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Faculty of Health Sciences Ethics Office for Research, Training and Support  
[health-sciences.nwu.ac.za/healthethics](http://health-sciences.nwu.ac.za/healthethics)

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| **AnimCare** Ethics Committee on Animal Care, Health and Safety in Research *(AREC-130913-015)* **Lower Invertebrate Ethics Notification Form** for projects using lower invertebrates animals  for research or training purposes, but without ethical implications  ***AnimCare 02-03b, Version 4.10 (Nov 2016)*** | |
| **CONFIDENTIAL!** This document contains confidential information that is intended strictly and exclusively for the applicant and AnimCare Committee. Should this document or parts thereof erroneously come in your possession, you are requested to destroy it or to return it to AnimCare without delay. Unauthorised possession, reading, studying, copying or distribution of this material, or any other form of abuse, is illegal and punishable. | |
| **NWU Ethics Number:  *(not issued for these studies)*** | Click or tap here to enter text. |

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| General Project Identification |

Provide the necessary descriptions below to identify this project application:

* 1. Full, descriptive title of the project

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| Click or tap here to enter text. |

* 1. Name of the Project Head *(principle investigator / study leader in case of research projects, or educator in case of training projects)* and Postgraduate Student *(if applicable)*

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| **Role** | **Name** | **NWU staff/student no.** |
| Project head | Click here to enter name.. | Click here to enter number. |
| Student | Click here to enter name.. | Click here to enter number. |

* 1. Discipline(s), Name of the NWU Research Entity(ies), Faculty(ies) and NWU Campus(es)

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| Click or tap here to enter text. |

* 1. Type of application:

*(Select the appropriate option from each dropdown list below)*

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| **Type** | **Response** |
| Is this an application for a *research project,* *education/training project or repetitive testing/monitoring intervention*? | Choose an item. |
| Is this an application for a *single*or a *larger project*(where *“larger****”*** refers to, for example (not limited to) a well-defined but compiled / complex study, which can be subdivided into several well-defined smaller sub-studies for multiple postgraduate students, or a well-defined large training project, which can be subdivided into several sub-compiled workshops or repetitions, or a standard test, repeatedly performed for different clients from time to time) | Choose an item. |

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| Applicant’s Instructions AnimCare need to be notified of any studies involving lower invertebrates, using this form. This is not an application for ethics approval and an ethics approval number will not be issued.   1. **General instructions**    1. **Important!** Always ensure that you have the latest version of the application form, downloadable from <http://health-sciences.nwu.ac.za/healthethics>. Previous versions will not be accepted.    2. All research project proposals/protocols MUST be approved by a Scientific Committee BEFORE submitting this application for ethics approval.    3. All applications and supporting documentation must be in English only, and only electronic versions submitted via e-mail will be accepted.    4. Complete this application form and attach all supporting documentation (e.g. certificates, authorisation documents to verify sound sources of animal tissue/fluids and disposal).    5. You are advised to convert final versions of documents to PDF (i.e. “save as PDF”) before submitting them via e-mail. 2. **Documents & attachments to be submitted**   The following schema and descriptions below explain all documents to be submitted *(compare with the check list at the end of this document)*:    Figure 1: Flow diagram of all documents to be submitted with the ethics application, where SAVC = South African Veterinary Council, CV = curriculum vitae; CoC = Code of Conduct; SOP = standard operating procedure. More details follow below.   1. ***This application form:*** Give this document a name starting with “0) ”, for example  “0) Application Form.docx”. Any cover letter (optional) or rebuttal/response letter in case of amendments/corrections, should also start with “0) “. 2. ***Project proposal:*** Not applicable. 3. ***Letter of approval:*** Attach a concise letter confirming approval of the project proposal by the Scientific Committee (see above). This letter should be printed on a formal letterhead and signed by the chair of the Scientific Committee, as well as state the approved project title, name of the principle investigator, the date of approval and names of committee members who approved the project proposal. Give this document a name starting with “2) ”. 4. ***Monitoring sheets:*** Not applicable 5. ***Narrative CVs & Codes of Conduct:*** Ensure that a 2-page narrative CV of the applicant (project manager) is attached (demonstrating qualifications, professional registrations, publications over the last 4 years, other publications related to the project, research expertise and other relevant competencies). Also attach for a copy of the applicant’s signed NWU Code of Conduct for Researchers. Give each of these documents a name starting with “4a) “, “4b) “, etc. 6. ***Authorisation, registration & training:*** Not applicable. 7. ***Supervisor declarations:*** The signed Declaration Form for the Project Manager and Director of Research MUST be attached. Give each of these signed documents a name starting with “6a) ”, “6b) “, etc. 8. ***Other documents:*** All applicable permission letters, permits and contracts received from relevant governing bodies, collaborators, sponsors or others, informed consent from owners *(if applicable)*, as well as any AnimCare-approved SOPs MUST be attached. Give each of these documents a name starting with “7a) ”, “7b) “, etc. 9. **Final submission steps for this application**   The following process must be followed to submit ethics applications *(until the implementation of Info-Ed, whereafter online submissions will apply)*:   * 1. Complete the checklist (end of document) to ensure your application contains all required documents.   2. Submit via e-mail the completed Ethics Application Form (with the attached documentation as discussed above) to the Faculty of Health Sciences Ethics Office for Research, Training and Support ([Ethics-AnimCare@nwu.ac.za](mailto:Ethics-AnimCare@nwu.ac.za)).   3. Submit the original hard copies of the signed pages of declaration forms to the Faculty of Health Sciences Ethics Office for Research, Training and Support, Box 500, North-West University, Potchefstroom, 2520 *(tel 018 299 1208)*.   **Please note!**   1. All applicants must ensure that all required finalised documents as indicated above are included with the submission of your ethics application. NO additional attachments or version correction(s) will be accepted after submission.  If this does occur and the application was incomplete, the application will be withdrawn (additional administrative fees may be incurred) and the whole application will have to be resubmitted with all of the documents attached, which could mean that the application may not be considered for the originally intended meeting date and postponed to a later date. |

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| 1. **Project Description** |

*Executive Summary:* Summarise the project in *150 words max*, outlining the problem statement, objectives, methods & study design (including animal numbers), as well as expected outcome / benefit. This should be as much in layman’s terms as reasonably possible, so that a wider audience can understand.

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| Click or tap here to enter text. |

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| 1. **Additional Information** |

* 1. **Details of animals species involved *(in both scientific and layman’s terms)* and/or biological samples, and sample size to be used in this project**

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| Click or tap here to enter text. |

* 1. **Is there any significant bearing of this study on any endangered or protected species or significant impact on the environment?**

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| Select | If yes, click or tap here to provide details. |

**Please note!** If yes, please provide details on the risk level, identify risk factors and associated precautionary/mitigating measures, AND complete the form on “Estimated Environmental Impact Category” (form no. NS Ethics 01-01a).

* 1. **Details of the source or provider of the biological samples for this project, in particular that the source is ethically and legally sound**

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| Click or tap here to enter text. |

* 1. **Provide a description of all animal handling procedures, their appropriateness for the species involved, as well as competence of the researcher and suitability of available facilities and/or equipment in this regard.**

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| Click or tap here to enter text. |

* 1. **Details of any legal requirements and permits required**

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| Click or tap here to enter text. |

* 1. **Describe any health and safety risks to researchers, student or other staff members *(e.g. any biological hazard)*, as well as appropriate safety measures**

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| Click or tap here to enter text. |

* 1. **Envisaged commencement and completion date of the project, once ethics approval has been granted**

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| **Envisaged  Commencement Date** | **Envisaged  Completion Date** |
| Click or tap to enter a date. | Click or tap to enter a date. |

* 1. **Describe how you will ensure that any significant finding is explicitly disseminated to the appropriate authority** *(e.g. notifying the Department of Agriculture, Forestry and Fisheries regarding any finding that may bear on environmental safety)* **and/or to the public** *[Responsibility]*

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| Click or tap here to enter text. |

* 1. **Any additional comments from the Project Head**

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| Click or tap here to enter text. |

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| Checklist |

Ensure that you have all required documents for submission of your ethics application:

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| **Submission of electronic copies via e-mail** ([Ethics-AnimCare@nwu.ac.za](mailto:Ethics-AnimCare@nwu.ac.za)) | |
| **This completed lower invertebrate application form** |  |
| **Scientific Committee’s** signed **letter of approval** for the research project   *(i.e. by the Research Proposal Committee)* |  |
| **Narrative CV of the applicant** *(project manager)* |  |
| Copy of the signed **NWU Code of Conduct for Researchers** for each researcher in the project team *(project head, researchers, students)* |  |
| **Relevant certificates, authorisations, contracts and/or import/export permits** |  |
| **Project head’s declarations for projects using lower invertebrates**  *(scanned copy of signed form)* |  |

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| **List of Attachments** Including the signed declaration forms, please list each document attached to this application |
| 1. Click or tap here to enter text. |