

## GRANT MAKING POLICY

### A The Objects of the Dunhill Medical Trust

Under the terms of its Constitution, The Dunhill Medical Trust applies funds at its discretion:

- for the furtherance of medical knowledge and research and the publication of the useful results thereof;
- the provision of medical care and facilities in such manner as the Trustees shall from time to time in their absolute discretion think fit;
- research into the care of older people and the publication of the useful results thereof;
- the provision of accommodation and care for older people.

The Dunhill Medical Trust (“the Trust”) seeks to support schemes which further knowledge and its dissemination, or its application, or which improve the environment in which older people live.

### B Priorities for support

Applications from universities, NHS hospitals or other recognised research centres in the UK will be considered in respect of:

- the furtherance of knowledge through innovative peer-reviewed academic research, especially research that is concerned with older people and the environments in which they live and/or are cared for, and/or into the causes and treatments of disease, disability and frailty relating to ageing;
- initiatives aimed at improving patient care or public health in respect of older people;

#### Please note

This Policy should be read in conjunction with the guidelines and advice (provided as a set of “frequently asked questions” on the Trust’s website) for the grant scheme for which you are applying. You will find these on our website.

Our funding interests are set out in more detail in our Research Funding Strategy and on our website.

- pilot studies and proof-of-concept studies in the designated areas which could establish whether major funding is justified;
- in supporting research, the Trust explicitly includes activities to expand the research capacity in this area through research fellowships and similar programmes for talented individuals wishing to develop a career in research in fields related to the Trust's priority areas.

Applications from community-based organisations will be considered in respect of:

- Time-limited projects which focus on the development of care and support services for older people which are innovative and/or based on evidence of best practice and which can become self-sustaining within a planned period. Priority will be given to services which are focused on older people, enhance existing mainstream services and which are not currently funded by statutory organisations elsewhere in the UK. The Trust will expect the beneficiary organisation to have a robust plan to create the ongoing revenue to maintain the service as the charitable funding diminishes and to have processes in place to ensure minimum disruption to the beneficiaries in implementing these plans. We will also expect grant applicants to be able to demonstrate the evidence base underpinning their proposals and their plans for suitable evaluation.
- The provision of accommodation/innovative developments in the built environment for older people to enhance and maintain their health, well-being and independence and/or specific pieces of equipment or furnishings which can be used for the care and support of individuals. Priority will be given to care facilities which are focused specifically on older people and where it has not been possible to obtain the necessary funding from statutory organisations (e.g. health and social services). We will expect the beneficiary organisation to have considered the revenue costs of the environment and/or equipment, including its maintenance and staffing.

These priorities will be kept under review and may be changed in accordance with the Trust's view of the most effective application of available funds.

Where an application falls outside our funding criteria it will always be rejected.

## C Principles

In awarding grants, the Trust will apply the following principles:

### C1 All grants

Applications can only be considered from organisations or groups which are charitable as defined by UK charity law. This includes UK registered charities and relevant exempt charities such as universities. Proposals from non-charitable organisations (such as the NHS or social enterprises) may only be considered in exceptional circumstances and where the purposes for which the grant is sought are:

- charitable;
- for the public benefit; and not for private benefit that is more than nominal or incidental to the charitable purposes.
- Such proposals must have due regard to the exclusions listed in section D below.
- Applications from any geographical area within the UK are eligible for consideration and will be considered on merit alone.
- As a general rule, applicant organisations will be expected to have a policy of inclusiveness, equality and non-discrimination (i.e. applications should not be unduly restrictive).
- All applications from previous grant holders will be considered on their own merit. Although the outcome of any previous grant will be taken into account, new applications will not receive preferential consideration.
- The Trust will not normally support applications for its schemes for community-based organisations with an annual income in excess of £10M or with £100M or more in assets).
- The Trust will not normally consider applications from charities dedicated to issues deemed by the Trust to be already well-funded with the UK (e.g. cancer, heart disease).
- The Trust will work in partnership with other non-profit making organisations (e.g. professional institutions and learned societies and other charitable organisations) to fund initiatives beyond the financial scope of a single organisation, or maximise available funding, where the Trustees consider this to be appropriate.

## C2 Research grants

The following principles will apply to research grants:

- Applicants are expected to confirm that they have read and completed the eligibility questionnaire for the available grant schemes, which can be found on the Trust's website.
- Applicants will be expected to provide a clear demonstration of what the research is expected to achieve within a reasonable time frame, in terms of patient benefit and or improving the health and well-being of or environment for older people.
- Lead research applicants will be expected to demonstrate that they are based in a well-equipped research environment with a suitable skill mix in the research team and to specify clearly the role of each member of the team in the research.
- All full applications for research grants will be subject to rigorous peer review and the scrutiny of the Research Grants Committee (which includes Trustees and external advisers with extensive expertise relevant to the Trust's priority areas). Grants will be awarded on the basis of an assessment of the application's academic quality, demonstration of need, novelty, value for money, feasibility of the research plan, competence of the applicant/the research team, suitability of the research environment, credibility and feasibility of the plan to achieve benefit beyond the academic community to improve the health and well-being of older people and credibility and feasibility of the project team's plans to support the development of professional research careers in the Trust's priority areas. All recommendations of the Committee are referred to the Board of Trustees for final approval.
- Research will be supported directly with the institution in which the research is carried out, rather than through a third party (such as a fundraising charity supporting research).
- As a member of the Association of Medical Research Charities (AMRC), the Trust supports the principle of using animals in research when it is necessary.
  - See <https://www.amrc.org.uk/amrc-policies-on-animal-research-and-consideration-of-the-3rs>. The Trust will only support the use of protected animals in research where no viable alternative exists, and applicants must comply with best practice in animal welfare and advances

in the refinement, replacement and reduction of animal use, including compliance with the ARRIVE guidelines published by the National Centre for the Replacement, Refinement and Reduction of Animals in Research (NC3Rs).

- The Trust supports the [Concordat to Support Research Integrity](#) and is committed to its principles as it relates to funders of research. It expects host institutions to have systems in place to ensure that research is conducted to best practice and the highest standards of rigour and integrity.
- The Trust supports an open access policy with regard to peer reviewed (primary) publications arising from research funded by the Trust.
- As a charity, it is not the Trust's policy to pay the Full Economic Costs (fECs) of research (see the AMRC statement on this matter: <https://www.amrc.org.uk/charity-research-support-fund-faqs>), however:
  - directly Incurred Costs will be met;
  - some Directly Allocated Costs may be met and will be considered on a case-by-case basis (having regard to information on eligible costs included in the guidelines and advice for the relevant grant scheme, provided as a set of "frequently asked questions" on the Trust's website) providing that full justification is included in the grant application);
  - the Trust will not contribute towards Indirect Costs.
- The Trust will not undertake the role of research sponsor (as required by the NHS Research Governance Framework) and requires formal confirmation that the research has a formally approved and explicitly stated research sponsor (where this is applicable) before a grant can be started as stated in the Terms and Conditions for the grant scheme.
- Where the research supported has the potential to produce intellectual property which may have commercial potential, the institution in which the research takes place will be required to enter into an Intellectual Property Agreement with the Trust (Terms and Conditions for the grant scheme).

## C3 Grants for community-based organisations

The following principles will apply to grants for community-based organisations:

- Applicants are expected to confirm that they have read and completed the eligibility questionnaire for the available grant schemes, which can be found on the Trust's website.
- All applications will be subject to thorough review by Trust staff and the scrutiny of the Community Grants Committee (which includes suitably experienced Trustees and external advisers with expertise relevant to the Trust's priority areas). Grants will be awarded on the basis of an assessment of the application's demonstration of evidence of need/demand, its innovative approach and/or basis in good practice, a clear articulation of project outcomes and how its benefits are to continue to be delivered after the end of the project. It must have a clear, practical and achievable project plan (where appropriate) and clear and credible plans for evaluation/ information sharing. It must demonstrate good value-for-money. All recommendations of the Committee are referred to the Board of Trustees for final approval.
- The Trust will award project costs on a full cost recovery basis, where these can be demonstrated to be underpinned by a set of reasonable assumptions.

## C3 Major initiatives

The Trust is committed to funding innovative systems (people, environments, activities etc.) which take a body of research and knowledge and apply it. From time to time, and dependent upon availability of resources, support may be considered for major initiatives (i.e. in excess of £1M) which relate particularly well to this strategic objective. In considering such large scale applications, each component will be taken on its own merit (e.g. research, accommodation, care facility and service) but the whole application will be judged in total as a single entity. In most cases it is expected that these proposals would not receive initial funding from mainstream organisations but would have the potential to do so once established and running successfully with a plan for sustainability.

## D Exclusions

The Trust will not normally provide funds for:

- organisations based outside the UK or whose work primarily benefits people outside the UK;
- research staff employed by non UK institutions;
- sponsorship of individuals;
- sponsorship of charitable events;
- providing clinical services or equipment that, in the opinion of the Trust, would more appropriately be provided by the National Health Service or other statutory bodies;
- the revenue or capital costs of hospice provision, however, the Trust is keen to encourage research to improve end of life care so research studies undertaken within a hospice setting will be considered for support.
- travel or conference fees (except where these items are an integral part of a project and/or its dissemination plan);
- general maintenance;
- continuation/replacement funding where a project or post has previously been supported from statutory sources (or similar)
- ongoing running costs.

## E Application process

Full details of the application process for each of the Trust's grant schemes are available on the Trust's website, together with the deadlines for submission. See <http://dunhillmedical.org.uk/>. Applicants are advised to read the appropriate guidelines and advice carefully prior to submitting an application.

## F Availability of funding

As with other charitable grant making bodies, the Dunhill Medical Trust always receives more applications than it has funds to support.

All eligible applications will be assessed as outlined in section C above and applications which are deemed fundable will be scored using the scheme's assessment criteria and ranked. Application rounds are allocated a funding budget and there may be instances where there

are more fundable projects than can be funded with the budget, with only projects receiving the highest scores in the ranking procedure receiving funding. It should also be noted that the Trust funds may have been committed for some time in advance.

## **G Terms and conditions for grant awards**

The terms and conditions which apply to grants made by the Trust are available as follows:

- Terms and Conditions for Research Grants
- Terms and Conditions for Grants for Community-Based Organisations

In signing the Declaration(s) in the relevant application form, applicants undertake to comply with the relevant Grant Terms and Conditions and agree to be bound by them and provide to the Trust certain information and assurances (which will be stipulated in any subsequent Grant Offer Letter).

Successful grant applicants and organisations are required to sign a Grant Acceptance Form which states that they accept the grant and any specific grant-making policy conditions attached to it, and agree to be bound by the relevant Terms and Conditions, which are non-negotiable.

## **H Payment of grant awards**

### **H1 Research grants**

All research grants will be paid to host institutions on a retrospective basis on receipt of a satisfactory financial statement based on actual expenditure against budget, in line with the award set out in the Grant Offer Letter.

## H2 Grants for community-based organisations

Grants for community-based organisations will be paid on a prospective basis, with the first instalment payable once all conditions stipulated in the Grant Offer Letter have been fulfilled. Any subsequent instalments will be dependent on receipt of a satisfactory progress report and a financial statement based on actual expenditure against budget, in line with the award set out in the Grant Offer Letter.

### I Monitoring and audit

It is the Trust's policy to monitor all grants awarded.

- Before a grant can be confirmed, conditions will be stipulated appropriate to the work to be carried out and progress will be assessed against agreed targets and/or milestones. Payment of subsequent grant monies is dependent on satisfactory progress having been demonstrated and the Trust reserves the right to withdraw the grant on consideration of progress reports. Failure to submit reports on time will also mean that the continuation of the Trust's support is at risk.
- Monitoring visits by representatives of the Dunhill Medical Trust may be expected at any stage during the period of a grant.
- Following the conclusion of the grant, the grant holder will be expected to submit a final report, normally within 3 months of the end of the grant, detailing fully the results, outputs and outcomes from the project. The grant holder should inform the Trust of any extenuating circumstances whereby the submission of final report is delayed, to allow a mutually acceptable date for submission to be agreed. In the case of research grantholders, recipients should also expect to submit a report three years after the conclusion of the project, as there is often a time lag between project's end and its impact starting to be recognised.
- Other initiatives, outside of the routine grant award schemes, will be subject to special monitoring and reporting arrangements.
- The Trust's grant making schemes are subject to audit processes to assess their effectiveness and to help inform future grant making strategy. Grant holders will be expected to co-operate with any request for information/ completion of questionnaires etc. to assist with this and to comply with Charity Commission, Company Law and/or other statutory audit requirements.

## **J Acknowledgement and publication**

All grant holders are required to acknowledge the Trust's support in any published articles, papers or other outputs which may result from the work the grant has supported, and to provide copies of all such publications to the Trust (both during and after the period of the grant).

Guidelines for grant holders on appropriate acknowledgement of the Trust's support are available on the Trust's website, together with an electronic copy of the Trust's logo for use on any public presentations of the work supported.

In line with Trust's open access policy, Research Grant holders are required to make available via [Europe PubMed Central](#) (or a similar open access repository) all peer reviewed publications arising from the grant award within six months of the official date of publication. Publications must be linked in [Europe PubMed Central](#) to the relevant Dunhill Medical Trust grant.

The Trust expects all Research Grant holders to publish all findings and make available data generated as a result of the grant with as few restrictions as possible to ensure maximum patient and public benefit, whilst ensuring that appropriate ethical, legal and institutional regulatory permissions are in place in respect of personal data. The Trust acknowledges that intellectual property generated by the grant may however need to be protected for a short period to allow (for instance) an application for a patent to be submitted.