



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



# **National Waste Prevention Programme & Science, Technology, Research & Innovation for the Environment (STRIVE) Programme 2007-2013**

## **GUIDE FOR GRANTEES**

### **EPA Call for GreenEnterprise Proposals**



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The GreenEnterprise Programme is funded as part of the National Waste Prevention Programme & Science, Technology; Research & Innovation for the Environment (STRIVE) programme.

## **Science, Technology, Research & Innovation for the Environment (STRIVE) Programme**

This document provides general guidance for successful applicants under EPA call for proposals who have been awarded a research grant as part of the National Waste Prevention Programme (NWPP) & Science, Technology, Research & Innovation for the Environment (STRIVE) Programme 2007-2013 – GreenEnterprise (GE1). 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. Introduction

In 2012, the management of the Cleaner Greener Production Programme (CGPP) was adopted by the National Waste Prevention Programme (NWPP) to further harmonise the outputs from both programmes. The NWPP has been running since 2004. Since its inception, NWPP has sought to develop new prevention projects while also building on the foundations of previous sustainability initiatives. It is equally important to generate synergies and ensure that projects work together effectively and efficiently, and show potential for replicability and demonstrate good value.

A number of the projects which commenced as CGPP initiatives have subsequently been launched by NWPP on a national scale (See [www.nwpp.ie](http://www.nwpp.ie)). The programme is intended to assist businesses & institutions on matters dealing with eco-efficiency, which embraces water conservation, waste prevention and minimisation, and energy efficiency. The CGPP phase of the programme has come to a close, and will in future be known as “GreenEnterprise”.

The EPA Act of 1992 provides for the EPA to support and co-ordinate environmental research in Ireland. Since 1994, the EPA research programme has supported R&D activities in a range of environmental areas. This work is carried out by researchers in third level institutions, state agencies, government departments, local and regional authorities and the private sector.

The current EPA research programme for the period 2007-2013 is entitled Science, Technology, Research and Innovation for the Environment (STRIVE). The purpose of the Programme is:

“To protect and improve the natural environment by addressing key environmental management issues through the provision of world-class scientific knowledge generated through a vibrant, competitive programme of research developed supported and co-ordinated by EPA.”

The aims of the programme are to:

- Contribute to a better environment by delivering applicable and relevant Science, Technology, Research and Innovation data, information and knowledge, based on high quality science and technology,
- Develop new techniques, methods and systems for measuring, recording and predicting the quality of the environment,
- Identify practical methods for the integration of environmental considerations into policies and programmes of the main economic sectors,
- Provide knowledge to support the mainstreaming of environment in the NDP,
- Collaborate with and assist other Agencies in their environmental decision making by providing high-quality, relevant, responsive and timely scientific information and research results,
- Develop and integrate the environmental component of the knowledge economy, and ensure that environment is a key issue for research priorities at National Level,
- Ensure that emerging EU and National Environmental and Research plans, policies and legislation are supported and implemented within the research programme,
- Disseminate the findings of the individual research projects and the overall programme to the widest possible audience in a coherent and timely manner.

## 2. 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 GreenEnterprise 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 incurred and paid. 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, together with appropriate supporting documentation. The only exception to this is **an initial advance payment of up to 50% of the approved funding for GreenEnterprise based grant awards**. 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 technical and financial progress reports are submitted on time and that all relevant documentation 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 of up to 35% of the EPA grant aid to the project will be retained in all cases pending satisfactory completion of the project.** A project will be deemed to be completed satisfactorily, following the certification of the final cost statement, the submission of suitable publicity material and the approval of the final draft technical report for the project.

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 Community and Local Government and/or the 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 [www.revenue.ie/doc/webtc1.doc](http://www.revenue.ie/doc/webtc1.doc). 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 where appropriate Professional Indemnity insurance. Tax clearance and insurance documentation must be updated annually. Evidence of compliance with relevant Health and Safety legislation may be requested.

### 3. Project Management

Each project should have a single lead organisation with a defined principal investigator/project manager who will co-ordinate 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,
- 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, and ensuring compliance with the programme requirements in regard to publicity and acknowledgement of funding,
- act as a focus for information exchange between, business, researchers and policy makers to ensure well founded scientific and economic knowledge informs environmental policy.

Principal Investigators and Project Managers should liaise regularly with the relevant GreenEnterprise Officer, who is managing the project on behalf of the EPA.

### 4. 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 Table 1.

TABLE 1 – REPORTING SCHEDULE

	<i>Technical Progress Reports</i>	<i>Financial Cost Statements</i>
<i>GreenEnterprise Awards</i>	<i>28<sup>th</sup> January &amp; 28<sup>th</sup> July</i>	<i>28<sup>th</sup> January &amp; 28<sup>th</sup> July</i>

It is the responsibility of the principal investigator/programme manager to ensure that reports are submitted on time and that they are of a satisfactory standard that clearly details 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 Department of Finance.

## 5. Research Project Meetings

Progress meetings will be required for all GreenEnterprise based awards including an initial kick-off meeting and regular interim meetings as outlined below.

A kick-off meeting should be held within two months of the project start-up and should be attended by the GreenEnterprise officer 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.

Participation/Attendance at GreenEnterprise Seminars is required during the lifetime of the project.

## 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) from 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 the EPA Grant Application & Project Management Portal (<http://epa.smartsimple.ie>). A project is considered completed once the final draft technical Report(s) has (have) been signed-off and all financial reporting obligations have been met.

### Budget Reallocation

When required, the Grantee can request the 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 the EPA Grant Application & Project Management Portal (<http://epa.smartsimple.ie>). Normally, the total re-allocation between budget categories should not exceed 15% of the total project budget. The Grantee should ensure that the proposed reallocation is within the agreed budget.

### Travel Outside EU Request

Actual travel and related subsistence costs (including those based on approved mileage and subsistence rates) for personnel working on the project are fully reimbursable at the appropriate grant award rate and may be charged to the project, provided that the costs comply with the participants normal practices in this regard. 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 the EPA Grant Application & Project Management Portal (<http://epa.smartsimple.ie>)

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

## 7. Final Reporting Requirements

### Review & Publication of the Final Reports

The Grantee shall also comply with the following Final Reporting and Publication Requirements:

Upon completion of the project, the grantee will produce a Draft Final Report in accordance with the guidelines – a GreenEnterprise Final Technical Report and a two-page leaflet, including photographs, outlining the project operation and benefits. The Grantee shall ensure that the Final Report is made available as widely as possible. Where the Grantee has a web site, it shall publish the Final Report on its web site. These reports should be submitted by the end date of the project, in accordance with the Guidelines for Submission of Final Reports, which are available from the EPA website.

All Final Reports shall be made available on a royalty free basis, subject to acknowledgement of the Grantee as author. The Grantee may, however, recover the costs it incurs in providing the results.

The Grantee may make proposals to the Agency for other methods of publication of the results of the project, and the Agency may approve such proposals.

## 8. Communication, dissemination and publicity

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

Project participants are encouraged to submit papers relating to the project to trade magazines/publications, technical journals and 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. Media releases should be provided to the EPA prior to issue.

**The Grantee must make reference to the support received from the EPA and, DECLG, 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 costs which are deemed eligible by the EPA and 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 of the date of termination.

## 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 / 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 & Research Groups are granted 12 months 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>.

## **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**

Enquiries with regard to the above or to the implementation of this phase of the GreenEnterprise programme should be addressed to [research@epa.ie](mailto:research@epa.ie).