

Manual for the Management of Research

Research & Training Grants Rules & Conditions

*The Healing Foundation
at The Royal College of Surgeons of England
35-43 Lincoln's Inn Fields
London WC2A 3PE*

*Telephone 020 7869 6920
Fax 020 7869 6920
E-mail annab@thehealingfoundation.org*

*Registered Charity No. 1078666
Registered Company No. 3831398*

THE HEALING FOUNDATION

HEALING FOUNDATION/BAAPS RESEARCH GRANT RULES & CONDITIONS

DEFINITIONS AND ABBREVIATIONS

The following definitions and abbreviations are used in the Healing Foundation's Research & Training Grants – Rules and Conditions.

“Foundation”	The Healing Foundation
“Board”	The Healing Foundation's Board of Trustees
“Council”	The Foundation's Research Council
“Regulations”	The Foundation's current rules and conditions.
“Grant”	The award made by the Foundation.
“Host Institution”	The University, college or hospital or other recognised research centre which employs the Applicant(s).
“Applicant”	The individual researcher(s) applying for the Grant.
“Supervisor”	The senior supervisor so appointed by a recognised research or training body as approved by the Foundation.
“Grant Holder”	The Host Institution.

INTRODUCTION

1 The Healing Foundation is a UK fundraising charity championing the cause of people living with disfigurement and visible loss of function by funding research into pioneering surgical and psychological healing techniques. The Foundation aims to raise awareness through research and provision of information about the cause and sources of support and contribute to funding the training of health workers in the clinical and psychosocial aspects of plastic, reconstructive and aesthetic surgery.

2 The following rules and conditions are laid down for the administration of grants awarded by the Foundation.

RULES AND CONDITIONS

ACCEPTANCE OF A GRANT

3 Before a Grant may be activated, both the Applicant, the Supervisor and the Host Institution, who will be the Grant Holder, must accept and agree to abide by the regulations. This will be confirmed by an exchange of letters and in the case of both the Host Institution and the Foundation, the signatories must have the authority to commit their organisations to such an agreement. A Grant will only be made available to Host Institutions and the Grant Holder is responsible for the overall supervision of the research to be funded both in financial and management terms, as well as for scientific/clinical professional matters.

4 Acceptance of the Grant will be deemed to be a declaration by the applicant(s) named on the application form that all other applications to grant-giving bodies for the project have been withdrawn. The Grant Holder must notify the Foundation if any further support is provided during the term of the Grant. However, in the case where more than one grant is required to fund the proposed project or where a partnership is envisaged (see para 11) the matter should be raised with the Healing Foundation.

GRANT TAKE –UP

5 The Grant Holder must inform the Foundation of the starting date of the work for which the support has been provided. This should normally be within six months of the date of the award of the Grant. If the Grant is not taken up within this period, the Foundation should be advised of the reason. The Foundation reserves the right, in these circumstances to rescind the Grant and invite the Applicant to re-apply.

6 The Grant Holder must inform the Foundation immediately of any interruption in the research programme so that payments may be held in abeyance. If a lapse of more than six months occurs, the Foundation reserves the right to rescind the Grant and invite the Applicant to re-apply.

7 If a lapse of one year occurs from the date of the award of the Grant, or from the date of the Grant being held in abeyance, the Grant will be rescinded automatically and a new application will be required.

LOCATION

8 Research Grants awarded by the Foundation will normally be specifically for research conducted in the UK and the Republic of Ireland.

FUNDING FOR UNIVERSITY RESEARCH

9 The Foundation will normally pay only identifiable direct costs of research in universities.

PERIOD OF SUPPORT

10 The Foundation will normally restrict support for a particular project up to a maximum of three years, with the agreed period set out in the award of the Grant. The Foundation must be informed should the work stop before the end of the period set for the Grant.

GRANTS MADE IN PARTNERSHIP WITH OTHER FUNDING INSTITUTIONS

11 The Foundation will seek to develop partnerships where possible in funding major projects. This will require a separate agreement with the partner; however, where possible the Foundation will seek to enshrine these conditions and regulations in the partnership agreement.

EMPLOYMENT OF STAFF

12 The Foundation does not act as an employer other than for its own staff and, therefore, in all cases where a Grant includes provision for employed staff, the Host Institution undertakes to issue a contract of employment in accordance with current legislation. The Foundation will not be responsible for any legal or other claims, nor will it indemnify the Host Institution against any claim for compensation or against any other claims for which the Host Institution is liable as an employer.

13 The Host Institution must accept full responsibility for the management, monitoring and control of all research work funded and all staff employed as a result of the Grant.

14 Any advertisement for research personnel should acknowledge the Foundation (and donor sponsor if applicable) as a source of funding for the project in the manner laid down in the "Publications and Publicity" (paras 38-42 below).

15 The tenure of appointment of staff recruited for work under a Grant must be confined strictly to the period of the Grant unless the Host Institution wishes to retain the staff beyond this period for its own purpose and at its own expense.

16 Unless stipulated specifically in the application and acknowledged in the award of the Grant, the salaries must be guaranteed for the duration of the Grant.

17 The researcher in a project funded by the Foundation, where full salaries are paid, should be known as the Healing Foundation/BAAPS Research Fellow. Consideration will also be given to meeting the requirements of the donor in this respect.

FACILITIES

18 The Host Institution must provide suitable office and/or laboratory accommodation necessary for the conduct of the planned research.

19 The facilities must comply with all statutory health and safety requirements and all aspects of the accommodation (including without limitation insurance) should be the responsibility of the Host Institution.

20 The Host Institution will use its best endeavours to ensure that any changes to the accommodation are restricted to the minimum and ensure that alternative accommodation is provided which is at least equal to the standard of the previous facilities provided.

EQUIPMENT

21 Grant monies are available for the purchase of equipment solely for use in the Applicant's research funded by the Grant and not for general service use. The Host Institution is responsible for its security, maintenance, repair and insurance. The equipment will normally be left with the Host Institution at the end of the research period. However, the Foundation expects such equipment to be identified as a gift from the Healing Foundation.

FINANCIAL ARRANGEMENTS

22 Claims for reimbursement of salary and research costs, covered by the Grant, should normally be submitted quarterly, in arrears, by the Host Institution, stating the Foundation's Grant Reference Number. A breakdown of costs must be provided in line with those in the "Grant Application Form". Claims for reimbursement of equipment should only be made once the equipment has been installed and is in good working order.

23 The Host Institution is responsible for the cost effective procurement of equipment and materials included in the Grant awarded by the Foundation.

24 Final claims must be submitted, together with a statement of account covering the entire Grant, within three months of the end date of the period covered by the Grant. Funds not used at the end of the Grant are the property of the Foundation to be reallocated.

25 The Foundation's Grants will not cover requests for increases in funding above those requested in the Grant application, except in meeting nationally agreed annual clinical and scientific grade salary awards, without the submission of a new separate application.

LIMITATIONS OF THE FOUNDATION'S LIABILITY

26 The Foundation accepts no responsibility, financially or otherwise, for the expenditure (or liabilities arising out of such expenditure) or liabilities arising out of work funded by the Foundation. The control of expenditure under a Grant must be governed by the normal standards and governance procedures of the Host Institution and must be covered by the audit arrangements that exist in the Host Institution.

SCIENTIFIC FRAUD

27 The Foundation considers that as a matter of policy it will seek to adhere to the Wellcome Trust guidelines about fraud in research. However, since the Host Institution is responsible for the supervision and management of research funded by the Foundation, they will be expected to acknowledge this requirement in monitoring research projects and, in the rare event of scientific fraud occurring, it is their duty to investigate the matter. If a case of scientific fraud is suspected during the course of the research, then the Foundation should be notified and kept

informed of further developments. Depending on the outcome of the investigation the Grant may be rescinded at the discretion of the Foundation.

PATENTS AND COMMERCIAL ACTIVITIES

28 The Foundation expects to receive appropriate recognition, including pecuniary advantage, for its contribution to specific research projects. Any monies received by the Foundation will be applied to its charitable purposes.

29 In this regard, the award of a Grant is subject to the Host Institution's acceptance that the Foundation will receive a fair and equitable return following successful exploitation of any Foundation-sponsored research. The Foundation expects that where patents are relevant, the Host Institution will be responsible for the registration and protection of patent licenses.

30 If it is not possible to reach agreement between the Host Institution, the Foundation or any other funder in partnership with the Foundation, the matter will be referred to the AMRC Scientific Advisory Committee for arbitration or resolution.

HUMAN STUDIES

31 Research involving human subjects, including volunteers and patients, must fulfill all relevant regulations and legislation, including those relating to confidentiality of medical records. Written approval from the relevant Ethical Committee(s) must be obtained before the approval of a Grant can be made, however, it need not be forwarded with the Grant Application.

USE OF ANIMALS IN RESEARCH

32 The Foundation will only support research involving animals if the results cannot be obtained by any other means, and if the proposed work, the premises and any person carrying out the procedures have received all relevant Home Office and Ethical Committee approvals. These must be obtained before the approval of a Grant can be made, however, they need not be forwarded with the Grant Application.

STEM CELL RESEARCH

33 The Foundation supports the position statement of the AMRC (Association of Medical Research Charities) on Human Embryo and Stem Cell Research. This states that there is potential in the therapeutic treatment of disease through stem cell research. It supports the provision of a strict and rigorous regulatory framework in which medical researchers can carry out their work under the governance of the Human Fertilisation and Embryology Authority (HFEA), and the Human Fertilisation and Embryology Act 1990. The Foundation supports the continued investigation of adult stem cells in parallel with embryonic stem cells but it takes very seriously the ethical issues involved and believes it is important that there is continuing open and informed public debate about this area of research.

TOBACCO INDUSTRY FUNDING

34 In view of the danger to health caused by tobacco, the Foundation will not support research by individuals applying for, holding or employed under a grant from the tobacco industry. The Grant Holder must notify the Foundation immediately if any individual involved in the research receives funds from the tobacco industry during the tenure of the Grant.

35 It also follows that the Foundation will not accept funds from the tobacco industry.

REPORTS AND FINAL PAYMENTS

36 It is a condition of accepting a Grant that the Foundation receives copies of research plans and appropriate interim reports. Specifically, a scientific and lay report should be submitted on the annual anniversary of the start date of the Grant using the Foundation's "Annual Report Form".

37 A Final Report should be submitted using the Foundation's "Final Report Form." This report must be submitted within three months of the end of the Foundation's financial support. The Final Report will be peer reviewed both externally by independent review, and internally, through the Research Council of the Foundation. Peer Review feedback will be provided to the researcher(s). A resubmission may be recommended if the report is not deemed satisfactory.

38 The Foundation has the right to withhold the final quarterly payment of a Grant, and to refuse to consider further grant applications by the researchers, if a Final Report has not been received normally within six months of the end of the Foundation's support. The final payment will not be made until the report is received and deemed satisfactory.

PUBLICATIONS AND PUBLICITY

39 The Foundation's ability to fund research and training is totally dependent upon continued support from voluntary donations. It is, therefore, vital to maintain a high fundraising profile and, accordingly, every effort should be made to maximize potential publicity through research funded by the Foundation.

40 The contribution of the Foundation and of any donor/sponsor(s) named in the Grant should be suitably acknowledged in all publications, presentations and other opportunities, unless the donor/sponsor has indicated a desire to retain their anonymity. The Foundation requests that acknowledgements include the words **"This work is supported by the Healing Foundation – Registered Charity No 1078666 (and the sponsor if applicable)."**

41 The Foundation should be informed, in advance, of any publications based wholly or partly upon research it has helped to fund. This includes papers accepted for publication after the grant period has terminated. In this regard it is requested that three copies of all research papers be forwarded to the Foundation upon publication, including a description in layman's terms. The Foundation will look to the Grant Holder to assist in co-operating with the Foundation so that, when appropriate, a press release can be prepared and held in abeyance until the date of publication.

42 The Foundation will look to the Grant Holders and all staff employed on research funded by the Foundation to provide reasonable help to promote the work of the Foundation.

43 The Foundation reserves the right to produce lists of institutions and individuals it has supported. It also expects to be permitted to use publications and progress reports of research projects for publicity purposes and would be grateful for the support of researchers at appropriate fundraising events.

PRESENTATION

44 The Foundation would expect the Grant Holder to present the progress of his/her research, if requested, at a mutually convenient time. This may be to monitor the progress of research, to keep donor/sponsor(s) up to date with work they are supporting or for publicity purposes. Appropriate travel and subsistence expenses would be paid at the Foundation's current authorised rates.

SITE INSPECTIONS

45 Site inspections may take place as part of the evaluation of research programmes funded by the Foundation. Accordingly, the Foundation reserves the right to inspect a site on provision of reasonable notice. However, this does not in any way diminish the responsibility for the Grant Holder to monitor the research project funded by the Healing Foundation.

TRANSFER OF A GRANT

46 Grants are not transferable to another person. However, if the Grant Holder wishes to transfer to another Host Institution within the UK or Republic of Ireland, he/she must obtain approval from the Healing Foundation for such a transfer. This should be acceptable as long as adequate facilities are available at the new Host Institution and the move has the approval of the new Host Institution and Head of Department, and they undertake to comply with the rules of the Foundation. It is expected that any equipment purchased under the Grant will be transferred at the expense of the new Host Institution.

ALTERATIONS

47 No alterations may be made to the terms and conditions under which a Grant has been awarded without prior approval of the Healing Foundation.

Note

The rules and conditions will be developed in the light of further experience.