

GRANT CONDITIONS

These Grant Conditions, together with the Award Letter set out the terms and conditions on which the Grant is made by Coeliac UK to the Institution.

The Institution must ensure that the Grant Holders and others supported by the Grant are made aware of and comply with these Grant Conditions and the Award Letter.

Administration of the Grant will be managed by Coeliac UK, the main contact is Keira Shepherd: keira.shepherd@coeliac.org.uk

1 Purpose of research

- 1.1 Coeliac UK invests in research and services to make life better for people with coeliac disease and/or gluten related autoimmune conditions. We support and share research that will positively change health outcomes for our beneficiaries; improve diagnosis, improve management and care and understand cause/effects - and one day overcoming coeliac disease.

2 Finance

- 2.1 Grant applications must keep within the limits specified in the research call. If the total project is approved in principle, the initial sum awarded will relate to the first year only. Funding for the second and third years of the project will usually be subject to receipt from the organisation/institution receiving the grant (the Grant Holder) of satisfactory annual progress reports (see more detail below).
- 2.2 Provided that the salary of the Principal Investigator (PI) is already assured, grants may cover:
 - salaries of part-time or full-time researchers
 - PhD studentships
 - laboratory consumable materials
 - equipment
 - travel
 - contribution to coeliac disease meetings/conferences satellite meetings of major symposia in disciplines associated with coeliac disease.
 - grants may also be awarded for fellowships.
- 2.3 When travel is an integral part of the project, it should be budgeted for like any other research cost. The cost of attending scientific meetings can also be included in a grant application. A written report of any scientific conference should be submitted to Coeliac UK within one month of the researcher's return and any submitted abstracts must be shared in advance of the meeting.
- 2.4 It is assumed that ordinary equipment, facilities and materials are available in the institution which the work is undertaken. Under no circumstances will Coeliac UK meet administrative or other overheads of the Grant Holder (or any other organisation), and these should not feature in the application.
- 2.5 Coeliac UK will not provide funds to pay the UK Apprenticeship Levy.
- 2.6 Coeliac UK will not award a grant if the Grant Holder already holds or accepts a

grant from another source if this would lead to double funding of the same project. Where the grant holder already holds or accepts a grant from another source, they must demonstrate how this funding covers something separate to what the grant awarded by Coeliac UK is funding within the project.

- 2.7 Coeliac UK will not award a grant if the Grant Holder already holds or accepts a grant from another source that will lead to shared funding unless Coeliac UK and the other funder each provide written agreement. If the Grant Holder wishes to apply for funding elsewhere, Coeliac UK must be notified in advance.
- 2.8 Should the Principal Investigator, a co-applicant or individual using the grant (such as a researcher/student funded by the grant) move to another organisation during the tenure of the grant the grant may not move with him or her unless all parties concerned, including Coeliac UK, agree.
- 2.9 Payment for salaries and recurrent expenses will be made quarterly in arrears against invoice. Invoices should relate to the expenses incurred in the following quarter. The invoice should state:
 - the name and salary costs of the employed researcher(s)
 - the expenditure on consumables
 - the expenditure on equipment.
- 2.10 The following conditions apply to claims:
 - Coeliac UK will not reimburse any expenditure which is not claimed within six months of the end of the grant period
- 2.11 Nationally awarded salary increases will normally be allowed if specified in the grant application. If changes to salaries occur after Coeliac UK has awarded the grant then it may be possible to re-allocate resources from other parts of the project (e.g.: consumables) provided it is within the overall budget and agreement for this change has been received from Coeliac UK
- 2.12 Any reallocation of funds from one expense category to another, as detailed in the grant application (or the award letter if it differs) requires written permission from Coeliac UK
- 2.13 Satisfactory annual reports, showing progress against key performance indicators (KPIs) and/or milestones (see further detail below) must be received otherwise Coeliac UK reserves the right to withhold payments.
- 2.14 The final payment for the grant period will be withheld until a satisfactory final report is received which must be received within three months of the grant finishing.
- 2.15 The Grant Holder accepts full responsibility for the management, monitoring and control of all the research work funded as the result of this grant and all those staff employed in or involved in any research funded as the result of this grant. This includes full responsibility for meeting the costs of any maternity or paternity leave, any sickness pay, any redundancy and any awards made by an employment tribunal or other court.
- 2.16 As resources of Coeliac UK are limited, the Principal Investigator must use reasonable endeavours to attract other funding to coeliac disease research within the Grant Holder organisation. The Principal Investigator may be required to

support Coeliac UK in raising funds for research by providing information, including that needed to meet the conditions of third party grant makers.

3 Research practice

- 3.1 The Institution must have in place formal written procedures for the handling of allegations of research misconduct, which would meet generally accepted standards.
- 3.2 The Institution must ensure that, before the research commences and during the full Grant period, all the necessary legal and regulatory requirements in order to conduct the research are met, and all the necessary licences and approvals have been obtained. Where any element of the research funded by the Grant is to be conducted outside the UK, such legal and regulatory requirements, and such licences and approvals should include those applicable in the UK in addition to those in the host country.
- 3.3 The Institution must ensure that research involving the use of animals complies at all times with the relevant laws and regulation in the host country. Any element of research funded by the Grant that is conducted outside the United Kingdom must, as a minimum standard, be conducted in accordance with the principles of UK legislation and must address the 3Rs (replacement, refinement, reduction of animals in research): <http://www.nc3rs.org.uk/the-3rs>
- 3.4 The Institution must ensure that it has in place formal written procedures for managing the process for obtaining any necessary or appropriate ethical approval for this Grant and must accept full responsibility for ensuring that any such ethical approval is in place at all relevant times during the Grant.

4 Reporting

- 4.1 For projects lasting more than 12 months, researchers are required to submit satisfactory progress reports linked to KPIs at defined intervals throughout the project, as agreed between Coeliac UK and the PI upon acceptance of the grant. Coeliac UK has the right to withhold payments if this requirement is not met.
- 4.2 Most projects will require an annual two page project report containing details of the work done in the previous year against the KPIs defined at the start of the project including any challenges, and mitigating steps. This report must be submitted within one month after the completed 12 month period.
- 4.3 At the end of each project, a full 'end of project' report must be submitted to Coeliac UK for review by the Research Awards Panel. The report will follow a template provided by Coeliac UK and the Panel will determine if the report is satisfactory based on the details provided and outcomes of the work. Final payment can only be made once the Panel signs off on the 'end of project' report. The 'end of project' report must be submitted within three months of termination.

- 4.4 It is the duty of the PI to report any issues or update Coeliac UK, in a timely manner, including outside of the defined procedure.

5 Patient and public involvement, engagement (PPIE) and impact

- 5.1 Researchers must consider Coeliac UK's PPIE policy, which asks that research involves those that are affected by coeliac disease at every stage of the research process. Where relevant, grant applications should outline when and how patients and the public will be involved in the research project.
- 5.2 Applicants must also describe how they will engage with those affected by the research to effectively disseminate findings and how they will determine the impact of the research.

6 Audit

- 6.1 The control of expenditure to be funded under the Grant must be governed by the normal standards and procedures of the Institution and must be covered by the formal audit arrangements that exist in the Institution.
- 6.2 Coeliac UK reserves the right to ask for confirmation from the external auditors of the Institution that the external auditors have signed their opinion on the annual accounts of the Institution without qualification and the management letter from the auditors raises no matters that did or could significantly affect the administration of grants awarded by Coeliac UK. If the auditors have raised any such matters in their management letter, Coeliac UK may require the Institution to provide it with relevant extracts from the letter.
- 6.3 The Institution must provide access to accounting and other records relating to the Grant for auditors from or appointed by Coeliac UK (at Coeliac UK's expense), if requested. Such access must include the right to verify physically any equipment acquired under the Grant. Where elements of expenditure under the Grant have been subcontracted, the Institution should ensure that the auditor's access extends to the accounts and records of any such subcontractor.
- 6.4 Coeliac UK reserves the right, at its discretion and expense, to commission an audit of the Grant and/or the systems used by the Institution to administer Coeliac UK grants.
- 6.5 The Institution should maintain a separate accounting cost code specific to the Grant, and all costs and income properly relating to the Grant should be accounted for through that cost code. The Institution should ensure that appropriate records are kept to support the entries made on the cost code.

7 Administration

- 7.1 The Principal Investigator will send Coeliac UK an electronic copy of the application with electronic (handwritten) signatures. Coeliac UK reserves the right to retain copies of any grant applications for evaluation and monitoring purposes.
- 7.2 The Institution must formally accept the Grant by signing and returning the acceptance form provided with the Award Letter. The Grant may not be activated, nor Grant monies claimed, until Coeliac UK receives the acceptance form.

- 7.3 The grant will start on the date of the grant letter notifying its award or the date when the project is to start as set out in the proposal, whichever is the later. Coeliac UK may agree an earlier or later date on request by the Grant Holder, but if the project does not start within six months of the grant date, funding may be withdrawn.
- 7.4 The Institution must ensure that sufficient resources are provided to support the activities described in the Award Letter.
- 7.5 Coeliac UK does not act as an employer with respect to the Grant, and therefore in all cases where support is provided on the Grant for the employment of staff, the Institution undertakes to issue a contract of employment which is in compliance with relevant laws and regulations.
- 7.6 The Principal Investigator will send Coeliac UK the curriculum vitae of any funded researcher who is to assist in the project once his or her identity is known together with the date when s/he takes up the post.
- 7.7 The Institution must ensure that Coeliac UK funded posts are filled within the three months following the scheduled start date of the post.
- 7.8 Payments will normally be made quarterly in arrears on the basis of a Payment Profile. Where other payment arrangements apply, these will be detailed in the Award Letter. The Institution shall have the right to adjust a Payment Profile subject to any restrictions set by Coeliac UK and will be expected to do so where any variance between payments to be made under a Payment Profile and anticipated expenditure for the period to which those payments relate becomes significant.
- 7.9 An invoice from the Institution's department administering the Grant must be accompanied by a brief summary (one page A4 maximum) of the work completed during the quarter. Payment will not be made until this is received.
- 7.10 Claims for equipment must be supported by a supplier's invoice. VAT charges must be excluded from equipment and consumable costs. Equipment must be labelled as donated by Coeliac UK and must not be removed or modified without permission.
- 7.11 The final claim should be submitted within six months of the end date of the Grant.
- 7.12 For Grants funding work between 12 and 24 months duration a satisfactory progress report is required in month 12. For Grants funding work between 25 and 36 months duration a satisfactory progress report is required in the months 12 and 24. Coeliac UK will confirm the report is accepted before further work under the Grant may proceed.

8 Equipment

- 8.1 The Institution must ensure that it has in place clearly defined procedures for the procurement of equipment and that equipment provided by the Grant is acquired using these procedures.
- 8.2 The Institution must ensure that equipment purchased with Coeliac UK funds is appropriately insured and maintained throughout its useful life.

- 8.3 Equipment funded by the Grant is awarded to the Institution Department specifically for the Grant Holder's research only. Written permission from Coeliac UK must be obtained to use the equipment for any other purpose.

9 Publication, publicity and reporting

- 9.1 The findings from the research funded by the Grant should be made freely available to the broader scientific community as soon as possible. The publication or release of such findings may be reasonably delayed to enable all protection of any intellectual property. The identification, protection, management and exploitation of intellectual property is subject to paragraph 11 on 'Intellectual property and commercial activities'.
- 9.2 Coeliac UK expects authors of research papers to maximise the opportunities to make their results available for free via open access. This is extended to include scholarly monographs and book chapters authored or co-authored by Coeliac UK grant holders that arise as part of their grant funded research.
- 9.3 Coeliac UK's contributions should be acknowledged in ALL publications.
- 9.4 Coeliac UK must be provided with a copy of any manuscript, associated with the Grant, that has been submitted for publication and a copy of the final publication. Coeliac UK must also be provided in advance with a copy of any abstracts and/or presentations intended for public events/conferences.
- 9.5 All research papers that have been accepted for publication in a peer-reviewed journal, and are supported in whole or in part by the Grant, must be made available from UK PubMed Central as soon as possible, and in any event within six months of publication.
- 9.6 Publicity plans must be agreed in advance between Coeliac UK and other parties involved.
- 9.7 The Institution must ensure that it obtains the prior approval of Coeliac UK on any press statements associated with the Grant which may be issued.
- 9.8 Coeliac UK recognises that journals normally publish only positive findings, and that negative findings may nevertheless be of value. Coeliac UK therefore reserves the right to publish summaries of negative as well as positive findings on its website or elsewhere.
- 9.9 Coeliac UK reserves the right to periodically request abstracts from the Principal Investigator, which describe their latest published research, for Coeliac UK to include in its literature and on its website.
- 9.10 The Grant Holders must submit a final report on the project funded by the Grant within three months of the end of the Grant period, including a lay summary identifying benefits of the research to the coeliac community. The final 10% of funding for the Grant will be withheld until a satisfactory report is submitted.

- 9.11 Coeliac UK must be kept informed of any developments which might be of interest, whether within or outside the project.
- 9.12 Grant holders must accept reasonable requests to cooperate in informing Coeliac UK Members about progress and outcomes.

10 Data sharing

- 10.1 Grant holders must ensure data arising from Coeliac UK funded research is properly curated throughout its life cycle and released with the appropriate high quality metadata.
- 10.2 Please refer to the Coeliac UK Intellectual Property and Data Sharing policy: www.coeliac.org.uk/datasharing

11 Intellectual property and commercial activities

- 11.1 Please refer to the Coeliac UK Intellectual Property and Data Sharing policy: www.coeliac.org.uk/datasharing
- 11.2 The institution should deal with the Chief Executive at Coeliac UK in all matters relating to paragraph 11.

12 Limitation of liability

- 12.1 Coeliac UK accepts no responsibility, financial or otherwise, for expenditure (or liabilities arising out of such expenditure) or liabilities arising out of the work funded by the Grant. Coeliac UK will not indemnify the Institution, any Grant Holder or any other person working on the Grant (including employees, students, visiting fellows and subcontractors) against any claims for compensation or against any other claims (whether under any statute or regulation or at common law) for which the Institution may be liable as an employer or otherwise or for which any such person may be liable.

13 Variation and termination

- 13.1 Coeliac UK reserves the right to amend these Grant Conditions, any terms and conditions in the Award Letter and the Policies and Positions for Grants. Any change to the Grant Conditions or the Policies and Positions for Grants will be notified on Coeliac UK's website.
- 13.2 The Institution (or the Grant Holders if appropriate) must inform Coeliac UK without delay of any change to the status of the Institution or the Grant Holders which might affect their ability to comply with these Grant Conditions.
- 13.3 The Grant Holders must inform Coeliac UK as soon as practicable of any significant divergence from the original aims and directions of the project that is being funded by the Grant.
- 13.4 Coeliac UK and the Grant Holder may terminate the Grant with a three months' notice period.

- 13.5 In the event of the project being discontinued by the Grant Holder, notification must be sent to Coeliac UK, together with a report on the work carried out to date, setting out reasons for the termination. In this event, a final claim is to be submitted as soon as possible.

14 Confidentiality

- 14.1 The parties to these terms and conditions undertake and agree that they will not, without the prior written consent of the other, use or disclose information concerning the other's businesses, scientific or other activities, practices, intellectual property rights, finances, strategic plans, ideas, designs and/or innovations howsoever obtained and in whatsoever form the information shall take, to any third party unless such disclosure:
- is required by law, providing that the disclosing party uses all reasonable endeavours to notify, consult and cooperate with the other party about the disclosure of confidential information, except where forbidden by law; or
 - takes place in the course of carrying out their obligations under these terms and conditions; or
 - is the disclosure of such information that is otherwise lawfully available to the third party to whom it is disclosed.
- 14.2 If either party uses the services of other persons or organisations to undertake part of the project, advise on the project or manage the project, or otherwise in relation to the grant, that party shall promptly ensure that such persons or organisations provide their written consent to abide by the same conditions of confidentiality as are set out in this clause 14.

15 Entire agreement

- 15.1 These terms and conditions together with the award letter are the entire agreement between the parties in respect of its subject-matter, and supersede and invalidate all other commitments, representations and warranties relating to the subject matter, which may have been made by the parties either orally or in writing prior to the date of the grant award letter.

16 Governing law and jurisdiction

- 16.1 These Grant Conditions shall be governed by and construed in accordance with English law. The Institution and the Grant Holders irrevocably submit to the jurisdiction of the English courts to settle any disputes in connection with these Grant Conditions.

17 Contracts (Rights of Third Parties) Act 1999

- 17.1 These terms and conditions do not and are not intended to confer any contractual benefit on any person pursuant to the terms of the Contracts (Rights of Third Parties) Act 1999.

18 Definitions

Award Letter: the letter from Coeliac UK to the principal Grant Holder specifying the amount of the grant that has been awarded.

Coeliac UK: Coeliac UK registered charity in England & Wales (1048167) and Scotland

(SC039804). Registered as a company limited by guarantee in England & Wales (3068044). Registered office: Artisan, Hillbottom Road, High Wycombe, Bucks, HP12 4HJ.

Coeliac UK funded IP: intellectual property that is, or has been, created, exemplified or developed (whether in whole or in part) from the research that Coeliac UK funds. Unless specified otherwise in the Award Letter, 'Coeliac UK-funded IP' does not include the copyright in artistic works, books, articles, scientific papers, lectures or audio or visual aids to the giving of lectures or teaching.

Grant: the grant described in the Award Letter.

Grant Holder and Grant Holders: the principal applicant and any co-applicant, as specified in the Award Letter.

Institution: the university, institution or other body at which some or all the research funded by the Grant will be carried out or which employs the Principal Applicant.

Intellectual property (IP): includes all inventions, discoveries, materials, technologies, products, data, algorithms, software, patents, databases, copyright and know-how.