# **Appendix C: Progress Report Template (includes appendices d and e)**

The template for the **Progress Report** is provided in this Appendix C (includes appendices D and E). There are two key documents which are required as part of the submission process for consideration of Phase 2 funding for the 5 x 2013 Research Centres; a Progress Report and a proposal for Phase 2 funding.

The Progress Report document must be uploaded to SESAME using the file upload buttons located in the Programme Documents section of the SESAME application form, see Section 8 of the Call Document.

**All text should be provided in Times New Roman font or similar, with minimum font size of 12, and at least single-line spacing as well as a minimum margin size of 2.5cm. Text in diagrams may be in any clearly legible font.**

The Progress Report must capture the outputs, achievements and impact of the Centre from the start date of the award to the date of report submission, a time span of four years.

The overriding purpose of the Progress Report is to enable the RCs to provide sufficient information for an international review panel to determine whether the Centre has delivered on undertakings submitted as part of its original proposal and furthermore, if it has surpassed original objectives set including but not limited to cost share targets, targets set against defined Key Performance Indicators (KPIs), leveraged funding etc. Moreover, the review panel will determine whether the Centre has attained excellence across the Scientific and Impact pillars. All panel members will provide an independent written postal review, inclusive of scoring, of the Centre’s progress, in advance of the site review. The panel will also receive copies of all previous annual reports. Reference to additional details available in previous annual reports should be made in this Progress Report where necessary. The postal reviews of the Progress Report will be circulated to the Centre Directors and the Centre will be afforded the opportunity to respond to the postal reviews during the site visit.

The Progress Report is structured such that the Centre provides information under each of the headings in the template below, all of which must be addressed. Specified page limits must not be exceeded.

**Within the Progress Report document include:**

* **The completed Progress Report template (sections 1-12)**
* **Appendices:**
  + **US-Ireland Centre-to-Centre Partnership Award, where relevant (template in Appendix D)**
  + **Spokes Programme Awards where relevant (template in Appendix E)**
  + **KPI results up to end H1 2018, as validated by SFI**

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1. **Summary of Achievements (max. 10 pages)**

This section of the report should focus on the achievements of the Centre from the start date of the award up to the date of the report submission (Phase 1).

It will be incumbent on the Centre to convince the international review panel that the Centre is truly operating as a Centre and has achieved more through the Research Centre with regard to academic collaboration, industry partnership and operating as a collective, than it would have done if a number of individual awards had been made (i.e. the added value and synergy enabled by a Centre award).

This section should address the following, but is not limited to:

* How has the international competitiveness of the Centre increased as a result of the Centre award?
* How has the international ranking of the Centre improved relative to the global competitors in its field?
* How has the Centre established its international standing or niche area?
* How has the Centre provided economic impacts for Ireland e.g. how has the Centre increased industry and commercial investment in R&D? Attracted large Foreign Direct Investments in corporate R&D laboratories?
* Describe commercialisation and technology transfer achievements.
* How has the Centre leveraged funding from NE-NC sources?
* Describe achievements relating to Education and Public Engagement.
* How has the Centre influenced national and/or international policy?
* Describe how the Centre has benefitted from collaborating with other SFI Research Centres and any other international or national centres (e.g. NSF Centres, Fraunhofer, EI Tech Centres etc.).
* How do the Centre’s industry partners consider that the Centre has benefited the Irish research system and their own (company) interests?

In this section, please reference the Centres performance in meeting/exceeding targets set against its minimum and ambitious KPIs.

Also, please reference what the Centre achieved that it couldn’t have achieved if a number of individual awards had been made instead of an overall Centre award, i.e. how is the sum greater than the parts?

Note: The KPI results up to end H1 2018, as validated by SFI, should be included as an Appendix to the progress report. Please include this at the end of the progress report document. Reference can be made to outputs in H2 2018, where relevant, within the progress report document. The validated H2 2018 KPI results will be provided to the review panels in advance of the site visit.

1. **Summary of Progress against Original Objectives (max. 5 pages)**

This section of the report must describe progress against the original objectives defined in the proposal approved for funding as part of the 2013 call.

Questions to be addressed should include, but are not limited to:

* Have the overall original objectives been met (or not)?
* Describe if and how any of the original objectives have changed and if any new opportunities have arisen that have resulted in the Centre acquiring or changing objectives?

1. **Research Centre Leadership Team (max. 10 pages)**

This section of the report must enable the review panel to assess the quality and performance of the Centre management team, Principal Investigators and Funded Investigators.

The following information must be provided:

* A description of the leadership team, i.e. names and responsibilities and a brief bio-sketch of the Centre’s management team including the Director, Deputy Director(s), Co-Principal Investigators (co-PIs), Funded Investigators (FIs), senior managers, including the Centre Manager, Business Development Manager, IP Managers, EU Grant Manager, EPE manager, etc.
* A description of the team cohesiveness and added value of the RC team.
* A description of the Centre’s organisational strategy and the underlying rationale for this.
* A description of the internal methods used for assessing the quality and impact of the projects.
* A breakdown of gender representation within the Centre and actions undertaken to redress gender under-representation, particularly at the senior level.

1. **Governance and Management (max. 5 pages)**

Provide a brief description of the existing Centre governance and management structure. Address the following:

• Are governance structures in place and are they effective?

• Is there an operationally-effective management structure and organisation in place?

• Is the Centre Director leading the Centre team effectively?

• Does the Centre have a procedure for risk management?

• Provide examples of how challenges have been resolved in the Centre.

• Describe how the Centre manages, implements and overseas good laboratory practices and research integrity.

• Describe how the Centre manages, implements and evaluates mentorship across all levels of the organisation.

• Describe Governance and Management structure with respect to composition (gender balance etc.).

1. **Support from the host Research Body and other participating Research Bodies (max. 5 pages)**

This section of the report must enable the review panel to assess the level of support provided by the host Research Body and partner institutions of the Centre, with reference to what was promised in the original submission. With the original proposal, Letters of Support from the Research Bodies of the Lead Applicant and Co-PIs were provided. With reference to these letters, describe:

* How the Research Bodies have supported the Centres.
* How the operations teams of the Centres have integrated into the administration teams of the Research Bodies.
* List any support services (for example, HR, TTO, IP, contracts, legal etc.) that have been provided by the Research Bodies.
* Describe how the overhead provided by SFI has supported the Centre award.
* Describe how the Research Body has implemented measures for redressing gender imbalance.

A condition of initial funding was that the Research Body leading the Centre would prepare an Inter-Institutional Agreement describing the partnership between all academic Research Bodies part of the Research Centre award within 90 days of the start date of the award. As such a description should be provided on how the partnership between all of the participating Research bodies has worked, with reference to any challenges that have arisen and have been overcome, in particular.

1. **Research Programme (max. 40 pages exclusive of references and reports on US-Ireland C2C and Spokes awards)**

This section of the report must enable the review panel to assess the scientific excellence of the research that has been undertaken by the Research Centre from the start date of the award to the date of report submission. The original research programme aims should be referenced where applicable and any changes in direction highlighted.

In this section, consideration should be given to the outputs and impact arising from:

* Platform projects;
* Targeted projects with industry partners.

The following must be addressed:

* What are the 3 most important research breakthroughs that the Centre has made? Describe what the breakthrough is, why it is important, how it has been translated and who has benefited from it.
* How has the Centre achieved research excellence and leadership in its niche area, as measured through indicators such as publications in top tier journals, associated citations, representation and presentations at seminal conferences, editorships of top tier journals?
* Has the Centre produced publications with industry as co-authors and/or patent applications with industry as co-inventors? If so, describe how these have been regarded by the wider community, with reference to citations and industry downloads.
* Consideration should be given to outputs and impacts from associated projects funded through Horizon 2020 and other NE-NC funding sources.

Note:

**US-Ireland Centre to Centre (C2C) awards:** For Centres that have secured US-Ireland C2C awards, please provide a separate report for each award under the headings provided in Appendix D.

**Spokes awards:** For Centres that have secured Spokes awards, please provide a separate report for each award under the headings provided in Appendix E.

**Please note: the 40-page limit for the overall Research Centre research programme does not include the US-Ireland C2C or the Spokes awards. An additional 10 pages (max) are allowed for each US-Ireland C2C and each Spoke award for the Centre.**

**References for research programme section 6 (no page limit)**

Provide a full list of all references. The reference list should include the following details: author(s), title of article, name of publication, date of publication, and other appropriate details (such as volume, pages).

1. **Commercialisation Plan (max. 10 pages)**

This section of the report must enable the review panel to assess the commercialisation activities of the Centre, with reference to their original objectives, from the start date of the award to the date of report submission.

The following must be addressed/ provided:

• Provide an outline of the Centre’s IP principles and policies, providing examples of any technology transfer activities that have been undertaken during the last four years and their impact to date.

• Provide a list of technologies developed by the Centre that have led to new applications, contributed to product development and/or resulted in marketed products.

• Has the Centre spun out new spin out and/or start-up companies that have the potential to raise external, angel or venture funding? Provide details of their innovation pathway as appropriate.

• How has the Centre performed against its commercialisation relevant KPI targets?

• How has the Centre developed a broader entrepreneurial culture throughout the partnering RPOs?

1. **Industry Cost Share (max. 10 pages exclusive of industry testimonials)**

This section of the report must enable the review panel to assess the success of the Centre in achieving its industry cost share targets (Cash and in-kind)

The following must be addressed/provided:

* Provide an overview of industry cost share, cash and in-kind, both committed and received, from the start date of the award to the date of report submission.
* Describe the strategy used to achieve the cost share and how that strategy has evolved.
* Describe any challenges that have been overcome on this journey.
* Describe the benefits that industry partners have gained through collaborating with the Centre.
* Describe how working with industry has informed the research being conducted by the Centre. Please refer specifically to platform research and basic oriented research activities where relevant.

In addition, as part of section 8:

* Provide a number of **industry partner testimonials\*** which can be used by SFI for future Public Relations activities. The testimonials should address the following:
* The benefit to the company of the collaboration – statement of why they are involved (provide specific details - new products/services, increase in jobs, access to expertise, training, recruitment, etc.)
* The benefit to Ireland resulting from the collaboration – new activities being conducted in Ireland by the company, new investment in Ireland, new spin-offs in Ireland, etc.
* The testimonial should not simply be a reference to a good working relationship with the Centre. It should reference a benefit to working with the Centre, for example “Through engagement with the Centre, we have employed an additional 20 people in our Irish site”. SFI is cognisant of concerns around confidentiality of industry partners and in respect of this, you are asked to provide a number of industry testimonials, these are not required for all industry partners. **Testimonials from new potential industry partners to further ‘endorse’ the planned research for the Phase 2 proposal are not allowed.**

*\*Testimonials will be published and will be used by SFI for future Public Relation activities and potentially other things such as the SFI annual report, flyers, brochures etc. Most importantly, the testimonials will be used to demonstrate the benefit of the government investment in Research Centres, to our own department, the Department of Business, Enterprise and Innovation (DBEI), as well as other departments where necessary. SFI is often asked for soundbites which demonstrate the benefit that industry is getting from the state investment into SFI Research Centres. As these testimonials will be published, the industry partner must agree that they can be used and the name of the industry partner needs to be referenced in the testimonial. A signed testimonial on industry letter headed paper is not required but the industry partner must be aware that the testimonials will be published. The name of the person in the company is not necessarily required but the company name is. The testimonial should be in the form of a quote provided by the company.*

1. **Funding Diversification (max. 10 pages)**

This section of the report must enable the review panel to assess the success of the Centre in achieving its “funding from non-exchequer, non-commercial” (NE-NC) target.

The following must be addressed/provided:

• Provide an overview of NE-NC funding which has been received to date, including but not limited to the following:

- H2020 projects in which the Centre is co-ordinating and/or partnering;

- ERC awards won by the Centre;

- Funding leveraged from non-exchequer, non-industry sources outside of H2020;

- Funding from charity and philanthropic sources.

• Describe the strategy that the Centre has used to achieve NE-NC targets and how that strategy has evolved. Describe any challenges that have been overcome on this journey. Applicants are invited to consider, but not limited to, the following in addressing this section:

- The European Research Area (ERA) and providing examples of how the Centre has helped create opportunities for funding or influenced policy development.

- Examples of how the Centre has worked with Irish or international business to contribute to the development of Horizon 2020 work programmes.

- How international funding has enhanced the Centre’s outputs and reputation.

- If and how international funding has attracted industry to the Centre’s activities.

1. **Impact (max. 10 pages)**

This section of the report must enable the review panel to assess whether the Centre has delivered significant economic and societal impact, from the start date of the award to the date of report submission. Please consult the following guidance when preparing your response <http://www.sfi.ie/funding/award-management/research-impact/>- further details are provided in Section 5 of the call document.

The following must be addressed/provided:

• Describe how the Centre has made progress against the impact statement provided in the original proposal.

• Describe if and how the roadmap towards impact has changed.

• Describe the impact of the Centre’s activities, referring, but not limited, to the following:

* Leveraging of international funding through industry/collaborative research;
* Creation of high value jobs;
* Development and nurturing of businesses, including how the Centre’s activities have informed the research roadmaps of industry;
* Attraction of international scientists and talented people;
* Enhancement of the quality of life and health of Irish citizens;
* Production of a highly educated and relevant workforce in demand by industry and academia;
* For example, how has the Centre succeeded in the training and education of a cohort of scientists and/or engineers who will take up employment in industry as a first destination?
* Development of the country’s international reputation
* If relevant, provide details of contributions towards new ICT standards/specifications.

1. **Education and Public Engagement (max. 5 pages)**

The objective of the Education and Public Engagement report is to capture the activities, processes and achievements of the Centre in engaging the non-academic public about its work (from the start date of the award to the date of report submission).

Please complete your report addressing the following detail for the Centre’s EPE plan:

• Outline the overall strategy and objectives for the EPE plan.

• Outline core activities within the plan to deliver these objectives, including why the activity was selected, how the participant group was targeted, why they were targeted and how the participant group needs were identified to inform the activity.

• Outline the challenges encountered, the causes and how they were overcome, giving supporting examples.

• Give a brief description how the Centre evaluates activities, with supporting examples, including details on methodology, findings and how the findings informed the programme further.

• Outline key accomplishments and highlights from the EPE plan.

• Detail how the Centre has developed a whole Centre approach to public engagement including how it has enabled academic staff to co-create activity and/or participate in the wider public engagement programme of the Centre.

1. **Communications (max. 5 pages)**

Provide an overview of key national and international communications/marketing actions undertaken to build the profile of the Research Centre as a world leader. The following can be included:

• A brief outline of the Centre’s communications objectives for the period and how they were achieved/not achieved.

• An overview of engagement with key stakeholders (media, industry, government, etc.) to promote the work of the Centre.

• An overview of media coverage (international and national) obtained during the period.

• Details of marketing/branding/advertising materials produced to promote the Centre.

• An overview of the online promotion of the Centre, including social media platforms.

• Details of the Centre’s most successful communications actions.

**Appendix D: US-Ireland Centre-to-Centre Partnership Programme (max. 10 pages per project including list of publications)**

**Do not exceed a page limit of 10 pages per C2C partnership award, inclusive of publications**

Provide a detailed summary of each US-Ireland Centre-to-Centre (C2C) Partnership Award associated with the Research Centre. Refer to specific outputs that have arisen directly from the award and include funding acknowledgements for referenced outputs, where possible. Relevant publications/outputs should be discussed in the context of the research being described.

Within the detailed summary, the following information must be included:

**Investigator details**

* Details for the lead Principal Investigator of the C2C partnership within the Centre (RoI).
* Details for the lead Principal Investigator and Engineering Research Centre (United States, US).
* Details for the lead Principal Investigator and their associated Centre (Northern Ireland, NI).

**C2C Partnership award overview**

* Information on the US-Ireland C2C partnership goals (what the work intends to accomplish).
* Information on the US-Ireland C2C partnership role in support of the Centre’s strategic plan.
* Information on the added value of the partnership, outlining the strategic importance of the collaboration to the Research Centre.

**Progress and outputs**

* Information on achievements of the partnership to date and the role of the US and NI partner(s).
* A description of the research work carried out by the RoI partner(s) to date.
* A description of the research work carried out by the US partner(s) to date.
* A description of the research work carried out by the NI partner(s) to date.
* Details of exchange visits between RoI, NI and the US during the reporting period.
* A list of publications arising directly from the US-Ireland C2C partnership, clearly highlighting high-impact publications and publications co-authored with the US/NI partners, and industry partners if relevant.

*Note: SFI is primarily interested in the activity and progress of the RoI research team. However, SFI are also interested in understanding the level of co-operation between the RoI, US and NI teams and the impact that this co-operation is having on the overall project.*

**Appendix E: Spokes Programme awards (max. 10 pages/per Spokes Programme award including list of publications)**

**Do not exceed a page limit of 10 pages per Spokes Programme** **award, inclusive of publications**

Provide a detailed summary of each Spokes Programme Award that has been awarded to the Research Centre through the SFI Fixed Spokes or Rolling Spokes programmes. Refer to specific outputs that have arisen directly from the Spokes award and include funding acknowledgements for referenced outputs, where possible. Relevant publications should be discussed in the context of the research described.

* Provide information on the goals of the Spoke (i.e. what the work intends to accomplish).
* Provide information on the role of the Spoke in support of the Centre’s strategic plan and describe what new capabilities have been built into the Centre as a result of the Spoke.
* Where relevant, describe how the Spoke has enabled existing Centres to link together and how such linkage has enabled the research programme to be delivered.
* Provide information on the achievements to date.
* Describe the role of the industry partner(s).
* Outline benefits to industry partners from this project.
* Outline the fundamental research barriers and the methodologies used to address them.
* Benchmark the project against other relevant work in the field and refer to state of the art.
* Provide details of publications and other outputs arising directly from the Spokes award, clearly highlighting high-impact publications and publications co-authored with industry.