



## **Terms and Conditions for UFAW Research Grants**

### **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 all current employment law or equivalent legislation in other countries. 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 covered by the grant 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 should be used during the period of the grant only for the activities approved.

### **Additional Funding**

7. If additional funding is to be sought from other sources this must be discussed with, and written approval obtained from, UFAW in advance.

### **Legal and ethical**

8. It is the responsibility of the applicant to be aware of all laws and codes – including ethics approval (see point 9) – under which the work is to be carried out and to abide by these and to obtain all necessary permissions and licences. This includes anti-harassment policies, as well as diversity, equity, and inclusion (DEI) policies.

### **Use of animals**

9. If the proposed work involves the use of animals or human subjects, an ethical evaluation of the project is necessary, even if the procedures involved are deemed to be sub-threshold. In addition, it is the responsibility of the principal applicant to check with the appropriate national or regional authority 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. If working with animals in a country that has no legislation to protect the welfare of animals during scientific experiments, the principles of either the [UK's Animals \(Scientific Procedures\) Act 1986](#) (and any amendments) or the [EU Directive \(2010/63/EU\) on the protection of animals used for scientific purposes](#) should be followed as good practice. If the project has not been evaluated by an ethics committee, the reasons must be stated in the grant application.
10. 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.
11. In order that UFAW can be satisfied that projects involving the use of animals take the fullest possible account of their welfare, applications should include details on the animals, their housing and management, as well as the experimental design and procedures carried out (as appropriate) in the description of the methods.

Applicants may wish to consult the UK's NC3Rs websites on [experimental design](#) and reduction for help with designing an appropriately powered study before submitting their application. The ILAR (Institute for Laboratory Animal Research) Journal also contains valuable information on [experimental design and analysis](#). Data should be collected in a way so that – on publication – the [ARRIVE guidelines](#) can be complied with where appropriate.

Studies should be planned to minimise the use of animals and to ensure their welfare. Applicants may find the [PREPARE guidelines](#) helpful when planning experiments involving animals. 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.

### **Financial arrangements**

12. 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**

13. 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**

14. In general, the data collected during a project for which UFAW is providing support, and any publications arising from said project, belong to the grant holder. UFAW may, in exceptional cases require the copyright of these data or publications, but in these cases, this will be made a condition of the grant award.

### **Termination of grants**

15. 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 and Publications**

16. **Projects over £10k or more than 1 year's duration:** Annual progress reports are required within one month of the anniversary of the start date each year, and within 3 months following the completion date a final report must be submitted. This can take the form of one or more draft manuscripts for submission to a journal, and should summarise the aims, methods, results and conclusions, discussing any difficulties encountered in achieving the objectives, and including a brief final financial statement. In addition, the principal applicant is required to complete the following [reporting template](#).

When projects are supporting a student obtaining a degree, UFAW requires an electronic copy of the final thesis to be submitted upon completion. A bound copy is not requested by UFAW.

#### **Projects under £10k or less than 1 year's duration:**

A final report is required within one month of the project completion date using the following [reporting template](#). If other relevant material is available, please include these as attachments (e.g. a draft manuscript for submission to a journal, photographs of the project for inclusion in UFAW publications and on our website).

#### **All projects supported by UFAW:**

UFAW's financial support must be acknowledged in all publications, presentations and press releases arising from the work and copies of publications arising from the work should be forwarded to UFAW on their publication.

The UFAW logo should be displayed in presentations. UFAW should also be notified when the work is presented at conferences and meetings etc.

When UFAW has approved funding for a project, UFAW has the right from the outset to inform their stakeholders of the aims and potential outcomes of the project, as stated in the grant application. This may take the form of text and photos on the UFAW website or posting via our social media channels.

Please liaise with UFAW prior to issuing a press release: [media@ufaw.org.uk](mailto:media@ufaw.org.uk).

UFAW is a charity and how we use our funds matters. By reporting on your work, acknowledging UFAW, and informing UFAW of any publications or presentations arising from the project, you are helping us to gauge the impact of the money awarded and to promote UFAW's charitable objectives – which is ultimately to improve the welfare of animals.

**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 their organisation from obtaining grants from UFAW in the future.**

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

17. 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 UFAW-funded activity (intellectual property includes all inventions, technologies, products, data and knowhow);
- b) notify UFAW promptly when intellectual property that may or may not 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 information utilised in, or created or acquired as part of a UFAW-funded activity, or the exploitation envisaged under this paragraph 17;
- d) ensure that all persons in receipt of a 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.

18. 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.

19. 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 carry out and to ensure that its employees and students do as well, all acts required to assist UFAW in such protection and exploitation.

### **Data Sharing**

20. UFAW encourages data arising from UFAW-funded research to be made freely available to the wider scientific community such that they are Findable, Accessible, Interoperable, and Reusable ([FAIR](#)). Where appropriate, applications should detail plans for data sharing.

### **General**

21. As UFAW is a Charity registered in England, this agreement will be governed by English law and subject to the exclusive jurisdiction of the English courts.

### **Retention of Data**

22. Information provided in this application and any supporting documents will be kept by the Charity for an indefinite period for the purposes of recording charitable activity and to allow review of funding decisions. Copies of unsuccessful applications will be kept for seven years (Limitation Act 1980). For the processing and retention of personal data, UFAW adhere to the [Data Protection Act \(2018\)](#). For full details of our privacy statement see [www.ufaw.org.uk](http://www.ufaw.org.uk) or contact the UFAW office.