

# **UFAW SAWI Fund Research and Project Awards**

**PLEASE READ CAREFULLY THESE NOTES ON UFAW AWARDS AND THE  
CONDITIONS UNDER WHICH THEY ARE GIVEN BEFORE COMPLETING THE  
ACCOMPANYING APPLICATION FORM.**

## **Notes on UFAW SAWI Fund Research and Project Awards and conditions applying to them**

Through its Research awards, the UFAW SAWI Fund aims to encourage high quality research that is likely to lead to substantial improvements in animal welfare. UFAW seeks to promote both fundamental research aimed at providing new insight into the subjective mental experiences of animals relevant to their welfare and at understanding their needs and preferences, and also to promote applied research aimed at developing practical solutions to animal welfare problems.

UFAW also supports other (non-research) projects which promote animal welfare, such as preparation and publication of books. This form should be used for applications for research or other projects for which more than £3,500 is sought.

UFAW is concerned with the welfare of farm, companion, laboratory, and captive wild animals and with free-living wild animals whose welfare is compromised by humans.

Applications for small projects (of less than £3,500), publications, or for travel should be made using the UFAW SAWI Fund Small Projects and Travel Awards Form. There is also a special application form for the UFAW Animal Welfare Research Training Scholarship.

### **Applications**

Applications must be made on the attached form. Applications are expected to be typed but, if not, must be clearly legible. **ONE** copy of the form, together with one copy of the CV (no more than 2 sides of A4) of each applicant, should be sent to UFAW, The Old School, Brewhouse Hill, Wheathampstead, Hertfordshire AL4 8AN, UK.

### **Closing dates**

Applications for UFAW SAWI Fund Research and Project awards may be submitted at any time.

## **Conditions**

### **Use of funds**

1. Projects and procedures funded by UFAW grants may not be altered from those specified on the application form and in the grant authorisation from UFAW without prior written permission of UFAW, and no additional funds will be provided unless UFAW so decides in its absolute discretion.

2. Where funds are granted to an institution for the employment of staff at that institution or for work to be carried out by a private individual, UFAW is not the employer. It is the responsibility of the host institution to issue a contract of employment in accordance with the Employment Protection (Consolidation) Act 1978 or equivalent legislation in other countries and with any other employment legislation. Full details of all employment costs should be provided in the application. Where UFAW provides funds for the employment of staff to undertake research, the employer is expected to protect these staff from the burdens of undertaking administrative and teaching responsibilities unless agreed otherwise by UFAW.

3. The period of the grant is strictly limited and the tenure of appointment of any persons employed by the host institution for the work must be confined strictly to the period of the grant. If staff are retained beyond this it is for the host institution's own purposes and at their own expense.

4. The host institution is entirely responsible for increments in salaries or stipends during the term of the grant and these should be budgeted for in the application. UFAW may consider applications for additional sums following national pay increments. Applications should be made promptly after these occur and full details of the circumstances explained.

5. All grants are made on the condition that UFAW is in no way responsible for claims under any statute or at common law and it does not indemnify the host institution against any claim for compensation or against any other claims for which the host institution may be liable as an employer, owner-occupier or user of premises or as the provider of services or facilities or in relation to the work carried out under the grant.

6. Any equipment purchased from a UFAW grant will become the property of UFAW and should be used only for the activities approved. At the end of the project the ownership and future use of the equipment will be reviewed by UFAW.

### **Legal and ethical**

7. It is the responsibility of the applicant to be aware of all laws and codes under which the work is to be carried out and to abide by these and to obtain all necessary permissions and licences.

### **Use of animals**

8. If the proposed work involves the use of animals, it is the responsibility of the principal applicant to check with the appropriate national or regional authority (eg Home Office in the UK) regarding the need for licences or other specific authorisation required in the country concerned and to obtain these where necessary. It is also the responsibility of the principal applicant to obtain the necessary approvals from the institution's ethics committee where there is one.

9. UFAW requires rigorous implementation of the 3Rs. Where animals are used in research they must be afforded high standards of welfare compatible with the aims of the research. At all

times conditions for husbandry and experimentation should be of high standard conducive to good welfare and to minimising stress. Enclosures should meet the physiological and behavioural needs of the animals and appropriate enrichment should be provided. The health of the animals should be maintained and monitored, and any deterioration attended to immediately. All staff involved in animal research, both at a scientific and research support level, and those involved in the breeding, handling and care of animals, must be appropriately trained and possess relevant qualifications.

10. In order that UFAW can be satisfied fully that projects involving the use of animals take the fullest possible account of their welfare, applications should include details of the following (as appropriate) in the description of the methods:

animals - species, strain, weight, sex, age, source, transport, health status, conservation status, fate at end of project;

housing/feeding/measures to improve welfare - cage/enclosure type, size, floor, furnishings, bedding, cleaning, thermal environment, number of animals per cage, diet, feeding regime;

experimental design - experimental design, details of how numbers in test and control groups have been determined (eg by power analysis prior to the experiment), statistical methods to be used in analysis of the results;

experimental procedures - experimental procedures, any risks to animal welfare (nature and duration), measures to improve the animals' welfare, analgesia, methods of euthanasia.

Applicants (especially those submitting applications for behavioural research) may find useful, and are recommended to familiarise themselves with, the Association for the Study of Animal Behaviour's Guidelines for the treatment of animals in behavioural research and teaching updated in each January issue of the journal *Animal Behaviour* and available on the Journal website <http://asab.nottingham.ac.uk/ethics/guidelines.php>

### **Financial arrangements**

11. Claims, certified to be correct by the private individual or the finance officer of the host institution, should normally be submitted at intervals of three months (in arrears) but other arrangements, which must be specified in this application, may be considered by UFAW.

### **Limitation of liability**

12. UFAW is in no way responsible, financially or otherwise, for the expenditure or liabilities arising out of the work other than those specifically listed and defined in the project proposal or approved in further correspondence.

### **Copyright**

13. UFAW may, in some cases (but unusually), require the copyright of all data collected during, and of any publications arising from, a project for which it is providing support. In these cases, this will be made a condition of the award.

### **Termination of grants**

14. UFAW has the right to revoke or suspend any grant upon failure to observe any of the conditions listed above or specified by UFAW in the offer of a grant or on consideration of the progress of the work. In such a case, UFAW may require repayment or, depending on the circumstances, may reimburse the host institution for expenses incurred to the date of termination but will not be responsible for, nor will indemnify the host institution against any

claims (relating to employment or anything else - see conditions above) arising as a result of the termination.

### **Reports**

15. Annual progress reports are required within one month of the anniversary of the start date each year and within 3 months of the completion date a final report must be submitted, summarising the aims, methods, results and conclusions, discussing any difficulties encountered in achieving the objectives, and including a brief final financial statement. In addition, applicants are required to provide, on a separate sheet, a brief (200-300 word) account of their project written in an easily-accessible style suitable for inclusion in the UFAW Annual Report or News-Sheet. This should explain the background of the project and its animal welfare benefits. Appropriate photographs of the project should also be made available to UFAW for its publications. UFAW's financial support should be acknowledged in all publications arising from the work and copies of publications arising from the work should be forwarded to UFAW on their publication. **Please note that failure to comply with these conditions and to submit reports on schedule may result in the disqualification of the applicant or of his/her organisation from obtaining grants from UFAW in future.**

### **Intellectual property and commercial activities**

16. UFAW is committed to advancing animal welfare through its support for research and other animal welfare projects. As a charity, UFAW is under an obligation to ensure that its funds are applied effectively in pursuit of its objectives. UFAW therefore wishes to encourage and, together with UFAW-funded researchers and their host institutions, ensure the protection and exploitation of the intellectual property arising out of the work that it funds.

Specifically, UFAW requires the institution to:

- (a) develop and implement strategies and procedures for the identification, protection and exploitation of all intellectual property created or acquired in connection with a UFAW-funded activity (intellectual property includes all inventions, technologies, products, data and know-how);
- (b) notify UFAW promptly when intellectual property that may or may be of animal welfare or commercial value is created, and ensure that such intellectual property is protected and not published or otherwise publicly disclosed prior to protection (whilst at the same time ensuring that potential delays in publication are minimised);
- (c) permit UFAW to have reasonable access to personnel, facilities and information utilised in, or created or acquired pursuant to, a UFAW-funded activity or the exploitation envisaged under this paragraph 12;
- (d) ensure that all persons in receipt of UFAW-funding or working on a UFAW-funded activity are employed or retained on terms that vest in the institution all intellectual property which is created or acquired by any such person in connection with a UFAW-funded activity.

17. No intellectual property created or acquired in connection with a UFAW-funded activity may be exploited in any way without the prior written consent of UFAW, such consent not to be unreasonably withheld. Exploitation includes use for any commercial purpose or any license, sale, assignment, materials transfer or other transfer rights. As a condition of granting such consent, UFAW may require the institution to agree to terms of exploitation including the sharing of the benefits (such as revenues and equity) arising from the exploitation.

18. If the institution does not protect or exploit any such intellectual property in accordance with the jointly agreed strategies and procedures or otherwise to UFAW's satisfaction, UFAW shall have the right, but not a duty, to protect and exploit such intellectual property in furtherance of the aims of the Charity. Such right shall only be exercised 6 months after UFAW has given the institution notice in writing requiring the institution to protect and exploit such intellectual property, unless UFAW reasonably considers that such intellectual property rights could be lost and more immediate action is required. The institution agrees to do, and will ensure that its employees and students do, all acts required to assist UFAW in such protection and exploitation.

**Further information**

If further information is required, contact UFAW, The Old School, Brewhouse Hill, Wheathampstead, Hertfordshire AL4 8AN, UK. Email: [ufaw@ufaw.org.uk](mailto:ufaw@ufaw.org.uk). Tel: 01582 831818 Fax 01582 831414. Website: <http://www.ufaw.org.uk>.

**APPLICATION FOR UFAW SAWI FUND RESEARCH AND PROJECT AWARDS**  
**SECTION 1 - Summary**

**1.1 Title of project**

**1.2 Brief summary of project (100 words)**

**1.3 Duration from** (start date) **to** (end date)

**1.4 Project to be carried out at:**

**1.5 Summary of financial details**

Total amount requested:

Payable to:

**1.6 Details of Applicant/Project Leader** (If this is a joint application please include, on a separate sheet, the names, qualifications and addresses of other persons to be involved in the project with details of their responsibilities within the project).

Name:

Title:

Qualifications:

Position/job description:

Contact Address:

Telephone Number:

Fax Number:

E-mail:

**1.7 Declaration:**

I shall be responsible for the direction and progress of this project. I have read the conditions under which UFAW awards are given and, if this application is successful, I agree to abide by them.

Signed:

## SECTION 2

- 2.1 Proposals should be concise - extra A4 sheets may be attached but the description of the project, covering points (i) to (viii) listed below, should not exceed 2000 words in total.**

The following points should be addressed: (i) the background and work leading to the project, (ii) aims and objectives, (iii) for research projects: experimental design and methods including full details of any animals to be studied or used and of proposed procedures, full justification of the choice of animal species involved and the sample sizes selected, and other points listed in the notes on conditions applying to UFAW grants, (iv) if the work involves procedures under the Animals (Scientific Procedures) Act 1986 or equivalent legislation overseas, then provide details of licences or permits obtained or pending, or of permission granted by ethical committees as appropriate, (v) key references (vi) the likely output of project (eg publications, advisory literature) and plans for dissemination of this, (vii) any possible problems that might prevent the satisfactory completion of the project, and (viii) assessment of the likely benefit to animal welfare.

- 2.2 OUTLINE OF PROJECT (see instructions above)**

## 2.2 OUTLINE OF PROJECT (continued)

If the project description is continued on further sheets, state here the number of extra sheets attached:

**2.3 Financial Details** (Make VAT costs apparent where applicable)

|  | Year 1 | Year 2 | Year 3 |
|--|--------|--------|--------|
| <p>2.3.1 Salary costs:</p> <p>Salary (including London Allowance, if applicable)</p> <p>Employer's superannuation</p> <p>Employer's national insurance</p> <p style="text-align: right;">Sub-total</p> |        |        |        |
| <p>2.3.2 Equipment:</p> <p style="text-align: right;">Sub-total</p>  |        |        |        |
| <p>2.3.3 Consumables:</p> <p style="text-align: right;">Sub-total</p>  |        |        |        |
| <p>2.3.4 Animals:<br/>(purchase, maintenance, and other costs)</p>   |        |        |        |

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
| Sub-total  |  |  |  |
| 2.3.5 Travel and subsistence:<br>(if subsistence is being claimed, other sources of<br>income relevant to this project must be stated) |  |  |  |
| Travel   |  |  |  |
| Subsistence  |  |  |  |
| Sub-total  |  |  |  |
| 2.3.6 Publication costs:(specify)  |  |  |  |
| Sub-total  |  |  |  |
| 2.3.7 Other project costs:(specify)  |  |  |  |
| Sub-total  |  |  |  |
| <b>TOTALS</b>  |  |  |  |

2.3.9 Support from other bodies (names and addresses of all bodies which are supporting or being approached to support the project, with details of amounts given or applied for).

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2.3.10 Have you received funds from UFAW previously?      Yes or No

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2.3.11 If 'Yes' please give date(s) and title of project(s).

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### SECTION 3

**3.1 To be filled in by the supervisor if the project forms part or all of a PhD research programme.**

Name:

Position:

Address:

3.1.1 Please provide details of experience in supervision, including previous PhD supervision and completion dates.

3.1.2 Please briefly outline the elements of training that this project will provide for the student.

Signed:

Date:

**3.2 Recommendation by Head of Department/Director as to applicant's ability to carry out the project and confirming support of the host institution.**

I confirm that I have read and support this application and I agree, on behalf of

(the host institution) to the project being carried out at our premises subject to the conditions of UFAW under which grants are awarded and any special conditions set by UFAW for this project.

Name:

Position:

Address:

Signed:

Date:

**3.2 Confirmation of financial arrangements by the Secretary or Finance Officer of the host institution.**

I will ensure that any funds provided by UFAW are used for the purpose for which they are given. I have read and accept the conditions under which grants are awarded.

Name:

Position:

Address:

Signed:

Date:

**3.3 If all or part of the project is to be carried out at another location, official approval is required (normally from the Director or Manager) to agree to offer the use of facilities for the project.**

I confirm that I have read and support this application and agree to the project being carried out in my Department. I have read and I accept the conditions under which grants are awarded.

Name:

Position:

Address:

Signed:

Date:

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**NB. Send ONE copy of this application form, together with one copy of cv (no more than 2 sides of A4) of each applicant, to UFAW, The Old School, Brewhouse Hill, Wheathampstead, Hertfordshire AL4 8AN, UK.**