

The Novo Nordisk UK Research Foundation (The Foundation)



Policies and Guidelines August 2019 9th Edition

**Registered charity 1056410
www.novonordiskfoundation.org.uk**

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The Novo Nordisk UK Research Foundation

The Foundation is an independent charity (number 1056410) whose sole sponsor 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

The Foundation's strategy is to support research projects likely to yield benefits in terms of patient care and management. The Foundation 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 the Foundation
- Setting the overall strategy for the Foundation
- 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 the Foundation
- Ensuring compliance with necessary rules and regulations with regard to the running of the Foundation including the Charity Commission and The Association of Medical Research Charities
- Ensuring that the Foundation operates in accordance with its own Trust Deeds

The Foundation 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 the Foundation. 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)

Business of the Trustees

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

- Reviewing and approving the strategy and policies of the Foundation.
- 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 the Foundation
- Monitoring progress of the research supported by the Foundation
- Assessing and reviewing requests and need for training of research fellows
- Approving arrangements for publicising the activities of the Foundation

Administrative and Operational Support

Administrative support for the Trustees is provided by the Foundation Administrator and Secretary.

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

All correspondence should be sent via the Foundation Administrator.

Expenses and fees

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

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

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 the Foundation 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 and expertise in diabetes.

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 Research Selection Committee. 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 if they cannot attend in person.

In addition, members of the Committee may, from time to time, be invited to attend other meetings of the Foundation. Each member of the RSC is asked to serve for maximum period of three years but may be invited to serve a further period (not exceeding six years in total).

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

Work of the RSC

The Foundation makes one round of awards each year. The members of the RSC will be expected to review the applications for research fellowships and for research grants. Using their knowledge and expertise they are asked to form an independent opinion on the merits of supporting each project with reference to the goals and objectives of the Foundation.

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 fellowships are 500 words and for 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 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 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 applications that will be put to the Board of Trustees by the Chair of the RSC as recommended for funding.

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 the administrative team and the Chair of the committee if necessary.

Administrative support

Administrative support for the members of the RSC will be provided by the Foundation Administrator and Secretary.

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

All correspondence should be sent via the Foundation Administrator.

Expenses and fees for members of the RSC

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

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 the Foundation 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

The N&AHPSC will have a minimum of 3 and a maximum of 15, invited to join because of their specialist knowledge and expertise in diabetes.

Members will be appointed by the Board of Trustees.

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 Committee may, from time to time be invited to attend other meetings of the Foundation

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

Work of the N&AHPSC

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

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.

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 the administrative team and the chair of the Committee if necessary.

Administrative support

Administrative support for the work of the N&AHPSC will be provided by the Foundation Administrator and Secretary.

Records of the work of the N&AHPSC, including grant applications and minutes of meetings will be maintained by the Foundation Administrator.

All correspondence should be sent via the Foundation Administrator.

Expenses and fees for members of the N&AHPSC

Members of the N&AHPSC are not paid a fee, however, the Foundation 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 the Foundation Administrator. Receipts should be obtained for all expenses. A Copy of the expenses procedure is available from the Foundation Administrator.

External Reviewers

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

The Novo Nordisk UK Research Foundation is a UK registered charity (No 1056410). The Foundation sponsor 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.

The Foundation 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 because of their expertise and knowledge of diabetes.

The Foundation 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 the Foundation 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 the Foundation 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?

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 the Foundation.

The Foundation 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 Foundation considers the protection of your personal data and privacy a very important matter. We seek to adhere to all privacy laws and enforce clear policies on protecting personal information. The Foundation will hold information, submitted as part of an application, including CVs, on file for a maximum of 18 months after the applications have been awarded in that particular round of awards. The Foundation will continue to hold contact details of successful applicants beyond the 18 month deadline. Successful applicants will have their submission held on file for a maximum 18 months after the completion of their award. The date of completion is the date that the final report is submitted to the Foundation using the email address:

ukresearchfoundation@novonordisk.com . Information is not shared outside the Foundation except for full fellowship applications which are sent for external review. Paper documents are destroyed by commercial shredding. Computer files will be deleted. Applicants may request from the Foundation to view all information held about them by contacting the Foundation at ukresearchfoundation@novonordisk.com.

Trustees and Committee Members

The Foundation will hold contact details including email, work address and telephone numbers. The Foundation 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 the Foundation.

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

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

If you wish to have contact details removed please contact the Foundation.

Applicants

The Foundation will hold details of successful applications, including CVs where applicable for the duration of the award and for a maximum of 18 months after the award. Applicants details will be sent to Committee members and in the case of Fellowship applications also to external reviewers electronically. All recipients will be requested to delete electronic applications and any printed versions that they may have made. Unsuccessful applicants will have their applications destroyed within 18 months of the Trustee decisions on awards for that year. See also the information for applicants and refer to the Foundation website.

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 the Foundation which may conflict with his or her duty to act solely in the interests of the Foundation. This could occur for example if a committee member or a colleague of a committee member has applied to the Foundation 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 sponsor.

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

Members of the Board of Trustees and the committees of the Foundation are not excluded from applying to the Foundation for an award provided that these conflict of interest guidelines are followed.

Applications from the Chair of Trustees or the Chairs of the Committees are allowed. In this case the Chair must absent themselves from all discussions of that funding round not just for the discussion of their application. If this situation arises the chair must nominate another member to chair the meeting or that part of the meeting relating to the funding round.

Trustees and committee members must declare any conflicts of interest to their respective committees.

Trustees of the Foundation and committee members must absent themselves from any discussions in which there might be a conflict of interest by remaining silent during the discussion or by leaving the committee room for the full duration of the discussions.

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

Trustees of the Foundation 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 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 the Foundations money or assets
Harm to the Foundations work or beneficiaries
Harm to the Foundations reputation
Harm to the Foundation 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 sponsor 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 the Foundation should be treated with dignity and respect, and feel that they are in a safe and supportive environment. The Foundation 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 the Foundation or by volunteering their time to the Foundation. The Foundation has no employees, no premises and no direct contact with children or vulnerable adults and the risks of safeguarding issues arising within the Foundation 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 the Foundation

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 the Foundation 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 the Foundation then they should raise this concern with the either the Secretary of the Foundation or The Chairman of the Trustees.

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

The Foundation 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; in other countries, definitions may differ.)

Terms and conditions apply to Award Holders to tackle bullying and harassment

The Foundation expects 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:

- 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 the Foundation 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 the Foundation. 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 of the Foundation.

Trustees

Trustees should not suffer harm as a result of their participation in the activities of the Foundation. 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 the Foundation.

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

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

AMRC Best Practice Peer Review

The Foundation holds the Association of Medical Research Charities Best Practice in Healthcare Research Peer Review. The Foundation considers this award very important and recognises the need to maintain the highest standards in the granting of awards. These procedures outline the process adopted by the Foundation to ensure compliance.

The Foundation may amend the procedures, policies and administrative systems as necessary to comply with the requirements of this award.

Information for Applicants

Who can apply?

Fellowships

Eligibility to apply for Fellowships will be specified during the call for applications. Applicants for fellowship awards must be living and working in the UK. Research projects must be based in the UK.

For doctors, qualified means a medical qualification (such as MBBA, MBBS) and GMC registration.

For nursing or midwifery applicants qualified means a nursing or midwifery qualification (such as Bachelors degree) and NMC registration.

Health Care Professional is a person requiring a qualification or license to practice in the UK (such as dieticians, podiatrists and pharmacists)

Grant

The grants are open to all health care professions and other professions working in the health care arena (such as scientists, statisticians, engineers) living and working in the UK.

Research projects must be based in the UK

Fund

Applicants for a Fund award must be a qualified health care professional living and working in the UK. A qualified health care professional is a person requiring a qualification or license to practice in the UK (such as nurses, dieticians, podiatrists and pharmacists) except medically qualified professionals (who are not eligible to apply for this award).

Clinical projects must be based in the UK.

Where an applicant is applying for support to attend a meeting preference will be given to those people presenting an original piece of work or giving a talk or lecture.

Research Fellowships, Grant and Fund

The latest information can be found on the Foundation website.

Research Fellowships go through a two stage process - an initial preliminary application and a full application for shortlisted applicants. If successful at the preliminary stage applicants for Fellowships will be asked to submit a full application and will also be asked to present their proposal to the Research Selection Committee. Applications should have a named fellow at the point of submitting a full application.

Grant awards also go through a two stage process with an initial 250 word abstract application followed by a full application for shortlisted applicants.

Fund awards are intended to support education for Healthcare Professionals to attend courses or meetings and to support patient focused clinical projects.

Application Forms

Applications forms can be obtained from the Foundation Administrator
ukresearchfoundation@novonordisk.com

Deadlines

Deadlines for applications can be found on the Foundation web site
www.novonordiskfoundation.org.uk

Financial Rules

The Novo Nordisk UK Research Foundation is a registered charity.

Research Fellowships. The Foundation will meet the directly incurred costs of Research Fellowships. This comprises salary costs and superannuation.

Where the Foundation supports part time fellowships it will not meet the salary costs of time (for example clinical commitments) spent outside the research project.

The Trustees will determine each year how to allocate funds. The Foundation may fund full time fellowships for a maximum period of three or four years and part time fellowships for a maximum period of five years (but not more than would be equivalent to three years full time salary on a pro-rata basis). Four year Fellowships will be awarded when applicants wish to first complete a taught Masters degree. Total salary costs must be clearly stated for each year of funding along with all associated additional costs (for example superannuation). The available Fellowships will be published each year and the availability is not guaranteed.

The Foundation will, in addition, pay for associated costs of consumables required for the research fellow to complete their research up to a maximum of £8,000 per annum for three years. Support costs required must be clearly stated for each year of the Fellowship. Changes to the planned support costs must first be approved by the Foundation by requesting the change via the Foundation administrator.

The Foundation will meet the registration fees for a higher degree and these must be stated on the application.

Any funding from other sources required to complete the fellowship must be clearly stated on the application form.

The Foundation will consider funding Fellows to travel to meetings to present the findings of their research or to improve their understanding of diabetes. Travel should be requested on an ad hoc basis by contacting the Foundation and costs should not be included in the application.

In line with most other charity funders the Foundation will not fund indirect costs (such as infrastructure, buildings and equipment) or directly allocated costs (such as supervisor time).

The Foundation will not meet additional costs due to the apprenticeship levy (<https://www.gov.uk/government/publications/apprenticeship-levy-how-it-will-work>)

The Foundation may withhold payments until Fellowship annual reports are available

Grant awards are allocated to a piece of work defined in the application and the foundation will not consider indirect or directly allocated costs in relation to these awards. Typically these awards are made to investigate an area of interest within a larger project funded from elsewhere or to carry out a pilot project. These awards are available to health care professionals, scientists and others provided the application meets the objectives of the Foundation. The maximum award for a single grant is £12,000.

The Fund awards are allocated to a specific educational activity, travel or clinical project and the Foundation will not consider indirect or directly allocated costs in relation to these awards.

The Fund award is available to any health care professional (that is a profession requiring a qualification or license to practice such as nurses, dieticians, podiatrists and pharmacists) except medically qualified professionals.

The maximum award in each category is:

Clinical project: £5000

Course of study: £2000

Educational meeting or conference: £1000 (where an applicant is apply for support to attend an educational meeting or conference preference will be given to those people presenting an original piece of work or giving a talk or lecture).

Awards cannot be backdated or offered retrospectively. Applicants will be asked to state the state date of their course or meeting.

Financial rules applying to **All Awards:**

Any changes to the Awards must be approved by the Foundation. The Foundation administrator should be contacted in the first instance.

Awards cannot be transferred to other projects. Any part of an award that is not used must be returned to the Foundation.

Financial rules for jointly funded projects may vary and applicants for these awards should contact the Foundation for clarification

Ethics Committee approval should ideally be in place for projects supported by the Foundation before any award payments can be made. The Trustees may, however, decide to make awards pending Ethics Committee approval. Fellowships cannot extend beyond 3 years (5 years part time) to allow for ethics approval.

Excess Treatment Costs

If research funded by the Foundation takes place within the NHS any excess treatment costs have to be allocated to the correct payer. The Foundation is a member of AMRC and excess treatment Costs will therefore be met by the NHS. Attributing the Costs of Health and Social Care Research and Development guidelines (AcoRD) published by the Department of Health 4 May 2012 apply to awards made by the Foundation and award holders should seek advice from their local research office on how to ensure the costs are managed accordingly. Applicants reaching the full application stage may be required to complete a Schedule of Events Cost Attribution Tool

<https://www.nihr.ac.uk/funding-and-support/study-support-service/resources/excess-treatment-costs.htm>

Clinical Commitments

On call and clinical work during fellowships is accepted but not funded.

Success Rates

The Foundation publishes the number of applications received each year on the Foundation website.

Information for Award Holders.

It is the aim of the Foundation that the projects which it funds should deliver a successful outcome. The Foundation will endeavour to support all research fellows and award holders to a successful conclusion of their research project.

National Institute of Health Research (NIHR) Partnership Status

The Foundation has partnership status with the NIHR. This means that clinical research projects supported by the Foundation are automatically adopted and have access to the infrastructure of the NIHR Clinical Research Networks. All fellowship and grant award holders are encouraged to register their projects on the research portfolio of the NIHR Clinical Research Networks and to provide updates as required by the NIHR.

Progress Monitoring

Fellowships

To ensure satisfactory progress the Foundation will require the research fellows to give one presentation per year and to provide an annual progress report and plan. The progress report should contain milestones that are to be achieved and should report progress against these milestones. The Foundation will offer additional training and support where it can, in consultation with the research supervisor. Specific requirements can be discussed with the Foundation at any time and may be provided at the expense of the Foundation.

The Foundation reserves the right to with-hold payments where progress reports are not made available in a timely fashion or where progress is unsatisfactory and/or the research project is likely to fail.

Progress must be sent to ukresearchfoundation@novonordisk.com

Grants

A final report is required, sent to ukresearchfoundation@novonordisk.com

Fund

For clinical projects final reports are required and if the project lasts more than one year annual reports are required. For courses and meetings a report is required at the end of the course or module funded by the Foundation or the within 3 months after the meeting. Failure to submit a report may lead to any future applications being rejected. Reports must be sent to ukresearchfoundation@novonordisk.com

Publicity

The Foundation will reserve the right to use information about the awards of the Foundation in its materials and publicity. Wherever possible this will be done with the approval of the award holder or supervisor.

By accepting an award you agree to your name, image and award being published on the Foundation website and used in materials to promote the Foundation.

Publications

Holders of fellowships or research awards are encouraged to publish their work in peer reviewed journals, and as abstracts and as posters at relevant scientific and clinical meetings. The Foundation will not attempt to influence the content or substance of manuscripts but copies of all published work arising from Foundation supported projects should be sent to the Foundation for their records.

The Foundation recommends award holders to adopt the principles recommended by ORBIT (Outcome Reporting Bias in Trials project)* when reporting their research:

- All pre-specified primary and secondary outcomes should be fully reported

- Any changes to the pre-specified outcomes from the protocol should be explained in the final report
- The choice of outcomes to be included in the final report should not be based on their results

*Reporting of Clinical Trials: A Review of Research Funders Guidelines. K Dwan, C Gamble, P R Williamson, DG Altman. Trials 2008, 9:66
<http://www.trialsjournal.com/content/9/1/66>

All published material should acknowledge the support of the Foundation.

Medical and Scientific Meetings

Research fellows are encouraged to attend scientific and medical meetings relevant to their work and to submit their work for presentation. The Foundation may support the costs of attending such meetings. Research fellows should approach the Foundation Administrator in the first instance.

Regulatory Compliance

Award holders are expected to comply with all appropriate legislation and guidance in the conduct of their research, including but not limited to the Declaration of Helsinki, the Medicines for Human Use (Clinical Trials) Regulations 2004 (and subsequent amendments), the Tissue Act 2004 and the Research Governance Framework 2nd Edition. For further advice on regulatory compliance please contact the Foundation or the local Research and Development Office of the host organisation.

Research Involving Animals

The Foundation supports the AMRC policy for research involving animals. A link to this policy can be found on our website. Applicants will be asked to confirm they hold relevant licences for their research on animals.

Public Access

Where research projects funded by the foundation are randomised controlled trials the protocol and other data must be published on a publicly accessible website such as www.clinicaltrials.gov

Open Access

The Novo Nordisk UK Research Foundation supports the AMRC policy for open access to research based on the findings of the Finch Report(1). The Finch report proposes to shift the payment for publication from the reader to the author

The Foundation wants the research it funds to have the greatest possible impact in order to maximise both its reach and benefit to patients.

Recipients of awards may apply to the Foundation to provide funds to support the payment of article processing charges (APCs).

(1) Accessibility, sustainability, excellence: how to expand access to research publications. Research Information Network 2012.
<http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf>

Patient Data

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

Training

The Foundation encourages its research fellows to undertake relevant training and development activities. The Foundation can, in some circumstances, arrange training courses to support both the research, personal and career development of its Fellows..

In certain circumstances the Foundation 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 Foundation administrator and must be approved by the chairman/woman of the Board of Trustees.

Thesis

The Foundation requests that Research Fellows provide the Foundation with a copy of their final bound thesis. The Foundation will meet the additional cost of an extra copy. The Foundation will also place an electronic copy on it's website with permission from the Research Fellow

Foundation Annual Meeting

The Foundation holds one meeting per year where 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 the Foundation's sole sponsor, Novo Nordisk. The Foundation will reimburse expenses incurred to attend this meeting.

Presentations to the Foundation

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

Intellectual property and technology transfer

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

Other Information

The Foundation 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 the Foundation at any time with queries or questions or for advice and support.

**Appendix 1: Trustee Statement
Novo Nordisk UK Research Foundation (Updated July 2010)**

Novo Nordisk UK Research Foundation

Trustee Declaration – (name).....

I declare that:

I am age over 18.

I am not an un-discharged bankrupt.

I have not previously been removed from trusteeship by any courts or by the Charity Commission.

I am not under a disqualification order under The Company Directors Disqualifications' Act 1986.

I have not been convicted of any offence involving deception or dishonesty (unless the conviction is spent).

I am, in the light of the above, not disqualified by the Charities Act 1993 (section 72) from acting as a charity trustee.

I undertake to fulfil my responsibilities and duties as a Trustee of The Novo Nordisk UK Research Foundation in good faith and in accordance with the law and within The Novo Nordisk UK Research Foundation's objectives.

I do not have any interests in conflict with those of the Novo Nordisk UK Research Foundation (either in person or through family or business interests) except those which I have formally notified in a conflict of interest statement.

I will specifically notify any such interest at any meeting where trustees are required to make a decision which affects my personal interests, and I will absent myself entirely from any decision on the matter and not vote on it.

(name)

Date

Appendix 2: Trustee Contract Novo Nordisk UK Research Foundation (updated April 2010)

Trustee Contract

Trustee contract between and The Novo Nordisk UK Research Foundation.

1. You have been elected on to the Trustee Board from(insert date). You can serve for three years with an option for re-election for a further three years, after which you will have to step down from the Trustee Board.
2. Should you at any time wish to resign from the Trustee Board you should do so by writing to the Chairman of the Trustee Board via the Novo Nordisk UK Research Foundation administrator. Reasons should be given if they relate to the Novo Nordisk UK Research Foundation and it's activities.
3. You 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. Your individual responsibilities are to:
 - a. Attend and participate in Trustee Board meetings and (if a member) Advisory Board meetings. If you are unable to attend you should give your apologies to the Chairman via the Novo Nordisk UK Research Foundation administrator.
 - b. Understand and be fully committed to the aims and objectives of the Foundation.
 - 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 the Foundation while serving on the Board.
5. The Foundation 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 the Foundation.
6. Your joint responsibilities with other trustees are to:
 - a. Consider and approve if appropriate the funding of awards by the Foundation as recommended by the Research Selection Committee and the Nurses and Allied Health Care Professionals Committee.
 - b. Consider and approve if appropriate the annual report.
 - c. Agree the plans, policies and procedures for the Foundation.
 - d. Be satisfied that within the constraints of the organisation the Foundation is meeting its aims and objectives.

Trustees Declaration

I have read and understood the Trustees contract.

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

I undertake to familiarise myself with the procedures and policies of the Foundation

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.....
(name)

Dated.....