



Marine Institute
Foras na Mara

Marine Research Programme

National Research Vessels 2019-2020 SHIP-TIME PROGRAMME

Grant-Aid Guidelines

RESEARCH SURVEYS

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INTRODUCTION

The Marine Institute operates the national marine research vessels (RV *Celtic Explorer* and RV *Celtic Voyager*), and associated research infrastructure (Holland 1 ROV and Laochra na Mara Glider), on behalf of the Irish Government and the Irish marine community.

[Sea Change](#), *A Marine Knowledge, Research & Innovation Strategy for Ireland 2007-2013*¹, identified the need for a dedicated competitive Ship-time Grant-Aid Programme. Continuing to maximise the use of the national research vessels through multi-purpose usage is a key action identified in [Harnessing Our Ocean Wealth](#)². The aim of the programme is to make grant-aid available to researchers to access ship-time, thereby facilitating research projects/programmes and further developing the national potential for executing world-class multidisciplinary marine research.

Harnessing Our Ocean Wealth has three high-level goals, of equal importance, based on the concept of sustainable development:

- **Goal 1** focuses on a **thriving maritime economy**, whereby Ireland harnesses the market opportunities to achieve economic recovery and socially inclusive, sustainable growth.
- **Goal 2** sets out to achieve **healthy ecosystems** that provide monetary and non-monetary goods and services (e.g. food, climate, health and well-being).
- **Goal 3** aims to increase our **engagement with the sea**. Building on our rich maritime heritage, our goal is to strengthen our maritime identity and increase our awareness of the value (market and non-market), opportunities and social benefits of engaging with the sea.

The research priorities for 2014-2020 will aim to support sustainable economic growth, promote innovation, protect marine ecosystems and inform policy, governance and regulation of the Irish marine sector. Research for ship-time in 2019 and 2020 will be funded under the relevant themes of the [National Marine Research & Innovation Strategy 2017-2021](#), which are detailed below.

Applications are now being invited for grant-aid for ship-time on the R.V. *Celtic Explorer* and R.V. *Celtic Voyager* during 2019 and 2020 to carry out ship-based **research activity** under these themes. Funding is also provided for the ROV *Holland I* and the Laochra na Mara Glider which can be used on the RV Explorer or independent of the vessel.

Applicants **must**:

- a. Demonstrate how the proposed work addresses national priorities within the defined themes; and
- b. Provide clear evidence of expected deliverables/outputs.

¹ <http://oar.marine.ie/handle/10793/69>

² www.ouroceanwealth.ie

WHO MAY APPLY?

Applications will be accepted from research performing organisations (Higher Education Institutions, Public Research Bodies and Industry) within the Island of Ireland.

- Applications led by Industry must partner a researcher/research group from one or more higher education institutions.
- Applications led by Public Research Bodies must partner a researcher/research group from one or more higher education institutions.
- Applications led by Higher Education Institutions or **Public Research Bodies** (Annex 2) may include one or more industry participants as members of the survey team. Such participation must be of a specific focused nature, with the principal benefits of the survey accruing to the non-industry partners.
- Collaborative applications that fully utilise the research capabilities of the vessels are particularly encouraged.

The lead partner on applications must have the appropriate scientific/technical qualifications and expertise to conduct on-board research surveys, and should be a member of staff at the relevant institution/organisation. The survey should include opportunities for early stage researchers/scientists to be trained and mentored by experienced sea-going scientists.

Applicants who are submitting two applications for funded ship-time in 2019 and 2020 can complete one application, then create a copy in RIMS which is editable. There will be some fields that must be edited (e.g. the SPS code). Note: you can only copy your application before it has been submitted. If successful, then they will need to submit a report for each research survey once complete.

In order to create a copy application, please select the *Option* button on the top left of the application and select *Copy* from the dropdown. Scroll to the bottom of the screen and click 'copy'. A copy of your application will appear in edit mode. Please ensure you complete the required fields. Any documents uploaded to the original application will not copy, please ensure you upload the Application Form and Declaration.

ELIGIBLE ACTIVITY/RESEARCH THEMES

The Integrated Marine Plan for Ireland Harnessing Our Ocean Wealth (HOOW), is the national policy document which sets out how Ireland will develop its marine economy, safeguard the marine environment and engage with Irish citizens to value one of our greatest natural resources. HOOW identifies three goals:

- 1) Thriving Maritime Economy,
- 2) Healthy Ecosystems and
- 3) Engaging with the Sea.

However it is recognised that marine research is cross-cutting in nature. This nature is highlighted in the *National Research & Innovation Strategy 2021*, which reviews the traditional research themes in the national and international policy contexts.

The diagram below, which has been excerpted from the *National Marine Research & Innovation Strategy 2017-2021* identifies the marine research themes and the national/EU policy drivers significant to the development of research and innovation across the themes.

It is important that applications for the use of the national research vessel address national and EU policy objectives. **Therefore applications must clearly identify the main research theme the proposed work addresses, document specific outputs and convincingly demonstrate the relevance and impact of the proposed activity on National and EU policy objectives.**

Diagram 1 – Research Themes

	EU Integrated Maritime Policy	EU CFP – EMFF OP 2014-2020	JPI Oceans R&I Agenda	EU Strategy for the Atlantic & Action Plan	Harnessing Our Ocean Wealth	Our Ocean Wealth Development Task Force	Innovation 2020	National Research Prioritisation	Enterprise 2025
A THRIVING MARITIME ECONOMY									
Bioresources									
› Aquaculture & Biomass Production									
› Wild Resources	✓	✓	✓	✓	✓	✓	✓	✓	✓
› Processing for Food & Other Use									
› High Value Products									
Advanced Technologies	✓		✓	✓	✓	✓	✓	✓	✓
Subsea Resources	✓		✓	✓	✓	✓			✓
Renewable Energy	✓			✓	✓	✓	✓	✓	✓
Tourism & Leisure	✓			✓	✓	✓			✓
Transport & Logistics	✓			✓	✓	✓			✓
Security & Surveillance	✓	✓		✓	✓	✓	✓	✓	✓
HEALTHY MARINE ECOSYSTEMS									
Biodiversity, Ecosystems & Food-webs	✓	✓	✓	✓	✓		✓		
Pollution & Litter	✓	✓		✓	✓				
Climate Change	✓	✓	✓	✓	✓		✓		
Ocean Observation & Seabed Mapping	✓		✓	✓	✓	✓	✓		
ENGAGEMENT WITH THE SEA									
Ocean Literacy & Education	✓	✓		✓	✓				
Integrated Policy & Governance									
› Socio Economics									
› Law	✓	✓	✓	✓	✓	✓			✓
› Planning & Governance									
› Business Development									
Information & Spatial Technologies, Analytics and Modelling	✓			✓	✓	✓	✓		✓
Engineering	✓			✓	✓	✓	✓	✓	✓

Targeted Area

A targeted slot on-board the Celtic Explorer for a period of up to 30 days from late July 2019 to early October 2019 for survey work to be undertaken under the research theme *Ocean Observation and Seabed Mapping* is being offered.

Applicants are invited to submit proposals which would utilise the Celtic Explorer to undertake research in the North Atlantic or Celtic Sea, for example in the BSA (Biologically Sensitive Area) off the south west of Ireland. Applicants are also encouraged to utilise the *Holland I* ROV (depth rating of 3000m) and the *Laochra na Mara Glider* (1000m rated Teledyne Webb/Slocum glider) for their research.

This initiative is planned to support activities under the Atlantic Ocean Research Alliance (AORA) – Galway Statement implementation, notably seabed mapping and ocean observation. Data from these activities will be open access.

The expected ship availability for research surveys in 2019 and 2020 is as follows:

Details	2019	2020
RV Celtic Explorer	50 days (from end July to mid-October)	65 days
RV Celtic Voyager	75 days (available throughout the year)	80 days
Holland I ROV	80 days (available throughout the year)	80 days
Laochra na Mara Glider	80 days (available throughout the year)	80 days

Subject to demand, supplementary calls may also be offered. However, funding for 2020 cannot be confirmed until the end of 2019.

Multi-disciplinary applications are particularly encouraged to maximise use of the research vessels.

TECHNICAL INFORMATION

Applicants are advised to refer to the *Vessel Charter Guidelines* on the [RV Operations Webpage](#) for operational and technical information on the vessels.

THE NATIONAL DEEPWATER ROV

Applicants for ship-time grant-aid may also seek grant-aid to cover the cost of use of the Deepwater ROV (*Holland I*).

Further information and technical specifications for the Deepwater ROV are available on [ROV Webpage](#).

GLIDER LAOCHRA NA MARA

Applicants for ship-time grant-aid may also seek grant-aid to cover the cost of use of the underwater Glider (*Laochra na Mara*).

Further information and technical specifications for the Glider are available on the [Glider Webpage](#).

EVALUATION OF PROPOSALS

National/international experts will evaluate eligible proposals. Eligible applications will be evaluated using the following criteria:

1. *Strategic context, rationale and benefits and impacts of the survey*
2. *The scientific and technical quality of the survey proposal*
3. *Scientific quality/track record of the survey team and technical capability to carry out the survey*
4. *Multi-disciplinary and collaborative approach of the research programme*
5. *Value for money and level of other funds provided by applicants for ship-time*

**Further detail on the evaluation criteria and scoring is provided in Appendix 1.
PLEASE READ THIS CAREFULLY.**

Applicants should ensure that sufficient information is provided in the application to allow a thorough evaluation based on these criteria.

APPLICATION PROCEDURE & DEADLINE

All applications must be submitted using a **two-step procedure**, as follows:

Step 1: Apply for Ship-Time via the Survey Planning System (SPS).

- This online system has been established to assist Research Vessel Operations with vessel planning and logistics, from application through survey planning and execution. The SPS online application process is designed to capture information on the proposed use of the vessel: *e.g.* survey dates, mob/de-mob locations, area of operations, no. of personnel and equipment requirements.
- Full details (including a User Guide) on how to complete an application are provided via the SPS. If you are already a registered user of SPS please go directly to the [login page](#)³.
- Please contact [Research Vessel Operations](#) to obtain a new username and password for SPS.
- Once you have entered and submitted all the required details via the SPS you will receive email confirmation with a unique **Application Code** (*e.g.* APP-CE19010 or APP-CV20010). This Application Code must be referred to in Step 2.
- **Please ensure you complete this step in sufficient time to allow you to complete Step 2 within the deadline.**

³ <https://webapps.marine.ie/SPS/>

Step 2: Apply for Grant-Aid via the online Research Information Management System (RIMS).

- Create a Ship-Time Funding application Via RIMS:
 - If you are already a **registered user** of RIMS please go directly to the [login page](#)⁴.
 - To register as a **new user** please email rimssupport@marine.ie with a password request, and include your organisation details.
 - Once you are logged in, click on the '*Open Calls Tab*' and select '*Ship-Time*' from the drop-down list.
 - Complete the on-screen fields and follow the on-screen instructions to download the Application Form. **Please ensure you download and complete the correct Application Form (Research Surveys).**
- The Application Form seeks **additional information** on the proposed Research Survey to assist in the evaluation of the proposal; e.g. context and rationale, benefits and impacts of the survey.
- **Evaluation of the applications for grant-aid will be based on the information provided in this Application Form.** The information provided should be consistent with that provided via the SPS application but should include additional information.

For assistance with registration on the Marine Institute Research Information System (RIMS) and the application process please email rimssupport@marine.ie.

Applications (PDF version) must be submitted via RIMS by:

15:00 HOURS ON FRIDAY, 21ST SEPTEMBER 2018

All applications will be acknowledged.

TERMS AND CONDITIONS

Grant-Aid

- The allocation of ship-time is dependant upon the availability of ship-time and funding.
- Funding is provided for ship-time on the R.V. *Celtic Explorer* and R.V. *Celtic Voyager*. It may be awarded in lots of single or multiple days, depending on the evaluators' recommendations.
- Applicants may apply for funding to cover all or part of the vessel charter costs (see notes below regarding grant-aid rates). **The leveraging of funds from other sources for a portion of the total amount of ship-time applied for is strongly encouraged and should be clearly stated in the application form.**
- Grant-aid covers use of the vessels, full crew, fuel (at economical service speed), victuals and other standard operating costs. Grantees will not invoice the Marine Institute for any third-party costs (e.g. salary costs, equipment, transport, consumables, travel and subsistence costs).
- Allocated ship-time includes a 1-day mobilisation at the start of the survey and a 1-day demobilisation at the end of the survey. Applicants should bear this in mind when applying for ship-time.

⁴ <https://marine.smartsimple.ie/>

- If the number of grant-aided days are reduced by the Marine Institute for any reason, or if the vessel is prevented from working (*e.g.* by poor weather or technical difficulties), no cash or any other form of compensation shall be payable in respect of any time lost.
- If a research survey has to be cancelled because of poor weather or technical difficulties, or postponed at the request of the applicant, then the Marine Institute will facilitate re-scheduling of ship-time to the following year wherever possible.

Grant-Aid Amounts and Rates

- The maximum grant-aid allocations are as follows:

Vessel	Rate (per day)	Mob /Demob
Celtic Voyager	€8,000	Not Applicable
Celtic Explorer	€18,000	Not Applicable
ROV	€7,000	€15,000
Glider	€800	Not Applicable

Note: Should the daily rates be revised following a review of costs, then the grant-aid allocation will be adjusted accordingly by the Marine Institute.

- The maximum grant-aid rate that can be applied to cover the ship-time costs is dependent on the nature of the lead organisation, as follows:

Higher Education Institutions	Public Research Bodies	Industry (SME) ⁵	Industry (Non SME)
100%	100%	50%	40%

DPER Circular on Grant Management

Successful applicants will have to adhere to the relevant requirements contained in circular 13/2014 *Management of and Accountability for Grants from Exchequer Funds* issued by the Department of Public Expenditure and Reform on 26th September 2014. These requirements, dealing with reporting of grant expenditure, publication of the award details in the grantee's financial statements and disposal of assets, will be detailed in the grant award letter. For shiptime grantees the requirements only relate to the publication of the award details in their financial statements.

⁵ See Appendix 3 for SME Definitions

Reporting

- Successful grantees must submit a **Report** on the Research Survey to the Marine Institute (online via RIMS) within three months of completion of the Survey using a template provided by the Marine Institute.
- **Shapefile/CSV** showing locations and data types acquired are required as an attachment to the survey report.
- The Marine Institute may require the Grantee to provide clarifications and/or make changes to the Report. The Grantee shall co-operate in revising or amending the final report prior to its completion and before signing off by the Marine Institute.
- If deemed suitable, the Report, or a Synthesis Report, may be published by the MI.
- Failure to comply with this requirement will disqualify grantees from seeking future ship-time grant-aid.

Images

The successful grantee must upload a **minimum** of three digital images captured during their research survey in JPEG format on RIMS. These images will be uploaded on the understanding that they may be used in Marine Institute reports and promotional materials. Please ensure that the copyright owner and the photographer are identified, as this details will be included if the images are used.

Acknowledgements

- All publications/presentations/publicity arising from the Research Survey should carry an acknowledgement of the funding source (as per Appendix 5).

Survey Blog

- Successful grantees are requested to contribute to the research survey blog <http://scientistsatsea.blogspot.ie/> and to participate in any other publicity organised by the Marine Institute.

Datasets

- It is the responsibility of the Grantee to submit a full description of the dataset(s) acquired during the research survey to the Marine Institute in ISO 19115 standard format. A template will be provided by the Marine Institute for this purpose. This metadata is additional to any formal project reports and will be made publicly available. The Grantee is required to provide details of how such datasets will be maintained and how other researchers can access and make use of them.
- **Shapefile/CSV** showing locations and data types acquired is required to be submitted to the Marine Institute one month after the survey has taken place.
- If requested, the Grantee may be required to provide digital copies of all data to the Marine Institute at no additional cost. If requested by the Grantee, datasets will not be made publicly available (other than to the Grantee and Marine Institute staff) for a period of 12 months after the publication of the project report, but all datasets may thereafter be made publicly available.
- **Images (still and video) obtained using the ROV** during funded research surveys are subject to specific copyright rules. Please refer to Appendix 4 for further details.

FREEDOM OF INFORMATION

Information supplied to the Marine Institute may be disclosed in response to a request under the Freedom of Information Act, 2014. It is the responsibility of the applicant to indicate at the time of making an application which information should not be disclosed and the reasons for non-disclosure. The Marine Institute will consult with applicants about this information before making a decision on any Freedom of Information request.

DATA PROTECTION

Personal information supplied to the Marine Institute will be stored by electronic means (e.g. database) for use only in connection with applications for grant-aid. The provisions of the Data Protection Act, 1988 and the Data Protection (Amendment) Act, 2003 will be fully complied with. The Marine Institute and the Applicant will comply with the EU General Data Protection Regulation (2016/679) from the regulation enforcement date of 25th May 2018.

APPENDIX 1 - EVALUATION PROCEDURE

The evaluation of proposals is managed by the Research Funding Office. The process aims to be fair and transparent and to provide constructive feedback to applicants.

In accepting and evaluating proposals, the Marine Institute does not commit funding to any proposal or guarantee that funds will be made available to applicants.

Evaluation Criteria

Eligible applications will be evaluated by an expert review panel using the following criteria:

<i>Criteria</i>	<i>Marks</i>
<p>1. <i>Strategic context and rationale and benefits and impacts of the survey</i></p> <ul style="list-style-type: none"> • Relevance of the proposed research to national priorities (e.g. <i>Harnessing Our Ocean Wealth, National Marine Research & Innovation Strategy 2021</i> and the Priority Areas identified in the <i>Report of the Research Prioritisation Steering Group</i>) and meeting international/EU legislative requirements (e.g. Marine Strategy Framework, Habitats, Birds, and Water Framework Directives). • Will the research undertaken support the generation of new knowledge in areas of importance to Ireland's economy, e.g. in advancing the sustainable development and management of marine resources? • Are the strategic objectives of the proposal clearly stated? • Are the benefits and impacts of the survey clearly specified and linked to the research objectives? • Will the benefits outlined deliver any particular advantages to the Irish marine sector? • Will the survey lead to the development of new research capacity and capabilities? 	20%
<p>2. <i>The scientific and technical quality of the survey proposal</i></p> <ul style="list-style-type: none"> • Scientific/technical excellence of the proposal • Understanding of current state of knowledge in the research area • Extent to which the survey builds on current knowledge • Does the proposal demonstrate clear evidence of expected deliverables/outputs from the survey and are these achievable? • Relevant bibliography/references • Does the proposal include provisions for downtime/bad weather? 	30%
<p>3. <i>Scientific quality/track record of the survey team and technical capability to carry out the survey</i></p> <ul style="list-style-type: none"> • Background/track record of the Chief Scientist • Background/track record of the survey team • Are the roles and responsibilities of the survey team clearly stated? • Suitability of the expertise towards achieving the research objectives of the survey 	15%
<p>4. <i>Multi-disciplinary and collaborative approach of the research programme</i></p> <ul style="list-style-type: none"> • Is this a multi-disciplinary research survey that maximises the use of the vessel? Could additional expertise be added to the survey team? • Is there a collaborative/partnership approach with other research groups/institutions/private sector? Is it an appropriate approach? • Does the proposed survey offer suitable training opportunities to students/'young' researchers? 	15%
<p>5. <i>Value for money and level of other funds provided by applicants for ship-time</i></p> <ul style="list-style-type: none"> • Does the proposed survey maximise the use of the research vessel and associated infrastructure? • Does the proposal include provisions for downtime/bad weather? • Are the number of days requested justified? • Has the proposal identified or assessed any likely risks? • Has the application shown that additional funding towards days at sea will be secured? 	20%

Evaluation Procedure

Evaluation is conducted, as follows:

1) Eligibility Check

Proposals for funding received by the notified deadline are checked for compliance with the general **Eligibility Criteria**. These criteria include:

- Was a completed application received on time?
- Is the proposal from an eligible institution?
- Are all sections of the application form completed correctly and is the application signed and stamped?
- Does the proposed research address one or more of the defined research themes?

Proposals considered to be ineligible are returned to the applicant with a note explaining why they were considered to be ineligible. Proposals meeting the eligibility go forward for full evaluation.

2) Individual Expert Evaluation

The Marine Institute maintains a panel of expert evaluators to assist in the evaluation of all proposals for funding. The names of the experts assigned to individual proposals are not made public. However, the Marine Institute makes available lists of all the experts participating on its evaluation panels at regular intervals.

Eligible proposals are evaluated based on their individual merit by individual experts chosen from the Panel of Experts. The experts examine the proposal(s) assigned to them and score and comment on each proposal under the **Evaluation Criteria** (above).

3) Review Panel

A Review Panel, consisting of Marine Institute and, where appropriate, external, members will consider the outcome of the individual evaluations and, taking into consideration the availability of funding and the ships' schedules, make a ranking and a recommendation for funding. Note: applications under the targeted calls will be ranked separately.

4) Approval

Final approval for funding is provided by the Marine Institute senior management team (CEO, Directors and Board).

Taking the comments of the Individual Evaluators and those of the Review Panel a **Consensus Evaluation Report** will be prepared with constructive and informative comments suitable for feedback to the applicant. All applicants, whether successful or unsuccessful, receive a copy of the Consensus Evaluation Report for their proposal.

Successful applicants may be asked to make changes to their proposals during the grant-aid negotiation phase to accommodate the comments of the evaluators.

Confidentiality and Conflict of Interest

Evaluators are required to read and sign a Declaration of Confidentiality and Conflict of Interest Form. If an expert considers that they may have a vested interest in a proposal or that potential conflict of interest may arise as a result of their participation in the evaluation of any proposal they are asked to declare this and may not participate in the evaluation process. In line with the EU General Data Protection Regulation evaluators are requested to delete all personal information included in the application documentation once the evaluation process is complete.

APPENDIX 2 – PUBLIC RESEARCH BODY

For the purpose of this call a public research body is defined as “a public sector body or a legal entity governed by private law with a public service mission providing adequate financial guarantees, who are undertaking research and are based on the island of Ireland”. A public research body must be a legal entity with their registered office address in the Republic of Ireland or Northern Ireland.

Therefore, there are two clear cases of entities that are considered public bodies:

1) Public sector bodies

Any public authority or entity set up under public law by a state or one of its authorities (e.g. government). Even if such an entity has a legal personality, it acts on behalf of the State with regard to and within the limits of its specific areas or competencies. Activities carried out by such authorities or entities may be of a commercial nature.

2) Legal entities established under private law with a public service mission and providing adequate financial guarantees

With respect to the “public service mission”:

a) Where an entity established under private law is owned by a public sector body or the state, it can be deemed to have a public service mission.

b) For an entity established under private law that is not owned by a public sector body, the entity must be explicitly granted such a mission through a decision by a public sector body. Secondary and higher education establishments that deliver diplomas recognised by a public authority according to criteria established by the state or perform research with public funding and in accordance with objectives agreed by the state would meet this criterion. In cases of doubt proof of the public service mission can be required from the potential contractor showing that it falls into one of the two categories above.

With respect to the “adequate financial guarantees”:

a) If the entity is owned by the state then it can be presumed to provide adequate financial guarantees as the state will honour its obligations.

b) If the entity is not owned by the state or a public sector body then it must prove that it will provide adequate financial guarantees (except for the secondary and higher education establishments that are presumed to provide such guarantees). In cases of doubt proof of the existence and adequacy of a financial guarantee can be required from the potential contractor showing that it falls into one of the two categories above.

The following organisations are considered to be eligible Public Research Bodies:

- Agri-Food and Biosciences Institute (AFBI)
- Athlone Institute of Technology (AIT)
- Bord Iascaigh Mhara (BIM)
- Commissioners of Irish Lights (CIL)
- Cork Institute of Technology (CIT)
- Dublin City University (DCU)
- Dublin Institute of Advances Studies (DIAS)
- Dublin Institute of Technology (DIT)
- Dundalk Institute of Technology (DkIT)
- Environmental Protection Agency (EPA)
- Galway-Mayo Institute of Technology (GMIT)
- Geological Survey of Ireland (GSI)
- Inland Fisheries Ireland (IFI)
- Institute of Technology Sligo (IT Sligo)
- Institute of Technology Tralee (IT Tralee)

- Letterkenny Institute of Technology (LyIT)
- Limerick Institute of Technology (LIT)
- Marine Institute (MI)
- Met Éireann
- National University of Ireland, Galway (NUI Galway)
- National University of Ireland, Maynooth (NUIM)
- Queen's University Belfast (QUB)
- Sea Fisheries Protection Authority (SFPA)
- Teagasc
- Trinity College Dublin (TCD)
- Tyndall National Institute
- Ulster University (UU)
- University College Cork (UCC)
- University College Dublin (UCD)
- University of Limerick (UL)
- Waterford Institute of Technology (WIT)

The list above includes organisations who have previously been funded to undertake marine research in Ireland, but this list is not exhaustive and if any applicant is unsure whether they are eligible, then they should clarify with the Marine Institute by sending an email to funding@marine.ie.

APPENDIX 3 - SME DEFINITION

1. Small and medium-sized enterprises (SMEs⁶) are defined as enterprises which:
 - o have fewer than 250 employees, **and**
 - o have either,
 - o an annual turnover not exceeding €50 million, or
 - o an annual balance-sheet total not exceeding €43 million, **and**
 - o conform to the criterion of independence as defined in paragraph 4.

2. Where it is necessary to distinguish between small and medium-sized enterprises, the '**small enterprise**' is defined as an enterprise which:
 - o has fewer than 50 employees **and**
 - o has either,
 - o an annual turnover not exceeding €10 million, or
 - o an annual balance-sheet total not exceeding €10 million,
 - o conform to the criterion of independence as defined in paragraph 4.

3. Where it is necessary to distinguish **micro-enterprises** from other SMEs, these are defined as:
 - o enterprises having fewer than 10 employees;
 - o annual turnover not exceeding €2 million; or
 - o annual balance sheet total not exceeding €2 million.

4. Independent enterprises are those which are not owned as to 25% or more of the capital or the voting rights by one enterprise, or jointly by several enterprises, falling outside the definitions of an SME or a small enterprise, whichever may apply. This threshold may be exceeded in the following two cases:
 - o if the enterprise is held by public investment corporations, venture capital companies or institutional investors, provided no control is exercised either individually or jointly,
 - o if the capital is spread in such a way that it is not possible to determine by whom it is held and if the enterprise declares that it can legitimately presume that it is not owned as to 25% or more by one enterprise, or jointly by several enterprises, falling outside the definitions of an SME or a small enterprise, whichever may apply.

5. In calculating the thresholds referred to in paragraphs 1 and 2, it is necessary to cumulate the relevant figures for the beneficiary enterprise and for all the enterprises that it directly or indirectly controls through possession of 25% or more of the capital or of the voting rights.

6. Where, at the final balance-sheet date, an enterprise exceeds or falls below the employee thresholds or financial ceilings, this is to result in it acquiring or losing the status of 'SME', 'medium-sized enterprise', 'small enterprise' or 'micro-enterprise' only if the phenomenon is repeated over two consecutive financial years.

7. The number of persons employed corresponds to the number of annual working units (AWU), that is to say, the number of full-time workers employed during one year with part-time and seasonal workers being fractions of AWU. The reference year to be considered is that of the last approved accounting period.

8. The turnover and balance-sheet total thresholds are those of the last approved 12-month accounting period. In the case of newly established enterprises whose accounts have not yet been approved, the thresholds to apply shall be derived from a reliable estimate made in the course of the financial year.

⁶ http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm

APPENDIX 4 - HOLLAND 1 ROV IMAGE DATA POLICY AND COPYRIGHT

The MI and the Grantee shall each retain copies of all images (still and video) captured using the ROV (Holland 1) during the course of the Survey.

The MI shall retain exclusive ownership of such images and controls all rights or copyright with regards commercial use.

The MI shall provide royalty-free rights to the grantee to reproduce the material, or portions thereof, in connection with their research and promotion of their activity, in perpetuity.

All uses of the images, or portions thereof, by any party, shall acknowledge:

- i) ownership of the images
- ii) the originator of the images (i.e. the grantee); and
- iii) the source of funding provided for the survey.

In the absence of a clear grantee data policy, the MI data policy will apply—*i.e.* data must be archived in the Marine Institute and made publicly available two years after the completion of the survey.

Data collected for PhD studies, or to fulfil EU project contract obligations, must be archived in national or international data centres and made publicly available one year after the completion of the PhD study/ EU project.

During the period prior to the data being made publicly available, the MI may wish to use certain images for publicity reasons. Such use shall require the consent of the Grantee, whose consent shall not be unreasonably withheld.

APPENDIX 5 – SHIP-TIME PUBLICITY GUIDELINES

All published materials relating to the training programme should carry full acknowledgement of Grant-Aid funding, as follows:

“This research survey is supported by the Marine Institute, and is funded under the Marine Research Programme by the Irish Government.”

In addition to the above wording, the Marine Institute **logo** should be displayed:



Presentations/Posters

Presentations (Overheads/PowerPoint/Slides) and Posters should carry the full acknowledgement of Grant-Aid and the Marine Institute logo also. In a Presentation, this acknowledgement should come at the beginning of the presentation (e.g. after the introductory slide).

Publications

Grey Literature and Scientific/Technical Literature

The following text should be included in the Acknowledgements Section:

“This research survey is supported by the Marine Institute, and is funded under the Marine Research Programme by the Irish Government.”

Further Information

Further information on publicity requirements can be obtained from the Research Funding Office:

Email: funding@marine.ie

Tel.: 091-387200