



Grants for Research and Innovation: Terms and Conditions of Award 2008

The following are the Foundation's standard grant conditions for grants for research and innovation. These should be read in conjunction with any written offer of a grant from the Foundation. BEFORE applying for a grant you should check that these terms are acceptable to you and to the organisation that will be administering the grant. In applying for a Nuffield Foundation grant you are deemed to have accepted the following terms and conditions.

These conditions are intended to ensure: first, that grants are spent for the purpose for which they were requested; second, that the Foundation is informed promptly of any significant changes in the project being supported and permission is sought where necessary; and third that the Foundation receives a proper account of the outcomes of the project.

1. Grants must be used solely for the purposes set out in the application made to the Foundation; and subject to any further modifications required by the Foundation .
2. The grant holder will be responsible for the conduct of the work in accordance with normal standards of research practice. The host organisation is responsible for the employment of any staff associated with the grant and for their terms and conditions of employment, for providing appropriate facilities for the work, and for the financial management of the grant.
3. The host organisation must ensure that all necessary ethical committee approvals, agreements about access, animal licences and requirements of regulatory authorities and other local governance frameworks are in place before the work begins and are maintained for the duration of the grant.
4. Any financial support of the project obtained from other sources must be made known to the Foundation as soon as possible.
5. The Foundation reserves the right to withhold funding or terminate an award at its sole discretion if the grant holder or staff funded by the grant are in breach of any of the conditions of award or become unfit or unable to pursue the work funded by the grant.

Changes to the project

6. The Foundation should be informed immediately if the grant holder(s) intend(s) to move to another institution during the course of the grant or if there is any change in the personnel working on a project who are specified in the application. Decisions about the transfer of the award rest with the Foundation. If the decision is that the grant may be transferred, the grant holder must arrange for the original institution to send a closing financial statement to the Foundation, and for the new institution to provide a statement agreeing to the Foundation's prevailing conditions of award and to administer the remaining grant. Only then will the Foundation make a new formal offer of award to the new institution for the balance remaining in the budget. This new award may be subject to different conditions to the original award.

7. The Foundation's agreement must be sought in advance before any research worker supported from a grant is registered for a higher degree or other qualification. The Foundation will not normally pay for staff to be appointed at a higher level than that approved by Trustees. Staff may be appointed at lower levels, in which case the Foundation reserves the right to decide that the balance will be retained by the Foundation.
8. The permission of the Foundation must be sought in advance where significant changes are necessary to the work that will be carried out, whether or not these are judged to be advantageous. A significant change is one that may materially alter the outcomes of the work from those suggested in the application. The Foundation reserves the right to judge if any project would be so compromised by the changes that the grant should be stopped.

Budgets and financial monitoring

9. Within the limits of the total budget, the spending under different heads must conform broadly to the original estimates in the application approved by the Trustees. If grant holders wish to make any substantial variation of expenditure (ie in excess of 20% of non staff expenditure) between heads of the budget set out in the application, they must seek the Foundation's permission before doing so. Increases or reductions in staff headcount must be specifically approved.
10. The Foundation will honour nationally or regionally agreed salary increases. Grant holders can notify the Foundation of the additional sum required once this is known.
11. Equipment is defined as assets with a value in excess of £5,000. Equipment funded by a grant is donated to the host institution for the use of the project funded by the grant. The host institution is responsible for its housing, maintenance and insurance. If the project moves to another institution during the grant, the Foundation expects the equipment to move with them at the cost of the new host organisation. In cases where the equipment costs more than £5,000 and was purchased exclusively by the Foundation, it retains the right to be consulted about its disposal, and in any disputed case will have the final say. This requirement lapses on completion of the grant. Assets with a value of less than £5,000 remain the property of the institution.
12. Where a grant is paid in advance, final reports should be accompanied by a full financial statement, which relates actual expenditure to the original budget described in the award letter.
13. Where grants are not paid in advance, grant claims should be submitted quarterly in arrears. Final claims should be submitted no later than 12 months after the work has been finished.
14. At the end of the grant any outstanding balance should be returned to the Foundation. Grants balances that are not claimed within 2 years of the agreed end date of the grant will be withdrawn and the grant terminated.

Intellectual property, copyright and acknowledgement of the Foundation

15. The Foundation's support for the project must be acknowledged in any publication (written or electronic), poster, or presentation about it and in any related newspaper article, or radio or television programme.
16. The Trustees do not allow the title "Nuffield" to be attached to a post, unit or project paid for from a Nuffield Foundation grant without their prior written agreement.

17. If grant holders or their employers wish to issue press statements that mention the Foundation, the Foundation must be given an opportunity to comment on the draft. The text should acknowledge that the work has been funded by the Foundation, but that the views expressed are those of the grant holder and not those of the Foundation.
18. Where a project involves collection of original data the grant holder should liaise with an appropriate archive about deposit of the data arising from the grant. The Foundation requires all social science survey data collected in the course of a project to be deposited at an archive within a year of the completion of the grant.
19. The host institution is responsible for the identification, protection and exploitation of any intellectual property rights arising from the grant. The Foundation must be consulted about the disposal of any significant intellectual property rights of £5,000 or more, and in these cases expects to share in any income generated by intellectual property rights in proportion to its share of the full costs of the original research.
20. Where the Foundation makes a grant for the writing of a book or other scholarly work, the copyright is usually held by the author. In the case of joint funding the assignment of copyright should be agreed before a grant commences. The Foundation must be consulted about significant royalties arising (those totalling more than £5,000).

Reporting to the Foundation

21. It is to the advantage of the grant holder to keep the Foundation informed of progress of a project and particularly of important findings.
22. Projects often produce reports and publications to disseminate their results. In addition to these the Foundation requires the following reports:
 - Final Summary Report (see Section 4 of the Complete Guide)

The Final report should be submitted within four months of the end of the grant period, using the Final Summary report form which can be downloaded from the Foundation website. This is intended to give a brief account of the project, the main findings and an assessment of how far it has achieved its objectives.
 - Interim reports (for projects of more than two years)

For grants lasting more than two years, interim reports must be submitted annually. They should be no longer than three pages and should give an account of progress to date, problems and successes, and any circumstances that have led to a departure from the work specified in the original proposal.
23. The Foundation must be advised of a copy of all publications (papers, conference papers, books, articles, monographs, reports or other material) produced by a project within 3 months of publication.
24. Grant holders who do not fulfil the reporting requirements will not be eligible to apply for further grants from the Foundation.