



**AWARDS HANDBOOK
AND TERMS AND CONDITIONS**

April 2009

YORKSHIRE CANCER RESEARCH
AWARDS HANDBOOK AND TERMS AND CONDITIONS

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YORKSHIRE CANCER RESEARCH

CONDITIONS OF AWARD

1 Conditions of Award

1.1 These conditions of award and their Appendices (“**Conditions**”) contain detailed information to assist an applicant when applying for an award (“**Award**”) from Yorkshire Cancer Research (“**YCR**”). A table of the Awards available is included within these Conditions. All Awards are accepted by the applicant and his or her institution (the “**Institution**”) subject to, and on the terms of, these Conditions. Where there is any conflict between these Conditions and the notes in the application forms, these Conditions shall prevail. Failure to comply with these Conditions, and/or any additional conditions applicable to any particular Award, on the part of the applicant or his or her Institution, will allow YCR immediately or after due consideration to withhold, suspend terminate or vary the Award as it thinks fit.

1.2 YCR classifies applications according to the nature of the Award, of which there are a variety (more specifically described in the Appendices). Unless otherwise stated in these Conditions, all Conditions apply to each type of Award.

1.3 As a charity, YCR is always conscious of its need to deliver public benefit. In the context of supporting cancer research it is therefore interested in the potential for delivering improved health care to cancer patients. All applicants are therefore required to state how they see the benefits of their research being brought to the benefit of cancer patients.

2 Fundable activities

2.1 YCR's vision is to make a major contribution through Awards to enable Yorkshire researchers to play a leading part in discovering the causes and cures of cancer and improving all aspects of treatment and diagnosis.

2.2 YCR funds research into two broad areas. First, studies which help to elucidate the causes and cures of cancer by investigating genetic and related biochemical changes in pre-cancerous lesions, primary cancers and metastatic conditions. These include studies on agents, which might either initiate or impede malignant changes. Secondly, research is undertaken into areas with potential for more immediate patient benefit, including improving imaging techniques, developing new therapeutic agents and novel approaches to surgical techniques.

2.3 At all levels of investigation however, investigators are encouraged to consider the possibilities of any research outcomes which might be used to improve patient benefit. In addition, all applicants should be aware of the significance of intellectual property rights arising from work funded by YCR and how they might be exploited. Any potential for commercial development will be encouraged in partnership with both researchers and Institutions. YCR will also consider the funding of Awards to help projects move along the pathway towards commercialisation (see Appendix M).

2.4 YCR funds aspects of the training of early career stage researchers and physicians, and encourages partnerships with other appropriate funding bodies and academic institutions based outside Yorkshire. Personal Awards will be advertised on the YCR website as and when they become available.

2.5 YCR does not fund larger clinical trials, descriptive epidemiology, health services research and health education.

2.6 YCR adheres to AMRC guidelines relating to full economic costing and ineligible costs (www.amrc.org.uk).

2.7 YCR will not normally fund generally available computer equipment as part of an award unless very specific and detailed reasons are provided to justify the request.

3 Qualifying applicants

3.1 Only applications from researchers and clinicians working within the boundaries of Yorkshire will be considered by YCR. In each Award round, an individual may not be principal applicant on more than one application. He/she may be co-applicant on other applications in that round.

4 Process of application

4.1 **Applicants are urged to read the accompanying Appendices very carefully.** If the applicants are at all unsure whether they are eligible to apply for a particular Award or are unsure about other aspects of the process of application, they should consult the YCR website (www.ycr.org.uk) for guidance before making an application. The application timings vary with the nature of the Award. Further details are given in the Appendices and on the YCR website. Applicants are advised to submit their applications well in advance of any notional starting date, to allow ample time for the assessment process.

4.2 Applicants should ensure they use the correct application form. Most forms are available on the YCR website (www.ycr.org.uk) although some application forms must be obtained from YCR headquarters. The layout of the application form must not be modified. See the Appendices for additional submission criteria.

5 Address for applications

5.1 All hard copies of applications should be submitted to the Chief Executive, Yorkshire Cancer Research, 39 East Parade, Harrogate HG1 5LQ and must be received by the relevant deadline (if applicable). Please note that if applicants require an acknowledgement of their application, a stamped addressed envelope should be provided.

6 Outcome of applications

6.1 YCR appoints a Scientific Advisory Committee (“**SAC**”) which, with the assistance of reports from referees external to Yorkshire, assesses applications for Awards and makes recommendations to the Council of Management of YCR (“**Council**”), whose decision of acceptance or refusal is final. Unsuccessful applicants will be provided with feedback on their application.

YCR will not enter into further communication or correspondence regarding the decisions of Council.

6.2 Awards will normally be offered to the applicant’s Institution as detailed in the application. When an application is approved by YCR, two letters are issued; one to the principal investigator (copy to the Institution), containing details of the Award and any additional conditions, and a separate letter to the Institution (copy to the principal investigator), setting out the terms on which the Award monies will be paid over by YCR. Until copies of both letters (in duplicate) have been countersigned by the recipients and returned to YCR, no monies can be or will be paid over.

6.3 For this reason the standard application should be signed by the applicant and countersigned by the Head of the Faculty/Department or other person with authority within the Institution. **Where more than one applicant is named at the head of the application, every applicant must sign the form.** The applicants must then obtain a further signature of the officer who will be responsible for administering the Award at the Institution, e.g. Finance Officer, Bursar, Registrar or Secretary. Standard applications received without these signatures will be rejected.

6.4 For the avoidance of doubt, both the Institution and the individuals responsible for the relevant Award are, by signing any standard application or other form of submission, bound by these Conditions.

7 Human subjects

7.1 Local ethical committee consent is required for research that includes investigations involving human subjects. Appropriate evidence of such approval must be incorporated in the application. YCR will expect all such work to conform to the procedures of the host Institution and be in accordance with the policies of the Medical Research Council.

8 Animals and genetically modified organisms

8.1 YCR will not support research involving animals where, in its opinion, alternative methods of investigation are available. YCR will expect all such work to conform to the policies of the Medical Research Council. Guidelines are published by the National Centre for the Replacement, Refinement and Reduction of Animals in Research (May 2008) details of which can be found at <http://www.nc3rs.org.uk/downloaddoc.asp?id=719>.

8.2 YCR will expect all genetic modification work to conform to the procedures of the host Institution and be in accordance with the policies of the Health and Safety Executive.

9 Intellectual property and commercial activities

9.1 The primary purpose of YCR is to fund research into the causes and cures of cancer and to propagate the results of that research. YCR strives to deliver public benefit from its charitable funding activities and so is particularly concerned to create the best conditions for research, and to translate that research into tangible healthcare benefits. YCR supports the appropriate protection and use of intellectual property rights where this will maximise healthcare benefits. The aim of this Condition is to provide a statement for YCR-funded researchers on YCR's position on the protection and use of intellectual property ("IP") through patenting.

9.2 YCR requires the Institution to develop and implement strategies and procedures for the identification, protection, management and exploitation of YCR-funded IP. YCR also requires the Institution to ensure that all persons in receipt of YCR funding or working on a YCR-funded activity (including employees, students, visiting fellows and subcontractors) are employed or retained on terms that vest in the Institution all YCR-funded IP.

9.3 Should any YCR-funded IP arise from the Award, then YCR requires the Institution to consider whether the protection, management and exploitation of such YCR-funded IP is an appropriate means of achieving the public benefit. If the Institution considers that this is an appropriate means, then the Institution must keep YCR fully informed of the steps it proposes to take in connection with such protection, management or exploitation and must seek the prior written consent of YCR (not to be unreasonably withheld) before it makes any commercial use of, or grants to any third party any rights over, such YCR-funded IP. As a condition of granting consent, YCR will require the Institution to accept the standard revenue and equity sharing terms of YCR that are in place at that time. A summary of YCR's current standard terms are attached as Appendix N.

9.4 If the Institution does not protect, manage or exploit any YCR-funded IP arising out of the Award to the reasonable satisfaction of YCR, then YCR shall have the right, but not a duty, to protect, manage and exploit such YCR-funded IP. Unless YCR reasonably considers that the opportunity to protect, manage or exploit such YCR-funded IP for the public benefit could be lost and more immediate action is required, such right shall only be exercised 6 months after YCR has given the Institution notice in writing that it is failing to protect, manage and exploit such YCR-funded IP to the satisfaction of YCR. The Institution agrees to do, and will ensure that its employees, students and any third party acting on its behalf will do, all acts and execute all documents (including without limitation an assignment of the YCR-funded IP) required to assist YCR in such protection and exploitation.

9.5 If the Institution wishes to use any third party to carry out its obligations with respect to this Condition 9, then it must provide details of the proposed third party to YCR and obtain the prior written approval of YCR to such third party carrying out commercialisation activities with respect to YCR-funded IP.

9.6 The Institution should deal with the Commercial and Clinical Development Officer at YCR in all matters relating to Condition 9.

10 Changes to remuneration after approval of Award

10.1 The approval of YCR must be sought before an assistant for any Award is appointed, either initially or as a replacement, at a grade or salary scale different from that shown in the formal application and/or

the formal offer of Award made by YCR. Prior approval of YCR must also be obtained for any increase in remuneration other than normal increments and nationally agreed pay awards. Retrospective requests will not be accepted. When a national pay award is announced, YCR will automatically meet the increased cost. Details of such increased costs must be notified in writing by the Institution and clearly shown on invoices relating to the Award when these are submitted.

10.2 It must be made clear to all persons engaged or employed in the research at all times, that such people are not employees of YCR.

11 Good research practice

11.1 YCR expects Award holders and their Institutions to abide by the conditions set out in the Wellcome Trust 'Guidelines on Good Research Practice' (available at <http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002753.htm>).

11.2 In the event of scientific fraud being alleged, YCR wishes to make it clear that it is the responsibility of the Institution or employing authority to investigate this. YCR agrees to funding providing the Institution or other employing authority can produce evidence of procedure for dealing with scientific fraud.

11.3 If a case of scientific fraud is suspected in the course of the research, then YCR should be notified immediately and kept informed of further developments. At the initial stages of the enquiry YCR would not normally suspend the Award. However, if adequate steps are not taken to proceed with the investigation YCR will suspend the Award. If fraud is proven, YCR will terminate the Award immediately.

11.4 An acceptable mechanism for dealing with accusations of scientific fraud would probably contain the following elements: a guidance document or code of practice on standards of professional behaviour; provisions for induction and training of staff; monitoring; regulations and procedures for handling allegations; fair procedures and appropriate protection for both the accused and the 'whistleblower'.

12 Promotion of YCR

12.1 Where any Award monies have been used for the purchase of major items of equipment, such items must bear a notice at all times identifying them as being paid for by YCR. YCR will provide the appropriate form of notice.

12.2 Where laboratory or other research teams are funded by YCR, a notice (available from YCR) must be displayed in a prominent position.

12.3 In certain cases, dependent on the level of YCR funding, a research team may be required to refer to themselves as a YCR Unit or similar.

12.4 Where publications have resulted from YCR-funded research, YCR must be acknowledged appropriately and copies of all such material should be forwarded to the Chief Executive.

13 General availability of funds

13.1 Each Award is subject to YCR maintaining, in the opinion of Council, sufficient income to meet its financial commitments. YCR may in its absolute discretion withdraw an Award at any time if in its opinion YCR is unable to continue to fund it. Applicants will be consulted at all stages of this process. Upon termination of an Award, all unspent funds must be returned to YCR.

14 Late starts

14.1 Unless a project is started within four months of the approved starting date the Award will automatically lapse and a new application will be necessary. **If a delay does occur, YCR must be notified immediately in writing with an explanation of, and justification for, the reasons for delay.**

15 Progress reports

15.1 A short scientific report must be submitted annually by 17 April, following the first full year of the award. YCR will automatically supply details of the required format in the Spring of each year. Reports should be submitted in hard copy and by email (in Microsoft Word) to the Chief Executive, Yorkshire Cancer Research, 39 East Parade, Harrogate HG1 5LQ. The report must be short and suitable for publication in YCR's Annual Report and on the YCR website.

15.2 In addition a short questionnaire asking for details of progress will be sent to funded researchers between 6 and 12 months after the commencement of an Award.

15.3 Upon termination of an Award, a full final report must be submitted within three months to the Chief Executive. YCR will supply details of the required format. Each and every author of any such report agrees that copyright of all reports prepared under the terms of these Conditions will belong to YCR.

15.4 YCR may require any Award holder to complete and submit other reports or provide supplementary information relating to the Award at any time.

15.5 Failure to provide any report by the given deadline will lead to the withholding of payment of the Award to the Institution

16 General

16.1 YCR accepts no responsibility, financial or otherwise, for expenditure (or liabilities arising out of such expenditure) or liabilities arising out of the activities funded by the Award. YCR will not indemnify the Institution, any holder of any Award or any other person working on the Award (including employees, students, visiting fellows and subcontractors) against any claims for compensation or against any other claims (whether under any statute, regulation or at common law) for which the Institution or any Award holder may be liable as an employer or for which any such person may be liable.

16.2 YCR reserves the right to amend these Conditions at any time. Any change to the Conditions will be notified on the YCR website (www.ycr.org.uk).

16.3 The Institution, or any holder of any Award, must inform YCR without delay of any change to the status of the Institution or the holders of any Award which might affect their ability to comply with these Conditions.

16.4 Holders of Awards must inform YCR as soon as practicable of any significant divergence from the original aims and directions of the research that is being funded by the Award.

16.5 If any provision of these Conditions is found by any court or other authority of competent jurisdiction to be invalid, unenforceable or illegal, the other provisions will remain in force.

16.6 A person who is not a party to these Conditions shall not have any right under or in connection with them by virtue of the Contracts (Rights of Third Parties) Act 1999 or otherwise.

16.7 Neither the Institution nor any holder of any Award may assign any of their respective rights in the Award to any other party without the prior written approval of YCR.

16.8 The validity, construction and performance of these Conditions shall be governed by English law. All disputes, claims or proceedings between the parties relating to the validity, construction and performance of these Conditions will be subject to the exclusive jurisdiction of the English Courts.

16.9 YCR is a charity with registered number 516898. It is a company limited by guarantee, registered in England and Wales under number 1919823 and its registered office is 39 East Parade, Harrogate, North Yorkshire HG1 5LQ.

Table 1: Overview of Awards available

Appendix	Name	Who can apply	Number per year	Deadlines [†]	Funding limit?	Application form	Average length of time	Salary *
A	Pump priming	See Appendix A	no limit	1 Jan , 1 Apr, 1 July, 1 Oct	no	yes	1 yr	no
B	Project Award	Any Yorkshire based researcher	no limit	10 Jan, 1 Aug	no	yes	3 yrs	yes
C	Equipment	YCR Award holder (excludes pump priming award holders)	no limit	10 Jan, 1 Aug	yes	yes	n/a	n/a
D	Programme Awards	Senior researchers	Contact YCR	see Appendix D	no	yes	5 yrs	yes
E	Capital Awards	Institution hosting Programme Award	no limit	see YCR website	no	no	n/a	n/a
F	Vacation students	Existing YCR Award holders	no limit	Contact YCR	yes	no	8 wks	yes
G	Intercalated BSc	Institution	30	Contact host Institution	yes	no	1 yr	yes
H	PhD studentship	Institution	1 per Institution See appendix H	Contact host Institution	yes	See Appendix H	See Appendix H	yes
I	Clinical Research Training Fellowships	Medically qualified	1	see YCR website	no	yes	3 yrs	yes
J	Senior Researcher Awards	Senior researcher	1	see YCR website	yes	Yes	3 yrs	no
	Researcher Awards	Early career stage researcher	1		yes	yes	3 yrs	yes
K	Professorial Fellowships	Senior researchers	1 at any time	none	no	yes	5 yrs	yes
L	Travel	YCR Award holder (excludes pump priming award holders)	no limit	1 March, 1 Jun, 1 Sept, 1 Dec	no	yes	n/a	n/a
M	Commercial and Clinical Development Awards	See Appendix M	no limit	none	no	no	See Appendix M	n/a

[†] or next working day if a weekend or a bank holiday.

*Is the Award to support the applicant's own salary?

APPENDICES

Notes on submitting an application

Different formats and procedures for applications apply to the different types of Award. Please read the Appendices carefully to satisfy yourself that you are following the procedure applicable to the type of Award you require. If you are unsure of any aspect of the application process, for example, whether you are eligible to apply for a specific Award or whether or not you have the correct application form available to you please consult the YCR website (www.ycr.org.uk) before you make an application or follow any other guidance in the relevant Appendix. The check list at the end of the Appendices is designed to assist applicants with all application forms.

APPENDIX A
PUMP PRIMING AWARDS

Background

Pump priming Awards are typically designed to test specific scientific ideas with a study lasting up to one year and are limited to a maximum of the salary of a junior researcher or technician, together with appropriate consumables. Principal and Co-Applicants contracts with their host Institution must extend beyond the end date of the proposed Pump Priming Award.

Scientific governance

Each Award is assessed by a sub-committee of SAC members who make a recommendation to the Chairman of the SAC. The deadlines for submission are noon on 1 January, 1 April, 1 July and 1 October (or the following working day if a weekend or bank holiday). Five hard copies of applications plus the original document must be received at YCR by the deadline. An electronic version in Microsoft Word must be sent to science@ycr.org.uk but receipt of an electronic version does not constitute compliance with the deadline. Council receives recommendations from the SAC Chairman at the Council meeting following the pump priming award review process.

Application procedures

An application form is available from the YCR website (www.ycr.org.uk). If the form is not correctly completed it will be returned to the applicant for correction and may be re-submitted at the next deadline. The check list at the end of the Appendices is designed to assist applicants with all application forms.

As with all YCR applications, applicants must state how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

APPENDIX B
PROJECT AWARDS

Background

These Awards are the most numerous type of Awards given by YCR. Typically they are for a specific and well defined project over a maximum three year period. There is no upper limit to the total cost of the Award, but emphasis is placed on research excellence and value for money.

Project applications which include a request for a PhD studentship will be rejected. (See Appendix H for PhD studentship applications). Travel costs should also not be included in Project Award applications (see Appendix L for details on Travel Awards).

Scientific governance

All applications are peer reviewed and assessed by a meeting of the SAC which takes place in the spring and autumn of each year. The deadlines for submission are noon on 10 January and noon on 1 August (or the following working day if a weekend or bank holiday). Twenty hard copies of applications plus the original document must be received at YCR by the deadline. An electronic version in Microsoft Word must be sent to science@ycr.org.uk but receipt of an electronic version does not constitute compliance with the deadline. Council receives recommendations from the SAC at the Council meeting following the SAC meeting.

Application procedures

A specific form is available on the YCR web site (www.ycr.org.uk). If the form is not correctly completed it will be returned to the applicant for correction and may be re-submitted at the next deadline. The check list at the end of the Appendices is designed to assist applicants with all application forms.

In all applications the applicant must state how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

APPENDIX C

APPLICATIONS FOR EQUIPMENT (LESS THAN £100,000 IN TOTAL)

Background

These Awards are available to current holders of most YCR Awards who have been applicants or co-applicants. Holders of Pump-Priming Awards are not eligible to apply for equipment Awards.

Scientific governance

All applications are peer reviewed and assessed by a meeting of the SAC which takes place in the spring and autumn of each year. The deadlines for submission are noon on 10 January and noon on 1 August (or the following working day if a weekend or bank holiday). Twenty hard copies of applications plus the original document must be received at YCR by the deadline. An electronic version in Microsoft Word must be sent to science@ycr.org.uk but receipt of an electronic version does not constitute compliance with the deadline. Council receives recommendations from the SAC at the Council meeting following the SAC meeting.

Application procedures

A specific form is available on the YCR web site (www.ycr.org.uk). If the form is not correctly completed it will be returned to the applicant for correction and may be re-submitted at the next deadline. The check list at the end of the Appendices is designed to assist applicants with all application forms.

It is important that full details of equipment are included, together with a copy of the quotation received by the applicant from the relevant manufacturers or suppliers. The quotation should include any import taxes and freight charges payable by the applicant. For equipment over £20,000, evidence of competitive tendering and/or securing maximum discount must be provided along with a statement detailing the policy for competitive tendering from the host institution.

Where installation costs and service charges for items of equipment are likely to be incurred, these installation costs and service charges must be included on the standard application. An estimate of the cost of service contracts and maintenance must be given. If installation costs, service contracts and maintenance are not included in the initial application, YCR will not meet these at a later date.

If the application for equipment is successful the applicant's Institution will be asked to order the equipment and YCR will pay the Institution against its relevant invoice.

In all applications the applicant must state how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

APPENDIX D
PROGRAMME AWARDS

Background

A Programme is defined as a group of extended and parallel inter-related research themes conducted by a defined research group with a strong leader who is responsible for the Programme and its outcome. Programmes are expected to be more ambitious, cost efficient and have added value, compared to a series of Project Awards.

A Programme Award will not exceed 5 years. Continuation may be possible for a further period of time (see below for Programme renewal procedures), so that a strong body of expertise is created and maintained.

Programmes must be of an international standard.

Scientific governance (new Programmes)

Each Programme application will be assessed by a sub-committee of the SAC and a panel of external peer reviewers (the "**Review Committee**"). The Review Committee will take advice from international experts throughout the review process and recommendations of the Review Committee will be given to Council regarding funding.

Application procedures (new Programmes)

The applicants, after suitable consultation with YCR and the SAC Chairman, as well as senior officers of the host Institution, will produce a preliminary application using a specific application form available from YCR.

This will consist of:

- a) an overview of the proposal;
- b) brief details of the scientific background;
- c) proposed investigations;
- d) an overview of staffing on a yearly basis (up to 5 years);
- e) a brief description of costs;
- f) brief details of how the proposed research is likely to benefit cancer patients.

The Review Committee will evaluate the preliminary application and, if acceptable, will invite the applicants to submit a final application, taking into account their comments.

The final application will describe in detail:

- a) the scientific background;
- b) a comprehensive scientific/medical justification;
- c) staffing requirements and costs;
- d) the track record of the applicant(s) and that of any named researchers/clinicians who may be part of the Programme;
- e) how the proposed research is likely to benefit cancer patients.

A specific application form for the full application will be provided by YCR to be completed by the applicants. If the form is not correctly completed it will be returned to the applicant for correction and may result in a delay. The check list at the end of the Appendices is designed to assist applicants with all application forms.

The application will be to support a series of posts necessary to carry out the Programme including researchers/clinicians and support staff. In addition, appropriate equipment and associated running costs, as well as consumables, may be requested.

Overheads, estate or indirect costs will not be considered in accordance with AMRC guidelines (www.amrc.org.uk).

Following successful submission of a final application, a site visit will be arranged to allow the Review Committee to meet the applicants (and any other relevant researchers/clinicians). The Review Committee will receive presentations of past and future work, meet existing/proposed staff, view laboratories and other facilities and, if necessary, discuss any issues with the relevant officers of the host Institution.

If the principal applicant is not tenured, it will be part of the agreement with the host Institution that tenure will be awarded following a successful site visit in the final year of the first Award.

Annual reports detailing progress must be submitted by 17 April.

Scientific governance (existing Programmes)

Existing Programmes will be aligned with the procedures for new Programmes in negotiation with the lead researchers and the host Institution.

Each Programme renewal application will be assessed by a Review Committee. The Review Committee will take advice from international experts throughout the review process and recommendations of the Review Committee will be given to Council regarding a further period of funding.

Application Procedures (existing Programmes)

The applicants, after suitable consultation with YCR and the SAC Chairman, as well as senior officers of the host Institution, will produce a preliminary application for Programme renewal at the beginning of the penultimate year of the existing award using a specific application form available from YCR.

This will consist of:

- a) an overview of the proposal;
- b) brief details of the scientific background;
- c) an overview of staffing on a yearly basis (up to 5 years);
- d) a brief description of costs;
- e) brief details of how the proposed research is likely to benefit cancer patients.

The Review Committee will evaluate the preliminary application and, if acceptable, will invite the applicants to submit a final application, taking into account their comments.

The final application will contain:

- a) a detailed scientific report (with published papers) on the existing Programme Award;
- b) if appropriate, a detailed description of how the actual activity varied from the planned activity giving reasons;
- c) a comprehensive scientific/medical justification for Programme renewal;
- d) detailed staffing requirements and costs;
- e) considerable detail about the track record of the applicant(s) and that of any named researchers/clinicians who may be part of the Programme;
- f) how the proposed research is likely to benefit cancer patients.

A specific application form will be provided by YCR to be completed by the applicants. If the form is not correctly completed it will be returned to the applicant for correction and may result in a delay. The check list at the end of the Appendices is designed to assist applicants with all application forms.

The application will be to support a series of posts necessary to continue the Programme including researchers/clinicians and support staff. In addition, appropriate new equipment and associated running costs, as well as consumables may be requested.

A site visit will take place during the final year of each existing Programme to allow the Review Committee to meet the applicants (and any other relevant researchers/clinicians). The Review Committee

will receive presentations of past and future work, meet existing/proposed staff, view laboratories and other facilities and, if necessary, discuss any issues with the relevant officers of the host Institution.

Overheads, estate or indirect costs will not be considered in accordance with AMRC guidelines.

The principal applicant will be expected to demonstrate how the Programme will develop should any of the named applicants leave the Programme. If the principal applicant leaves, the Programme would normally be terminated. If satisfactory succession planning had taken place then this may be considered by Council. Successful succession planning would normally be seen as the acquisition of a very senior deputy to the current head of unit, some years prior to the retirement of the principal investigator, who would then lead the unit into the next site visit. The deputy would be assessed for suitability in terms of independent scientific ability by a sub-committee of the SAC and a panel of external peer reviewers.

If succession planning has not taken place then the host institution could hire a senior researcher from elsewhere who would be assessed by YCR for suitability as above.

Alternatively the host institution could apply for a professorial fellowship as detailed in Appendix K. If such a senior figure was appointed they would in turn be eligible to apply for a Programme Award in due course.

Without such succession planning, one year of funding would normally be allowed to allow YCR-funded staff to find alternative posts.

YCR-funded members of a Programme may apply for YCR or other funding not related to the Programme Award.

Annual reports detailing progress will be submitted by 17 April.

APPENDIX E
CAPITAL AWARDS

Background

Capital Awards of over £100,000 are made to Institutions for:

- Specific equipment
- Refurbishment of work space
- New buildings

Applications will be made by Institutions to support YCR Programme Award Holders.

Please see the YCR website (www.ycr.org.uk) for current availability of Capital Awards.

Scientific governance

The purpose of such an Award is to support the research within Institutions which host YCR Programme Awards and should be for the benefit of YCR Programme Awards.

An Award will be given following successful peer review of the basic/clinical science behind the request. Peer review will be conducted by a sub-committee of the SAC who will consult with a panel of external reviewers.

The Award will be made to the Institution who will be responsible for its delivery. In certain circumstances, an Award may be made to private or commercial bodies, however, such support would be only forthcoming if YCR had previously funded the underlying science.

Recommendations regarding Capital Awards will be brought to Council via the Chairman of the SAC for their consideration.

Application procedures

Applicants must first contact YCR to discuss the application. The case for support must be provided in the form of a detailed letter with relevant enclosures e.g. estimates of building costs, equipment quotations etc. No deadlines apply.

The letter should describe in detail:

- a) the background to the request and full details of the principal researchers involved;
- b) the scientific/medical justification for the Award. In the case of equipment, the project it will support and details of when it would be required; and in the case of space/buildings, details of the science which will be supported in the new accommodation;
- c) the future use of the equipment (up to 5 years) and an overview of the research likely to be undertaken;
- d) costs and proposed time scales;
- e) any proposed partnership. A Capital Award from YCR may be granted in collaboration with other sources of funding. Full details of such sources will be required with timescales;
- f) the support of the Institution and a point of contact;
- g) proposed peer reviewers external to Yorkshire;
- h) how the proposed research is likely to benefit cancer patients.

APPENDIX F
VACATION STUDENTSHIPS

Background

YCR will support non-clinical undergraduate students who wish to gain laboratory experience in cancer research. Students will be supported for a minimum of four weeks and a maximum of twelve weeks. Contact YCR for details of current approved remuneration.

Scientific governance

Proposed supervisors of vacation students must be holders of YCR Project or Programme Awards. The Chairman of the SAC and two other Council members will assess the application and make a recommendation, which will be reported to Council.

Application procedures

Proposed supervisors should contact YCR for details of current approved remuneration. Applications should be made by letter including details of the student and an outline of the proposed research. All applications must demonstrate support by the host Institution and should normally be submitted to YCR three months before the anticipated start date.

In all applications the applicant must state how the research supported by the request is likely to benefit cancer patients.

APPENDIX G

INTERCALATED BSc AWARDS

Background

A maximum of 10 intercalated BSc studentships are offered annually to each of the three Yorkshire undergraduate medical schools. These studentships aim to promote interest in cancer research amongst medical students at an early stage of their career. Students are required to submit a brief report to YCR on completion of their project.

Scientific governance

Students will be selected on merit by each medical school which will be responsible for the success of individual projects.

Application procedures

Undergraduates should contact their medical schools for details. Each medical school is required to write a formal request letter giving details of each student and a brief description of the project to be undertaken. Medical schools should contact YCR for details of current approved remuneration.

In all applications the applicant must state how the proposed research is likely to benefit cancer patients.

APPENDIX H

PHD STUDENTSHIPS

Background

A separate PhD Award has been created so that graduates can pursue high quality cancer research. YCR will not fund other Award applications which contain requests for non-clinical PhD students.

Each Award will support a successful applicant with an annual stipend in line with current Research Council guidelines (www.mrc.ac.uk) together with university fees. Awards would be for a period of up to four years. Institutions in Yorkshire in current receipt of YCR funding will receive a maximum of one Award per year.

Scientific governance

The Award will be administered by the host Institution along with any other PhD programmes that the Institution might have. Each Institution along with YCR will be expected to ensure equal access to YCR PhD studentships across Faculties.

In order to qualify for an Award, proposed supervisors should be approved in advance by the SAC.

Application procedures

The timing of these processes will depend on the practices of the host Institution as far as the potential PhD candidates are concerned.

Potential supervisors must register with YCR using a specific application form available on the YCR website (www.ycr.org.uk) by 30 November (or the following working day) each year. YCR expects the host Institution to identify potential PhD students through its normal admissions processes. The candidate should have, or be expected to attain, a first class or upper second class honours degree in a relevant subject. Following the identification of a suitable PhD student, supervisors must submit the curriculum vitae of the proposed student along with academic referee statements.

In all applications the applicant must state how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April. In addition, reports required by the Institution must also be forwarded to YCR.

APPENDIX I

CLINICAL RESEARCH TRAINING FELLOWSHIP

Background

These Awards are to allow doctors, dentists or health professionals to study for a PhD. Candidates must show exceptional talent and will make cancer research part of their future career plan.

Announcements will be made regarding deadlines for applications via the YCR website (www.ycr.org.uk) when a vacancy arises.

These Awards will be made with the support of the postgraduate Deanery (or appropriate other authority).

The candidate must be sponsored by a supervisor who leads an active cancer research group. The supervisor and the host Institution must demonstrate a sufficiently strong track record in cancer research to make progress to a successful PhD very likely.

Phase II and III trials will not be considered for funding under this Award.

Scientific governance

Applications will be assessed by a sub-committee of the SAC and external reviewers. Reviewers will be asked to consider whether the proposed topic, the research environment and track record of the host Institution are such that a successful outcome (i.e. a PhD award) is likely or not and recommendations will be given to Council regarding funding.

The Award will cover the salary of the individual (not to exceed a previously determined spinal point) and related expenses for the costs of the work itself.

Application procedures

A specific application form is available. The check list at the end of the Appendices is designed to assist applicants with all application forms. The applicant must complete the form in partnership with an appropriate supervisor.

Annual reports detailing progress must be submitted by 17 April.

In all applications the applicant must state how the proposed research is likely to benefit cancer patients.

APPENDIX J

SENIOR RESEARCHER/ RESEARCHER AWARDS

Background

These Awards are to support researchers who are established or attempting to become established in cancer research (basic or clinical). Announcements will be made regarding deadlines for applications via the YCR website (www.ycr.org.uk) when a vacancy arises.

The Awards will be made to researchers with a proven track record, usually but not necessarily, in cancer research (see below).

Senior Researcher Awards

Researchers who qualify for this Award will be those who hold, or have previously held, Programme Awards from YCR or similar awards from other cancer research charities, the MRC/Wellcome or equivalent organisations. The applicant's credentials will need to be approved by YCR.

This Award will, for example:

- enable researchers who have had a career break to return to world class research by providing support for research staff and assistance with consumables and other costs;
- enable researchers to change research direction, and, in certain circumstances, to support non-cancer researchers who wish to apply their talents to cancer research;
- support senior researchers when they take on (temporary) new duties e.g. Dean of Faculty, or give senior researchers a period of release from their academic/clinical duties by supplying additional research staff for a limited period.

The Award will be for a maximum of three years.

The maximum Award for a three year period would not exceed £200,000.

Scientific governance

Applications will be assessed by a sub-committee of the SAC and external reviewers and recommendations will be given to Council regarding funding.

Application procedures

A specific application form is available from the YCR website (www.ycr.org.uk). The check list at the end of the Appendices is designed to assist applicants with all application forms.

The application form must be accompanied by a detailed statement, in the form of a letter, as to why the applicant wishes to apply for this Award and how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

Researcher Awards

A typical applicant for this type of Award will be an early career stage researcher with a promising post-doctoral track record. The qualification criteria for this Award include the following:

- the researcher may have had a career break through illness, maternity leave or for other reasons and wishes to return to active research work;
- the researcher may be seeking to establish an independent cancer research career;

- the researcher may have had an excellent career in a non-cancer area of science and wishes to direct their activities towards cancer research;
- the researcher may wish to relocate to a Yorkshire Institution to further their career in cancer research.

The Award will support the salary of the individual with associated costs for up to a maximum of three years.

It is considered essential that the researcher is associated with a larger and academically sound research group. YCR will seek an assurance from the host Institution that they will assume responsibility for the researcher at the end of the Award.

The maximum Award for a three year period would not exceed £200,000.

Scientific governance

Applications will be assessed by a sub-committee of the SAC and external reviewers and recommendations will be given to Council regarding funding.

Application process

A specific application form is available from the YCR website (www.ycr.org.uk). If the form is not correctly completed it will be returned to the applicant for correction and may be re-submitted before the given deadline. The check list at the end of the Appendices is designed to assist applicants with all application forms.

The application form must be accompanied by a detailed statement, in the form of a letter, as to why the applicant wishes to apply for this Award and how the proposed research is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

APPENDIX K

PROFESSORIAL FELLOWSHIPS

Background

This Award will support the salary of a senior cancer researcher for five years after which it would be expected that the host Institution would assume responsibility for the individual's salary. The main aim of the Award will be to complement the current scientific skills in Yorkshire. Any applicant for these fellowships will be expected to be of Professorial, or equivalent status. Announcements will be made regarding deadlines for applications via the YCR website (www.ycr.org.uk) when a vacancy arises.

In addition to salary and related costs, it is anticipated that further support costs might be required. Holders of Professorial Fellowships are eligible to apply for other relevant YCR Awards.

Only one Professorial Fellowship will be in existence at any time.

Scientific governance

Applications will be assessed by a sub-committee of the SAC and external reviewers and recommendations will be given to Council regarding funding.

Application process

Applications for such Fellowships will originate from the senior officers of an Institution who wish to recruit a senior active researcher from elsewhere. The application should be part of the Institution's research plan.

The application process will be in three phases. Initially, a confidential letter is required from the potential host Institution outlining the application with details of the proposed research areas, indicating how this fits in with the Institution's research strategy and how it is proposed to identify the desired individual researcher.

If this is approved by Council, the next stage will be for the host Institution to identify suitable researchers. It is the role of the Institution to identify a preferred candidate. At this point YCR will not be involved in any processes and can neither make nor guarantee offers of funding until the final processes have taken place. All details of the Professorial Fellowship application procedures will be treated as strictly confidential.

The final part of the process is for the host Institution, on behalf of their preferred candidate, to submit a formal application for peer review. At this stage a specific application form is available from YCR. The application should address the following areas:

- the relevant scientific career history of the applicant together with details of markers of esteem including publication record and award income;
- the proposed research activity over the next three years including any awards to be transferred with the candidate from elsewhere;
- the additional support being offered by the host Institution;
- separate request(s) for further support;
- the detailed salary cost for the five year period;
- suggestions for up to six external peer reviewers;
- details of how the candidate's past and future work is likely to benefit cancer patients.

Annual reports detailing progress must be submitted by 17 April.

APPENDIX L

TRAVEL AWARDS

Only current Award holders and staff supported by YCR Awards (other than Pump Priming Awards) can apply for Travel Awards. Departments and Centres in receipt of endowments or core funding will be expected to meet the travel costs of their researchers in whole or in part. Applications for this type of funding should **not** be included in other types of funding applications.

Normally it will be the intention of YCR to limit the number of travel awards awarded to an individual within a given period. The number of people supported for attendance at any one meeting will be limited with priority given to those who are making presentations at the meeting. Priority will also be accorded to researchers in their immediate postdoctoral years, i.e. at the vital stage when they are forging their independent research careers and to PhD students in their second or third year of research.

Departments and Centres in receipt of endowments or core funding will be expected to meet the travel costs of their researchers in whole or in part.

A specific application form is available which should be completed and returned to YCR.

Deadlines for application are 1st March, 1st June, 1st September and 1st December.

Retrospective applications will not be accepted.

APPENDIX M

COMMERCIAL AND CLINICAL DEVELOPMENT AWARDS

YCR is able to pursue its main objective of funding research into the causes and cures of cancer by supporting translational research or by undertaking programme related investment (“**PRI**”). The emphasis is on the potential of a technology to impact on healthcare and bridge the gap between basic research and translation of that research.

The Charity Commission (“**CC**”) has published guidelines which confirm that a charity can use its charitable funds to provide funding to a commercial company provided that the company’s activities further the charity’s objects.

The CC guidelines require that charities which engage in PRI have a policy for this form of funding activity.

This Appendix sets out YCR’s policy on PRI for translational activities and provides other guidance on how applicants should seek to further such an application.

The policy

1. YCR's main object is to promote research into the causes and cures of cancer and to propagate the results of such research.
2. YCR believes that one way in which it can further its charitable objects is by using its charitable funds to provide funding for projects which are to carry out or are already carrying out novel applied biomedical research into the causes and cures of cancer with potential to deliver healthcare benefits in that area. Applicants might be companies operating in this area, might be planning to form a company to do so, or might be wishing to move an existing research project into the translational area. In the case of corporate funding, the purpose of the PRI would be to enable the company to develop the project to a point at which it could attract funding from the commercial sector to develop the project into new pharmaceutical applications by the pharmaceutical industry. This type of development is commonly termed "translational research" or "technology transfer".
3. The primary purpose of YCR in making a PRI is to further the charitable objects of YCR and not to produce a financial return as with a conventional investment. Nonetheless, if a financial return is generated from a PRI, YCR will use this return to further its charitable objects.
4. When deciding to make a PRI, YCR must be satisfied in each case that:
 - (a) the PRI will be a proper application of YCR's resources;
 - (b) the PRI is an expedient way of using charitable funds to further one or more of its charitable objects in a given case, having considered all relevant matters and taken independent advice, if appropriate;
 - (c) the PRI will be used by the recipient to fund activities that clearly further YCR's objects;
 - (d) appropriate legal agreements and other documents are in place to safeguard YCR's PRI by requiring the recipient not to use the PRI for any purpose other than for the purposes stipulated by YCR. The documentation will contain provisions to enable YCR to secure an appropriate share of any financial return from the PRI, provisions to monitor its PRI and the use by the recipient company of the resources provided by YCR to ensure that they are being used to further the objects of YCR and an exit strategy in the event that the project becomes involved in areas of activity that YCR cannot support;
 - (e) any private benefit derived from the PRI will be ancillary and incidental to the public benefit achieved by the PRI, that is to say:

- (i) the private benefit arises as a necessary but incidental consequence of the decision to achieve the public benefit through the PRI;
 - (ii) any private benefit is not excessive and will be heavily outweighed by the public benefit;
 - (f) the application of the PRI has regard to the CC's guidelines on the use of PRI.
5. The terms of reference of YCR's Committee for Commercial and Clinical Development ("**CCCD**") set down by Council with respect to technology transfer provide for this Committee to consider the use of, or applications for, PRI for technology transfer activities and making recommendations to Council on these applications.

Other relevant matters

1. Each application for this type of Award will be unique to the applicant concerned and YCR has no set "format" for such applications. However, applicants should consider the questions set out in the next part of this Appendix when forming their application.
2. Assistance in advance of any application can be obtained from YCR's Commercial and Clinical Development Officer ("**CCDO**") at 39 East Parade, Harrogate, North Yorkshire HG1 5LQ.
3. YCR is willing to co-fund alongside others.
4. YCR expects to be in early communication with the relevant Institution's technology transfer office.
5. In bridging the gap between basic research and translation of that research, a credible case as to how and why an innovation will be developed further by the market is necessary, but the level of revenue return is not YCR's main consideration.
6. Providing it is adequately justified, modest equipment purchase and maintenance costs may be included in an Award. Building or refurbishment expenditure will not normally be considered.
7. Applications should be submitted to the Chief Executive, Yorkshire Cancer Research, 39 East Parade, Harrogate, North Yorkshire HG1 5LQ.
8. Applications will be reviewed by the CCCD who will make recommendations to Council.
9. YCR is likely to require due diligence to be performed in connection with the application. This may be scientific, commercial, legal (including intellectual property) and financial.
10. YCR will wish to communicate with the applicant (and if it is a company or proposed company with any existing shareholders and investors). It will usually do this through the CCCD (or a particular member of it) or through the CCDO and/or YCR's Research Liaison Officer.
11. Completion of any Award will require the preparation, negotiation and formal execution of relevant legal documentation which will be subject to contract and will require input and approval from relevant YCR professional advisers.

Questions for applicants

1. What is the technology that is to be further developed?
2. Please provide details of:
 - (a) key points of validation;
 - (b) the current stage of development of the technology; and

- (c) any other relevant background information.
3. Give details of the proposal, including:
 - (a) the plan of investigation to be funded by YCR;
 - (b) the specific aims and objectives of the plan;
 - (c) at least 2 milestones for the YCR-funded element during the course of the project (remembering that funding may be dependent on achieving milestones); and
 - (d) how this proposal will lead to a healthcare benefit.
 4. Please supply a Gantt chart or similar graphical overview of the tasks to be undertaken, their sequence and duration.
 5. How will the project be managed to deliver the milestones and key objectives? Describe any in-house expertise, and any which is to be accessed externally.
 6. What are the potential healthcare benefits of the technology?
 7. Provide details of relevant commercial matters including:
 - (a) any patents granted, including application number, priority date, inventors, applicant, funding source and title, or any applications pending and a report on their progress;
 - (b) how these patents or patent applications relate to the proposal?
 - (c) describing any freedom to operate issues that have been identified or that might arise and how these will be or have been addressed. Include the type and date of any searches that have been carried out;
 - (d) describing any new types of intellectual property that can be anticipated to arise, including how the identification of these inventions will be managed;
 - (e) the competitive advantage of the proposed technology over current approaches;
 - (f) why at the end of YCR funding the technology will be attractive for follow-on funding or commercial exit and how either of these things will be achieved;
 - (g) the identity of any parties that would be interested in such a technology and any approaches made to date; and
 - (h) details of the budget for the project.

APPENDIX N

STANDARD REVENUE/EQUITY SHARING TERMS

1. The terms set out in this Appendix are YCR's current terms in connection with the matters with which they deal. YCR may vary or replace in whole or part these terms at any time.
2. YCR accepts that if the Institution has or has retained the services of a body which is responsible for providing technology transfer services to the Institution, it will be necessary to agree with the Institution a technology transfer fee calculated as a percentage of the cumulative income. YCR expects the relevant percentage to become smaller the higher the income figure rises, and would expect a maximum percentage of 30%. This will be deducted before the income distribution referred to at paragraph 3 below.
3. The Institution must determine whether the Award is the sole source of funding for the relevant research project (the "**Project**"). In the event that it is, then income received by the Institution as a result of the exploitation of the YCR-funded Project shall, after deduction of direct costs incurred in connection with the exploitation of the YCR-funded Project, be distributed in the following percentages:
 - a. on income arising up to the sum of £100,000, 65% to the Institution and 35% to YCR; and
 - b. on income arising in excess of the sum of £100,000, 60% to the Institution and 40% to YCR.
4. Where the Award is the sole source of funding, then where rights to take equity are received, these will be shared as to 60% to the Institution and 40% to YCR.
5. If the Award is not the sole source of funding for the YCR-funded Project, then the income or the equity arising must be pro-rata calculated to take into account:
 - (a) the inventive contribution of other inventors; followed by
 - (b) the proportionate funding contributions of YCR, the Institution and other third party funders of each inventor (such funding contributions to exclude any salary support provided by the Institution from its internal funding, including HEFC funding)and the revenue/equity sharing formulae set out in paragraphs 3 and 4 above will apply to the portions of gross income or equity attributed to YCR under this paragraph 5.
6. YCR must be given not less than 2 months written notice prior to completion of a first equity funding round and be provided with copies of all documentation provided to other investors.
7. The share of any income or equity due to YCR shall be allocated to YCR prior to the deduction of any reward to the Institution's employees or students who are inventors of any IP arising from the YCR-funded Project and the Institution shall be solely responsible for payment of such reward out of the share of revenue or equity to which it is entitled under paragraphs 3, 4 and 5 above.
8. The Institution must provide YCR with statements of financial information for agreed periods (to include gross income, net income, cumulative income, direct costs, technology transfer costs, equity, revenue shares and taxes with a clear breakdown of how the amounts involved were determined) within 3 months from the end of such period and the Institution shall make payment to YCR within 14 days of receipt of the proper VAT invoices for the sums due to YCR.
9. The Institution shall keep accurate records and accounts of all matters relating to the exploitation of all YCR-funded Projects and YCR will have the right to audit these upon request in accordance with standard UK accounting practice. The Institution shall provide copies of all records and accounts on request. Payments not paid on the due date will carry interest at the rate of 4% over

the current Bank of England base rate, shall be calculated daily and shall be compounded quarterly from the due date until the date of actual payment.

10. In respect of any IP arising from a YCR-funded Project, the Institution must:
 - (a) provide to YCR copies of any signed agreements entered into;
 - (b) provide YCR with details of any patent applications, awards and abandonments;
 - (c) deliver at least annually a report detailing the commercialisation activities for that year to YCR; and
 - (d) arrange and hold update meetings once every 6 months (or at such other intervals as are agreed) with YCR.
11. YCR accepts that it may need to enter into formal confidentiality arrangements with the Institution as part of the structure to allow exploitation of the YCR-funded IP. Clause 5.2 of YCR's standard agreement contains confidentiality obligations.

Checklist for applicants using the Awards application forms

- 1 Have you completed **ALL SECTIONS** of Pages 1 and 2? Note particularly the section entitled “Summary of support requested in Appendix II” which is frequently left blank.
- 2 Have all amounts in the “Summary of support requested in Appendix II” section been added up correctly?
- 3 Has the form been signed by the **Head of Faculty/Department** and the appropriate **Institution Administrative Authority**?
- 4 Is the start date appropriate? This date should reflect the approximate two month window following an SAC meeting during which decisions on funding are taken.
- 5 Is the title of the application entered in Appendix I and does it match that on page 1?
- 6 Have all sections of the Appendices been completed?
- 7 Have you ensured that you have not altered the format of the original application form?

Note that applications **must** conform to the spacing rules where described.
- 8 Do all your references include titles of the papers and is each on a separate line?
- 9 Is your application contained totally within the page limit specified in Appendix I?

(The only additions allowed are notices of ethical approval, letters signifying collaboration and quotations for equipment.).
- 10 Are all letters from named collaborators included?
- 11 Has every applicant completed his or her CV and signed the application?
- 12 Has every applicant ensured that **not more than five** publications are cited?
- 13 Have you included six copies of papers that have been submitted or are accepted for publication?
- 14 Has the Declaration under “Acceptance of regulations and conditions” been signed?
- 15 Have you enclosed the original application together with the appropriate number of photocopies described on page 1 and sent an electronic version in Microsoft Word to science@ycr.org.uk?
- 16 Have you indicated how the outcomes of your work will be brought to the benefit of cancer patients?

If your answer to any of these is ‘No’ then your application will be returned for compliance and will be deferred to the next round of applications.