

## Catalyst grant terms and conditions

All applicants and the involved institutions must accept and adhere to the grant terms and conditions before making an application. Acceptance of a grant constitutes an agreement to comply with these conditions.

### 1) Expert review process

As an introductory member of AMRC, Cardiomyopathy UK abides by and applies the AMRC [principals of expert review](#) to our processes of awarding research funding. All applications will be reviewed by members of our Research Grants Committee (RGC) and external reviewers as required.

Applications which involve non-human primates, cats, dogs or equines will be sent for additional review by the [National Centre for the Replacement, Refinement and Reduction of Animals in Research](#) (NC3Rs).

Applications will be considered by our Research Grants Committee (RGC) at an online meeting against the following criteria:

- potential impact of the research for people affected by cardiomyopathy
- quality of the proposal
- quality of the researcher and team
- value for money
- budget and infrastructure
- if the proposed research involves participants, whether people would be likely to take part

The RGC's recommendations will be submitted to the charity's board of trustees for approval.

### Unsuccessful applications

Edited comments from the combined reports of our expert reviewers will be made available to unsuccessful applicants. There will be no further discussion with Cardiomyopathy UK staff or reviewers.

### 2) Use of funds

In line with the [Association of Medical Research Charities](#) (AMRC) guidance, Cardiomyopathy UK will only reimburse direct research costs. The charity will not fund directly allocated or indirect costs:

- Allowable costs
  - **Directly incurred costs** are costs that would only be incurred if the project were to go ahead. They include salaries for staff dedicated to the project, consumables, animals etc.
- Non-allowable costs
  - **Directly allocated costs** are costs of resources used by a project that are shared by other activities and based on estimates (e.g. principal and co-applicant costs, estates costs).
  - **Indirect costs** are non-specific costs charged by host institutions across all projects that are based on estimates (e.g. HR and finance services, library costs).

### Financial records

The grant holder must maintain accurate financial records and provide detailed financial reports.

## Reimbursement

The host institution will arrange for its finance office to submit appropriate invoices quarterly in arrears.

## 3) Project management

### Principal investigator

The principal investigator (PI) named in the grant proposal is responsible for the scientific and technical direction of the project. Any changes to the PI must be approved by Cardiomyopathy UK.

## Progress reports

Grant holders must submit progress reports. Depending on the duration of the grant this may include a one-year annual report. A comprehensive final report detailing all research findings, financial expenditure, outcomes and impacts must be submitted within twelve weeks of project end date.

## 4) Changes to a grant

Grants are awarded solely for the purposes outlined in the approved application. The grant holder must strictly adhere to the proposed research plan, including objectives, methodologies, and timelines. Any significant changes to the research plan, budget, or timeline must be approved by Cardiomyopathy UK in advance. Requests for changes must be submitted in writing with associated budget reforecast approved by the host institution's finance office to [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org).

In the event of unforeseen delays, interruptions or challenges impacting your research project, it may be necessary to discuss an extension or budget reforecast/modification. Please contact [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org) as soon as possible.

The grant holder may request a no-cost extension to complete the project without additional funding. Such requests must be justified and submitted at least 60 working days before the original end date of the award.

## 5) Employment conditions

### Employment of staff

Cardiomyopathy UK does not act as an employer. Therefore, in all cases where support is provided for the employment of staff, the host institution assumes full employer responsibilities, in accordance with the [Employment Act 2008](#) and any other relevant legislation related to employment conditions.

The host institution must take full responsibility for the management, monitoring, and oversight of all research work funded through this grant. Any staff employed as a result of this grant must be recruited in accordance with the host institution's standards and best practices.

## Fair treatment

Research staff should be employed under conditions that respect the provisions of the [concordat to support the career development of researchers](#) and its subsequent amendments, ensuring fair and ethical treatment.

## Periods of leave

During the grant there may be delays to the research due to periods of leave such as parental, paid sick leave or other special leave. The host institution as the employer is responsible for

meeting any additional costs that are associated with any period of leave. Please contact [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org) if a period of leave is required and the award can be put into abeyance, if possible.

## 6) Moving institutions

The host institution should contact Cardiomyopathy UK if the PI transfers to another organisation as soon as reasonably possible. Please contact [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org) if any senior member of the research team is in the process of or will likely move institutions during the duration of the grant.

## 7) Compliance and ethical standards

Cardiomyopathy UK is committed to ensuring that the research we fund meets the highest scientific standards and is conducted ethically and responsibly. The grant holder must comply with all relevant laws, regulations, and institutional policies governing the conduct of research, including but not limited to ethical guidelines, animal welfare, and biosafety standards in alignment with Cardiomyopathy UK's AMRC membership.

## 8) Confidentiality and anonymity

Information supplied by research participants must be kept confidential, and anonymity should be maintained unless otherwise agreed with them. Research involving sensitive personal data must outline how privacy and confidentiality will be protected. Cardiomyopathy UK expects all researchers to comply with their host institution's and General Data Protection Regulation (GDPR) guidelines.

## 9) Animal research

We support the [AMRC position statement on the use of animals in research](#). Research involving animals must adhere to AMRC and internationally recognised standards for animal care and use, [the 3Rs](#), and must have appropriate ethical approval.

## 10) Zero tolerance to bullying and harassment

We expect all people involved in our research to treat each other with dignity and respect, and we consider bullying and harassment of any kind, in any context, unacceptable. It is the host institution's responsibility to:

- a) Adopt a formal policy that clearly sets out the standards of behaviour it expects from staff and the procedure for making and responding to complaints.
- b) Require that any sub-grantee or sub-contractor have an equivalent policy in place.
- c) Follow our procedures about notifying us of misconduct:
  - **At application stage:** confirm that there have been no findings of bullying or harassment upheld against the lead applicant(s), nor any other named participants on the application proposed.
  - **On our active grants:** where a decision is made to investigate formally an allegation of bullying or harassment against an individual named on an active grant, the host institution must inform us when they decide to investigate formally.
- d) Investigate allegations of bullying and harassment in an impartial, fair and timely manner, ensuring the rights of employees involved are protected, and take appropriate action. If the host institution is advised by the investigator(s) that a disciplinary procedure is warranted, we expect institutions to complete the disciplinary procedure such that a formal finding can be reached.

- e) Ensure no agreements are entered into which prevent host institutions from telling us of investigation findings.

## **11) Patient and Public Involvement and Engagement (PPIE)**

We want to ensure the voices of people affected by cardiomyopathy are at the heart of research, and strongly encourage PPIE. We support the [AMRC position statement on the importance of involvement in medical research](#) and encourage remuneration of PPIE partners' activities in-line with [NIHR guidance](#).

## **12) Equity, Diversity and Inclusion (EDI)**

We want our funded research to reflect the diverse experiences of people affected by cardiomyopathy, and strongly encourage grant holders to consider EDI. See the [Equality, Diversity and Inclusion in Science and Health – practical tools and guidance](#) for more information.

## **13) Acknowledgement and dissemination**

### **Acknowledgment of funding**

The grant holder must acknowledge Cardiomyopathy UK funding, including grant details, in all publications, presentations, and communications related to the funded research.

### **Research communication and engagement**

Cardiomyopathy UK expects our funded researchers to contribute to our research communication and engagement activities. This could include providing help with copy and images or attending or speaking at events. Requests will be reasonable and appropriate and will be agreed with the grant holder in advance.

### **Open access policy**

Cardiomyopathy UK requires that all funded original expert-reviewed research be made available through open access as soon as possible. Researchers must submit their papers to journals that support this policy or discuss alternatives with Cardiomyopathy UK if their chosen journal does not comply. Researchers are responsible for depositing their work in an appropriate open access repository upon acceptance, and they should retain rights to allow distribution under a creative commons licence.

### **Follow-on reporting**

Cardiomyopathy UK reserves the right to contact researchers after the grant has ended to track the impact of our funded research.

## **14) Intellectual property (IP)**

As a charity, Cardiomyopathy UK is under an obligation to ensure that the useful results of research that it funds (whether in whole or in part) are applied for the public good. In some circumstances, this obligation may be best achieved through the protection of IP and commercial exploitation.

### **Notification and monitoring**

The host institution and grant holder should notify Cardiomyopathy UK promptly in writing when IP arises from the grant and take all reasonable steps to ensure that such IP is protected and not published or otherwise disclosed publicly prior to protection (whilst at the same time ensuring that potential delays in publication are minimised).

## Permission to exploit

The host institution should seek Cardiomyopathy UK's consent to exploit commercially the results of any research it has funded. Consent will not be unreasonably withheld; Cardiomyopathy UK will only refuse a host institution's request where it considers that the proposed commercial exploitation would run counter to its interests and charitable objectives. If Cardiomyopathy UK does not provide a response to the host institution's written request within thirty days of receiving such request, the host institution or its technology transfer subsidiary will automatically have the right to proceed with such commercial exploitation. The host institution is not required to seek Cardiomyopathy UK's consent in assigning IP to its technology transfer company.

## Institutional guidelines

Cardiomyopathy UK requires the host institution to have procedures in place for the identification, protection, management and exploitation of their funded IP.

## Ownership and management

The host institution must ensure that all persons in receipt of Cardiomyopathy UK funding or working on a Cardiomyopathy UK-funded activity (including employees, students, visiting staff and subcontractors) are employed or retained on terms that vest in the host institution all Cardiomyopathy UK-funded IP. If the host institution decides not to protect, manage, exploit any Cardiomyopathy UK-funded IP arising out of the grant then the charity has a right, but not a duty to protect, manage or exploit such IP. If Cardiomyopathy UK decides to exercise this right, the host institution shall procure that its employees, students and any third parties acting on its behalf carry out all acts reasonably required by Cardiomyopathy UK to assist the charity in such protection and exploitation.

## Rights and revenue sharing

The host institution, grant holders and co-applicants should inform the charity of any pre-existing arrangements of which they are aware, and which could lead to a breach of the Cardiomyopathy UK-funded standard conditions. The host institution shall use all reasonable endeavours to ensure that no consultancies, third party restrictions or arrangements which might impact on a Cardiomyopathy UK-funded grant are entered into in relation to any Cardiomyopathy UK-funded person or activity without prior agreement of the charity. Charity funded investigators or individuals involved in a charity funded project should not use materials or compounds (other than those obtained commercially), on terms which would place restrictions on the publication of the results. The host institution shall use all reasonable endeavours to ensure that 'reach through rights' have not been granted on any charity funded IP in favour of commercial organisations providing materials or compounds to charity funded individuals for research purposes. However, Cardiomyopathy UK recognises that companies providing materials may often require exclusive rights to any IP arising from use of that material, and that this requirement is often non-negotiable. Where intellectual property arises from research linked indirectly to the use of material provided under such agreement, the provider should be offered a time-limited opportunity to take out a revenue-generating licence.

As a condition of granting consent, Cardiomyopathy UK will require the institution to accept standard revenue and equity sharing terms of the charity.

## Technology transfer fees

Technology Transfer Office (TTO) translation costs are set at 5-10% after deducting direct costs. Where a higher percentage fee is sought by the host institution, the onus will be on the host

institution to demonstrate why a higher fee is warranted (for example because relevant service cost has been absorbed by the TTO other than those already deducted as direct costs).

The parties shall share all net revenue received from the exploitation of the arising IP, in the proportion of fifty percent (50%) to the host institution and fifty percent (50%) to the charity.

Cumulative net income	TTO translation fee	Remaining split
£0-100,000	10%	50% charity, 50% host institution
£100,000+	5%	50% charity, 50% host institution

## 15) Limitations of Cardiomyopathy UK's liability

Cardiomyopathy UK assumes no responsibility, financial or otherwise, for any expenditures (or liabilities arising from such expenditures) outside those explicitly detailed in the formal award letter and these conditions. All expenses covered under this grant must adhere to the host institution's standard governance and procedures, and must be subject to the formal audit arrangements in place at the host institution.

## 16) Termination

### Termination by Cardiomyopathy UK

Cardiomyopathy UK reserves the right to terminate the grant if the grant holder fails to comply with these terms and conditions or if the research is deemed to be progressing unsatisfactorily.

### Termination by grant holder

If the grant holder needs to terminate the project prematurely, they must notify Cardiomyopathy UK in writing, providing a detailed explanation and a plan for winding down the project and returning remaining funds.

### Return of Funds

Upon termination, the grant holder will be required to return any unspent funds. A final financial report must be submitted to Cardiomyopathy UK within 30 days of termination.

## 17) Audit and evaluation

Cardiomyopathy UK reserves the right to audit the grant holder's financial records related to the grant to ensure compliance with these terms and conditions.

The grant holder must cooperate with any evaluation or impact assessment conducted by Cardiomyopathy UK or its designated third-party evaluators.

## 18) Data Protection Act

Applicants must submit their application and supporting documents to [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org). They must agree that the information provided therein is, to the best of their knowledge, complete and accurate.

Cardiomyopathy UK is compliant with GDPR and adheres to the principles of the [Data Protection Act 2018](#).

Applicants should be aware that information provided on grant applications will be stored and circulated as needed for our review process. Information on successful applications will be used and/or copied to the relevant authorised officer(s) in their respective institutions as necessary for standard award procedures to be activated. Information on the status of their

award may be made available to the relevant authorised officer in the institution(s) listed on their application by the charity as necessary for the conditions of the award to be fulfilled.

Application forms will be retained electronically for five years in the case of successful applications, and three years in the case of unsuccessful applications, and may be consulted by Cardiomyopathy UK in the event of future applications being submitted. Details of award holders (including name, institution, project details and amount of award) will be used to compile published lists of award-holders which will be made available on our website, and to produce statistical and historical information on funding awarded by the charity. Details of our awards may also be shared with AMRC and their partners for the purposes of grant monitoring. For example, details of the grant may be included in the annual UK Health Research Analysis, and other landscape reviews.

Queries submitted under the terms of the Data Protection Act about the processing of personal data should be addressed to [research@cardiomyopathy.org](mailto:research@cardiomyopathy.org). Submitting the application form constitutes the applicant's agreement to all terms and conditions.

#### **19) Data monitoring**

Personal information provided by applicants will be used for monitoring and statistical purposes only, and at no stage will it form any part of the assessment process.