## Content

<table>
<thead>
<tr>
<th>No.</th>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.</td>
<td>The Novo Nordisk Foundation</td>
<td>3</td>
</tr>
<tr>
<td>02.</td>
<td>Scope</td>
<td>3</td>
</tr>
<tr>
<td>03.</td>
<td>Definitions</td>
<td>3</td>
</tr>
<tr>
<td>04.</td>
<td>General conditions</td>
<td>5</td>
</tr>
<tr>
<td>05.</td>
<td>Contact</td>
<td>6</td>
</tr>
<tr>
<td>06.</td>
<td>Payment</td>
<td>6</td>
</tr>
<tr>
<td>07.</td>
<td>Administration of the Grant</td>
<td>7</td>
</tr>
<tr>
<td>08.</td>
<td>Budget and use of Funds</td>
<td>8</td>
</tr>
<tr>
<td>09.</td>
<td>Reporting</td>
<td>9</td>
</tr>
<tr>
<td>10.</td>
<td>Financial Reporting</td>
<td>9</td>
</tr>
<tr>
<td>11.</td>
<td>Audit</td>
<td>11</td>
</tr>
<tr>
<td>12.</td>
<td>Changes</td>
<td>11</td>
</tr>
<tr>
<td>13.</td>
<td>Personal Information</td>
<td>13</td>
</tr>
<tr>
<td>14.</td>
<td>Non-compliance</td>
<td>14</td>
</tr>
<tr>
<td>15.</td>
<td>Discontinuation of the Grant</td>
<td>14</td>
</tr>
<tr>
<td>16.</td>
<td>Applicable law and settlement of disputes</td>
<td>15</td>
</tr>
<tr>
<td>17.</td>
<td>Conditions of employment and wages</td>
<td>15</td>
</tr>
<tr>
<td>18.</td>
<td>VAT and taxation</td>
<td>16</td>
</tr>
<tr>
<td>19.</td>
<td>Public communication and publications</td>
<td>16</td>
</tr>
<tr>
<td>20.</td>
<td>IP rights</td>
<td>16</td>
</tr>
<tr>
<td>21.</td>
<td>Confirmation by signing the Grant Agreement</td>
<td>17</td>
</tr>
</tbody>
</table>
01. The Novo Nordisk Foundation

The Novo Nordisk Foundation (hereafter “NNF”) is an independent foundation with corporate interests that, through its grants and donations, supports scientific, humanitarian and social purposes.

02. Scope

These Conditions for grants apply for research grants after calls from NNF and for education & outreach and for humanitarian and social projects and activities. These Conditions do not apply for grants within NNF’s BioInnovation Institute.

03. Definitions

3.1. Administrative Support

Administrative Support constitutes an amount of up to 5% of the total Grant to cover expenses related to the administration of the Grant, specifically regarding accounting, auditing and reporting. The amount must be applied for, and must be included in the Grant budget.

3.2. Administrator

Administrator is a named contact in the administrative department at the Administering Institution.

3.3. Applicant

Is the person or legal entity who applies for funding from NNF and is registered in NNF’s application system. The Applicant is responsible for the truthfulness of the application and budget. When an application is selected to receive funding, the Applicant becomes the Grant Recipient.
3.4. Conditional Approval

Is a preliminary approval of grant support by NNF, pending realisation of one or more conditions.

3.5. Grant

Is the economic support which is transferred from NNF to the Administrating Institution.

3.6. Grant Agreement

Is the letter in which NNF informs the Grant Recipient that the Grant is awarded. Possible changes, exceptions and additional terms in relation to the Grant will be stated in the Grant Agreement.

3.7. Grant Recipient

Is the Applicant who, based on his/her application, has been selected to receive funding. It is the responsibility of the Grant Recipient to inform the Administrating Institution of the Conditions for the Grant. In certain cases within education and outreach and social and humanitarian projects, the Administrating Institution can be the Grant Recipient.

3.8. Grant Basis

Consists of the application approved for funding (including budget and any appendices) and the Grant Agreement. Any subsequent adjustments or additions related to the Grant that are approved in writing by NNF will become part of the Grant Basis.

3.9. Grant Period

States the start date and the end date of the Grant as specified in the Grant Agreement. The amount that NNF has granted must be used during the Grant Period.

3.10. Budget

Budgets must contain all foreseen expenses that are requested to be financed by NNF, as well as funding applied for from another party and any Co-funding for expenses in the application.

3.11. Contact

Is the employee in the NNF secretariat who oversees the application system and grant administration, and arranges the communication between Applicant/Grant Recipient and NNF’s secretariat.
3.12. Co-applicant
Is a person or a legal entity for whom funding is requested in the application, in addition to the Applicant.

3.13. Co-funding
Is financial support from another party to a project which is also supported by NNF.

3.14. The Nordic Countries
Denmark, Sweden, Norway, Finland, Iceland, the Faroe Islands and Greenland.

3.15. Novo Nordisk Foundation
NNF is an independent Danish foundation with corporate interests, not to be interchanged with Novo Nordisk A/S, Novozymes A/S or Novo Holdings A/S.

3.16. Reporting
Is the documentation of completed work during, at the end of and after the Grant Period. Reporting is a requirement under these Conditions and applies unless otherwise stated in the Grant Agreement. If the Grant requires financial records, this will be stated in the Grant Agreement.

3.17. Request for Payment
Is an digital NNF form sent via NNF’s application- and grant management system. The Request for Payment shall be sent by the Administarting Institution on behalf of the Grant Recipient to NNF in order to request payment of the awarded Grant.

3.18. Administarting Institution
Is the primary institution or organisation with which the Grant Recipient is associated. The Administarting Institution oversees, administrates and is responsible for budgeting and staff supported by the Grant. The Administarting Institution is responsible for accounting, auditing and for the Grant Recipient’s compliance with the Administarting Institution’s internal guidelines and with the Grant’s budget.

04. General conditions

4.1. The conditions for grants from NNF (hereafter “Conditions”) together with the Grant Agreement make up the complete terms and conditions that the Grant Recipient (hereafter the “Grant Recipient”) is obliged to comply with for the Grant. By signing
the Grant Agreement if specified herein, the Grant Recipient agrees to these Conditions. NNF reserves the right to amend these Conditions with effect from the date on which the Grant Recipient and the Administrating Institution have been notified of the amendments.

4.2. The Grant Recipient is responsible for the project supported by the grant from NNF (hereafter the “Grant”). NNF is responsible only to the Grant Recipient for upholding the Grant.

4.3. It is required that the use of the assigned funds complies with all applicable laws, rules and standards, including handling of data. The Grant Recipient must comply with the current “NNF Standards for Good Research Practice”, located on the NNF’s website.

4.4. The Grant Recipient should note that NNF awards grants based on four fundamental values, the “Novo Nordisk Foundation’s three cornerstones”, available on NNF’s website, and on the relevant national code of conduct for research integrity.

4.5. Regular reporting must be uploaded to the web-based reporting tool Researchfish, unless otherwise stated in the Grant Agreement.

05. Contact

Questions must be addressed to the Contact at NNF’s secretariat, mentioned in the Grant Agreement, or to the NNF at e-mail: nnfond@novo.dk or phone: +45 35276600.

The Administrating Institution must inform the Grant Recipient of any communication between the Administrating Institution and NNF.

06. Payment

6.1. Request for Payment

Payment of a Grant requires submitting a Request for Payment to NNF via NNF’s application- and grant management system by the Administrator of the Grant.

NNF must receive a Request for Payment within one year following the date of the Grant Agreement. If NNF does not receive the Request for Payment in due time, the Grant will be considered annulled.
For research grants, the Grant Recipient can in general not receive funds for a new grant within the same grant type before the Grant Period of the ongoing Grant is concluded.

6.2. Payment Instalments

The Grant Agreement states whether a Grant will be paid in one instalment or in yearly instalments.

For Grants that are paid in yearly instalments, the Administrator must on behalf of the Grant Recipient submit a new Request for Payment each year in advance of the next budget year. Note that the budget year follows the Grant Period and not the calendar year, unless otherwise stated in the Grant Agreement.

6.3. Payment Plan

Based on the approved Grant budget, NNF will generate a payment plan for the Grant Period.

6.4. Payments

NNF payments are made exclusively to the Administering Institution. In Denmark, payments will be made to the Easy Account (in Danish, NemKonto) belonging to the Administering Institution. NNF’s personal awards are an exception to this rule.

6.5. Multiple Institutions

If a Grant is shared among multiple institutions, it is the responsibility of the Grant Recipient that funding, by means of the Administering Institution, is transferred to these according to the Grant Basis.

It is the Grant Recipient’s responsibility to inform any such other institution about the Grant and about these Conditions.

07. Administration of the Grant

The Grant is administrated by the Administering Institution. The Administering Institution is responsible for budgeting and staff supported by the Grant. The Administering Institution is responsible for accounting, auditing and for the Grant Recipient’s compliance with applicable law and regulation, these Conditions and the Administering Institution’s internal guidelines. It is the responsibility of the Grant Recipient to inform the Administering Institutions of these Conditions.
08. Budget and use of Funds

8.1. Use
The Grant must be used in compliance with the Grant Basis, unless otherwise stated in the Grant Agreement.

8.2. Administrative Support
Administrative Support can constitute up to 5% of the Grant. Administrative Support must be applied for, and must be included in the Grant budget.

Administrative Support can only be used for administrative expenses that are directly related to the research project supported by the Grant, including accounting, auditing and reporting.

8.3. Overhead
NNF does not support overhead-expenses, i.e. expenses not directly related to and relevant to the project supported by the Grant. Maintenance of buildings is an example of overhead expenses.

8.4. Equipment
Equipment that has been acquired by means of the Grant, in accordance with the Grant Basis, belongs to the Administating Institution.

Equipment must remain at the place of research or at the Administating Institution at the full disposition of the Grant Recipient, as long as it is in use in relation to the research project supported by the Grant, unless otherwise stated in the Grant Agreement.

8.5. Unused Funds
Any unused funds must be returned to NNF no later than 3 months after the end of the Grant Period.

Unused funds are transferred to NNF’s bank account: reg. no. 3100 and account no. 4475210352. The Administating Institution must at the same time confirm in writing to NNF that the amount has been transferred.
09. Reporting

9.1. Researchfish

Reporting on the Grant and the activities that are carried out during the Grant Period, must be submitted on a yearly basis by means of the internet-based reporting tool Researchfish. The Grant Recipient will be provided with a username and a password for Researchfish.

The Grant Recipient must stay updated on the current NNF reporting policies and deadlines. These can be found on the NNF website (http://impact.novonordiskfonden.dk/reporting/).

9.2. Reporting Period

For Grants with a Grant Period of 2 years or less, reporting must continue annually for 3 years after the end of the Grant Period. For Grants with a Grant Period of more than 2 years, reporting must continue annually for 5 years after the end of the Grant Period.

Separate formats and reporting periods may appear in the Grant Agreement.

9.3. Reporting and New Grants

Payment cannot be made for a new Grant before timely reporting has been carried out for any ongoing and previous Grants.

9.4. Grants Paid in Several Instalments

For Grants that are paid in yearly instalments, timely reporting must be carried out before the payment of another instalment can take place.

10. Financial Reporting

10.1. Financial Reporting in General

The Grant Agreement states whether and to what extent financial reporting is a requirement for a given Grant. Not all types of Grants require financial reporting.

NNF uses two types of financial reporting for Grants: annual financial reporting and final financial reporting. Financial reporting must utilise the same budgetary categories as the latest approved Grant budget or the categories included in a specific financial reporting template, if one is provided by NNF for the Grant. The financial reporting must show used as well as any unused funds.
If the application for the Grant included one or more Co-Applicants, the Co-
Applicant(s) receiving funding from the Grant shall not submit individual financial
reporting to NNF. The Grant Recipient is responsible for including the Grant amounts
allocated to Co-applicants in the financial reporting to NNF.

All grants must regardless of reporting requirements be financially closed by the
Administrator via NNF’s application- and grant management system by entering the
total Grant amount used and any remaining unused funds. This must happen at the
latest three months after the Grand Period end date.

10.2. Annual Reporting

If stated in the Grant Agreement, the Administrator must on behalf of the Grant
Recipient provide an annual financial report for the Grant. The annual report must be
received by NNF no later than 1 April.

The first annual report may cover a period of up to 15 months, if the start date of a
Grant is within the last three months of a calendar year (October, November or
December). In this case, this period shall be included in the first annual report.

If the start date of a Grant is within the first nine months of a calendar year (between 1
January and 30 September), the first annual financial report must be provided for that
calendar year.

For Grants with only one payment, see Payment Instalments, only a final financial
report must be submitted, see Final Reporting.

No separate annual financial report must be submitted for the last calendar year in the
Grant Period. If the end date of a Grant is within the first three months of a calendar
year (January, February or March), no annual report has to be submitted for these
three months or the previous calendar year. This period (up to 15 months) is included
in the final report.

10.3. Final Reporting

If stated in the Grant Agreement, the Administrator must on behalf of the Grant
Recipient provide a final financial report for the entire Grant Period no later than 3
months after the end of the Grant Period.

10.4. Funding from Another Party

If Co-funding is obtained for the same project, the Grant Recipient must inform NNF as
soon as possible. In this situation NNF reserves the right to deduct any duplicate
amounts from the NNF Grant amount or to demand repayment.

10.5. Interest

Any interest earned on the Grant must be used in accordance with the Grant Basis and
is not deducted from the Grant.
11. Audit

11.1. Submission of Financial Reports
It is at all times the responsibility of the Grant Recipient, that the submission of annual and final financial reports, see Financial Reporting, is in compliance with these Conditions and with the rules and regulations of the Administering Institution.

11.2. Independent Auditing
NNF reserves the right to initiate an independent audit in order to determine whether the funds have been used in accordance with the Grant Basis. In this event, NNF covers any costs related to the audit.

12. Changes

12.1. Written Approval
All substantial changes to the Grant Basis (hereafter called “Substantial Changes”) requires a prior written approval from NNF.

12.2. Substantial Changes
The following are examples of Substantial Changes that require a prior written approval from NNF:

- Changes to the Grant Period.
- Substantial deviations in a budget category.
- Changes to the Grant purpose as stated in the Grant Basis.
- Change of Administering Institution.
- Change of Grant Recipient, see below in s. 12.4.
- Changes in the group of researchers or project group who have received the Grant, e.g. changes to the group leadership or the place of research.

The list above is not exhaustive, and the Grant Agreement may contain additional conditions that require a prior written approval from NNF.

All change requests must be submitted via NNF’s application- and grant management system.
12.3. Request for Changes

When submitting a request for changes, the Grant Recipient is responsible for including all relevant documents and information to NNF. Changes may not be implemented without a prior written approval from NNF.

A request for changes may comprise such items as:

- A CV and a list of publications for possible new researchers associated to the Grant.
- A description of possible scientific consequences of the change.
- An overview of budgetary/financial consequences.
- A date and duration of the desired change.

12.4. Change of Grant Recipient

Should the Grant Recipient be unable or unwilling to continue as Grant Recipient, the Grant Recipient or the Administrating Institution shall immediately notify NNF of any such situation and keep a close dialogue with NNF in the search for another Grant Recipient. Following this dialogue and when the Grant Recipient or the Administrating Institution and NNF agree on the initial candidates, the Grant Recipient or the Administrating Institution shall, within 30 days of the mutual agreement regarding the initial candidates, nominate a successor to be Grant Recipient by submitting:

1) A report on the status of the Grant relating to the objectives in the Grant Basis, including a financial status report of the Grant.
2) An explanation for stopping as the Grant Recipient.
3) A nominated candidate for the role of Grant Recipient and rationale for how he/she fulfils the position as Grant Recipient.

NNF shall within 30 days after receiving the above documentation either approve or decline the nomination of the successor. NNF reserves the right to interview the nominated Grant Recipient candidate.

If the nominated successor is acceptable to NNF, a new Grant Agreement for the remaining Grant Period will be issued to the new grant recipient. A new Grant Agreement shall in such case supersede any previous or current agreements regarding the Grant.

If the nominated successor is not acceptable to NNF, NNF may terminate the Grant by giving a 60 days’ notice to the Grant Recipient and the Administrating Institution according to the procedure in s. 15 below.

Section 12.4 furthermore applies in case of change of Co-applicant. Section 12.4 does not apply for postdoc- and ph.d.-fellowships.
13. Personal Information

13.1. Acceptance of use

By submitting an application to NNF, the Applicant gives permission for NNF to collect, process, and file personal information (incl. ORCID), as described in Personal Information.

13.2. ORCID

ORCID is an identifier, by which a researcher can associate variations in name and research results, providing precise and reliable linkage. ORCID helps to ensure that a Grant Recipient is credited correctly. Additionally, NNF can use data from ORCID in its work to map the scientific and societal impact of NNF Grants.

13.3. Rights in relation to personal information

NNF processes personal data in connection with processing applications to NNF for grants as well as for the payment of grants awarded. NNF carries this out in accordance with the European Union General Data Processing Regulation and Danish legislation. For any questions on NNF’s processing of personal data, see the privacy notice available on NNF’s website: http://novonordiskfonden.dk/sites/default/files/privacy_notice_nnf_-_uk.pdf

In relation to NNF’s processing of personal information, the Grant Recipient has the following rights:

1) to request access to the information being processed on the Grant Recipient.
2) to object to the processing of the Grant Recipient’s personal information.
3) to demand correction, deletion or blocking of information that is incorrect, misleading, or processed contrary to applicable regulations.

13.4. Data controller and data processor

Novo Nordisk Foundation, Tuborg Havnevej 19, 2900 Hellerup, Denmark, is the data controller and LXP Consulting (CVR no. 26734673), Arne Jacobsens Allé 16 3rd floor, 2300 Copenhagen S, Denmark, will be able to access and process the personal information as data processor on behalf of NNF.
14. Non-compliance

14.1. Returning Funds
If the Grant Recipient does not comply with these Conditions, NNF may rightfully demand a complete or partial return of the Grant.

14.2. Examples of non-compliance
Among other things, NNF will regard it as non-compliance, if:

- The Grant Recipient makes Substantial Changes without a prior written approval from NNF,
- The Grant Recipient does not comply with the Grant Basis, or
- The Grant Recipient does not submit reports in due time in accordance with these Conditions or the Grant Agreement.

14.3. Written formal notice
In the event of non-compliance, NNF may, following an evaluation, send the Grant Recipient and the Administrating Institution a written formal notice stating that the instance of non-compliance must be corrected within reasonable time. A deadline will be stated in the formal notice.

If the Grant Recipient or the Administrating Institution have not corrected the instance of non-compliance within the time given, NNF may, following an evaluation, terminate the Grant according to the procedure in s. 15 and demand already paid funds returned.

14.4. Future applications
NNF may regard future applications from the Grant Recipient conditional upon the Grant Recipient’s compliance with these Conditions and the conditions for previous Grants from NNF.

15. Discontinuation of the Grant

15.1. If the Grant is terminated earlier than planned, and if relevant in the specific case, NNF will cover the Administrating Institution’s costs and labor costs during the notice period for employees under the Grant if these are covered by the Grant and have normal notice periods in their contracts.
15.2. The Administrating Institution shall as soon as possible under applicable law terminate all contracts and agreements in connection with the Grant.

16. Applicable law and settlement of disputes

16.1. Any dispute or demand that may arise as a consequence of or in relation to these Conditions, is subject to Danish law and must be interpreted according to Danish law. Any dispute or claim which cannot be solved amicably must be settled finally in accordance with "Articles on Arbitration" by Det Danske Voldgiftsinstitut (Danish Arbitration).

16.2. The court of arbitration must take place in Copenhagen. Notwithstanding the agreement on arbitration, NNF may exercise all other rights according to the law, such as requesting an injunction in case of non-compliance or impending non-compliance with these Conditions.

17. Conditions of employment and wages

17.1. Employment

Employment of the Grant Recipient and staff supported by the Grant is subject to the current rules, practice and collective agreements of the Administrating Institution.

NNF is not responsible for any conditions of employment supported by the Grant.

17.2. Adjustment of Wages

Wages to employees under the Grant shall be contained in the Grant according to the Grant Basis.

The Administrating Institution determines wages under its current rules, practice and collective agreements.

At the request of NNF, documentation must be provided confirming that any adjustment in employee wages supported by the Grant is based on an evaluation in accordance with current rules, practice and collective agreements of the Administrating Institution.
17.3. Leave of Absence

With the exception of rightful leave, that is, maternal, paternal, parental, and sickness leave, no leave can be taken from the project supported by the Grant during the Grant Period. If an extension of the Grant Period is desired due to rightful leave, NNF must be informed in writing before such leave can take place.

The Grant does not cover expenses in connection with rightful leave.

18. VAT and taxation

The Grant from NNF is complete and non-negotiable. Taxation matters in relation to the Grant are not of concern to NNF. Please consult the relevant tax authority or authorities for guidance on taxation issues.

19. Public communication and publications

NNF strives to support research and to make research more visible in society. At the mention of the project, supported by the Grant in any form of publication or public communication, e.g. articles, posters, presentations and interviews, it must be stated that the project is supported by Novo Nordisk Fonden (in English, The Novo Nordisk Foundation).

In publications, in the form of articles, posters and similar, the Grant’s reference number must be specified, e.g. “The work presented in this article is supported by Novo Nordisk Foundation grant NNF00000000”.

Publications and other research outputs or communication that do not properly acknowledge the support of NNF, may not be included in reporting to the NNF.

The Grant Recipient cannot represent NNF or enter into commitments on behalf of NNF.

20. IP rights

NNF has no ownership of, and claims no right to, the intellectual creations (IP rights) arising from activities supported by the Grant.
21. Confirmation by signing the Grant Agreement

By submitting a signed Grant Agreement to NNF, the Grant Recipient confirms the validity of the information in the Grant Basis and that the Grant will be used for the purpose defined by the Grant Basis and within the budget provided in the Grant Basis. This applies to the entire Grant Period.

By submitting the signed Grant Agreement no later than 1 year from the date of the Grant Agreement, the Grant Recipient and the Adminstrating Institution accept these Conditions.

If NNF does not receive a signed Grant Agreement from the Grant Recipient in due time, the Grant will be considered annulled.