

Royal Free Charity GRANTS POLICY

1. Background

The purpose of this policy is to set out the principles, criteria and processes that govern how the Royal Free Charity (RFC) makes grants across all fund types. It is also designed to act as guidance notes for applicants.

Grants are awarded using a robust procedure to ensure donations are spent in accordance with the charity's charitable objectives and supporters' wishes, to achieve the greatest benefit and impact on the healthcare experience and treatment outcomes of the patients of the Royal Free London NHS Trust.

The trustees have three main routes to govern the Charity's grant-making:

Grant-making principles:

Decisions and grant awards are ultimately made by the trustees. Even where there is donor or a funding partner involvement, or recommendations have been received from the Charity's beneficiary the Royal Free London NHS Foundation Trust, or restrictions have been placed on the donation's use, the charity trustees have ultimate responsibility. Delegated power can be given to the charity CEO and board sub-committees up to agreed fund limits.

Grant-making criteria and eligibility:

The public statement of the activities the trustees wish to support to further the Charity's charitable objectives. The trustees acknowledge they may on some occasions make grants outside the published criteria, but that in all such cases the activity supported will be charitable in law.

Grant-making processes:

A transparent process set out in broad terms how decision-making is carried out for different types of grants.

2. Definitions

A grant is defined as a financial award made by the Charity from its funds to support its charitable activities, usually to the Royal Free London NHS Foundation Trust (RFL).

3. The law

3.1 The charity must ensure via suitable due diligence and grant conditions that grants

made to the NHS body are for a specific charitable purpose that provides sufficient

public benefit in accordance with Charity Commission guidance on grants to non-charities, which includes NHS bodies. While the activities of NHS bodies will ordinarily be within the charitable purposes of an NHS charity, these actions must be demonstrable.

3.2 The charity must have systems in place to set its priorities and assess risks in relation to grants and, in particular, to monitor grants made.

3.3 As an NHS charity, the charity may use its charitable funds to supplement or subsidise public services as this is within their objects, in the interests of the charity and its beneficiaries, where there is clear justification for doing so. The charity will ensure that its decision-making processes are clear and well-documented and record the particular charitable need addressed.

4. Statement of Principles

4.1 The governance principles strike a balance between direct involvement in decisions, and efficient, timely customer service for applicants and donors. The governance principles are as follows:

- The Board has ultimate responsibility for all grant-making decisions in line with the Charity's charitable purposes and any restrictions agreed with donors and funding partners.
- The trustees may give certain decision-making responsibilities to a Board Sub-Committee, Board members, or staff within its framework of delegation.
- The trustees reserve the right not to approve any recommendation or nomination if, through its decision-making, it determines that the resulting grant would not be charitable, or would conflict with the Charity's stated policies or damage its reputation.

4.2 The trustees set the grant-making criteria, the aim of which is to provide clear information to those who want to apply for grants.

Guidance on the criteria and eligibility for applications is set out in Appendix 1. The Board will review these criteria from time to time and, if necessary, amend or update them.

4.3 Applications must clearly demonstrate how the grant proposal meets the Charity's strategic aims and fits the criteria. Applicants must provide evidence that the grant will make a measurable difference.

5 Grants process

5.1 Grant application process

The grant application process and review of grant applications will be overseen by the charity's Grants Committee, which is a sub-committee of the charity's board of trustees. The role of the committee is to make recommendations to the board on the approval of applications.

All applications must meet the criteria and eligibility set out in Appendix 1 and must be for the benefit of patients at the RFL NHS Foundation Trust, including supporting staff involved in delivering care to patients.

The process includes the following steps, the full process is set out in detail in Appendix 2:

1. As part of the annual business planning process a budget will be established for grants; through the annual planning process any additional criteria to support the allocation of grants, against the strategic objectives of the charity, will be agreed by the board of the charity.
2. For small grants (requests below £2,000) and medium grants (requests from £2001 to £10,000) a grant application form should be completed (Appendix 3).
3. For large grants (requests from £10,001 to £100,000) and major projects (request for grants over £100,001) the following should be submitted:
 - a. A completed grant application form to allow the charity to give an indication without prejudice on the merit of the application proceeding.
 - b. Dependent on the outcome of point 3a above, and the level of funding requested, the charity reserves the right to request an outline business case be submitted (a proforma for the outline business case is included as Appendix 4).
4. For applications from the Royal Free London NHS Foundation NHS Trust and its employees the application should make it clear who is endorsing the project:
 - a. For small and medium grant applications (up to £10,000) the Head of Department, Clinical Director, Head of Nursing or Senior Operational Manager for the area.
 - b. For other applications (over £10,000) the Divisional leadership team (Divisional Director, Divisional Director of Nursing, Divisional Director of Operations) or Business Unit Executive or Department Director.
5. Small grant applications (i.e. those less than £2,000) from the trust can be made direct to the charity (in line with the Grant Criteria and Eligibility requirement detailed in Appendix 1). Grant applications over £2,000 from the trust will need to have been considered by a trust committee or group for

endorsement before they can be considered by the charity and will go through the following groups within the trust:

- i. Local Executive Committees (for non-medical equipment grants that are specific to a service, division or business unit /site)
 - ii. Medical Equipment Board (for any medical equipment or device)
 - iii. Staff Health & Wellbeing Steering Group (for group-wide staff health and wellbeing initiatives)
 - iv. Change Board (for group-wide transformation and improvement initiatives)
 - v. Digital Board (for group-wide digital initiatives)
 - vi. Asset Management Group (for group-wide initiatives for capital funding)
 - vii. Group Executive Committee (for all grants over £20,001 once they have been through one of the above groups)
6. Once applications have been through the process outlined above the approval is as follows:
- Requests for small grants (under £2,000) will be assessed and approved directly by the charity's management team.
 - Grants endorsed by the trust up to £50,000 may be approved by the RFC CEO in line with the schedule of delegated authority.
 - Grants endorsed by the trust from £50,001 up to £100,000 may be approved by the Grants Committee.
 - Grants endorsed by the trust over £100,001 may be recommended by the Grants Committee to the Charity's Board for approval.
7. A monthly report to the management team and Grants Committee will record approved grants; identify committed funds against the budget allocation; and monitor spend against grants to ensure grants are being spent in the given time period.
8. Grant holders must start to use funds within 6 months of receiving the confirmation letter. Grants can be withdrawn if the grant balance remains static for 12 months with no explanation provided. (See appendix 5 for full terms and conditions.)

6 Terms and conditions of grant awards

Full terms and conditions will be sent to the applicant on the approval of a grant. Model terms and conditions are included as Appendix 5 and funds will only be released on receipt of a signed copy of the terms and conditions.

The following terms and conditions apply to all grants.

6.1 Grant payments and withdrawal of grants

A grant payment schedule is agreed between the Charity and the recipient when the award is made and set out in the grant award letter. The following should be noted:

- Payments from grant awards to the Trust/UCL are only made against fully evidenced expenditure submitted to the charity.
- Grants made to individuals will not be made directly but to the employing body, which in most cases will be the Trust. Grant holders must start to use funds within 6 months of receiving the confirmation letter.

The Charity reserves the right to withdraw grants, in whole or in part, in the following circumstances:

- i. Where expenditure of the grant has not commenced within 12 months of the award date. (The charity will require a report detailing the reasons for not using the funds if a request for an extension is submitted but reserves the right to withdraw the grant).
- ii. Where projects are notified as completed. Any unspent balance of grant remaining will be cancelled.
- iii. Where a balance of grant has remained static for 12 months with no explanation from the lead contact. Any unspent balance of grant remaining will be cancelled.
- iv. If the lead contact leaves the Trust, or otherwise is not able to continue to act as the responsible individual for the grant and a suitable replacement cannot be identified.
- v. Where reporting requirements have not been met and no explanation has been provided.

6.2 Impact Reporting

Reporting on the progress of each project against various measures at intervals appropriate to the project is crucial. A requirement of receiving a grant from the charity is that the recipient will report on the progress and outcome of the project for which the grant was approved. As well as allowing the Charity to see the positive changes made, it helps in communicating the impact of the projects it funds – vital in enabling supporters to see the difference it makes to patients' lives.

Each project must agree outcome measures at the outset of the project. These measures must be as SMART as possible: Specific, Measurable, Achievable, Realistic, Time-framed.

The Committees within the Trust will receive regular updates on the progress of grant-funded projects they have endorsed, and will be accountable for ensuring funds are utilised appropriately within the agreed timeframe.

Where an RFC donor has directly funded the costs of a project, additional reporting may be required to satisfy their own grant terms or to demonstrate the impact of their support. This could include a narrative report, the collection of pre-agreed data, or financial reporting against an agreed budget. Where this is the case, RFC will work with the grant holder in advance to ensure appropriate information is collected.

6.3 Promotion

Impactful projects will be showcased through the Charity's communications channels, including but not limited to the website, emails and mail to supporters, newsletters, and social media. Case studies of examples of the impact the Charity's funding makes will be developed in partnership with the Trust's communications team and with grant holder's input. The RFC respects there will be occasions where this will not be appropriate.

Where an RFC donor has directly funded a project, reasonable access to the work will be needed to show the impact of their support. This could include site tours, meeting key project staff or the production of specific communications for the donor.

7 Special Purpose Funds (SPF)

In addition to the grant allocation made available to the trust each year, the charity oversees donor-gifted funds (SPF's), each with a specific purpose to support a particular ward, department, area of research, service or group of patients. Through the generosity of our donors this enables tailored funding opportunities to a range of Trust departments and services.

As a general principle the RFC will consider grant applications against funds held in Special Purpose Funds before approving a grant.

Each fund has allocated fundholders who act as signatories and receive statements of donations received. Fundholders propose expenditure against SPF's and decisions are then authorised or declined by the Charity ensuring spend is in line with guidelines that govern the use of SPF's.

A list of funds and the balance can be requested by the Fundholders from the Charity Finance team. Heads of departments or directors will be aware of their relevant charitable funds.

Appendix 1 Grant Criteria & Eligibility

Grant types

The charity categorises grants against the value:

- Small grants (requests below £2,000)
- Medium grants (requests from £2,001 to £10,000)
- Large grants (requests from £10,001 to £100,000)
- Major projects (request for grants over £100,001)

The application and monitoring processes are tailored and commensurate to the scale of the financial request. Through this approach the charity is able to enact its due diligence responsibilities.

Grant themes

Our grants focus on four themed areas identified by the charity and trust that help to deliver their strategic objectives. Applicants must identify which strategic theme they are applying under and check the boxes that identify how the grant will support delivery of the strategic objectives in at least one of the following four themes.

- 1. Clinical Services, including medical equipment**
- 2. Research & Development**
- 3. Patient Experience**
- 4. Staff Experience**

Lead to enhanced service delivery and clinical outcomes.

Improve patient treatment, care, services or experience or support staff to improve these.

Promote innovation, transformation, and new service development.

Provide improved diagnosis or treatment or a better experience for patients. This includes investment into education, research, equipment and patient care wards, departments, and clinics.

Help staff deliver front line patient care more effectively.

Support staff welfare ensuring the Trust can provide the very best of care for patients. This includes activities that support staff to keep well and to continue growing professionally.

Pilot/test/implement projects relating to research seeking to produce the necessary data to springboard onto successful third-party funding bids for further study or quality improvement ideas.

Patient-focused translational research

Innovative equipment or a new initiative to improve patient care

Eligibility

All proposals must be for the benefit of patients or staff at the RFL NHS Foundation Trust, including supporting staff involved in delivering care to patients.

Applications can only be submitted by:

- Members of staff at the RFL Trust or employed by University College London ("UCL") with an honorary contract with the NHS Trust
- An organisation under contract to the NHS to either support NHS patients or NHS staff
- From an individual that holds an NHS employment contract
- An organisation providing health and/or wellbeing support to the population within the Trust or STP footprint by invitation.
- An organisation carrying out health and/or wellbeing research with the population within the Trust or STP footprint by invitation.

Applications must identify which of the four themes is applicable and clearly demonstrate that the funds will meet the themes and at least one of the check-box list.

Applicants must obtain approval for their application as set out in section 5.1.

Staff members may only submit a maximum of two applications per financial year. Priority will be given to first-time requests.

Only fully completed applications will be considered.

Grants will not be awarded to support:

- Any item or project that should be funded from NHS Trust departmental budgets
- Any item or project that has already been purchased (no retrospective funding)
- Payments to individuals
- Staff hospitality: meetings, travel, or entertainment expenses
- Any item or project that could be funded by a Special Purpose Fund

Appendix 2 Grant Process

Grants can be applied for by completing a grant application form (Appendix 3):

1. For small grants (requests below £2,000) and medium grants (requests from £2001 to £10,000) a grant application form should be completed (Appendix 3).
2. For large grants (requests from £10,001 to £100,000) and major projects (request for grants over £100,001) the following should be submitted:
 - a. A completed grant application form to allow the charity to give an indication without prejudice on the merit of the application proceeding.
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3. For applications from the Royal Free London NHS Foundation NHS Trust and its employees the application should make it clear who is endorsing the project.
 - a. For small and medium grant applications (up to £10,000) the Head of Department, Clinical Director, Head of Nursing or Senior Operational Manager for the area.
 - b. For other applications (over £10,000) the Divisional leadership team (Divisional Director, Divisional Director of Nursing, Divisional Director of Operations) or Business Unit Executive or Department Director.

The charity reserves the right to request further information.

Application Assessment

Applications will be assessed by the charity's grant administration team before proceeding, to ascertain they meet the criteria set out in Appendix 1. If they meet the criteria they will be sent to the relevant trust committee or group for recommendations to be made to either approve or decline the application.

Small grant applications (i.e. those less than £2,000) from the trust can be made direct to the charity (in line with the Grant Criteria and Eligibility requirement detailed in Appendix 1). Grant applications over £2,000 from the trust will need to have been considered by a trust committee or group for endorsement before they can be considered by the charity and will go through the following groups within the trust:

- i. Local Executive Committees (for non-medical equipment grants that are specific to a service, division or business unit /site)
- ii. Medical Equipment Board (for any medical equipment or device)
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Once applications have been through the process outlined above the approval is as follows:

- Requests for small grants (under £2,000) will be assessed and approved directly by the charity's management team.
- Grants endorsed by the trust, up to £50,000 may be approved by the RFC CEO in line with the schedule of delegated authority.
- Grants endorsed by the trust from £50,001 up to £100,000 may be approved by the Grants Committee
- Grants endorsed by the trust over £100,001 may be recommended by the Grants Committee to the Charity's Board for approval.

Small grants up to £2,000 are usually processed within 2-4 weeks. Grants over £2,000 up to £50,000 are usually processed within 6-8 weeks from the time of application but may take longer if further information is required at the assessment and endorsement stage of the process. For grants over £50,000, the Grants Committee and Board meets four times a year. In exceptional circumstances the Board may agree to approve grants recommended by the Grants Committee outside of the schedule of board meeting dates.

Applicants will be advised of the outcome by letter within 5 working days of the Grant Committee or board meeting.

Applicants of approved grants will be required to sign a grant acceptance certificate acknowledging acceptance of the terms and conditions.

ROYAL FREE CHARITY

Grant award decisions are final and there is no appeals process.

Should a grant application be declined the charity will endeavor to identify if funding is available in a relevant Special Purpose Fund (section 7).

The RFC will not fundraise for a project that has been declined. However, should funding be offered from another source, it may be possible for the Charity to accept this as a restricted donation which may be granted through a SPF, or through the grants process. This will only be possible where the work meets the eligibility criteria above, and is at the total discretion of the RFC board of trustees.

- Lead to enhanced service delivery and clinical outcomes
- Improve patient treatment, care, services, experience, or support staff to improve these.
- Promote innovation, transformation, and new service development
- Provide improved diagnosis or treatment or a better experience for patients. This includes investment into education, research, equipment and patient care wards, departments and clinics.
- Help staff deliver front line patient care more effectively.
- Support staff welfare ensuring the Trust can provide the very best of care for patients. Including activities that support staff to keep well and to continue growing professionally.
- Pilot/test/implement projects relating to research seeking to produce the necessary data to springboard onto successful third-party funding bids for further study or quality improvement ideas.
- Patient-focused translational research
- Innovative equipment or a new initiative to improve patient care
- Other please describe _____

5. What will the grant be used for? Maximum 1 page of A4

Please provide a description of the project/reason for the grant request, this should include the aims and objectives, the benefits you aim to achieve and the impact it will make, the importance of the project, any gaps it will fill.

- For research grants please ensure you address the areas of project design, method, and innovation.
- For equipment grants please ensure you outline why it is being sought, where the equipment will be housed, who will use it. Please ensure you attach a complete trust medical equipment form.
- For study leave please attach the relevant trust study leave form.

6. How will the impact of the grant be measured? Please add rows as necessary.

Please note you will be required to provide regular updates and report on progress against the milestones and impact measures you've set out below.

Please set out in the table below the key milestones and impact measures

Where possible please ensure targets are as SMART as possible: Specific, Measurable, Achievable, Realistic, Time-framed. Please also indicate the anticipated completion date of the project.

	Milestones Please detail the project/grant progress phases or delivery points	Impact measure How will you measure success? What are the SMART impact measures or QI measures?	Achieved by date
	Examples a) Improvement in staff well-being b) Develop activities to support digital accessibility	Examples a) 25% increase in staff accessing the service b) xx% reduction in DNAs	Examples a) By Dec 2022 b) 6 months from start date
1			
2			
3			
4			

7. Budget details

Please set out below the anticipated cost of the project. Ensure any amounts stated include any VAT costs that may be incurred. Where a grant is to cover a staff salary, the cost must also include any pension, NI or other costs incurred by the employer. Please add rows as necessary.

Item	Cost £

	Total

Please note, further funds will not be provided to complete the project in the event of any shortfall.

8. Are there additional costs and what plans are in place to guarantee the sustainability of the project?

A sustainability plan should outline how cost recovery and, if appropriate, other funding will ensure the project will be maintained and become self-sustaining. For example, please think about any equipment maintenance costs, training costs, sustainability of staff posts etc.

9. Please explain why this funding isn't coming from a departmental or NHS budget

Please send your completed application and attachments to:

grants@royalfreecharity.org

Appendix 4 Business Case Framework - for large grants

For large grants and major projects an outline business case will need to be submitted to charity. It is recommended that the Treasury's five case model is used as the framework for this, with information against the following headings:

1. Case for change – the strategic case, including quality considerations (e.g. what does this do to improve patient experience in terms of improved quality of experience of the care received and improvements in outcomes) and the priority of the proposal within the Trust's strategic and/or business plan.
2. Value for money – the economic case, including is the proposed approach the best option in terms of VfM (are there alternatives that have been ruled out).
3. Commercially viable – the commercial case, including the commercial arrangements that the NHS will need to enter into and, in particular, any commercial support sought from RFC or implications on RFC
4. Management case – what needs to be put in place to ensure successful delivery and an assessment of delivery risk, including mitigations and required enablers.
5. Financially affordable – the financial case, including funding sought from the charity, whether loan or grant funding is required, and how any additional funds that are required will be made available (and associated risk around the identification and realisation of these).

Additional considerations:

1. What additionality does this proposal present above and beyond the provision that should be possible through core NHS funding?
2. Linked to the strategic case why is the Trust approaching RFC for support on this development and not other items in the strategic and / or business plan?
3. Does the proposal support innovation (e.g. development or rollout of new service, models, or interventions)?
4. High level project plan, including when funding is required and is this spread across different financial years.
5. Name of the Trust SRO and key contact for the Charity
6. Proposed reporting structure

Appendix 5

Royal Free Charity Grant Full Terms & Conditions

1. General

- 1.1 All funds held by the Royal Free Charity ("the Charity") (which includes special purpose funds) and all grants and expenditure by the Charity, must be used for charitable purposes as set out in the grant criteria of the grants policy.
- 1.2 The charitable purpose, amount and duration of the grant are set out in the Confirmation letter.
- 1.3 The grant is given for the stated charitable purpose only. Unless otherwise specified, this will be as detailed in the application for funding. The grant is solely for this and cannot be repurposed without approval from the Charity.
- 1.4 The amount stated in the Offer letter and Confirmation letter is a maximum figure for all costs incurred in connection with the project. There is no expectation that further funds will be provided to complete the project in the event of any shortfall.
- 1.5 The amount stated includes any VAT costs that may be incurred. Where a grant is given to cover a staff salary, the cost also includes any pension, NI or other costs incurred by the employer.
- 1.6 The duration, and anticipated start and completion dates for the project are stated on the Confirmation letter. The Charity recognises that it can take time for a project to be launched, for example if new staff are to be recruited. If there are likely to be significant delays, or changes to the duration, the Charity should be informed promptly.
- 1.7 The lead contact should be the individual with overall responsibility for the project which the grant is funding.
- 1.8 Before any part of the grant can be paid, the lead contact must sign and return one copy of the terms and conditions confirming their acceptance.
- 1.9 Any proposed changes to the lead contact, for whatever reason, must be communicated to the Charity immediately; the Charity reserves the right to review or withdraw a grant if a suitable replacement lead contact has not been identified.
- 1.10 Grant recipients must comply with Safeguarding, Health and Wellbeing, and GDPR policies (Trust, Charity, or UCL policies). The Royal Free Charity is to be made immediately aware of any reportable incidents relating to these areas.

2. Payment of grants

- 2.1 Grant holders must start to use funds within 6 months of receiving the confirmation letter.
- 2.2 Grant payment(s) will be made on production of authorised documentation in line with the relevant financial policies and controls of the Charity.
- 2.3 All payments requests must be made using the Grant Payment Request form and must include the unique grant reference number provided on the grant approval letter.
- 2.4 Original invoices, claim forms, receipts are required. The Charity will make the payment, usually within two weeks of receipt.
- 2.5 Recharges of salaries of Trust/UCL employees funded from a Charity grant will be charged to a designated control code. No further authorisation will be required.
- 2.6 Recharges will continue until the accrual is exhausted, the agreed period of funding expires, or notification is received that the recharge should cease.

3. Withdrawal of Grants

The Charity reserves the right to withdraw grants, in whole or in part, in the following circumstances:

- vi. Where expenditure of the grant has not commenced within 12 months of the award date. (The charity will require a report detailing the reasons for not using the funds if a request for an extension is submitted but reserves the right to withdraw the grant).
- vii. Where projects are notified as completed. Any unspent balance of grant remaining will be cancelled.
- viii. Where a balance of grant has remained static for 12 months with no explanation from the lead contact. Any unspent balance of grant remaining will be cancelled; and or
- ix. If the lead contact leaves the Trust, or otherwise is not able to continue to act as the responsible individual for the grant and a suitable replacement cannot be identified.
- x. Where reporting requirements have not been met and no explanation has been provided.

4. Employment of staff

- 4.1 Where funding relates to part or all of a salary cost, the Charity does not act as employer of the individual and will not be liable as such. The lead contact will be responsible for ensuring that all employment legislation is complied with. The Royal Free London NHS Foundation Trust's HR department should be able to advise on this.
- 4.2 Where the grant is a contribution towards part or all of the cost of new staff, the Charity requires confirmation that the post has been filled, including the

name of post holder, annual salary and start date, before any payment is made.

- 4.3 The Charity will not normally be willing to consider requests for additional funds for salary purposes that are not identified in the original application. Any increments or other salary increases not identified in the original application will be the responsibility of the host Royal Free London NHS Foundation Trust ("the Trust")/UCL.
- 4.4 The Charity should be informed within 7 days if staff supported by charitable funds give notice, leave, or are redeployed.

5. Grants for research

- 5.1 The lead contact must ensure that prior to the research commencing and throughout the research period, all the necessary legal, ethical, and regulatory requirements in order to conduct the research are met and all the necessary licenses and approvals have been obtained. The Charity does not accept any liability arising from research projects that it funds.
- 5.2 The lead contact is responsible for ensuring that the whole project is conducted in accordance with the Trust's/UCL's systems for the management, monitoring and control of research work, including the requirements of all regulatory authorities governing the use of investigational medicinal products and devices, radioactive isotopes, animals, pathogenic organisms, genetically manipulated organisms (GMOs), toxic and hazardous substances, and research on human subjects and human embryos, and the regulations set down under the Control of Substances Hazardous to Health (COSHH), Advisory Committee on Dangerous Pathogens (ACDP) and Advisory Committee on Genetic Manipulation (ACGM) guidelines, the Health and Safety at Work regulations and any other regulatory requirements as may apply from time to time.
- 5.3 The lead contact is responsible for ensuring that the study is conducted in accordance with the Department of Health Research Governance Framework, the Mental Capacity Act and the Data Protection Act and any further applicable guidelines and legislation.

6. Grants for capital

- 6.1 Any equipment funded by a grant from the Charity will, immediately it is received, transfer to the ownership of the Trust/UCL. All responsibility for such equipment, including matters of security, maintenance, infection control, training and issues relating to Health and Safety will be vested in the Trust/UCL who must ensure that the equipment is appropriately insured and maintained throughout its useful life.
- 6.2 Any losses or claims relating to the equipment will be met by the Trust/UCL and the Charity will accept no liability in this respect.
- 6.3 For grants relating to building work needs to be approved by the relevant Estates Team, any significant variations to the start date, project costs or estimated completion date should be communicated promptly to the Charity.

7. Intellectual property

- 7.1 The Charity is under obligation to ensure that the results of research that it funds in part or in whole are published 'for the public benefit'. The Charity also attaches importance to commercial exploitation and recognises that the specific nature of the opportunity for exploitation may only become apparent during the course of research.
- 7.2 All results of research in relation to which the Charity has made a grant (Research), must be considered for appropriate intellectual property protection and potential commercial exploitation. Any publication of the Research findings (including communications such as verbal statements, posters, abstracts, and letters to specific journals) must be delayed until such consideration has been carried out. However, no unreasonable delay should be allowed to occur before information is placed in the public domain. A delay beyond 6 (six) months will be deemed unreasonable.
- 7.3 The institution should seek the Royal Free Charity's consent to exploit commercially the results of any research it has funded. Consent will not be unreasonably withheld, and the Royal Free Charity will only refuse an institution's request where it considers that the proposed commercial exploitation would run counter to its interests and charitable objectives. If the Royal Free Charity does not provide a response to the institution's written request within thirty days of receiving such request, the institution or its technology transfer subsidiary will automatically have the right to proceed with such commercial exploitation. The institution is not required to seek the Royal Free Charity's consent in assigning intellectual property to its technology transfer company.
- 7.4 Where multiple funding sources are present or multiple inventors are involved, royalties and other income arising from the research should be shared in proportion to the investment made by funders, less any legal, patenting, and associated costs incurred.

8. Equity and Revenue Sharing Arrangements

- 8.1 Should financial benefit be derived from commercial exploitation of the intellectual property arising from the Research, then the "Net Income" received shall be apportioned as follows:

Cumulative Net Income	UCL & Inventors	Royal Free Charity
£0 to £100,000	90%	10%
Greater than £100,000	85%	15%

- 8.2 "Net Income" is all income received in respect of the exploitation of the IP less Direct Costs.

- 8.3 “Direct Costs” are all costs reasonably incurred by such organisation exclusively attributable to the exploitation of the IP, including patent fees and professional costs.
- 8.4 The Host Institution is responsible for any distribution to the inventor(s) from its share of “Net Income”.
- 8.5 Details of all associated direct costs relating to the exploitation of IP and translation fees applied to the Gross Revenue must be made available to the RFC.
- 8.6 For avoidance of doubt, as long as the commercialisable invention was made during the period of funding, the revenue sharing arrangements apply indefinitely to any revenue arising.
- 8.7 Where the grant holder is working on a third-party externally funded project, the terms and conditions of that award will apply first. For the avoidance of doubt, externally funded projects include, but are not limited to, projects awarded by Research Councils, industry partners, public sector and third sector bodies.
- 8.8 For illustration, if a funding award is made by Charity X to UCL with the grant holder as PI, then Charity X's terms would need to apply first e.g., if Charity X's terms require a 10% revenue share, then this would be deducted first with the remaining funds then distributed through the appropriate equity sharing split. Assuming net income <£100,000, RFC would receive 9% and UCL & inventors 81%.

9. Impact reporting and evaluation

- 9.1 In all cases reporting on the progress of each grant project against measures set out in your grant application, and at agreed intervals appropriate to the project is essential. As well as allowing the Charity to see the positive changes made, it helps in communicating the impact of the projects it funds – vital in enabling supporters to see the difference it makes to patients' lives.
- 9.2 Reporting on outcome measures must be as SMART as possible: Specific, Measurable, Achievable, Realistic, Time-framed
- 9.3 For grants up to £10,000 a summary report must be completed at the end of the project generally within 4 weeks of the end of the funding period or project completion. Where outcomes cannot be known in full for a longer period a further update report may be requested at an appropriate later date to be agreed.
- 9.4 For grants over £10,000k, six-monthly reporting is required. A final report will be required within 12 weeks from project completion.
- 9.5 Reports must enable the assessment of:
- I. The progress made against SMART targets or timeline milestones set out in the application
 - II. Whether project risks are being addressed
 - III. Whether the expected impact has been achieved

- 9.6 At the end of the grant project a detailed end-of-project report must also be completed. In addition to the Impacts/outcomes set out in the grant application the report must include any:
- I. Changes to policy or practice resulting from the project
 - II. Further grant funding leveraged from this grant
 - III. Media coverage
 - IV. Publications
 - V. Entry to any awards as a result of the grant
- 9.7 Where a RFC donor has directly funded the costs of a project, additional reporting may be required to satisfy their own grant terms or to demonstrate the impact of their support. This could include a narrative report, the collection of pre-agreed data, or financial reporting against an agreed budget. Where this is the case, RFC will work with the grant holder in advance to ensure appropriate information is collected.
- 9.8 Failure to comply with these reporting requirements may affect payments under the current grant and future requests from the applicant. It may in some circumstances result in the withdrawal of the grant.

10. Publicity & Promotion

- 10.1 Impactful projects will be showcased through the Charity's communications channels, including the website, emails and mail to supporters, newsletters, and social media. Case studies of examples of the impact the Charity's funding makes will be developed in partnership with the Trust's communications team and with grant holder's input. The RFC respects there will be occasions where this will not be appropriate, such instances should be made clear at the time of application.
- 10.2 It is a condition of the grant that recipients must ensure appropriate acknowledgement of the Charity's support and co-operate with the Charity in publicising the grant if requested.
- 10.3 The lead contact must ensure that all useful knowledge acquired from research funded by the Charity is disseminated to the public and others able to utilise or benefit from it. Where the research is highly technical, restricted access through medical publications, universities, and other medical and educational establishments to persons who have a sufficient reason to study the material, will be acceptable.
- 10.4 In all cases, to avoid any possible confusion, the Charity should be referred to as the "Royal Free Charity". In formal settings, the Charity's registered number 1165672 should also be added. Where possible the Charity logo should be displayed. Please contact the grants administration team for the logo and usage guidance
- 10.5 In general, the Charity's support should be acknowledged on all materials produced in connection with the project, such as leaflets, posters, displays, job adverts, newsletters, reports and published articles. The regularity and prominence of the acknowledgement should be proportionate to the degree of support.



- 10.6 Where a grant has supported physical or environmental improvements, the Charity will contact the recipient to arrange the installation of a Royal Free Charity plaque or signage, if appropriate.
- 10.7 The Charity should be invited to any launch or opening events, and its support acknowledged at such events and any material publicising the event. The Charity will send a staff or Trustee representative whenever possible.
- 10.8 The Charity may also contact recipients for quotations or images to be used in internal and external publicity material or press releases.
- 10.9 The Charity is committed to following good practice in fundraising and will act professionally and sensitively at all times when arranging publicity in connection with grants.
- 10.10 Where an RFC donor has directly funded a project, reasonable access to the work will be needed to show the impact of their support. This could include site tours, meeting key project staff or the production of specific communications for the donor.

The latest version of the Terms and Conditions apply to all grants and supersedes any previous Terms and Conditions under which a grant was awarded unless otherwise stated.

I agree to the Terms and Conditions of the grant by the Royal Free Charity

Project name: _____

Unique ref code: _____

Award amount: £ _____

Grant lead (name): _____

Signature: _____

Date: _____