progress meetings will be required for all project-based awards (DS, MS, LS, CD) including an initial kick-off meeting and regular interim meetings as outlined below.

A kick-off meeting should be held within one month of the project start-up and should be attended by the STRIVE officer, EPA technical officer, steering committee and the project team. The purpose is to formally initiate the project, to review the project plan (including any agreed revisions) and to discuss project management. The kick-off meeting is separate and additional to any project launch event held by the project team.

Where appropriate, the Grantee will ensure that members from all sub-projects meet regularly to discuss the various aspects and progress of their sub-projects and ensure integration and sharing of information as part of regular project team meetings. The Grantees should meet regularly with the relevant STRIVE officer to discuss progress and highlight any potential issues. This may occur as part of a steering committee meeting (see Section 6 below for further details).

#### Researcher-based awards:

In the case of Doctoral and Masters Scholarships, progress meetings will be held at the discretion of the EPA and/or the Grantee to discuss any issues arising.

In the case of research fellowships, the Grantee should meet regularly (at least annually) with the relevant STRIVE officer to discuss progress and highlight any potential issues. Participation in or attendance at

STRIVE Seminars is required during the lifetime of the project. These seminars are organised annually by the EPA (usually in September/October).

## 5. Steering Committee

The EPA, in discussion with the Grantee, may establish a steering committee to provide advice to the research team and the EPA on the overall direction and approach of the project and to provide an external view of the research. The steering committee will also advise on the contents and structure of the final report.

The steering committee should comprise individuals with appropriate expertise and experience including international/national experts and representatives from national organisations such as DEHLG (or other relevant government departments), Local Authorities and Research bodies (such as Teagasc, Marine Institute etc.). The steering committee may also include one or more of the evaluators who reviewed the proposal during the evaluation process.

Where a steering committee has been established, the principal investigator and the project participants will be required to attend and present results from their research at regular (usually 6-monthly) meetings involving the Steering Committee and the EPA. These meetings will be organised by the EPA and the principal investigator.

Recommendations provided by the Steering Committee must be considered and implemented where possible.

## 6. Deviation from original proposal

The Grantee should ensure that the project is not altered or adjusted without prior written consent from the EPA.

### Project Extension (at no extra costs)

In the event of a project encountering delays, it is the responsibility of the Grantee to request a time extension (at no extra cost) to the EPA as soon as it has become clear the project will not be completed within the agreed timeframe. The request should be made via SmartSimple. A project is considered completed once the Final Report(s) has (have) been signed-off or the final thesis submitted in the case of scholarships.

### Project extension (with supplementary funding)

Supplementary funding to further or more closely investigate results from the project may be granted in exceptional circumstances. The work may take place during or after the original project completion date. Requests for supplementary funding must be made in writing to the EPA using the appropriate application form (available on request), at least 3 months prior to the completion date of the project. The work must be clearly additional to the work outlined in the original project proposal and must demonstrate significant added value to the project. Approval for supplementary work will only be granted in the event of the original reporting requirements for the project being completed in full to the satisfaction of the EPA. Supplementary funding will be strictly limited to a maximum value equal to 50% of the original project budget subject to the availability of funding. Salary Increments will not be considered eligible for funding during the extension period.

### Budget Reallocation

When required, the Grantee can request a partial reallocation of funds among the different categories of the budget (e.g. Salary, Consumables, Equipment, Travel & Subsistence, Sub-contracts, etc...). The request

should be made via SmartSimple. Normally, the total re-allocation between budget categories should not exceed 15% of the total project budget. A signed hard copy as well as an electronic copy should be sent to the relevant STRIVE officer. The Grantee should ensure that any proposed reallocation is within the agreed budget.

#### Travel Outside the EU

Actual travel and related subsistence costs (including those based on approved mileage and subsistence rates) for personnel working on the project are fully reimbursable and may be charged to the project, provided that the costs comply with the participants normal practices in this regard and do not exceed Revenue Approved Civil Service Mileage and Subsistence rates. Where such costs are incurred they must be reasonable, separately identifiable, limited to the actual cost and should be a specific requirement for the implementation of the funded initiative. The prior approval of the EPA is required for travel to any destination outside the EU. The request should be made via SmartSimple.

Requests for time extension, authorization for travel outside the EU and budget reallocation will be considered on a case by case basis.

## **7. Final Reporting Requirements**

#### Submission of Final Reports

The EPA requires the principal investigator to submit a draft Final Report to describe the objectives, methodologies, outcomes, etc. of the research. If this report is longer than 75 pages, a draft Synthesis Report (20-30 pages) providing an overview of the work should also be submitted. It is important that all participants agree and sign-off on the content of the reports prior to submission to the EPA.

Both reports should be submitted by the end date of the project, in accordance with the Guidelines for Submission of Final Reports available from the EPA website.

A short Abstract (max. 700 words) should also be provided. This will be used to describe the Final/Synthesis Report(s) once they become available on the EPA website.

For Doctoral and Masters scholarships, a hardbound copy of the final thesis should be submitted to the EPA as well as an electronic copy of the abstract (max. 700 words).

Final Reports should be submitted via SmartSimple.

#### Review & Publication of the Final Reports

The Final report will be peer-reviewed and should be revised by the project team in order to address any comments/recommendations. In case of disagreement, justification should be provided to the EPA explaining why changes recommended were not carried out. The EPA will sign-off on the report(s), once satisfied with the contents.

If suitable for publication, the Synthesis Report or Final report will be sent for proofing, formatting and publishing by the EPA. The authors are responsible for the proofing and formatting of the Final Report where this is not to be published by the EPA. All reports (when possible) will be made available on the EPA website once released.

When the EPA publishes reports, these will be circulated by the EPA to public and college libraries throughout Ireland. When not published by the EPA, the Grantee should provide copies of the final report to the libraries of the constituent Universities of the National University of Ireland, the University of Dublin (Trinity College), the University of Limerick and Dublin City University, the Economic and Social Research Institute and ENFO (Environmental Information Centre). Where the Grantee has a web site, it should

publish the final report on its web site once the EPA has approved the public release of the report.

### Datasets

All significant datasets produced during the research project must be submitted to the EPA at the end of the project for archiving by the EPA Environmental Research Centre (ERC). It will be the responsibility of the Grantee to ensure that all project participants provide their respective datasets as detailed in the Guidelines for Submission of Datasets, available from the EPA website. The Grantee should also complete and submit to the EPA, the ERC Metadata Table (available on the EPA website) for each dataset provided. Metadata Table should be submitted SmartSimple.

Descriptions of the datasets (using the metadata provided) will be made available publicly, while access to the datasets will be restricted to the data originators and EPA staff for a period up to 12 months after the publication date of the project report. Upon expiry of that period, datasets will be made publicly available.

Please note that the format of data and/or technical solutions (websites, developed software, database solutions etc.) must be agreed with the EPA to ensure that they can be installed on EPA infrastructure and maintained by EPA staff after the completion of the project. The EPA can supply a current list of approved data formats and technology on request and the exact format of all outputs must be agreed with the EPA before development of same commences. All data outputs must have a comprehensive set of metadata and all technical solutions must be fully documented according to EPA requirements

### End of Project Questionnaire

All Grantees should complete and submit an End of Project Questionnaire via SmartSimple on completion of a project. The information provided will be used to demonstrate value for money for environmental research and inform the future directions of the STRIVE Programme.

## **8. Communication, dissemination and publicity**

The dissemination and communication of research findings to stakeholders including policy makers, the research community and the public is a key objective for projects funded under the STRIVE Programme.

Project participants are encouraged to submit papers relating to the project to peer- reviewed journals and to present findings at national and international conferences. Electronic copies of accepted papers, posters, etc. should be provided to the EPA.

Dissemination seminars should be held throughout the project as appropriate and at conclusion of the project. Media releases should be provided to the EPA for agreement prior to issue. The principal investigator is requested to be available to provide an overview/update on the project to the media (newspapers, trade magazines, radio or television).

The principal investigator should ideally establish and maintain a website specific to the project. This must be populated by an overview of the project, contact details of the project participants and principal investigator, as well as regular updates on the status of the project.

The Grantee should make reference to the support received from the EPA, DECLG and NDP, in any publicity or promotional activities relating to the project and respect copyright laws in any publication.

## **9. Termination**

A grant may be terminated in whole or in part in circumstances detailed in the relevant Terms and Conditions. If a grant is terminated, only eligible costs incurred up to the termination date are allowable and

any other monies held by the grantees (e.g. advance payment) shall be reimbursed immediately to the EPA. Upon termination of a grant, the Grantee should submit a Final Cost Statement within two weeks.

## 10. Intellectual Property

The STRIVE programme funds not-for-profit research intended to generate knowledge for public good purposes and as such EPA expects that outputs and/or findings should be widely disseminated and made publicly available. The EPA's SAFER-data archive (<http://erc.epa.ie/safer>) should be used for this purpose.

On completion of a research project, Principal Investigators and Research Groups are granted a period<sup>1</sup> of exclusive access to the datasets which they have collected to prepare material for publication in scientific journals.

Where there is a reasonable potential for commercial exploitation of research outputs, the EPA applies the principles of the document " Intellectual Property Protocol – Putting Public Research to Work for Ireland " to ensure that knowledge arising from its funded research is translated for public benefit. This document is available at:

[http://www.djei.ie/publications/science/2012/Intellectual\\_Property\\_Protocol\\_Putting\\_Public\\_Research\\_to\\_Work\\_for\\_Ireland.pdf](http://www.djei.ie/publications/science/2012/Intellectual_Property_Protocol_Putting_Public_Research_to_Work_for_Ireland.pdf)

## 11. Freedom of Information Act

The EPA may be obliged to disclose information relating to the project under the Freedom of Information Acts 1997 and 2003 and the European Communities (Access to Information on the Environment) Regulations 2007 to 2011. Where the researcher submits any information to the EPA which it considers to be confidential, it must identify this information at the time it is submitted and explain why it considers the information to be confidential. The EPA will take account of the researcher's request, and will endeavour to give effect to it if it considers it to be reasonable; but it cannot guarantee that it will not be obliged to disclose any such information; and the researcher acknowledges this.

## 12. Data Protection Act

Personal information supplied to the STRIVE Programme will be stored in electronic and structured manual data formats e.g., hard copy folder or database, for use only in connection with this application. The provisions of the Data Protection Act, 1988 and the Data Protection (Amendment) Act, 2003 will be fully complied with.

## 13. Further Information

Any enquiry with regard to the above should be addressed to [research@epa.ie](mailto:research@epa.ie)

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<sup>1</sup> 12 months after completion and sign-off of the project report