

ALZHEIMER'S RESEARCH UK
REGISTERED CHARITY NO: 1077089

GENERAL CONDITIONS OF AWARD

AWARD TO: «Host Institution» (“the Institution”)

GRANT REF: «Grant Reference»

SUBJECT: ‘«Grant Title»’

FELLOW: «Lead Applicant»

SUPERVISOR/SPONSOR(S):

1. Employment of staff

(i) General

Upon the signing of the Notice of Acceptance of a Grant, the Lead Applicant shall become the “Grant Holder”.

Alzheimer’s Research UK (“ARUK”) does not act as an employer and therefore, in all cases where support is provided for the employment of staff, the host Institution, the «Host Institution» (“the Institution”) undertakes to issue a contract of employment in accordance with the provisions of the Employment Rights Act 1996, and any other relevant Act relating to the conditions of employment. ARUK will not be responsible for claims under any statute or at common law, nor will they indemnify the Institution against any claim for compensation or against any other claims for which the Institution may be liable as an employer.

The Institution must accept full responsibility for the management, monitoring and control (including the requirements of all regulatory authorities governing the use of radioactive isotopes, animals, pathogenic organisms, genetically manipulated organisms (GMOs), toxic and hazardous substances and research on human subjects and human embryos) of all the research work funded as the result of the application and all those staff (permanent, temporary and students) employed or involved in any research funded as a result of the application.

The Institution must ensure that all permanent and temporary staff and students employed in or involved in the research receive training appropriate to their duties, in accordance with the regulations set down under the COSHH, ACDP and ACGM guidelines, the Health and Safety at Work regulations and any other regulatory requirements as may apply from time to time.

(ii) Employment of Research Assistants and Other Staff

ARUK will provide the salary and ‘on costs’ as specified in the award letter and under the conditions laid down therein. The nature and duration of any contract issued by the employing Institution will be a matter for the Institution to decide. The tenure of appointment of staff recruited for work under a

grant must be confined strictly to the period of the grant unless the Institution wishes to retain the staff beyond this period for its own purpose, and at its own expense.

The Institution will meet the cost of any long term leave, other than holiday, according to the Institution's local terms and conditions of employment. Long term leave may include maternity, paternity, adoption or long term sick leave. If a staff member to be funded by the grant is due to take long term leave, the Grant Holder should inform ARUK of the date in advance so consideration can be given as to whether the grant should be suspended for the period of absence until employment can be resumed.

If the staff member(s) to be funded by the grant leave(s) the Institution, ARUK must be notified immediately.

The approval of ARUK must be sought before any staff member funded by the grant is replaced.

In cases where staff are employed under a grant, ARUK will automatically pay nationally agreed pay awards up to a ceiling of 5% per annum. It is unlikely that ARUK will agree to requests for additional funds for salary purposes; however the cost of national salary awards will be automatically met by ARUK.

(iii) Bullying and Harassment Policy

We expect all people involved in our research to treat each other with dignity and respect, and we consider bullying and harassment of any kind, in any context, unacceptable. It is the Host Institution's responsibility to:

1. Adopt a formal policy that clearly sets out the standards of behaviour it expects from staff and the procedure for making and responding to complaints
2. Require that any sub-grantee or sub-contractor have an equivalent policy in place
3. Follow our procedures about notifying us of misconduct:
 - At application stage: confirm that there have been no findings of bullying or harassment upheld against the Lead Applicant(s), nor any other named participants on the application proposed
 - On an active grant: where a decision has been made to investigate formally an allegation of bullying or harassment against an individual named on the active grant, the Host Institution must inform us when they decide to investigate formally.
4. Investigate allegations of bullying and harassment in an impartial, fair and timely manner, ensuring the rights of employees are protected, and take appropriate action. If the Host Institution is advised by the investigator(s) that a disciplinary procedure is warranted, we expect institutions to complete the disciplinary procedure such that a formal finding can be reached
5. Ensure no agreements are entered that would prevent Host Institutions from telling us of investigation findings.

2. Travel/Conferences

Where requests for travel and subsistence in connection with attendance at national/ international meetings are made in the application, and are agreed, they are not separately identified in the award letter but rolled up into an annual consumables budget. Although unrestricted virement between expenditure heads is normally permitted within the consumables budget, the pre-specified travel/conference budget should not be exceeded without permission from ARUK.

If no specific requests for travel and subsistence were made in the original application, the consumables budget may nevertheless be used to cover such costs at the discretion of the Grant

Holder. However, in this case, the maximum annual expenditure for these purposes must not exceed £1,000 without specific authorisation from ARUK.

The Grant Holder and any staff employed under the terms of the grant are free to seek (additional) travel grants from other sources.

3. Equipment

Any apparatus/equipment in this grant is donated to the Institution/Department in which the investigator works, solely for the benefit of his or her research and for use solely in medical research, diagnosis or treatment. If the Institution is a registered charity, it is possible to obtain exemption from the payment of VAT for equipment donated for medical research.

Should any ancillary activity be carried out using this equipment for commercial gain (that is use for which charges are levied) then ARUK's prior written approval must be obtained and such agreement may well be conditional and dependent on ARUK sharing in any financial benefit that results.

The general principles embodied in part 4 below concerning the relocation of the Grant Holder and Co-applicants during the tenure of the award will apply also to any equipment provided by the grant.

4. Relocation of Applicants

If the Grant Holder moves to another institution during the tenure of the award, ARUK must be given as much notice as possible. ARUK will negotiate with Grant Holder, Co-applicant and the Institution over subsequent arrangements for the grant.

If the Co-applicant moves to another institution during the tenure of the grant the normal expectation will be that the grant remains with the Grant Holder. However if it is agreed by ARUK, the Grant Holder and the Co-applicants, a part of the grant money may be transferred. ARUK must be informed at once if a Co-applicant plans to relocate, irrespective of whether or not he/ she wishes to transfer part of the grant to a new institution, and the Grant Holder must explain to ARUK how any part of the programme dependent on the input, expertise or facilities, provided by the departing Co-applicant, will be affected by the departure and how they will ensure continued progress of the research following such a departure.

If ARUK is not satisfied that the proposed arrangements will adequately provide those parts of the programme with which the departing Co-applicant was especially concerned, it reserves the right to withdraw funding related to those parts of the programme after giving due notice to the Grant Holder and the Institution.

5. Limitations of ARUK's Liability

ARUK accepts no responsibility, financially or otherwise, for the expenditure (or liabilities arising out of such expenditure) or liabilities arising out of the work other than those specifically listed in the formal letter of award and General Conditions of Award. The control of expenditure to be funded under this grant must be governed by the normal standards and procedures of the Institution and must be covered by the formal audit arrangements that exist in the Institution.

Should ARUK terminate a grant before expiration of the period for which it was granted (and provided that the full amount of the grant has not been advanced at that time) it will consider claims to recompense any expenses in respect of redundancy or breach under any contract that results directly from the termination of the grant. The recompense, if any, would not in any case exceed the amount of the grant remaining to be paid to the Institution at the time of the termination of the grant.

In the unlikely event of scientific fraud occurring in association with the grant, it is the responsibility of the Institution to undertake investigations. ARUK agrees to provide funding providing the Institution can produce evidence of a procedure for dealing with scientific fraud. If fraud should be proven the grant must be repaid in full to ARUK forthwith.

6. Financial arrangements

ARUK accepts no responsibility for expenses incurred over and above the amount stated in the award letter. The grant shall not be used for any indirect or overhead costs of the Institution. Reimbursement of costs covered by the grant will only be made by ARUK on receipt of claims certified to be correct by either the chief finance officer or the chief administrative officer of the Institution. Verified invoices for actual costs should be submitted each quarter in arrears to finance@alzheimersresearchuk.org. Invoices should be made in accordance with the funds requested in the application form and broken down into the following categories: salaries, equipment, animals and running costs. The grant reference «Grant Reference» should be quoted on the invoice. If this procedure is inconvenient, ARUK's Head of Research should be contacted. The final claim will only be accepted if it is submitted within nine months of the end of the grant period subject to a satisfactory final report.

The approval of ARUK must be sought before virements are made between categories.

ARUK reserves the right to inspect, take copies of, and have audited at its expense, the financial records of the Institution in relation to claims for reimbursement. The Institution will be responsible for ensuring that this right of ARUK extends to the records of any other institution utilising any part of the grant awarded to the Institution.

7. Patents and Commercial Activities

As a charity, ARUK is under an obligation to ensure that the useful results of research that it funds (whether in whole or in part) are applied for the public good. In some circumstances, this obligation may be best achieved through the protection of intellectual property and commercial exploitation.

The Institution and Grant Holder should notify ARUK promptly in writing when IP arises from the grant and take all reasonable steps to ensure that such IP is protected and not published or otherwise disclosed publicly prior to protection (whilst at the same time ensuring that potential delays in publication are minimised). If the delay in seeking publication of findings is likely to be more than six months from the termination of the grant, ARUK's prior written approval must be obtained. It is expected that everyone working on the project funded by ARUK will be retained on terms that vest in the Institution all intellectual property rights.

The Institution should seek ARUK's consent to exploit commercially the results of any research it has funded. Consent will not be unreasonably withheld, and ARUK will only refuse an Institution's request where it considers that the proposed commercial exploitation would run counter to its interests and charitable objectives. If ARUK does not provide a response to the Institution's written request within thirty days of receiving such request, the Institution or its technology transfer subsidiary will automatically have the right to proceed with such commercial exploitation. The Institution is not required to seek ARUK's consent in assigning intellectual property to its technology transfer company. As a condition of granting consent, ARUK will require the Institution to accept standard revenue and equity sharing terms of the charity.

"Direct Costs" means all external expenses incurred and paid by the Institution in connection with the filing, prosecution and maintenance of the Intellectual Property including, but not limited to, official filing fees, agent costs, and reasonable legal, litigation and other advisory and consultancy fees.

Direct Costs shall not include the Institution's internal costs relating to these activities, regardless of the legal constitution of the Institution's TTO. Institution & TTO may not make deductions for salary or taxes in respect of the Institution & TTO or for any amounts payable to the inventors or generators of the Arising Intellectual Property.

"TTO translation costs" are set at 5-10% after deducting direct costs. Where a higher percentage fee is sought by the Institution, the onus will be on the Institution to demonstrate why a higher fee is warranted (for example because relevant service cost has been absorbed by the TTO other than those already deducted as Direct Costs).

The Parties shall share all Net Revenue received from the exploitation of the Arising Intellectual Property, in the proportion of fifty percent (50%) to the Host Institution and fifty percent (50%) to ARUK.

Cumulative net income	TTO translation fee	Remaining split
£0-100,000	10%	50% charity, 50% university
£100,001+	5%	50% charity, 50% university

The Institution, Grant Holder and Co-applicants should inform ARUK of any pre-existing arrangements of which they are aware, and which could lead to a breach of ARUK-funded standard conditions. The Institution shall use all reasonable endeavours to ensure that no consultancies, third party restrictions or arrangements which might impact on a ARUK-funded grant are entered into in relation to any ARUK-funded person or activity without prior agreement of the charity. Charity-funded investigators or individuals involved in a charity-funded project should not use materials or compounds (other than those obtained commercially), on terms which would place restrictions on the publication of the results. Institutions shall use all reasonable endeavours to ensure that 'reach through rights' have not been granted on any charity-funded IP in favour of commercial organisations providing materials or compounds to charity-funded individuals for research purposes. However, ARUK recognises that companies providing materials may often require exclusive rights to any intellectual property arising from use of that material, and that this requirement is often non-negotiable. Where intellectual property arises from research linked indirectly to the use of material provided under such agreement, the provider should be offered a time-limited opportunity to take out a revenue-generating licence.

The Institution must ensure that all persons in receipt of ARUK funding or working on an ARUK funded activity (including employees, students, visiting staff and subcontractors) are employed or retained on terms that vest in the Institution all ARUK-funded IP.

If the institution decides not to protect, manage, exploit any ARUK-funded IP arising out of the grant then the charity has a right, but not a duty to protect, manage or exploit such IP. If ARUK decides to exercise its right, the Institution shall procure that its employees, students and any third parties acting on its behalf carry out all acts reasonably required by ARUK to assist ARUK in such protection and exploitation.

8. Termination of a Grant

When ARUK makes a grant, it reserves the right, without notice, to terminate it should it so wish. In such a case, ARUK will reimburse the Institution for expenditure properly incurred under the award up to termination date, but will not in any event be responsible for, nor indemnify the Institution against any of the matters referred to in condition 1. See also condition 5.

9. Acceptance of the Grant

It is a condition of the award that the Institution agrees to accept and administer the award. Thus all financial reporting and contractual matters will be between ARUK and the Institution. Before a grant may be activated, the Institution must accept, and agree to abide by, the "General Conditions of Award" and any other conditions specified in the award letter. A form for this purpose will be provided. This form must be signed by a senior staff member who has the authority to commit the Institution to such an agreement.

The conditions must be specifically agreed and accepted by other Institutions/Departments in which work under the grant is undertaken and/or individuals supported by the grant are employed. It will be the responsibility of the Institution to ensure that this condition is met.

10. Progress Reports

It is a condition of the grant that ARUK receives updates on the outputs and progress of a grant annually for the duration of the grant and beyond this. Impact and progress reporting is normally handled through ResearchFish. ARUK will be responsible for informing the Grant Holder of when impact and progress reports are due. In addition, the Grant Holder may be required to provide a breakdown of the expenditure of all monies provided on the grant. Failure to submit an impact and progress report or a requested expenditure breakdown may cause ARUK to refuse to consider further grant requests.

11. Amendment to Conditions

Grants awarded by ARUK are subject to the General Conditions of Award at the time that the grant is awarded. ARUK reserves the right to change the Conditions of Award from time to time after discussion with the Institution. If for any reason during the lifetime of the grant an amendment is made to the Award, ARUK reserves the right to apply the then current Conditions of Award at the time of the amendment, after discussion with the Institution.

12. Insurance Policies

12.1

The Institution shall maintain in force the following insurance policies with a reputable insurance company with a credit rating of not less than "A" from Standard & Poor's (or an equivalent rating from another reputable ratings agency approved by ARUK):

12.1.1

statutory employer's liability insurance and, where required, workers compensation insurance (or the closest local equivalent) with a limit of not less than ten million pounds sterling (£10,000,000) for any one occurrence or claim in respect of employer's liability; and

12.1.2

public and product liability insurance in respect of any injury to, and any sickness or death of persons, or damage to tangible property and any subsequent financial loss with a limit of not less than two

million pounds sterling (£2,000,000) for any one occurrence or claim in respect of public and product liability;
and shall ensure that a generic interest clause and an indemnity to principals clause has been included on such policies and shall, upon the written request of ARUK from time to time, provide a certificate signed by the Institution's insurer or such insurer's appointed agents confirming that the Institution is insured in accordance with this clause 12.1 together with evidence that the relevant premiums have been paid.

12.1.3

material damage insurance protecting the Property and Assets relevant to the Grant Award against Loss or Damage normally associated with a Commercial All Risks Policy including, but not limited to Fire, Theft, Accidental Loss or Damage and Terrorism

12.2

The Institution shall, during the term of this agreement, and for a period of one year thereafter:

12.2.1

administer the insurance policies and the Institution's relationship with its insurers at all times to preserve the benefits for ARUK set out in this clause 12;

12.2.2

do nothing to invalidate any such insurance policy or to prejudice ARUK's entitlement thereunder; and

12.2.3

procure that the terms of such policies are not altered in any way that may diminish the benefit to ARUK of the policies.

12.3

If the Institution does not at any relevant time have in place insurance as required by this clause 12, ARUK shall be entitled, but not obliged, upon written notice to the Institution to effect and maintain such insurance on the Institution's behalf and at the Institution's cost, and the Institution hereby authorises ARUK to act on its behalf for this purpose.

April 2019 revision

Appendix

ALZHEIMER'S RESEARCH UK GRANT: «Grant Reference»

Funding for «Lead Applicant» on the project '«Grant Title»'

Costs: «Grant Duration months» months, «Grant Start Date» – «Grant End Date»

«Contract Budget Table»

ALZHEIMER'S RESEARCH UK
NOTICE OF ACCEPTANCE OF A GRANT

GRANT REF: «Grant Reference»

SUBJECT: '«Grant Title»'

FELLOW: «Lead Applicant»

SUPERVISOR/SPONSOR(S):

I accept and certify that I am authorised to accept the above grant from Alzheimer's Research UK on behalf of:

«Host Institution»

«Host Inst Contract Address New Line»

under the conditions specified in the award letter and the "General Conditions of Award" document appended to the award letter, copies of which I have read.

Signed

Name

Position

Date

Fellow

Signed

Name

Date