

The Novo Nordisk UK Research Foundation (NNUKRF)



Policies V1.0 August 2024

**Registered charity 1056410
www.nnukrf.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 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 fund research projects and education 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:

Research Fellowships

Research Fellowships for medically qualified and other health care professionals to give them the opportunity of being involved in clinical research in the field of diabetes early in their research careers. These may be run jointly with other charities and not for profit organisations

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.

Policies

The policies are written to supplement the founding documents of NNUKRF, namely the Trust Deed 1996 as amended 2006 and the Regulations 1996 as amended 2024 and are based on requirements and recommendations from the Charity Commission and the Association of Medical Research Charities (AMRC).

Expenses Policy

Travel and subsistence will be refunded for attendance at meetings for business of the Novo Nordisk UK Research Foundation.

An expense claim form will be provided at each event or may be requested. Return instructions will be included.

All expenses require receipts to support them.

Anything without a receipt will require the authorisation by the Chair of Trustees.

Mileage can be claimed at the rate published by HMRC
<https://www.gov.uk/tax-relief-for-employees/vehicles-you-use-for-work>

Payments will be made by bank transfer.

Research Fellows may request expenses for attending scientific and medical meetings including registration, travel and accommodation. Requests must be made in advance of the meeting. A claim form will be provided for this purpose.

The Secretary is authorised to approve Research Fellow requests for expenses to the value of £1000 provided the meeting is related to the award. Requests for expenses above this amount must be authorised by the Chair of Trustees or the Chair of the Research Selection Committee.

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. Any Trustee employed or otherwise related to any of NNUKRF 's sponsors will be deemed to have a conflict of interest in relation to all awards decisions and he/she shall not participate in the awards allocation or any other allocation of funds discussion and approval process.

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 supports 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, NNUKRF expects 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. Depending on circumstances regulators may be involved. Complainants may choose to go direct to regulators in which case NNUKRF will co-operate with investigations.

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. Depending on circumstances regulators may be involved. Complainants may choose to go direct to regulators in which case NNUKRF will co-operate with investigations.

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

For issues which are not considered safeguarding, harassment or bullying please refer to the complaints policy.

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.

Please refer to the Guidance for Applicants, available on the website www.nnukrf.org.uk for details of the peer review process.

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 view of the AMRC with regard to the use of patient data for research purposes. [Patient data | Association of Medical Research Charities \(amrc.org.uk\)](#)

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 the NNUKRF Secretary and must be approved by the Chair of the Board of Trustees and the Chair of the Research Selection Committee.

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.

NNUKRF Research Fellows Annual Meeting

NNUKRF holds one meeting per year where NNUKRF Research Fellows are invited to present their work and/or planned research activities to the Trustees. Current fellows are requested to attend. Other guests may be invited to the meeting including representatives of the Sponsor, Novo Nordisk Ltd. 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 position statement on the use of animals for research. A link to this policy can be found on our website. For full guidance refer to the website [NC3Rs](#) on the use of animals in research.

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.

The review process may vary depending on the partnership.

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.

Finance and Financial Control Policy

Financial Records, Accounts and Investment

1) Financial records will be kept so that:

NNUKRF meets legal and other statutory obligations, such as Charity Acts, HMRC and common law.

The trustees have proper financial control of the organisation.

The organisation meets the contractual obligations and requirements of the annual agreement with Novo Nordisk Ltd.

2) The books of accounts must include:

A record of all the transactions appearing on the bank accounts

3) Accounts must be drawn up at the end of each financial year and presented to the next Annual General Meeting.

4) At the AGM the trustees will approve a projected income and expenditure for the year.

5) A report comparing income and expenditure should be presented to the trustees at each Trustee meeting

6) The AGM will appoint an appropriately qualified auditor/ independent examiner to audit or examine the accounts for the year before presentation to the next AGM.

Banking

1) The Bank account of NNUKRF is held with Barclays Business Banking, and accounts are held in the name of the Novo Nordisk UK Research Foundation. The following accounts will be maintained:

Charity Current Account

Charity Investment Account

2) The bank mandate (list of people who can sign cheques on the organisations behalf) will be completed by all Trustees

3) The charity will require the bank to provide statements every month and these will be reconciled with the financial records and will be maintained by the Foundation Secretary.

4) The charity will not use any other bank or financial institution or use overdraft facilities or loan without of the agreement of the Trustees.

5) The bank documents will be available for any Trustee to scrutinise upon request

6) The bank account will be managed by the Foundation Secretary

Income

1) The sole source of income for NNUKRF is an annual grant from Novo Nordisk Ltd.

Investments

The trustees may invest the income in a deposit account or other account to benefit from interest payments.

Payments (expenditure)

1) Payments will be made only against agreed awards and required running costs such as AMRC membership and annual accounts. All expenditure of the charity's business and must be properly authorised.

3) The Secretary will be responsible for maintaining the bank account and authorising payments

Payment documentation

1) Every payment out of the Charity's bank accounts will be evidenced by an original invoice. That original invoice will be retained by the Charity and filed.

2) Exceptions to payments not being supported by an original invoice are expenses (receipts are required).

3) Payments may be made by a single person if authorised by the Trustees. Normally this will be the Foundation Secretary

4) Expenses / allowances. NNUKRF will, if asked, reimburse expenditure paid for personally by trustees, committee members and others attending NNUKRF meetings, providing:

Fares are evidenced by tickets.

Other expenditure is evidenced by original receipts.

Car mileage is based on HMRC scales.

Complaints Policy

Complaints regarding any aspect of the activities of NNUKRF should in the first instance be made in writing to the Foundation Secretary
ukresearchfoundation@novonordisk.com

Complaints may also be made direct to the Chair of Trustees or to the Chair of the Selection Committees.

Complaints will be investigated according to their severity and response will be made to the complainant outlining any findings and any actions to be taken by the NNUKRF

Complaints may also be made direct to the Charity Commission or Regulators and details can be found on their website: [Complain about a charity - GOV.UK](#)
(www.gov.uk)

Social Media and Website Policy

This policy applies to all social media platforms that NNUKRF may use. NNUKRF interacts with the professional diabetes community in a limited capacity and therefore risks associated with social media are considered low.

NNUKRF may use social media to promote awareness of the objectives of the Charity and to make potential applicants aware of the awards and the application process.

Rules for all posts on social media by NNUKRF:

Not to insult, harass, bully or intimidate individuals or organisations

Respond to others' opinions respectfully and professionally

Correct mistakes promptly

All posts must be accurate and not misleading

Be considerate and fair

Ensure no harm to or bring into disrepute NNUKRF or to others

Be lawful and comply with any regulations

The website www.nnukrf.org.uk is not considered a social media platform because it does not facilitate social interaction and content sharing among users, however, content on the NNUKRF website should follow the above rules.

As a general rule social media posts by NNUKRF are for information and not for interaction. When awards are advertised via social media posts either an email address will be provided for readers to respond or links to the NNUKRF website for further information.

Day to day content and any posts will be managed by the Foundation Secretary. Trustees and Committee members may respond, forward or comment on posts and must follow the rules set out above.

All posts must be in compliance with Data Protection and any social media posts which might directly or indirectly identify a person should have permission to do so.

When considered necessary (for example in crisis situations) the Chair of Trustees and/or the Chair of Committees will be consulted and will need to sanction any social media posts. The Board of Trustees will be informed by the Foundation Secretary should the need arise.

Any readers of posts by NNUKRF who wish to complain about the content should follow the complaints procedure.

