

The Lullaby Trust

Regulations Governing Research Grants



1. The Lullaby Trust:

(i) The Lullaby Trust was founded in 1971 as The Foundation for the Study of Infant Deaths to fund research into the causes of sudden infant death. We are committed to supporting research to understand why over 400 babies a year die suddenly and unexpectedly in the UK and to find out more about how to prevent these tragic deaths.

(ii) A Board of Trustees governs The Lullaby Trust, which is served by the Grants Committee, the Finance and Resources Committee, Services Committee, Fundraising Committee, a Communications Committee and also a Scientific Advisory Group.

2. Resources:

(i) Over the years, the charity has spent over £12 million towards research. We have made a significant contribution to understanding the possible reasons for why some babies die and were pivotal in reducing the rate of SIDS by over 80% since the 1990s.

(ii) The Lullaby Trust's policy is that it prefers to make several smaller grants rather than a few very large grants.

3. Scope and nature of grants:

(i) The Lullaby Trust is concerned with the problem of sudden unexpected death in infancy (SUDI), of which sudden infant death syndrome (SIDS) is part. We are also concerned with sudden unexpected death in childhood (SUDC), which involves babies over the age of 12 months. It supports research focusing on factors known to influence infant well-being, morbidity and mortality. The Lullaby Trust has supported a wide range of research programmes into topics in the fields of epidemiology, immunology, pathology, statistics, physiology, biochemistry, metabolism, infection, infant care practices and evaluation of interventions to reduce relevant risk factors or promote infant health.

(ii) The Lullaby Trust will welcome applications to support any branch of scientific research relevant to The Lullaby Trust's objectives, subject to the approval of a specific programme in each case. The purpose of this scheme is to complement the resources of the applicant's own institution by meeting the special costs arising from research projects that are of interest to The Lullaby Trust. Grantholders may work either independently or under the direction of (or in partnership with) other research workers; the latter may or may not be receiving The Lullaby Trust's support.

4. Place of work

Grants may be awarded for research in universities, medical schools, hospitals or other research institutions, or in general practice.



5. Types of assistance covered by grants

(i) A grant may provide for:

- a) **Personal remuneration** for research workers or salaries for graduate or technical assistants working whole time or part time on the project in question; the cost of clerical or secretarial assistance can be provided only in exceptional cases;
- b) **Expenses** such as the cost of laboratory materials, where these cannot be met from normal departmental resources, and also certain travel costs;
- c) **Apparatus** required for a particular research programme which cannot be provided from Higher Education Funding allocations for departmental apparatus or from other departmental resources.

(ii) An applicant may, in one application or in separate applications made at different times, request support under any or all of those headings.

6. Types of support not generally covered by grants

(i) Subsidies to institutions or departments for accommodation, basic services, overheads or administrative expenses, standard laboratory apparatus and general research expenses and apparatus.

(ii) Grants for unspecified research work.

(iii) Retrospective grants in aid of work already done.

(iv) Remuneration for students in the course of their undergraduate training but Short-Term Research Fellowships may be available for specific research projects.

7. Tenure of grants

(i) While grants are normally awarded for up to three years, The Lullaby Trust may, after due notice, terminate or reduce them at any time.

(ii) Extensions beyond the normal maximum of three years will be approved only after special review, on receipt of a report covering at least two years' work and an application form relating to the period of extension. Extensions are considered only in respect of a continuation of the project as defined in the first application; for new work in the same field a fresh application must be submitted.

8. Non-effective grants and grants held in abeyance

A grant, which is not taken up or which has been taken up but is held in abeyance (e.g. through inability to find a replacement for an assistant who has left), will lapse six months from the date of the letter announcing the award or from the date on which it falls in abeyance. A new application will be necessary if it is intended to take up the same work at a later date.



9. Experimental animals

(i) As a member of the Association of Medical Research Charities (AMRC), The Lullaby Trust supports their position statement on the use of animals in research. All experimental programmes supported by The Lullaby Trust must only use animals where there are no alternatives; see the NC3Rs website for further information and guidance (www.nc3rs.org.uk). Any animal involvement in research must be declared as part of your methodology on the application form.

(ii) Applications for Home Office licences or certificates for experiments on living animals must be made to the Home Office through the normal channels of the institution concerned. All general or local regulations relating to the use of experimental animals must be carefully observed. The Lullaby Trust's support of a particular project does not exempt the research worker concerned from personal responsibility in this regard. Applications involving dogs, cats, non-human primates, or equines will be referred to the National Centre for the 3Rs (NC3Rs) for additional review.

(iii) Where research involves use of monoclonal antibodies (mAbs) these should be obtained by *in vitro* ascites production wherever possible. Proposed use of *in vivo* mAbs should be accompanied by a full explanation why *in vitro* production methods are not suitable.

10. Human subjects

Where a project includes clinical trials or investigations involving human subjects, grantholders must obtain the agreement of their local ethical committee and the appropriate consent. Grantholders should adhere to the 'Guidelines for the ethical conduct of medical research involving children', 2000 (Royal College of Paediatrics, Child Health: Ethics Advisory Committee) and 'Guideline on Clinical Investigation of medicinal products in the paediatric population', 2017 (European Medicines Agency). The Lullaby Trust reserves the right to refuse to make a grant on ethical grounds even though the agreement of the local ethical committee has been obtained.

11. Use of radioisotopes, radiobiological procedures and any potentially hazardous substances

Grantholders and their assistants using radio-biological procedures or any potentially hazardous material or procedure in the course of their research are expected to observe carefully all relevant codes of practice and regulations.

12. Confidentiality



(i) All data collected on individuals must be treated as confidential at all times and held securely. Medical information must be used in accordance with the AMRC's policies on 'The use of health information for medical research', 2016, and 'The importance of involvement in medical research', 2022, as well as the Data Protection Act, 2018, and the Human Tissue Act, 2004.

(ii) Information leading to the identification of subjects cannot be included in any publication (without the prior agreement in writing of those concerned).

13. Scientific integrity

(i) The institution, as the employer, is responsible for all aspects of the integrity and conduct of the research. In the rare event of scientific fraud occurring, The Lullaby Trust wishes to make it clear that it is the responsibility of the employing authority to investigate this. The Lullaby Trust's funding is subject to the employing authority having procedures for dealing with scientific fraud in place. The Lullaby Trust must be informed if this is not so.

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

14. Applicants

Applications may be made by any graduate research worker.

15. Form of application

Applications for a grant should be made to office@lullabytrust.org.uk, with the application form and CVs for each applicant.

16. Submission of applications through heads of departments

All applications from research workers in universities, schools or hospitals must be signed by the head of the department in which the work is to be carried out; in the case of other research establishments, they must be made through the director.

17. Referees

Applicants must include two referees in their application. The Lullaby Trust submits all project applications to rigorous expert peer review.

18. Grants for remuneration

It is a condition of each grant that the administering institution will accept a person paid from the grant as one of its employees for the duration of the grant. Payment by The Lullaby Trust under these grants will be made in the form of reimbursement to the host institution and not directly to the workers concerned.



19. Supervision of work

Grants are primarily intended for the support of the personal research of the applicant, who is therefore expected to participate actively in the project. In exceptional circumstances where this will not be the case the applicant should state who will be in day-to-day charge of the work.

20. Assistance from other sources

An application for a grant must state whether any other financial support is being provided or sought for the same or a related research programme. Similarly, grantholders must notify The Lullaby Trust if any other support is provided during the tenure of the grant.

21. Salaries of assistants

(i) Applicants or grantholders must consult and obtain the agreement of the appropriate administrative authorities in their institution concerning salaries to be paid out of the grant.

(ii) If the rates of pay applicable in the host institution, on which grants for personal remuneration are based on incremental scales, provision for such increments must be included in the application.

22. Revision of salary scales

When rates of pay in the host institution are revised, The Lullaby Trust will normally revise the grant so that the corresponding revision can be made to the pay of workers supported by the grant. Such increases should be included in the provision for inflation. The Lullaby Trust should be informed immediately of any impending revision, together with an estimate, if any, of supplementary funds required. A supplementary grant can only be made with the approval of The Lullaby Trust's Board of Trustees.

23. Conditions of employment

(i) A worker paid from a The Lullaby Trust grant will normally be subject to the salary scales and terms and conditions of service of the employing institution.

(ii) The condition that the salary scales and terms and conditions of service of the employing institution are applied may be varied in the case of an independent research worker awarded a grant which includes his own whole or part time salary and may be varied in the case of a research assistant who, with The Lullaby Trust's agreement, registers for a research degree.



24. Indemnity

The Lullaby Trust will not accept responsibility for NHS and university staff who should be covered by their institutions. Similarly, research staff are to be indemnified by their employer against liability, loss, claim or proceedings arising in respect of a) personal injury and b) damage to property.

25. Redundancy, maternity, sickness payments

In providing a grant, The Lullaby Trust is not the employer, and accepts no liability as the employer. If a member of the research team is on extended leave, such as maternity or sick leave, then it is the grantholder's(s') responsibility to cover this absence or submit a request to The Lullaby Trust to place the project on hold.

26. Whole-time work

(i) Research workers and assistants who are being paid from a grant for whole-time work must not, unless so permitted by the regulations of the institution by which they are employed, undertake any other work, paid or unpaid.

(ii) If such work is to be undertaken during normal working hours, the prior approval of The Lullaby Trust is also required, except where the work is teaching or demonstrating related to the work on which grantholders are engaged and takes place in the institution in which grantholders work; such work should not exceed six hours per week.

(iii) Any payment by the institution for teaching or demonstrating occupying not more than six hours a week may be retained by the grantholders without a reduction in the grant.

27. Registration for higher degrees

Scientific assistants may register for a higher degree only with the prior approval of The Lullaby Trust.

28. Responsibility for further support on termination of grant

The Lullaby Trust's commitment under a grant is restricted to the precise terms of the award. The Lullaby Trust does not undertake to arrange support from its own or other resources for further work after a grant has expired, nor does it accept any responsibility if funds promised from other sources to support the continuation of the work fail to materialise. The tenure of appointments of staff who are recruited for work under a grant must be confined strictly to the period of the grant, unless the institution intends to retain the staff for its own purposes beyond that time.

29. Travel



(i) If travelling is necessary as an integral part of the scientific programme submitted under a grant proposal, financial provision should be requested in the initial application. In addition to any special provision made in the award, scientific workers whose salaries are met mainly by a grant may reclaim the cost of travel within the UK (at the rates current in the host institution) for key meetings, subject to the annual upper limit specified in the application.

(ii) The Lullaby Trust is also prepared to consider applications for funds for travel abroad in cases where this is essential for the progress of the project (e.g. to learn a new technique or to collaborate for a short period with foreign workers in the same field).

30. Apparatus and expenses

(i) Grants for expenses or apparatus will be made in the main for special consumable materials or for apparatus of a special kind, the grantholder's(s') institution being expected to provide the basic apparatus and services normally required for research.

(ii) The provision for expenses represents the maximum annual expenditure which The Lullaby Trust will be prepared to meet during the period covered by the grant; the sums allocated for particular heads of expenditure must not be exceeded. Funds budgeted under particular headings may be re-allocated to different headings, and funds may also be carried forward for up to one year. Funds may only be re-allocated in this way with the written permission of the Grants Committee.

31. Ownership of apparatus

Apparatus purchased with a grant will normally become the property of the host institution on the following conditions:

- a) The grantholders will have free and unfettered use of it until they have completed the approved research project.
- b) The institution will be responsible for installing, maintaining and accommodating the apparatus, for operating and servicing costs, and for any relevant insurance.
- c) Whenever practicable, equipment should be labelled to indicate it was purchased with a grant from The Lullaby Trust.
- d) Should the grantholders move to another institution before the completion of the approved research project, The Lullaby Trust may require the apparatus to be transferred with him.
- e) If the project is completed or terminates within half the useful life of the equipment, The Lullaby Trust has the right to claim a refund for the current value of the equipment less expenses incurred in maintenance etc. or to direct that the equipment be transferred elsewhere.
- f) In exceptional cases The Lullaby Trust may retain ownership of the apparatus.

32. Purchase of apparatus



(i) Unless otherwise stipulated by The Lullaby Trust, orders for apparatus authorised under a grant must be placed by the host institution in accordance with its normal purchasing and contract procedures. If the grantholders wish to obtain apparatus other than that specifically authorised in The Lullaby Trust's awarding letter, The Lullaby Trust's approval must be sought before an order is placed. For larger items of equipment, contact The Lullaby Trust and arrange the purchase so as to obtain VAT exemption.

(ii) The cost should be included in the relevant claim for reimbursement. In those cases where The Lullaby Trust has approved the purchase of foreign-made apparatus, the institution should make its own arrangements for applying for remission of import duty.

33. Disclosure and publication

(i) Grantholders are expected to present and publish the results of research work undertaken subject to the normal practice of the institution. The Lullaby Trust reserves the right to publicise and use findings, as and when appropriate, subject to constraints of scientific disclosure. This will invariably involve agreement and collaboration with the researchers.

(ii) Because of the popular interest in unexpected infant death, The Lullaby Trust is often asked to comment on presentations or articles before information is generally available. The Lullaby Trust must be sent:

- a) Pre-prints of abstracts or articles submitted for publication in confidence.
- b) Two re-prints of publications.
- c) Notice of scientific presentations.

iii) Grantholders are obliged to consult The Lullaby Trust before disclosure to the press, media or non-scientific organisations.

(iv) The Lullaby Trust expects that its assistance will be acknowledged in any published communication (including abstracts) on the results of the work either in the text or in a footnote. A paper must not be described as a report to The Lullaby Trust without The Lullaby Trust's express approval.

(v) Grant-aided workers and assistants, even if supported for full-time work, may not describe themselves as The Lullaby Trust's staff: they are employees of the host institution or exceptionally, in the case of certain grantholders in receipt of personal remuneration, self-employed persons.

34. Publication costs

A grant should not be used to meet any charge made by a journal for publishing results or reproducing illustrations, or for reprints, except as indicated in the application.

35. Commercial benefit



In the event of research work funded by The Lullaby Trust resulting in a product or procedure of practical or commercial benefit requiring further development, The Lullaby Trust should be informed and retain the rights to be involved in any subsequent action if it so wishes.

36. Annual reports:

Grantholders are obliged to supply a brief description of their progress and any findings of general interest each year in August on forms provided. The information contained in these annual reports may be published in The Lullaby Trust's newsletters and on The Lullaby Trust's website.

37. Final/Midterm Reports

(i) Grantholders are required to report as follows:

- a) Short term grants for periods of up to two years: A final report must be submitted within two months of completion of the project. This must include a lay version and full research report.
- b) Grants for longer periods: A mid-term report and a final report submitted within two months of completion of the project are required. The Lullaby Trust reserves the right to undertake on-site reviews.

(ii) Payment of the final settlement will depend upon these requirements being met, failure to do so will result in the withdrawal of the final payment of the award, which will be withheld until the final report is received.

(iii) If a project involves several stages and later stages depend on the successful completion of the earlier stages, e.g. a pilot survey, then a report should be submitted as the various stages are completed, or when an application for extension is made.

38. Co-ordination of research

(i) The Lullaby Trust seeks to encourage research workers concerned with related problems to coordinate their findings and it attaches particular importance to this cooperation among those receiving its support.

(ii) Grantholders are expected to attend meetings of grantholders, when requested.

(iii) One of the functions of the Grants Committee is to promote such coordination. Grantholders are therefore especially requested to keep the Grants Committee informed of the progress of their work via the Policy and Research Manager, and especially of interesting developments.

39. Grants administered through the host institution



A grant will normally be administered through the institution at which the work is to be carried out. For this reason, it is essential that every applicant for a grant should ensure that the relevant part of their application form is completed by the officer within the central administration of the institution who would be responsible for the grant arrangements.

40. Terms of the grant/Administrative arrangements

A statement of the terms on which a grant is awarded will be sent to the grantholders who must inform the officer in the central administration of the host institution responsible for carrying out the arrangements (normally the Finance Officer). The decision made by the Grants Committee is final.

41. Starting date

A grant is deemed to become effective from the date on which expenditure is first committed (i.e. when a scientific assistant starts work, or when a purchase is made from the expenses allocated). The grantholders are asked to inform The Lullaby Trust of the starting date. If the project has not started within 6 months of notification of the award and this has not been agreed with The Lullaby Trust, the Trust reserves the right to withdraw the award.

42. Early termination

Should the work stop before the end of the expected period of tenure, the termination date should be notified to The Lullaby Trust without delay.

43. Reimbursement of grants

(i) Claims for reimbursement, which must be certified by the grantholders or by a responsible officer of the host institution, should be submitted without delay after the end of the period covered by the claim and accompanied by a completed order form from The Lullaby Trust. These claims should be supported by relevant vouchers. Final claims relating to expenditure should be submitted to The Lullaby Trust within three months of the grant completion date. Payment of the entire final claim may be withheld pending receipt of the final report.

(ii) Other arrangements for reimbursement of grants may be made in special circumstances.

Updated April 2025