

Furtherance Regulation

of the

Doerenkamp-Zbinden Foundation for Alternatives in Biomedicine

(based on Article 2, paragraph 4 and 5 of the foundation certificate of 24. June 2009)

	page
I. General Regulations	
Article 1 Aim of the furtherance regulation	2
Article 2 Relation to the foundation certificate	2
Article 3 Duration of furtherance	2
II. Prerequisites for furtherance	
Article 4 Endowed chairs / topics worthy of furtherance / financial reserve	2
Article 5 Topics excluded from furtherance	3
III. Proposal and Evaluation Procedures	
Article 6 Proposal Procedures	3
Article 7 Procedures in the scientific advisory committee (SAC)	3
Article 8 Feedback to the foundation board (FB) and decision-making	4
IV. Doerenkamp-Zbinden-Prize	
Article 9 Signaling function and scientific policy-orientated impact	5
V. Prizes for Posters and Dissertations	6
VI. Further Regulations	
Article 10 Amendments to the FRegl	6
Article 11 Implementation	6

I. General Regulations

Art. 1 Aim of the furtherance regulation

¹ This regulation serves to define all technical questions and decision-making procedures regarding the evaluation of proposals made to the Foundation that request financial or non-financial support by the DZF in as far as these are not already defined in the foundation certificate (Art. 2).

² The FRegl shall define and make transparent the procedure taken to choose Doerenkamp-Zbinden-Prize laureates.

Art. 2 Relation to the foundation certificate

¹ The FRegl puts the foundation certificate (FC) into concrete terms. In case of ambiguity or contradictions, the foundation certificate, not the FRegl, is to be followed.

² The FRegl is made available to the regulatory authority for information purposes (Art. 12 Abs. 4 SU).

Art. 3 Duration of furtherance

In general, furtherance begins on the 1st of January of the year following the receipt of the proposal. The proposals must be received by the administrative office of the DZF by the 1st of July of the previous year, they are all evaluated together. Furtherance cannot be made for a time period of more than two years (an extension period of one year is possible).

II. Prerequisites for furtherance

Art. 4 Endowed chairs / Topics worthy of furtherance / Financial reserve

¹ Furtherance is made to research proposals that are executed at the Foundation's endowed chairs. The proposals must also be evaluated by external reviewers if they are made by members of the scientific advisory board.

² The funding decisions must provide for a sum, determined by the FB, to be held back as a financial reserve to be provided to the endowed chairs in emergency situations without drawing on the free assets of the foundation.

³ If funds are left after the furtherance of the projects of the endowed chairs, external projects may also be furthered. The replacement of "companion animals" in animal experiments should be the main furthered aim.

⁴ A sum of free foundation assets which may not be drawn on under any circumstances is determined by the FB every year.

Art. 5 Topics excluded from furtherance

Topics excluded from furtherance are

- a. Projects on and with and to create genetically modified or cloned animals (acc. to FC of 9.2.2005)
- b. Projects aimed at research on xenotransplantation (acc. to FC of 9.2.2005)
- c. Projects that disregard the animal's dignity or that disregard the animal as a fellow being in any way (acc. to FC of 9.2.2005)
- d. Projects to further the development of veterinary diagnosis or treatment procedures (acc. to FC of 9.2.2005)
- e. The replacement of a species may not be compensated by the use of a different species with the same or greater ability to experience pain and suffering. This is not considered *Replacement* in the sense of the 3R's.

III. Proposal and Evaluation Procedures

Art. 6 Proposal Procedures

¹ All proposals for furtherance must be submitted to the Foundation's administrative office. The administrative office confirms receipt of the proposal within two weeks. The submitted proposals are treated confidentially.

² Evaluation of proposals by the SAC is essential to guarantee the quality and objectives of the proposals that require scientific evaluation.

³ The FB forwards the proposals to the chairperson of the SAC together with information on the available budget for the coming years.

⁴ Members of the FB and SAC may be neither favoured nor penalized with regard to their furtherance proposals.

Art. 7 Procedures in the scientific advisory committee (SAC)

¹ The chairperson of the SAC distributes the proposals to the members of the SAC and requests a first evaluation round with a form acc. to Annex 1 of this FRegl. The chairperson and the members of the SAC also treat the proposals confidentially, but may consult further expertise on the scientific quality as long as the consulted experts do not have conflicts of interest with the applicant and as long as no costs are incurred to the DZF. The members of the SAC are given one month for this first evaluation round. If this time frame cannot be met, the chairperson of the SAC is to be informed in sufficient time.

² The received forms acc. to Annex 1 are screened by the chairperson of the SAC. Proposals are principally sorted into the categories A (worthy of furtherance), B (could be furthered under certain circumstances) and C (not suitable for furtherance). A proposal is sorted into

category A if it was evaluated with at least one A and no C. A proposal is sorted into category C if it was given at least one C and no A.

³ When filling in the evaluation forms, the opportunity should be taken to indicate possibilities to reduce the scale of the project regarding costs, personnel and time. If an A is given in brackets, the member of the SAC only supports the proposal under the condition that the costs are reduced.

⁴ If the budget is sufficient to further all proposals evaluated with an A and (A), the chairperson of the SAC hands the proposals, together with the evaluation forms, back to the FB. If the budget is not sufficient, the proposals given an A or (A) in the first evaluation round enter a second evaluation round with the aim of ranking the proposals according to priority. The members of the SAC are given two further weeks to complete this second round.

⁵ The specifications of the strengths and weaknesses of the proposed projects must be formulated in such a way that they may be communicated to the applicants (in an anonymous form) to substantiate the reasons for the rejection of the proposal.

⁶ In substantiated special cases, it may be necessary that the chairperson of the SAC visits the laboratory of the applicant to evaluate the possibilities for the realisation of the project on site. A protocol is to be written on such visits and should be made available to the members of the SAC and the FB for evaluation. The chairperson can also delegate this visiting opportunity to a member of the SAC, especially if this saves travel expenses.

Art. 8 Feedback to the foundation board (FB) and decision-making

¹ After completion of the evaluation by the SAC, the chairperson of the SAC sends the proposals together with his recommendations and the priority list, if applicable, back to the FB. The chairperson adds the name of the member of the SAC who was the respective expert (patron) for this proposal to every positively evaluated proposal.

² The FB decides on occasion of the first following meeting on the acceptance or rejection of the proposals under consideration of the financial possibilities of the Foundation and the financial reserves that must be met for the endowed chairs. In case of equality of votes, the president casts the deciding vote (see Art. 8, para. 2 of the FC), as long as he does not hold an endowed chair himself or is the applicant, in which cases he may not vote.

³ The chairperson of the SAC has a seat and vote on the FB during the decision-making sessions over research projects.

⁴ The president of the DZF informs the applicants at the latest by the beginning of December whether their projects will be furthered or partially furthered in the coming year.

⁵ If the applicant accepts the offer of furtherance in the allotted amount, a furtherance contract acc. to Annex 2 of this FRegl is set up.

IV. Doerenkamp-Zbinden-Prize

Art. 9 Signalling function and scientific policy-orientated impact

¹ The origins of the DZ Foundation lie in the award of a yearly prize for distinguished services to animal protection in science. Despite repeated reorientation of the Foundation, this prize has always been retained. The prize serves public relations, raises the level of awareness but also defines the Foundation's position.

² The announcement of the DZ-Prize is not compulsive every year. It may be published in ALTEX and other scientific journals as well as on the websites of the DZF, ALTEX and Altweb.

³ Single persons, teams as well as institutions may be suggested for the prize. The suggestions are treated confidentially.

⁴ Suggestions for the prize may be made by members of the FB or the SAC. Direct applications for the prize are not possible. Suggestions for the prize must be made by the 15th of December of the previous year.

⁵ If by the 15th of December no convincing suggestions for a laureate have been made to the FB, the prize is not awarded in the following year. Funds saved strengthen the financial reserves for emergencies for the Foundation's endowed chairs.

⁶ The scientific achievements which may lead to the award of the DZ-Prize must conform to the furtherance guidelines stipulated in this FRegl and the foundation certificate.

⁷ Next to medical doctors, veterinarians and natural scientists, persons in the fields of animal protection or philosophy and public persons may be awarded the DZ-Prize in so far as they have distinguished themselves in the sense of the replacement and reduction of animal experiments.

⁷ The decisions regarding the award of the DZ-Prize must follow and be guided by the will of the foundress on which this regulation and the foundation certificate of 9.2.2005 are based. A change in the regulations regarding the award of the prize may only be made if the change does not affect the objective of the foundation.

⁸ The prize is to be awarded in a dignified ceremony. Scientific meetings such as Linz or the World Congress are to be favoured as far as possible.

⁹ The laureates must show themselves worthy of the award. If they violate the principles of the Foundation after the award of the prize or if such breaches become known, the prize can be retracted. The prize money is not reclaimed. A unanimous decision must be made by the FB but does not require public justification.

¹⁰ As a general rule, the prize money is set at 25.000 CHF and can be shared.

V. Prizes for Posters and Dissertations

On occasion of high ranking congresses (i.e. World Congresses, Linz) prizes may be awarded for posters and dissertations, the details of which must be decided by the members of the FB and SAC.

VI. Further Regulations

Art. 10 Amendments to the FRegl

¹ Amendments to this furtherance regulation must be ratified by at least two thirds of all members of the foundation board (Art. 8, para. 4, section c of FC). The SAC should be called on for advice in case of changes to the FRegl.

² The amended FRegl is initialled on every page by the president and one further member of the foundation board and signed and dated at the end of the document. The original document is kept with the foundation records.

³ Every member of the foundation board as well as the chairperson of the scientific advisory committee and the regulatory authority (Art. 12 para. 4 of FC) promptly receives a complete copy of the amended FRegl for their information.

Art. 11 Implementation

This furtherance regulation becomes effective with its adoption by the foundation board acc. to Art. 8, para. 4, section c of the FC. The original document is dated and signed by the president and one further member of the foundation board and is kept with the foundation records.