

The Novo Nordisk UK Research Foundation (NNUKRF)



Terms of Reference and Policies Oct 2022 2nd Edition

Registered charity 1056410
www.novonordiskfoundation.org.uk

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This document along with, *Information for Applicants and Terms and Conditions for Award Holders*, 1st Edition, Aug 2022 supersedes *Policies and Guidelines*, 10th Edition, Sep 2021

The Novo Nordisk UK Research Foundation

In the document NNUKRF or NNUKRF refers to the Novo Nordisk UK Research Foundation. NNUKRF is an independent charity (number 1056410) whose sole donor is Novo Nordisk Ltd

Objectives

Promoting research into the causes and treatment of diabetes mellitus and publishing the useful results thereof.

The preservation and protection of the health of the public by educating them and conducting research into the causes and prevention of diabetes.

The advancement and promotion of education in the treatment of diabetes by members of the medical profession

Research Strategy

NNUKRF strategy is to support research projects likely to yield benefits in terms of patient care and management. NNUKRF has 3 main funding streams aimed to achieve the objectives set out above:

Fellowships

- **Clinical Research Fellowships** - for physicians, general practitioners and paediatricians in training to give them the opportunity of being involved in clinical research in the field of diabetes. These may be run jointly with other charities and not for profit organisations
- **Research Fellowships for other Health Care Professionals (HCPs)** - to support HCPs who wish to pursue a higher degree relevant to the care and management of people with diabetes.

Grant

Grants are awarded for clinical research or clinically relevant research, and are intended primarily as finance toward an existing project, a pilot study or small piece of research for researchers early in their career working in the field of diabetes rather than the full funding of projects or salaries of established research workers.

Fund

Fund payments are intended for primary and secondary care nurses and allied health care professionals (eg dieticians, podiatrists etc) working in the UK to help further research and education within the field of diabetes.

Trustees

Terms of Reference for Trustees of the Novo Nordisk UK Research Foundation

The Trustees are responsible for:

- The governance of NNUKRF
- Setting the overall strategy for NNUKRF
- Assessing and, if thought appropriate, approving awards recommended by the Research Selection Committee and the Nurse and Allied Healthcare Professional Selection Committee in accordance with the objectives of NNUKRF
- Ensuring compliance with necessary rules and regulations with regard to the running of NNUKRF including the Charity Commission and The Association of Medical Research Charities
- Ensuring that NNUKRF operates in accordance with its own Trust Deeds

NNUKRF Board of Trustees may have between 5 and 11 members including one trustee representing the sponsor (Novo Nordisk Ltd).

The Trustees appoint a chairman/woman.

Trustees normally serve for a period of three years but may be re-elected for another three years. If a serving or past Trustee is elected to the Chair of Trustees then the period of service begins anew and the Chair may serve for three years and may be re-elected for another three years.

The Trustees meet at least twice a year. One of these meetings is the Annual General Meeting. Trustees may join by telephone if they are unable to attend in person.

All trustees are required to sign a Trustee Declaration, this statement confirms that the individual is not disqualified from taking on the position of trustee (a copy of the declaration can be found in appendix 1)

All trustees are required to sign a contract with NNUKRF. This contract sets out the terms of the appointment and the requirements placed on the trustee (a copy of the agreement can be found in appendix 2)

Trustees are required to complete a Bank mandate by identifying themselves to Barclays Bank and completing a personal details form.

Business of the Trustees

The Trustees must act in the best interest of NNUKRF and in compliance with the requirements laid down by the Charity Commission.

The Trustees must ensure that the objectives of NNUKRF are fulfilled. This includes:

- Reviewing and approving the strategy and policies of NNUKRF.
- Reviewing and approving the awards of Foundation.
- Appointing and constituting the advisory committees
- Appointing the Chair of the Research Selection Committee
- Appointing the Chair of the Nurse and Allied Healthcare Professions Selection Committee
- Monitoring the budgets and expenses of NNUKRF
- Monitoring progress of the research supported by NNUKRF

Conflict of Interest

Refer to the Conflict of Interest Policy.

Administrative and Operational Support

Novo Nordisk Ltd will provide Non-Financial Support in the provision of administrative support to NNUKRF, in the form of an Administrator and a Foundation Secretary, to assist with the day to day running of NNUKRF which shall consist of one (1) Novo Nordisk employee who will work part time for no more than 50% (fifty percent) of their working time for NNUKRF and of two (2) Conference Solutions Ltd employees who will work part time for an average of thirty (30) hours per month between them. The Conference Solutions Personnel will hold the position of Administrator and the Novo Nordisk Personnel that of Foundation Secretary. The Foundation Secretary will dedicate his/her time on an ad-hoc basis as necessary. Both of these positions will be funded by Novo Nordisk Ltd.

Records of the work of NNUKRF and the Trustees, including grant applications and minutes of meetings will be maintained by NNUKRF Administrator.

All correspondence should be sent via NNUKRF email to ukresearchfoundation@novonordisk.com .

Expenses and fees

Trustees are not paid a fee, however, NNUKRF will refund travel and subsistence expenses for Trustees attending meetings and other business of NNUKRF. They will be asked to complete a claim form available from NNUKRF Administrator. Receipts should be obtained for all expenses.

A copy of NNUKRF expense procedure is available, on request, from NNUKRF.

Research Selection Committee

Terms of Reference for Members of the Research Selection Committee (RSC) of the Novo Nordisk UK Research Foundation.

Role of the RSC

The work of the RSC is vital for NNUKRF to meet its objectives. The role of the RSC is to recommend to the Board of Trustees the award of research grants and fellowships.

Organisation of the RSC

The RSC will have a minimum of 3 and a maximum of 15 members, invited to join because of their specialist knowledge, expertise in diabetes or as lay members with an interest in diabetes research and education.

Each member of the RSC is asked to serve for maximum period of three years but may be re-elected to serve a further period (not exceeding six years in total).

Members will be appointed by the Board of Trustees.

There will be a minimum of one Trustee and maximum of two Trustees on the RSC.

One of the members will be appointed by the Board of Trustees as the Chair of the RSC. If a serving or past member of the RSC is appointed to the Chair of the Committee then the period of service begins anew and the Chair may serve for three years and may be re-elected for another three years.

A Trustee may be the chair of the RSC. The Chair of the RSC does not vote or score applications.

The Chair (or an appointed deputy) of the RSC attends the Trustees meetings to report on the activity of the RSC.

The Chairperson may appoint a Deputy Chair. The Deputy Chair may be asked to substitute for the Chairperson in circumstances where the Chair is unavailable.

Members will be requested to attend one meeting per year. Members unable to attend may submit their review comments to the Chair or Deputy Chair of the RSC for presentation at the meeting. Members unable to attend or provide comments at two or more consecutive meetings may be asked, by the Chair of the Committee to stand down from the RSC. Quorum for the Research Selection Committee shall be 3 members.

Members of the RSC may join the meeting by telephone or video link if they cannot attend in person.

In addition members of the RSC may, from time to time, be invited to attend other meetings of NNUKRF.

Members may resign at any time by informing the Chair of the RSC via NNUKRF Secretary.

Work of the RSC

The NNUKRF makes one round of awards each year. The members of the RSC are expected to review the applications for research fellowships and for research grants. Using their knowledge and expertise members are asked to form an

independent opinion on the merits of supporting each project with reference to the goals and objectives of NNUKRF.

The call for applications will take place each year as determined by the Trustees. The timeline for applications may change at the discretion of the Trustees. Preliminary applications for NNUKRF Fellowships are 500 words and for NNUKRF Grants are in the form of a 250 word abstract. Members of the committee are asked to review and score all preliminary applications. If more than 20 Grant applications are received the RSC will each review a proportion of the applications. The Chair of the RSC will review the scores and identify a short list of applicants who are then invited to submit a full application. Committee members have a further period to review short listed full applications for NNUKRF Research Fellowships and Grants. A scoring system is used to help define the merits of each application and to determine the short list in addition to the comments from the external reviewer(s) (Fellowships only). The scores for Research Fellowships are reviewed by the Chair and a maximum of three candidates identified who will be invited to present their proposal at the meeting of the RSC. At this meeting members of the RSC will have the opportunity to challenge and question the applicants.

Shortlisted NNUKRF Grant applications will be reviewed at the once yearly meeting. The RSC will then discuss the merits of the applications. After all full applications have been presented and discussed a further round of scoring will take place. The Chair may not score. The mean and ranked scores will be used to determine the Grant applications that will be recommended to the Board of Trustees by the Chair of the RSC for funding.

Conflict of Interest

Please refer to the Conflict of Interest Policy.

Members of the RSC will be asked to sign a copy of the Conflict of Interest Declaration when they join the Committee (appendix 3).

Members will be asked to declare any conflicts of interest at the beginning of each Committee meeting and any declared conflicts will be recorded in the minutes.

New Members of the RSC

New members will be provided with written information about the Committee and its' activities and will be offered the chance to meet with NNUKRF Secretary and the Chair of the RSC if necessary.

Administrative support

Novo Nordisk Ltd will provide Non-Financial Support in the provision of administrative support to NNUKRF, in the form of an Administrator and a Foundation Secretary, to assist with the day to day running of NNUKRF which shall consist of one (1) Novo Nordisk employee who will work part time for no more than 50% (fifty percent) of their working time for NNUKRF and of two (2) Conference Solutions Ltd employees who will work part time for an average of thirty (30) hours per month between them. The Conference Solutions Personnel will hold the position of Administrator and the Novo Nordisk Personnel that of Foundation Secretary. The Foundation Secretary will dedicate his/her time on an ad-hoc basis as necessary. Both of these positions will be funded by Novo Nordisk Ltd.

Records of the work of NNUKRF and the Trustees, including grant applications and minutes of meetings will be maintained by NNUKRF Administrator.

All correspondence should be sent via NNUKRF email to ukresearchfoundation@novonordisk.com .

Expenses and fees for members of the RSC

Members of the RSC are not paid a fee, however, NNUKRF will refund travel and subsistence expenses for members of the RSC attending meetings. They will be asked to complete a claim form available from NNUKRF. Receipts should be obtained for all expenses. A copy of the expense procedure can be obtained from NNUKRF.

Nurses & Allied Healthcare Professional Selection Committee

Terms of Reference for Members of the Nurses and Allied Healthcare Professionals Committee (N&AHPSC) of The Novo Nordisk UK Research Foundation

Role of the N&AHPSC

The work of the N&AHPSC is vital for NNUKRF to meet its objectives. The role of the N&AHPSC is to recommend to the Board of Trustees the award of travel, education and clinical projects to nurses and professions allied to medicine.

Organisation of the N&AHPSC

Members will be appointed by the Board of Trustees.

The N&AHPSC will have a minimum of 3 and a maximum of 15, invited to join because of their specialist knowledge, expertise in diabetes or as lay members with an interest in diabetes research and education. Each member of the N&AHPSC is asked to serve for a maximum period of three years but may be invited to serve a further period (not exceeding six years in aggregate).

One of the members will be appointed by the Board of Trustees as the Chair of the N&AHPSC.

The Chair (or an appointed deputy) of the N&AHPSC attends the Trustees meetings to report on the activities of the N&AHPSC.

If a serving or past member of the N&AHPSC is appointed to the Chair of the Committee then the period of service begins anew and the Chair may serve for three years and may be re-elected for another three years.

There will be a minimum of one Trustee and a maximum of two Trustees on the N&AHPSC. Members will be requested to attend one meeting per year. Members unable to attend may submit their review comments to the Chair of the N&AHPSC for presentation at the meeting. Members may join by phone if they are unable to attend in person. Members unable to attend more than two consecutive meetings may be asked, by the Chair of the Committee, to stand down from the N&AHPSC. Quorum for the N&AHPSC shall be 3 members.

In addition members of the N&AHPSC may, from time to time be invited to attend other meetings of NNUKRF

Members may resign at any time by informing the Chair of the committee via the Foundation Secretary.

Work of the N&AHPSC

NNUKRF makes one round of awards each year. The members of the N&AHPSC will be expected to review the applications for meetings, education and clinical projects. Using their knowledge and expertise members are asked to form an opinion on the merits of supporting each project with reference to the goals and objectives of NNUKRF.

The call for applications will take place each year as determined by the Trustees. The timeline for applications may be changed at the discretion of the Trustees.

Members of the committee are given a minimum of one month to review the applications.

If more than 25 applications are received each member of the Committee will receive a proportion of the applications to review.

Conflict of Interest

Refer to the Conflict of Interest Policy.

Members of the N&AHPSC will be asked to sign a copy of the Conflict of Interest Declaration when they join the Committee (appendix 3).

Members will be asked to declare any conflicts of interest at the beginning of each Committee meeting and any declared conflicts will be recorded in the minutes.

New Members of the N&AHPSC

New members will be provided with written information about the Committee and its' activities and will be offered the chance to meet with NNUKRF Secretary and the Chair of the Committee if necessary.

Administrative support

Novo Nordisk Ltd will provide Non-Financial Support in the provision of administrative support to NNUKRF, in the form of an Administrator and a Foundation Secretary, to assist with the day to day running of NNUKRF which shall consist of one (1) Novo Nordisk employee who will work part time for no more than 50% (fifty percent) of their working time for NNUKRF and of two (2) Conference Solutions Ltd employees who will work part time for an average of thirty (30) hours per month between them. The Conference Solutions Personnel will hold the position of Administrator and the Novo Nordisk Personnel that of Foundation Secretary. The Foundation Secretary will dedicate his/her time on an ad-hoc basis as necessary. Both of these positions will be funded by Novo Nordisk Ltd.

Records of the work of NNUKRF and the Trustees, including grant applications and minutes of meetings will be maintained by NNUKRF Administrator.

All correspondence should be sent via NNUKRF email to ukresearchfoundation@novonordisk.com .

Expenses and fees for members of the N&AHPSC

Members of the N&AHPSC are not paid a fee, however, NNUKRF will refund travel and subsistence expenses for members of the N&AHPSC attending meetings.

Members of the committee will be asked to complete a claim form available from NNUKRF Administrator. Receipts should be obtained for all expenses. A Copy of the expense procedure is available from NNUKRF Administrator.

External Reviewers

Information for External Reviewers for the Novo Nordisk UK Research Foundation.

The Novo Nordisk UK Research Foundation (NNUKRF) is a UK registered charity (No 1056410). NNUKRF donor is Novo Nordisk Ltd but the charity is run independently by a Board of Trustees in accordance with the charity laws and guidelines in the UK.

NNUKRF is a member of the Association of Medical Research Charities (AMRC) and holds the AMRC Best Practice in Peer Review certificate.

Decisions on which applications to support are made by independent Committees. Members of these committees are chosen either because of their expertise and knowledge of diabetes or lay persons with diabetes or carers. External reviewers may be experts in the field of diabetes or experts from neighbouring fields when considered appropriate.

NNUKRF considers it essential to take appropriate external independent advice as part of a thorough peer review process and in accordance with AMRC guidelines before making any awards above £25,000.

For each application exceeding £25,000 NNUKRF will seek 2 external reviewers. Members of the RSC will be asked to nominate appropriate reviewers. The applicant will also be asked to nominate an appropriate reviewer but NNUKRF is not obliged to approach this nomination.

Where external reviewers identify a conflict of interest (ie they have a connection to the applicant or their host institution which may result in a biased review) they should declare the conflict and return the application without reviewing.

External reviewers are asked to consider whether an application for funding meets the following criteria:

Adequate training/supervision

- Does the proposal contain provision for training and supervision of the research fellow, commensurate with that required for a higher degree?

Science and Methodology

- Does the proposal have a clear and worthwhile objective that is of importance for diabetes?
- Is the research of high scientific quality and does the methodology support the goals?
- Is the research likely to have patient benefits?
- Does the project make sense in light of current knowledge and is it likely to add significantly to the current knowledge base in this area?
- Is the project practical and does it have a reasonable chance of success when considering its scope, the resources available and the facilities and expertise of the host institution?
- Where the proposed project includes animals, does the project comply with the principles in the 3Rs ([The 3Rs | NC3Rs](#)) to replace, reduce and refine and do you consider the project appropriately resourced for this kind of work?

Having considered the above criteria external reviewers will be asked to determine whether the application should proceed. External reviewers will also be asked to provide comments that can be provided to the applicant and will also have the chance to make confidential comments to be used only by NNUKRF.

NNUKRF does not pay a fee for this review but is grateful for the time and effort involved.

Confidentiality and Personal Data Policy

The Novo Nordisk UK Research Foundation considers the protection of personal data and privacy an important matter. We seek to adhere to all privacy laws and enforce clear policies on protecting personal information.

Trustees and Committee Members

NNUKRF will hold contact details including email, work address and telephone numbers. NNUKRF will also hold bank details for the electronic payment of expenses. This information will not be held more than 12 months after the end of a period of tenure with NNUKRF.

Trustee and Committee member names are available on the Novo Nordisk UK Research Foundation website <http://www.novonordiskfoundation.org.uk/>

In addition Trustees names are available on the Charity Commission website. <https://www.gov.uk/government/organisations/charity-commission>

External Reviewers

NNUKRF will hold contact details only. NNUKRF will seek permission to hold contact information so that external reviewers may be contacted in future if NNUKRF receives applications relevant to the area of expertise.

If you wish to have contact details removed please contact NNUKRF.

Applicants

For successful applicants the application documents will be securely stored until NNUKRF receives the final report. For unsuccessful applicants the application documents will be securely stored for maximum 12 months after the Trustee decisions on awards for that round of applications. The date of completion is the date that the final report is submitted to NNUKRF using the email address:

ukresearchfoundation@novonordisk.com

Information is not shared outside NNUKRF except for applications for funding greater than £25,000 which are sent for external review and when NNUKRF has entered a funding partnership in which case the applications (including cv) will be shared with the Funding Partner. It will be clear on the call for applications that a Funding Partner is involved.

Paper documents are destroyed by commercial shredding. Computer files will be deleted. Applicants may request from NNUKRF to view all information held about them by contacting NNUKRF at ukresearchfoundation@novonordisk.com .

All recipients of application forms will be requested to delete electronic versions and securely destroy any printed versions.

See also the information for applicants and refer to NNUKRF website.

Conditions for Accepting an Award

By accepting an award from NNUKRF the award holder agrees that information concerning the amount, the type of award, the name of the host institution, the award holder and supervisor can be submitted to the AMRC as part of their annual data collection and can be used by NNUKRF for information and promotional activities.

Conflict of Interest Policy

A conflict of interest arises when a member of the Board of Trustees or of the Research Selection Committee or of the Nurses and Allied Healthcare Professionals Committee has a personal interest in the activities and awards of NNUKRF which may conflict with his or her duty to act solely in the interests of NNUKRF and may result in bias decision making. This could occur for example if a committee member or a colleague of a committee member has applied to NNUKRF for an award.

A Conflict of interest may also arise when a member of the Board of Trustees, Research Selection Committee or Nurse and Allied Healthcare Professional Selection Committee, has an interest in the activity of the donor.

For reviewers a conflict of interest arises when:

- The applicant is someone in your faculty/research group
- You are collaborating with applicant
- If the reviewer feels conflicted

Trustees and committee members must declare any conflicts of interest when accepting their position as a Trustee or Committee member by completing a Conflict of Interest Declaration and must declare any Conflict of Interest to their respective committees at the beginning of each meeting.

Members, including Chairpersons, of the Board of Trustees and the Committees of NNUKRF are not excluded from applying to NNUKRF for an award provided that these Conflict of Interest guidelines are followed.

Any member declaring a conflict of interest must absent themselves from all discussions of their application by leaving the committee room or by leaving the remote meeting for the full duration of the discussions. The conflicted member will be notified when the discussions have concluded and it is permitted to re-join the meeting.

If the Chair needs to be absent the chair must nominate another member to chair the meeting or that part of the meeting relating to the funding round.

Trustees of NNUKRF and committee members are not allowed to assess and score applications for awards where there might be a conflict of interest.

Conflicted Trustees of NNUKRF and committee members will not be counted in the quorum present at any meeting and may not vote on any resolution where he or she was required to absent themselves from the discussion.

External examiners will be asked to declare any conflict of interest.

Conflict of Loyalty Policy

A conflict of loyalty can occur where a charity trustee has a duty of loyalty that may conflict with her/his duty as charity trustee but which does not involve any material benefit to the charity trustee (or anyone connected to her/him). The Charity Commission requires that trustees of charities always act in the best interests of the charity (The essential trustee: what you need to know, what you need to do. The Charity Commission, July 2015). A conflict of loyalty could occur where a charity trustee's duty to the charity could conflict with her/his duty of loyalty to an organisation that employs her/him.

In the case of a conflict of loyalty the Trustee must declare the conflict and appropriate action must be taken by the Chair of Trustees. This could, for example, be to absent themselves from the discussion by leaving the room or remaining silent, alternatively the Chair may allow statements of fact from the conflicted Trustee.

Risk Management Policy

The Trustees have reviewed the major strategic, business and operational risks which the charity faces and have established procedures to mitigate those risks, including appropriate indemnity insurance.

Potential risks may be reviewed at Trustee meetings as necessary or, if urgent, may be raised with the Chair of Trustees between meetings.

Serious Incidents Policy

A serious incident is an adverse event which results in or risks:

Loss of NNUKRFs money or assets
Harm to NNUKRFs work or beneficiaries
Harm to NNUKRFs reputation
Harm to NNUKRF sponsor

Examples include, fraud, theft, financial loss, criminal breaches, terrorism, extremism or safeguarding issues. Serious incidents must be reported to the Charity Commission and to the donor as soon as possible. Other authorities such as the police or other regulators may be informed as appropriate.

Serious incidents must be reported to the Charity Commission before the submission of the annual return. If a serious incident has occurred this must be declared in the annual return or a declaration confirming there are no serious incidents.

Safeguarding Policy

Every person who volunteers with, works for or comes into contact with NNUKRF should be treated with dignity and respect, and feel that they are in a safe and supportive environment. NNUKRF has an inclusive culture that does not tolerate inappropriate, discriminatory, offensive or harmful behaviour towards any person who volunteers with, or comes into contact with the charity.

The Novo Nordisk UK Research Foundation is a funder of education and research and recognises that no individual should suffer harm or be put at risk as a result of funding received from NNUKRF or by volunteering their time to NNUKRF.

NNUKRF has no employees, no premises and no direct contact with children or vulnerable adults and the risks of safeguarding issues arising within NNUKRF are considered very low. Safeguarding risks could, however, include:

- sexual harassment, abuse and exploitation
- negligent treatment
- physical or emotional abuse
- bullying or harassment
- dignity and rights to privacy and confidentiality
- health and safety
- commercial exploitation
- discrimination on any of the grounds in the Equality Act 2010
- a charity's culture may allow poor behaviour
- people may abuse a position of trust they hold within NNUKRF

Safeguarding for Award Holders

Award holders should be aware of their local employer/host institution policies for safeguarding and these policies should be followed where safeguarding issues arise relating to their place of work or their research. This includes safeguarding of research subjects and volunteers.

It is a condition of all awards that recipients follow appropriate rules and recognised guidance relating to research with human subjects, including but not limited to The Declaration of Helsinki, Research Governance Framework and Good Clinical Practice. In the first instance applicants should contact their local research office for further advice on research governance issues.

If any award holder feels that NNUKRF has acted in any way that has put them at risk or that they have suffered harm or been discriminated against as a result of actions of NNUKRF then they should raise this concern with either the Secretary of NNUKRF or The Chairman of the Trustees.

The rejection of an application for funding would not generally be considered as a safeguarding or discrimination issue.

NNUKRF has adopted the AMRC recommendations in the Anti-bullying and Harassment Paper (AMRC 2019)

Definitions

Bullying is any offensive, intimidating, malicious or insulting verbal or non-verbal communication including physical behaviour. It is an abuse or misuse of power through means intended to undermine, humiliate, denigrate or injure a person.

Harassment is unwanted conduct related to your 'protected characteristics' that has the purpose or effect of violating your dignity, or creating an intimidating, hostile, degrading, humiliating or offensive environment for you. It may be

persistent or a single incident. Harassment is also unwanted conduct of a sexual nature which has that same purpose or effect. Protected characteristics are: age, sex, disability, gender (including gender reassignment), marriage and civil partnership, pregnancy and maternity, race, religion or belief, sexual orientation. (In the UK, harassment is defined by the Equality Act 2010).

Terms and conditions apply to award holders to tackle bullying and harassment

NNUKRF expects all people who receive funding from NNUKRF to treat each other with dignity and respect, and the Trustees consider bullying and harassment of any kind, in any context, unacceptable. It is the Host Institution's responsibility to:

- a) 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.
- b) Require that any sub-grantee or sub-contractor have an equivalent policy in place.
- c) 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 our active grants: where a decision is made to investigate formally an allegation of bullying or harassment against an individual named on an active grant, the Host Institution must inform us when they decide to investigate formally.

d) Investigate allegations of bullying and harassment in an impartial, fair and timely manner, ensuring the rights of employees involved 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.

e) Ensure no agreements are entered into which prevent Host Institutions from telling us of investigation findings.

The Host Institution and Lead Applicant(s) confirm that, to the best of their knowledge and except as has been notified to NNUKRF in writing:

1. **No research misconduct investigations or findings:** there are no research misconduct allegations currently under investigation involving the Lead Applicant(s) or any other person named on the Application, nor has any allegation of research misconduct been upheld in the previous five years;
2. **No bullying or harassment findings:** there have been no upheld findings of bullying, or harassment against the Lead Applicant(s) nor any other employee of the Host Institution who is named on the Application.

Selection Committees

Volunteers who sit on the selection committees should not suffer harm as a result of their participation in those committees or for their work on behalf of NNUKRF. If for any reason a Committee Member does wish to report a safeguarding issue

this should be raised with the Chair of the Committee or with the Secretary to NNUKRF.

Trustees

Trustees should not suffer harm as a result of their participation in the activities of NNUKRF. If for any reason a Board Member does wish to raise a safeguarding concern then this should be raised with the Chair of the Trustees or with the Secretary of NNUKRF.

Depending on the circumstances the issue will be dealt with by the Chair or Secretary or the issue may be referred to the employer.

NNUKRF will adhere to Data Protection rules when dealing with Safeguarding issues.

Peer Review Policy

NNUKRF upholds the best practice in peer review and holds the Association of Medical Research Charities Best Practice in Healthcare Research Peer Review certification. NNUKRF considers this certification very important and recognises the need to maintain the highest standards in the granting of awards. These procedures guide the process adopted by NNUKRF to ensure compliance. NNUKRF may amend the procedures, policies and administrative systems as necessary to comply with the requirements of this certification.

Research in Universities Policy Statement

The Novo Nordisk UK Research Foundation endorses the AMRC position statement on supporting research in universities.

The position statement can be found here: [Position statement on supporting research in universities | Association of Medical Research Charities \(amrc.org.uk\)](#)

Patient Data Policy

The Novo Nordisk UK Research Foundation supports the policy of the AMRC with regard to the use of patient data for research purposes

Policy Statement*

As the representative body of medical research charities across the UK, AMRC is committed to ensuring the best possible environment for research in the UK. While patient confidentiality must be respected at all times, we believe that the use and sharing of personal information for research purposes is an important foundation of, and is often integral to, the work that our members support with the aim of improving health and wellbeing.

The UK – with its National Health Service (NHS), the largest single pool of patients in the world – is in a unique position to lead the way in undertaking appropriately regulated research using patient data for public benefit. We support ongoing efforts by the NHS IT programme to enable the use of patient records for medical research purposes and welcome the commitment in the handbook to the NHS Constitution that the NHS will put in place procedures to notify patients of opportunities participate in ethically approved research. Charities are receiving a growing number of requests from patients who wish to take part in a clinical trial but find it difficult to know how and where to apply.

It is important that the public has confidence in the system by which patient data are used for medical research purposes and we therefore welcome steps being taken by the government, together with patient groups and researchers, to ensure that an appropriate regulatory system is in place which embodies the common interest of both researchers and patients. All partners investing in research need to be sure of the safeguards built into the system and, in this context, we welcome the recommendations of the Walport/Thomas Data Sharing Review in 2008.

Finally, we urge the Department of Health and its agencies, working with partners across research and care, to take urgent steps to improve public awareness and understanding through the NHS of the benefits of using patient data for research. This will benefit all clinical research, not just that using data.

* AMRC Policy statement and frequently asked question on patient data.
September 2009

Intellectual property and technology transfer Policy

NNUKRF will not claim ownership of intellectual property or seek any revenue arising from its' awards. The policy of NNUKRF is that responsibility for the protection and exploitation of research funded by NNUKRF rests with the organisation receiving the funding.

Progress Monitoring Policy

NNUKRF wants all the research that it funds to reach a successful conclusion and for the fellows that it supports to have rewarding experience. Award holders are welcome to contact NNUKRF at any time with queries or questions or for advice and support.

Progress reports

NNUKRF Research Fellows are asked to produce an annual report summarising progress made and objectives for the coming 12 months as well as comments from the supervisor. The report will be reviewed by the chair of the Research Selection Committee. Final payments may be withheld pending the final report.

Final Reports

All award holders are asked to submit a report when the award has been completed. These will be reviewed by the Chairs of the Selection Committees and may be presented to the Board of Trustees. Failure to submit a report may result in future applications being rejected.

Research Fellow Training and support

NNUKRF encourages its Research Fellows to undertake relevant training and development activities. NNUKRF can, in some circumstances, arrange training courses to support both the research and career development of its Fellows. In certain circumstances NNUKRF can arrange for one-to-one expert help to deal with specific issues related to the research (for example specific statistical advice can be sought).

All requests for training or other support should be sent to NNUKRF administrator and must be approved by the chairman/woman of the Board of Trustees.

Thesis

NNUKRF requests that Research Fellows provide NNUKRF with a copy of their final bound or electronic thesis. NNUKRF will meet the additional cost of an extra copy. NNUKRF may request to place an electronic copy or a summary on the NNUKRF website with permission from the Research Fellow.

Foundation Annual Meeting

NNUKRF holds one meeting per year where NNUKRF Research Fellows are invited to present their work and/or planned research activities. Current fellows are requested to attend. The meeting is also attended by the Board of Trustees, and the Chairs of the selection Committees and representatives of NNUKRF's sole donor, Novo Nordisk Ltd, may also be present. NNUKRF will reimburse expenses incurred to attend this meeting.

Presentations to NNUKRF

Recipients of awards may be asked to present their work or outcomes to the relevant Selection Committee or Board of Trustees. NNUKRF will reimburse expenses incurred to attend any such meeting.

Research Involving Animals Policy

NNUKRF supports the AMRC 3Rs policy for research involving animals. A link to this policy can be found on our website. The 3Rs principles are:

Replace the use of animals with alternative techniques or avoid the use of animals altogether.

Refine the way experiments are carried out, to make sure animals suffer as little as possible. This includes better housing and improvements to procedures which minimise pain and suffering and/or improve animal welfare.

Reduce the number of animals used to a minimum by seeking ways to find out information from fewer animals or more information from the same number of animals.

All experimental programmes supported by NNUKRF must only use animals where there are no alternatives.

Experiments using animals funded by NNUKRF must:

- use the simplest possible, or least sentient, species of animal
- ensure that distress and suffering are avoided wherever possible
- employ an appropriate design and use the minimum number of animals consistent with ensuring that the scientific objectives will be met

See the NC3Rs website for further information and guidance (www.nc3rs.org.uk).

All grant holders using animals must implement the principles in the cross-funder guidance Responsibility in the Use of Animals in Bioscience Research (www.nc3rs.org.uk/responsibility).

Grant holders using non-human primates must comply with the NC3Rs guidelines Primate Accommodation, Care and Use (www.nc3rs.org.uk/primatesguidelines).

Grant holders should make use of the ARRIVE guidelines (www.nc3rs.org.uk/ARRIVE) when designing their experiments, and ensure that they report animal-based studies in accordance with the ARRIVE guidelines as far as possible, taking into account the specific editorial policies of the journal concerned.

Applicants are required to answer these questions in their application:

Does the grant involve animals protected under UK law?

Which animal species is used (including non-protected species such as flies)?

Are any animals genetically modified?

Applicants will be asked to confirm they hold relevant licences for their research on animals.

Partnerships Policy

NNUKRF may enter partnerships with other funders whose objectives overlap with NNUKRF.

A Memorandum of Understanding (MOU) will be put in place and may vary some of the policies and Terms and Conditions of the awards. Each partnership will be dealt with on an individual basis and is subject to agreement by the Board of Trustees.

Applications will be shared with funding partners to enable funding decisions to be made by both parties. Applicants will be made aware of the sharing of information.

Any changes to the Terms and Conditions will be included in the Award Letter.

**Appendix 1: Trustee Eligibility and Responsibility
Novo Nordisk UK Research Foundation (Updated October 2022)**

Novo Nordisk UK Research Foundation

Trustee Declaration – (name).....

By completing and signing this form, you declare that you:

- are willing to act as a trustee of the organisation named above
- understand your organisation’s purposes (objects) and rules set out in its governing document
- are not prevented from acting as a trustee because you:
 - have an unspent conviction for one or more of the offences listed here*
 - have an Individual Voluntary Arrangement, debt relief order and/or a bankruptcy order
 - have been removed as a trustee in England, Scotland or Wales (by the Charity Commission or Office of the Scottish Charity Regulator)
 - have been removed from being in the management or control of any body in Scotland (under relevant legislation)
 - have been disqualified by the Charity Commission
 - are a disqualified company director
 - are a designated person for the purposes of anti-terrorism legislation
 - are on the sex offenders register
 - have been found in contempt of court for making (or causing to be made) a false statement
 - have been found guilty of disobedience to an order or direction of the Charity Commission

You also declare that:

- the information you provide to the Charity Commission is true, complete and correct
- you understand that it’s an offence under section 60(1)(b) of the Charities Act 2011 to knowingly or recklessly provide false or misleading information
- your organisation’s funds are held (or will be held) in its name in a bank or building society account in England or Wales
- you will comply with your responsibilities as trustees - these are set out in the Charity Commission guidance ‘The essential trustee (CC3)’
- (if applicable) the primary address and residency details you provide in a charity registration application are correct and you will notify the Charity Commission if they change

Signature

Date

*

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/820804/Disqualification_Reasons_Table_v2.odt

**Appendix 2: Trustee Agreement
Novo Nordisk UK Research Foundation (updated October 2022)
Trustee Contract**

Trustee of The Novo Nordisk UK Research Foundation (NNUKRF) I agree that.

1. I have been elected on to the Trustee Board from(insert date).
I can serve for three years with an option for re-election for a further three years, after which I will have to step down from the Trustee Board.
2. Should I at any time wish to resign from the Trustee Board I will do so by writing to the Chairman of the Trustee Board via the NNUKRF Secretary. Reasons should be given if they relate to the Novo Nordisk UK Research Foundation and it's activities.
3. I have the rights as a trustee to:
 - a. Have equal status and voting rights with all the other trustees.
 - b. Receive training which relates to any area of the Trustee Board's work.
4. My individual responsibilities are to:
 - a. Attend and participate in Trustee Board meetings and (if a member) Selection Committee meetings. If you are unable to attend you should give your apologies to the Chairman via the NNUKRF Secretary.
 - b. Understand and be fully committed to the aims and objectives of NNUKRF.
 - c. Support all decisions once they have been agreed by the Trustee Board.
 - d. Respect the confidentiality of the Trustee Board matters and discussions.
 - e. Declare any personal interests that may conflict with the interests of NNUKRF while serving on the Board.
5. NNUKRF will provide support and information to help you meet your obligations as a Trustee and to familiarise yourself with the policies, plans and financial arrangements of NNUKRF.
6. Your joint responsibilities with other trustees are to:
 - a. Consider and approve if appropriate the funding of awards by NNUKRF as recommended by the Research Selection Committee and the Nurses and Allied Health Care Professionals Selection Committee.
 - b. Consider and approve, if appropriate, the Annual Report.
 - c. Agree the plans, policies and procedures for NNUKRF.
 - d. Be satisfied that within the constraints of the organisation NNUKRF is meeting its aims and objectives.

Trustees Declaration

I have read and understood the Trustees Agreement.

I have received and read the Deeds, including the aims and objectives of NNUKRF and understand my duties as a trustee.

I undertake to familiarise myself with the Terms of Reference and the Policies of NNUKRF

I shall declare all conflicts of interest as and when they arise. If at any time these conflicts hamper my ability to perform my role as a Trustee I shall resign from the Trustee Board.

Signed..... Dated.....

Appendix 3: Trustees, Research Selection Committee and Nurse and Allied Healthcare Professional Committee Conflict of Interest Declaration (Aug 2021)

CONFLICT OF INTEREST DECLARATION

To be completed by Trustees, members of the Research Selection Committee and Nurse and Allied Healthcare Professional Selection Committee.

Please declare any conflicts of interest that could influence your ability to make impartial decisions and to act in the best interests of the Novo Nordisk UK Research Foundation. For example: committee membership of other charities, interests in or support to you or your institution from NNUKRF donor Novo Nordisk Ltd. or involvement with other grant awarding organisations.

Name (please print):

DETAILS OF INTEREST AND NATURE OF BUSINESS	
<p>(Please list your declaration(s) below and return to Foundation Secretary, The Novo Nordisk UK Research Foundation, 3 City Place, Beehive Ring Road, Gatwick, RH6 0PA ukresearchfoundation@novonordisk.com</p>	
Date:	Signed: