

**UNIVERSITY OF KWAZULU-NATAL ETHICS COMMITTEE  
ANIMAL ETHICS COMMITTEE**

**NOTES FOR COMPLETION OF APPROVAL FOR RESEARCH PROTOCOLS USING  
ANIMALS APPLICATION FORM**

All research projects and teaching activities undertaken at the University of KwaZulu-Natal using animals, other than human subjects, must have prior approval by the University of KwaZulu-Natal Animal Ethics Sub-committee. Should the animal work be undertaken by University KwaZulu-Natal staff/students at outside facilities, ethical approval must be obtained from the relevant authority (copies of the completed application and letter of approval must be sent to the UKZN animal ethics subcommittee). Review of protocols is accomplished through the use of the appropriate application form\*, with accompanying notes to facilitate the completion of the application form, and the Approved Standard Animal Procedures Booklet. The purpose of the application form is to provide information about your proposed use of regulated procedures so that the Animal Ethics Sub-committee can ensure that the use of animals is appropriate, justified and that the likely adverse effects on the animals concerned can be weighed against the benefit likely to accrue as the result of your programme of work.

Each staff member conducting research using animals must submit one application covering all the animals used in his/her various projects. This ethics approval will cover the work done by Honours students, provided the Animal ethics committee is furnished with a list of Honours students' names and their student numbers by the supervisor/staff member. However, each Masters and Doctoral student must submit their own application pertaining to the work involving animals pertaining to their research projects. A copy of the approval letter will be sent to the relevant faculty Higher degrees Committee. The Head of each School using animals in undergraduate teaching must submit a single application in consultation with the relevant course convenor(s) covering all the modules using animals in that School (please note there is a separate application form for using animals in Teaching). Once approved, protocols are renewed on an annual basis. Renewals of most continuations can be done with the short renewal form.

Before completing the form you will need to refer to the *University of KwaZulu-Natal Guide to the Care and Use of Animals in Research and Teaching* (referred to as the *Guide* in these notes and the application form) and the Approved Standard Animal Procedures Booklet (both available from the Research Office).

**Your application will be treated in confidence at all stages.**

\*First time applicants using animals in research: Animal ethics research form

Research involving field observations of animals: Field work ethics form (please note conditions that require completion of full application)

Renewal applicants: Renewal Animal ethics research form

Academic convenors of undergraduate or Honours modules using animals: Animal ethics teaching form (and in subsequent years Renewal Animal ethics teaching form)

## NOTES BY SECTION OF APPLICATION FORM

**Please insert your surname between the markers at the TOP of each page.**

### Section 3

All individuals using laboratory animals in research should be properly trained. The training will be provided through a series of lectures and is in three levels\*. Level 1 is humane care and use of laboratory animals and is required of everyone associated with laboratory animal research. Level 2 is presented by species and includes basic handling and common procedures such as injection, bleeding and euthanasia and is needed by anyone with hands-on use of animals. Level 3 is for more specialised procedures such as surgery, containment, primate use, etc. and is needed only if individuals are doing these procedures. Supervisors who only direct research need level 1 and may satisfy level 2 by attending a special multiple species Supervisors/Academic staff level 2 session. Supervisors doing hands-on laboratory animal work need the regular level 2/3 classes.

**\*Please note that training sessions are still in the planning stage and the training level required once training is in place must please be indicated. At present it is understood that academic staff members with the required experience will train their own post-graduate students and technical staff.**

In the case of projects involving studies on farm animals or field work (e.g. behavioural studies) on wild animals and birds, the training will be provided by the relevant supervisor or expert identified by the supervisor. Their level of expertise will be evident from Section 4. This type of training should be indicated as level 4 in Section 3.

To complete this Section list first yourself, the supervisor and the level of training that you have received. Next, list all the research workers and students involved in your project and their level of animal training.

### Section 4

In addition to providing details of your status, qualifications and experience **in using animals for experimentation** in this Section, you should also bear in mind the following elements relevant to overseeing work on laboratory animals and engaging in such work:

- (a) ethical and legal considerations relevant to laboratory animal use;
- (b) knowledge and skills required to design, conduct and analyse scientific experiments using living animals;
- (c) knowledge of alternative and refined methods available to replace procedures on living animals.

### Section 5

This information is required to facilitate occasional inspections by the animal ethics committee. In cases where all, or part, of the animal work is carried out at non-University of KwaZulu-Natal facilities, approval must be sought from that facility's animal ethics committee or equivalent authority. A copy of the letter of approval must be attached to this application form.

**Please note this is a Table and the animal species/common name should be filled in to the right of the Housing facility.**

## **Section 6**

Background: this should give a concise account of the present state of relevant knowledge, with key supporting references, if appropriate. Any previous work in the proposed field by you or members of your group should be indicated, also with supporting references if appropriate. Details of peer review may be given here.

Objectives: you should define the problems you wish to solve during the lifetime of the project in specific rather than general terms. Longer term aims may be described separately.

Potential benefits: assuming that the objectives are met successfully, what short- and long-term benefits are likely to follow?

It should be clear from the text of Section 6 that the proposed work is original and well justified by potential benefits. Please use supplementary sheets where activities span different research areas. Please endeavour to restrict Section 6 to a single page per research area. Bear in mind that the Animal Ethics sub-committee is composed of members drawn from the University and the outside community with a wide range of expertise, some non-scientific. Please use a "Scientific American" style.

## **Section 7**

In describing your plan of work, it is important to show how the individual procedures, with emphasis on the animal procedures, will be used to meet the scientific objectives of the project. Fuller details of the procedures are required in Section 8 and need not be set out in Section 6. Give details here of any control groups and statistical treatment of results. **It is essential that a justification of the number of animals to be used is given here.** This Section should establish that the proposed work is well designed scientifically and is likely to meet the objectives set out in Section 6.

This Section should also show how individual procedures inter-relate in the sequencing or staging of the project. Flow diagrams may be helpful. For the purpose of this Section and Section 8, a procedure is defined as one or more techniques directed towards a common

purpose. Thus the procedure of raising polyclonal antisera includes the techniques used to immunise and sample, all of which should be given by code number in Section 8.

In all cases you must show that non-sentient alternatives are not appropriate for any part of the project and that full consideration has been given to reducing the number of animals used and refining procedures to minimise suffering (Russell and Burch's Three Rs principle). This consideration forms part of the declaration in Section 10 of this application.

**Should any SURGICAL PROCEDURES form part of the Plan of Work, it is essential to identify the individual(s) who will be carrying out these procedures. Please note that only registered veterinarians or researchers who have been accredited by the South African Veterinary Council are permitted to carry out surgical procedures.**

Please indicate in this section how the animals will be **housed** (type of cages, pens etc, room temperature, humidity, light cycle), **feeding regime** (diet, water, etc)-please consult the UKZN Guide to the Care and Use of Animals in Research and Teaching.

**PLEASE PREPARE A HUMANE ENDPOINT SHEET AND ATTACH A COPY TO THE APPLICATION. THE HUMANE ENDPOINT SHEET NEEDS TO BE COMPLETED THROUGHOUT THE PROJECT AND MADE AVAILABLE FOR INSPECTION**

### **Section 8**

Please consult the relevant Section of the *Approved Standard Procedures Booklet* and use the appropriate codes to describe the protocols used in your animal work. If any of your protocols are not covered in the *Booklet*, please give details in Section 8.3 in the same format as used in the *Booklet*. Please use the Humane Endpoint document where appropriate and provide the necessary information as an attachment to the application form. Where a number of groups of animals are used, use a flow diagram to justify the numbers in each group and to clarify the need for the different groups. Please attach the flow diagram to the application form.

### **Section 9**

If all the procedures are under terminal anaesthesia or on decerebrate animals then the overall severity of the project is unclassified. Otherwise a view will have to be reached as to whether the severity of the project should be assessed as mild, moderate or substantial. As far as the project is concerned, the assessment of overall severity should take account of the severity likely to be reached in all the individual procedures; the duration of that severity and the number

of animals affected. Overall severity thus has qualitative and quantitative aspects and does not simply equate to the severity of the single most severe procedure.

Please send a signed hard copy (original) to Mariette Snyman, Animal Ethics, Research Office, Govan Mbeki Bldg, Westville Campus **AND** an electronic copy to [animaethics@ukzn.ac.za](mailto:animaethics@ukzn.ac.za) to expedite the review process.