National Cancer Research Institute (NCRI) Supportive and Palliative Care (SuPaC) Research Collaboratives Grants

Terms and conditions

Core Terms and Conditions for Research Collaborative Grants

NCRI members: Association for International Cancer Research, Association of the British Pharmaceutical Industry, BBSRC, Breakthrough Breast Cancer, Breast Cancer Campaign, Cancer Research UK, Department of Health, Economic and Social Research Council, Leukaemia Research Fund, Ludwig Institute for Cancer Research, Macmillan Cancer Relief, Marie Curie Cancer Care, MRC, Northern Ireland Health & Personal Social Services Research & Development Office, Scottish Executive, Tenovus the Cancer Charity, The Roy Castle Lung Cancer Foundation, The Wellcome Trust, The Welsh Assembly Government, Yorkshire Cancer Research.

NCRI SuPaC Research Collaboratives funding partners: Department of Health, Cancer Research UK, MRC, Macmillan Cancer Relief and Marie Curie Cancer Care.

The following lists the NCRI SuPaC Research Collaborative grant terms and conditions:

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RG 1 Responsibilities of the Administering Institution

- The Administering Institution must provide the infrastructure needed to carry out the research, together with any specific contributions identified in the application.
- The Administering Institution must ensure that Investigators are made aware of their responsibilities and that they observe the terms and conditions of research grants.
- The Administering Institution must ensure that the research supported by the grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.
- The Administering Institution is expected to adopt the principles, standards and good practice for the management of research staff set out in the 1996 Concordat for the Career Management of Contract Research Staff, and subsequent amendments.
- The Administering Institution must notify the NCRI SuPaC Secretariat of any change in its status, or that of any of the investigators, that might affect the eligibility to hold a research grant.
- The Administering Institution must ensure that the requirements of the Employing Organisation under the Department of Health's Research Governance Framework for Health and Social Care are met for research involving NHS patients, their organs, tissues or data, and that the necessary arrangements are in place with partner organisations. Where it also accepts the responsibilities of a Sponsor (as defined in the Governance Framework), it must also ensure that the requirements for Sponsors are met.
- The Administering Institution must ensure proper financial management of research grants and accountability for the use of awarded funds.

RG 2 Research Governance

It is the responsibility of the Administering Institution to ensure that the research is organised and undertaken within a framework of best practice that recognises the various factors that may influence or impact on a research project.

Particular requirements are to ensure that all necessary permissions are obtained before the research begins, and that there is clarity of role and responsibility among the research team and with any collaborators.

The NCRI SuPaC Research collaboratives secretariat expects research to be conducted in accordance with the highest standards of scientific integrity and research methodology.

Research Ethics

The Administering Institution is responsible for ensuring that ethical issues relating to the research project are identified and brought to the attention of the relevant approval or regulatory body.

Approval to undertake the research must be granted before any work requiring approval begins.

Ethical issues should be interpreted broadly and may encompass, among other things, the involvement of human participants in research, the use of animals, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

Medical and Health Research

The Administering Institution is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the Department of Health's Research Governance Framework for Health and Social Care.

There must be effective and verifiable systems in place for managing research quality, progress and the safety and well-being of patients and other research participants. These systems must promote and maintain the relevant codes of practice and all relevant statutory review, authorisation and reporting requirements.

Health-related research within the social sciences that falls outside the Department of Health's Research Governance Framework must meet the provisions and guidelines of the ESRC's Research Ethics Framework.

While this research may involve patients, NHS staff or organisations, it is defined as research that poses no clinical risk or harm to those who are the subjects of research.

Research Organisations must ensure that appropriate arrangements are in place for independent ethics review of social science research that meet local research ethics committee standards.

Significant developments must be assessed as the research proceeds, especially those that affect safety and well-being, which should be reported to the appropriate authorities and to the NCRI SuPaC Secretariat.

The Administering Institution must take appropriate and timely action when significant problems are identified. This may include temporarily suspending or terminating the research.

The Administering Institution is responsible for managing and monitoring statutory requirements for which it accepts responsibility, for example, in relation to legislation on clinical trials, use of human organs, tissues and data.

NCRI SuPaC Secretariate recommends the use of guidance on the conduct of medical research by the MRC (http://www.mrc.ac.uk/pdf-good_research_practice.pdf) and on the conduct of social science research by ESRC.

Health and Safety

The Administering Institution is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project.

Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the

Health & Safety Executive.

Appropriate care must be taken where researchers are working off-site.

The Administering Institution must satisfy itself that all reasonable health and safety factors are addressed. The NCRI SuPaC Secretariat reserves the right to require the Administering Institution to undertake a safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

Misconduct and Conflicts of Interest

The Administering Institution is required to have in place procedures for governing good research practice that meet the requirements of the funding partners. Please see the MRC's guidance on good practice as an example of the requirements .

The Administering Institution must ensure that there are reliable systems and processes in place for the prevention of research misconduct e.g. plagiarism, falsification of data, together with well-defined and clearly-publicised arrangements for investigating and resolving allegations of misconduct.

Where an allegation of misconduct arises in respect of a researcher supported by a research grant, the NCRI SuPaC Secretariat must be informed immediately and notified of the outcome of any investigation.

The Administering Institute must ensure that potential conflicts of interest in research are declared and subsequently managed.

RG 3 Use of Funds

Subject to the following conditions, grant funds may be deployed to meet eligible research costs, without reference to the NCRI SuPaC Secretariat, in such a manner as to best carry out the research. Research grant funds are cash limited and the grant is made on the understanding that its value will not be increased. Research grant funds are provided to sustain a specific research project. Under no circumstances may funds be used to meet costs incurred by any other project or activity.

RG 4 Starting Procedure

The start of a research grant is defined as the date on which the first member of staff paid from the grant starts work, or, if there are no staff or if staff are intended to commence later in the project, the date on which expenditure under another heading is first incurred.

Notification of this date, by submission of the starting certificate, will constitute acceptance of the grant and will activate the profiled payments. Submission of the starting certificate is required not more than 28 days after the actual start date. A separate acceptance letter may be required in certain circumstances.

The start of research may be delayed by up to 6 months after the start date stated in the award letter, the duration of the grant remaining unchanged. The grant may lapse if not started within this period.

RG 5 Changes in Research Project

The NCRI SuPaC Secretariat must be consulted in the event of any major change in

the proposed research, including failure to gain access to research facilities and services, particularly those which make it unlikely that the objectives of the research can be achieved.

If appropriate, revised proposals may be required. The NCRI SuPaC Secretariat reserves the right to make a new grant in place of the existing grant, or to revise, retain or terminate the existing grant.

RG 6 Transfers between Headings

The Administering Institution may increase the amounts within individual headings of expenditure by transfer from another heading, except for Indirect costs which cannot be transferred.

If the staff heading is increased by transfer from another heading, proportional funds must also be transferred to the indirect costs heading.

RG 7 Extensions

After a research grant has started, the duration may be extended by a total of up to 6 months, subject to prior written approval.

Extensions may cover breaks or delays in the appointment of staff, periods of maternity leave or paid sick leave exceeding 3 months for staff funded by the grant, or other exceptional circumstances with the agreement of the NCRI SuPaC secretariat.

Requests for extensions should be made as soon as the requirement is identified and confirmed when the period required is known. All requests for extensions must be made before the grant ends.

Extensions will not result in additional funding.

RG 8 Staff

The Administering Institution must assume full responsibility for staff funded through research grants and, in consequence, accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship.

Staff must be appointed on terms that are no less favourable than those of comparable posts in the Administering Institution.

The Administering Institution must provide research staff with a statement, at the outset of their employment, setting out the provisions for career management and development, including personal skills training.

Research staff may undertake teaching and demonstrating work for up to 6 hours a week (pro rata for part-time staff) during normal working hours provided that this work is related to the research project to which they were appointed.

RG 9 Maternity Pay and Leave

Research grant funds may not be used to fund paid maternity leave. The research

organisations awarded the grant should abide by the terms and conditions of the Statutory entitlements for maternity leave and pay.

The research organistions will be responsible for any liability for maternity and paternity pay for staff supported by the research grant outside the original period of the grant.

If, for example, a research grant ends while a member of research staff is part-way through her maternity leave, the Administering Institution will be responsible for that part of the maternity leave which is taken after the research grant has ended.

RG 10 Sick Leave

Research grant funds may not be used to fund paid sick leave. The research organisations are abide by the terms and conditions of the Statutory entitlements for Sick leave and pay

RG 11 Procurement of Equipment

The procurement of equipment and services must comply with all relevant national and EU legislation and the Administering Institution's own financial policy. Accepted procurement best practice in the higher education sector must be observed.

RG 12 Ownership and Use of Equipment
Equipment is provided primarily for use on the research project for which the research grant was awarded, and belongs to the Administering Institution.

The NCRI SuPaC Secretariat must be informed if, during the life of the research grant, the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded.

The NCRI SuPaC Secretariat reserves the right to determine the disposal of such equipment and to claim the proceeds of any sale.

Any proposal to transfer ownership of the equipment during the period of the grant is subject to prior approval by the NCRI SuPaC Secretariat.

After the research has ended, the Administering Institution is free to use the equipment without reference to the NCRI SuPaC Secretariat, but it is nevertheless expected to maintain it for research purposes as long as is practicable.

Where there is spare capacity in the use of the equipment, the NCRI SuPaC Secretariat expects this to be made available to other users. Priority should be given to research supported by the NCRI members during and after the grant period.

RG 13 Transfer of a Grant

The Administering Institution must notify the NCRI SuPaC Secretariat if the Principal Investigator intends to transfer to another Institution.

If this Institution is eligible to hold research grants, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the grant would be transferred with the investigator.

Written agreement to this is required from both the relinquishing and receiving institutions.

The NCRI SuPaC Secretariat will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the NCRI SuPaC Secretariat will consider withdrawing its offer of support or terminating the grant.

Where there is a basis for continuing involvement by the relinquishing institution, agreement should be reached between both institutions on the apportionment of work and the distribution of related funding.

RG 14 Change of Corresponding Applicant

The Administering Institution must consult the NCRI SuPaC Secretariat if it is proposed to change the Corresponding Applicant, for example, following retirement or resignation. Where the Corresponding Applicant is transferring to another organisation eligible to hold a research grant, the provisions of RG 13 will apply. In other circumstances, the Administering Institution may nominate a replacement Corresponding Applicant. The NCRI SuPaC Secretariat will wish to be assured that the replacement meets the eligibility criteria for Corresponding Applicnats and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

RG 15 Annual Statement

Administering Institutions are required to send an annual statement detailing the payments made by the NCRI SuPaC Secretariate during the previous financial year .

This must be signed by the recognised official and returned to the Grants Payment Office of NCRI SuPaC Secretariat at Marie Curie Cancer Care Head Office, not more than 60 days after the annual statement is due , indicating that

- *the funds have been received and used to support the work approved in the NCRI SuPaC grant;*
- *expenditure has been incurred in accordance with the grant conditions; and that*
- *the work on the NCRI SuPaC grant is expected to continue for a further year or until completion, if sooner.*

Further payments cannot be made by the NCRI SuPaC Secretariat's Grants Payment Office until the statement has been signed and returned to the NCRI SuPaC Secretariat.

RG 16 Financial Inspection

The NCRI SuPaC Secretariat reserves the right to have reasonable access to inspect the records and financial procedures associated with research grants or to appoint any other body or individual for the purpose of such inspection.

The Administering Institution must, if required by the NCRI SuPaC Secretariat, provide a statement of account for the grant, independently examined by an auditor who is a member of a recognised professional body, certifying that the expenditure has been incurred in accordance with the research grant terms and conditions.

RG 17 Final Scientific Report and Final Statement of Expenditure

A report on the conduct and outcome of the project must be submitted by the

Administering Institution within three months of the end of the research grant.

For the purposes of the scientific report, the grant holder will be expected to list scientific achievements such as publications, and address questions on the original objectives of the research, the methodology used, scientific advances made (and any consequent changes in objectives of the work), actual and potential impact on wealth, health and quality of life, efforts taken to disseminate results to user communities (application and exploitation) and to inform the general public, staff development and training, and collaborations.

For the purposes of the final Statement of Expenditure, Administering Institutions should record the actual sums spent on the grant, even if this is above the cash limited total, and provides explanations for any significant variances (greater than 20%) between awarded values and actual expenditure, and any use of funds awarded for staff costs for non-staff expenditure.

If there are exceptional reasons that will prevent submission of the final report within the period allowed, a written request may be made, before the due date passes, for the submission period to be extended.

RG 18 Sanctions

If the final report or the final expenditure statement is not received within the period allowed, the NCRI SuPaC secretariat may recover 20% of expenditure incurred on the grant.

All payments made by the NCRI SuPaC Research Collaboratives secretariat may be recovered if the report or statement is not received within 6 months of the end of the grant.

RG 19 Public Engagement

It is the responsibility of the Administering Institution and the Investigators to actively communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest.

RG 20 Commercial Exploitation

The funders of the NCRI Supportive and Palliative Care (SuPaC) Research Collaboratives wish to see that results of the work supported by this grant are exploited for the benefit of UK healthcare and industrial competitiveness. To this end, all rights in the results of the work arising out of or derived from this grant are vested initially in the Institution administering the award. However, the cofunders of SuPaC shall have the right to take the lead in negotiating arrangements for the commercial exploitation of results, on a revenue sharing basis with the host institution, where appropriate. The host institution shall ensure that any persons engaged on the work shall promptly communicate to the secretariat at Marie Curie Cancer Care and co-operate in seeking appropriate protection for any results that may be capable of commercial application. Until such protection, if necessary is secured, the Administering Institution shall take all reasonable steps to ensure that the details of such results be held in strict confidence by all persons having access to them.

It is the responsibility of the Administering Institution, and all engaged in the research, to make every effort to ensure that any potentially valuable results obtained in the course of the research are exploited, and that there is a suitable

return to the Administering Institution and the researchers from any such exploitation.

The Administering Institution must ensure that all those associated with the research are aware of, and accept, the arrangements for exploitation.

Collaborative arrangements are expected to be put on a formal basis through an agreement covering the contributions and rights of the organisations and individuals concerning exploitation.

Such agreements must be in place before the research begins. The terms of collaboration agreements must not conflict with the NCRI SuPaC's terms and conditions of research grants.

RG 21 Research Monitoring and Evaluation

While it is the responsibility of the Administering Institution and the Investigators to manage the research, the NCRI SuPaC Secretariat reserves the right to call for reports from Administering Institutions and grant-holders, during the award or subsequently, on progress on the research, public engagement in science, commercial exploitation of intellectual property and dissemination of research results arising from the research.

The NCRI SuPaC Secretariat also reserves the right to visit the Investigator And, if necessary, undertake periodic reviews of Administering Institutions within the Dipstick Testing programme to seek assurance that research grants are managed in accordance with the terms and conditions under which they are awarded.

The investigators are required to submit a brief annual progress report (two pages) and the collaboratives will be subject to evaluations after 2 years.

The Investigators may also be asked to attend meetings to exchange information and ideas with others undertaking research in the same or similar fields.

The Investigators must make all reasonable efforts, if so invited, to attend events or activities organised by the NCRI SuPaC Secretariat concerning the research undertaken. Such events may be held after a grant has finished.

The Management Committee of the NCRI SuPaC Research Collaboratives reserves the right to terminate the funding if the award holder fails to inform, discuss and reconcile with the Secretariat any major divergence from the original aims and directions of the collaborative.

RG 22 Publication and Acknowledgement of Support

The Investigators should, subject to the procedures laid down by the Administering Institution, publish the results of the research in accordance with normal academic practice. Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the NCRI SuPaC Research Collaboratives funding partners.

RG 23 Disclaimer

The NCRI SuPaC Secretariat accepts no liability, financial or otherwise, for expenditure or liability arising from the research funded by the research grant, except as set out in these terms and conditions, or otherwise agreed in writing.

Where studies are carried out in an NHS Trust, the Trust has a duty of care to its patients. The NCRI SuPaC Secretariat does not accept liability for any failure in the Trust's duty of care, or any negligence on the part of its employees.

The NCRI SuPaC Secretariat reserves the right to terminate the grant at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.

If a grant is terminated, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.

RG 24 Status

These terms and conditions will be governed by the laws of England and Wales; all matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.

If any provision of these terms and conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.

These terms and conditions, together with any additional conditions set out in the grant, contain the whole agreement between the NCRI SuPaC Secretariat and the Administering Institution in relation to the stated research grant.

The NCRI SuPaC Secretariat and the Administering Institution do not intend that any of these terms and conditions should be enforceable by any third party.