



COND/05/22

# GRANT CONDITIONS

Key terms used in these Grant Conditions can be found in the [Definitions](#) section at the end of this document.

## 1. How these Grant Conditions apply to you

- 1.1. These Grant Conditions, together with the Award Letter and our [Grant funding policies](#), set out the Terms and Conditions on which we make the Grant to you, as the employer of the Grantholder.
- 1.2. You must ensure that the Grant Activities are carried out by you, the Grantholder and any Participants or Organisations in accordance with the Terms and Conditions.
- 1.3. If you sub-award any part of the Grant, you remain accountable to us for the conduct of the Grant Activities and the use and financial management of the Grant. You should carry out appropriate due diligence on, and put in place written terms and conditions with, the relevant sub-awardee to enable you to comply with your obligations to us under the Terms and Conditions.

## 2. Legal compliance, research practice, and governance

- 2.1. You must ensure that the Grant Activities are carried out in accordance with all relevant:
  - a) legislation and codes of practice, including but not limited to those relating to health and safety, data protection, modern slavery, safeguarding, bribery, tax evasion and relevant financial sanctions laws;
  - b) regulatory requirements; and
  - c) ethical guidelines and principles.
- 2.2. You must ensure that all necessary licences and approvals have been obtained and are in place at all times during the Grant Period.
- 2.3. You must ensure that any element of the Grant Activities that involves the use of animals and that is conducted outside the United Kingdom is, as a minimum standard, carried out in accordance with the principles of UK legislation (for further information, consult the UK Government Home Office website, in particular the [Animals \(Scientific Procedures\) Act 1986](#)).

## 3. Employment

We do not employ the Grantholder or any of the Participants. It is your responsibility to issue any necessary contracts of employment in relation to the Grant, and to comply with any relevant employment law and regulation, including your duty of care as an employer.

#### **4. Management of the Grant and reporting**

- 4.1. Unless we tell you otherwise, you and the Grantholder must activate the Grant by completing a [grant start certificate](#). We will not make payments on the Grant until we receive a completed grant start certificate.
- 4.2. The Grant Activities must be started as soon as possible and in any event within 12 months of the date of the Award Letter.
- 4.3. You must ensure that:
  - a) the Grant is used only for the Grant Activities; and
  - b) the Grant Activities are supported by adequate and appropriate resources and facilities throughout the Grant Period.
- 4.4. You must tell us at once if you anticipate a significant change to the scope or management of the Grant Activities, or if there are any factors that may adversely affect the Grant Activities or compliance with the Terms and Conditions. This includes:
  - a) suspicion of or actual fraud, corruption, breach of relevant financial sanctions laws or financial impropriety;
  - b) any change to your or the Grantholder's status, or the status of any other Participant (if you have been informed), including suspension from duty or dismissal due to research misconduct, bullying or harassment;
  - c) if the Grantholder moves organisation during the Grant Period;
  - d) any significant increase in the number of animals used, where relevant.
- 4.5. You and the Grantholder are responsible for ensuring that we are sent progress reports and an [end of grant report](#) as we require.
- 4.6. If we require reports via Researchfish, the Grantholder must provide updates on the outcomes of the Grant, as requested, for up to five years after the end of the Grant Period.
- 4.7. You must send us financial reports as set out in the Award Letter or as we request, and the Final Expenditure Report within three months of the Grant end date.
- 4.8. If the Grant Activities include research, you must send us a [Consolidated IP and Commercialisation Report](#) as we require during the Grant Period and until the Wellcome-funded IP has expired. If you have no commercialisation activities to report, we also require you to confirm this.

#### **5. Audit and financial administration**

- 5.1. You must ensure that you have in place appropriate policies and procedures, and audit and control arrangements, including those for monitoring and preventing fraud, tax evasion, bribery, breach of relevant financial sanctions laws, or any other improper practices, and that the Grant expenditure is controlled in accordance with these arrangements.
- 5.2. You must account for all income and expenditure related to the Grant through a separate cost centre.
- 5.3. You must hold a bank account in the currency specified in the Award Letter with a bank that is acceptable to us, and tell us of any changes to these details during the Grant Period.

- 5.4. You must allow us, at our expense and on reasonable notice, to audit your accounts, records, systems and facilities in relation to the Grant.
- 5.5. You must give reasonable assistance to us in complying with our legal requirements relating to accounts, audit or examination of accounts, annual reports and annual returns.
- 5.6. You must keep all invoices, receipts, accounts and other relevant documents relating to the Grant in accordance with your data retention policy, and at a minimum for three years after the Grant end date, and provide these to us if we ask you for them.
- 5.7. You must ensure that you are able to audit the Grant Activities of any Participant or Organisation in such a way that you are able to comply with your obligations to us.
- 5.8. We will hold back 10% of the Grant until we have received:
  - a) the Final Expenditure Report; and
  - b) the completed end of grant report form (if required).
- 5.9. You must repay to us:
  - a) any part of the Grant that has not been spent when the Grant Activities have been completed; and
  - b) any part of the Grant used in breach of the Terms and Conditions.
- 5.10. You will be responsible for:
  - a) any expenditure on the Grant Activities which exceeds the amount of the Grant;
  - b) any costs arising from any organisational restructuring carried out by you which affects the Grant Activities.

## **6. Equipment**

- 6.1. You must ensure that any equipment funded by the Grant is purchased in accordance with your procurement procedures in a manner that delivers value for money, is used for the Grant Activities, and is adequately maintained and insured for all appropriate risks.
- 6.2. You must ask for our written permission to use the equipment for any other purpose. Additionally, if you wish to charge for, hire out, lend, sell or gift equipment purchased in part or fully from Wellcome funds, you must ask for our written permission if it has (i) a useful remaining life of more than one year at that point; and (ii) a purchase price in excess of £10,000 or equivalent in local currency.

## **7. Publication and publicity**

- 7.1. The outcomes of the Grant must be published or otherwise disseminated in an appropriate form, although publication or release of findings funded by the Grant may be delayed for a reasonable period to allow for protection and commercialisation of intellectual property in accordance with our [Intellectual Property policy](#) and condition 8 below.
- 7.2. All publications relating to the Grant must acknowledge our contribution, in accordance with our [Research Publication Acknowledgement](#) requirements, and must include our grant reference number.

- 7.3. All original research supported in whole or in part by the Grant must be made available from Europe PubMed Central as follows:
- a) peer-reviewed journal articles - immediately upon final publication
  - b) scholarly monographs and book chapters - as soon as possible and no later than six months from the date of final publication.

Please refer to our [Open Access policy](#) for more details.

- 7.4. You hereby grant a CC-BY Public Copyright Licence to all future Author Accepted Manuscripts (AAMs). If you allow others to own copyright in AAMs, you must ensure they grant such a licence.

- 7.5. All submissions of original research to peer-reviewed journals must contain the following statement:

“This research was funded in whole or in part by the Wellcome Trust [*Grant number*]. For the purpose of open access, the author has applied a CC-BY public copyright licence to any author accepted manuscript version arising from this submission.”

- 7.6. Our Media Office must be consulted before release of any press statement about the Grant.

- 7.7. You must also contact our Media Office immediately if you become aware of anything related to the Grant that may have an adverse reputational impact on you, us, the Grantholder, a Participant, or an Organisation.

## **8. Intellectual property (IP) and its commercialisation**

- 8.1. You must follow reasonable procedures for the identification, protection, management and commercialisation of Wellcome-funded IP in line with our [Intellectual Property policy](#), particularly where the Grant Activities involve collaboration with, or the contribution(s) of, third parties. You must also ensure (subject to condition 8.2 below) that all Participants assign all Wellcome-funded IP to you.

- 8.2. You may allow those Participants who provide access to proprietary materials (including background IP) essential to the conduct of the Grant Activities and which cannot reasonably be obtained from another source to own, co-own or have rights to use the specific Wellcome-funded IP arising directly from the use of such materials. You must ensure that the arrangements you put in place with these Participants only grant rights which are reasonably proportionate to their contribution, do not unreasonably restrict or delay the publication of the outcomes of the Grant (as required by condition 7), and allow the commercialisation of Wellcome-funded IP in line with our Intellectual Property policy.

- 8.3. When commercialising Wellcome-funded IP you must prioritise the delivery of public benefit, with no excessive private or personal benefit(s). You must also:

- a) obtain our written consent (not to be unreasonably withheld) **before** you begin commercialisation, unless the waiver in our [Consent and Revenue and Equity Sharing policy](#) applies to you;
- b) report fully on the commercialisation activities via your [Consolidated IP and Commercialisation Report](#); and
- c) enter into our revenue and equity sharing agreement in place at that time as consideration for our consenting to commercialisation.

See our [Consent and Revenue and Equity Sharing policy](#) for further details.

- 8.4. If you do not protect, manage or commercialise any Wellcome-funded IP to our reasonable satisfaction, then we will have the right by giving you six months' written notice to protect, manage and commercialise the Wellcome-funded IP on your behalf. We may exercise this right sooner where we reasonably consider that the opportunity to protect, manage or commercialise the Wellcome-funded IP for the public benefit could be lost if more immediate action is not taken. You agree to do, and will ensure that the Grantholder and any Participants and Organisations do, all acts required to assist us in such protection, management and commercialisation.
- 8.5. You must obtain our prior written approval before using any third party not wholly owned or controlled by you to carry out your obligations under this condition 8.

## 9. Liability

We do not accept any responsibility for financial or other liability incurred by you, any Organisation, or any Participant that may arise out of the Grant Activities.

## 10. Variation and termination

- 10.1. We reserve the right to amend these Grant Conditions, our Grant funding policies, and the terms of the Award Letter at any time. We will publish on our website any changes to these Grant Conditions or our Grant funding policies. Once published, any changes will apply to the Grant.
- 10.2. Where there is any conflict between these Grant Conditions and the Award Letter, the provisions of the Award Letter will take precedence.
- 10.3. We reserve the right to terminate the Grant at any time. If we do this, we will set out our reasons to you in writing in a reasonable timeframe.

## 11. Governing law and jurisdiction

These Grant Conditions shall be governed by and interpreted in accordance with the law of England and Wales and any disputes in connection with these Grant Conditions shall be governed exclusively by the courts of England and Wales.

## 12. Definitions

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| Author Accepted Manuscript (AAM)             | the version of a peer-reviewed journal article, containing original research and supported in whole or in part by the Grant, as accepted for publication and including all changes made during the peer review process       |
| Award Letter                                 | the letter from us confirming the award of the Grant and giving details of the Grant Activities  |
| CC-BY Public Copyright Licence               | the international, attribution only, public copyright licence approved and distributed by Creative Commons from time to time, which at the date of these Grant Conditions is <a href="#">CC BY International version 4.0</a> |
| Consolidated IP and Commercialisation Report | our <a href="#">form</a> , completed by you, that reports on Wellcome-funded IP from all current and past research-related grants from us, including this Grant  |
| Europe PubMed Central                        | a central repository for the open access outputs of our funded research ( <a href="#">europepmc.org</a> )  |

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|--------------------------|---|
| Final Expenditure Report | a form completed by you that sets out:<br>1) a comparison of i) your actual expenditure on the Grant during the Grant Period and ii) the total amount awarded by us in respect of the Grant; and<br>2) any further information that we request from you   |
| Grant                    | the grant described in the Award Letter   |
| Grant Activities         | the activities funded by the Grant as described in the Award Letter and outlined in the Grant application   |
| Grant Conditions         | the conditions set out in this document   |
| Grant Period             | the period of the Grant set out in the Award Letter, beginning on the start date as confirmed to us by you  |
| Grantholder              | the 'Lead Applicant' as identified in the Grant application and as specified in the Award Letter  |
| Organisation             | any university, institution, research council or other organisation (other than you) at which the Grant Activities are carried out and/or to which Grant monies are received  |
| Participant              | any person or third party working in any capacity on the Grant Activities or providing access to proprietary materials (including background IP)  |
| Researchfish             | the third party research reporting platform that we use   |
| Terms and Conditions     | the terms and conditions on which the Grant is made, comprising these Grant Conditions, the Award Letter and our Grant funding policies as set out on our website and updated from time to time   |
| us, we and our           | the Wellcome Trust (a charity registered in England with number 210183), acting through its trustee, The Wellcome Trust Limited (a company registered in England with number 2711000)   |
| Wellcome-funded IP       | intellectual property that is, or has been, created, exemplified or developed (whether in whole or in part) from the Grant Activities. Unless specified otherwise in the Award Letter, 'Wellcome-funded IP' does not include the copyright in articles, scientific papers, lectures or audio or visual aids to the giving of lectures or teaching |
| you/your                 | the university, institution, research council or other organisation that has principal responsibility for administering the Grant, as identified in the Grant application and as specified in the Award Letter  |