



Non-ASPAs Application Process

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Author(s):	Ellie Bunker Senior Research Ethics and Integrity Officer and Secretary to the AWERB	Date: July 2024
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Purpose

The purpose of this Standard Operating Procedure (SOP) is to detail the process for reviewing non-ASPAs applications at the University of Sussex for all research activities involving animals that are not covered under Home Office (ASPAs) legislation.

This research does not require Home Office authorisation but must be approved by AWERB.

Abbreviations

ASPAs	Animals (Scientific Procedures) Act 1986
AWERB	Animal Welfare and Ethical Review Body
ARG	Application Review Group
NACWO	Named Animal Care and Welfare Officer
NVS	Named Veterinary Surgeon
PI	Principle Investigator

Process for reviewing non-ASPAs applications

The PI must complete the Pre-Application Non-ASPAs Form (see appendix 1) and submit the application to the Secretary to the AWERB by emailing awerb@sussex.ac.uk. The application will then be sent to the NACWO and the NVS for review on behalf of ARG. The PI should expect 14 days for review.

The NACWO and NVS can approve the application immediately if they think it is appropriate. Alternatively, they may ask the Secretary to go back to the PI if more information is required or escalate the application to ARG for review. If the application is approved, the Secretary to the AWERB will issue the PI with a certificate of approval to allow the project to begin.

If you have any questions as to whether your research falls under ASPA or non-ASPA legislation, please email the AWERB Secretary at awerb@sussex.ac.uk.

Appendix 1: Pre-Application Non-ASPA Form

STRICTLY PRIVATE AND CONFIDENTIAL

NOT FOR FURTHER DISCLOSURE

ANIMAL WELFARE AND ETHICAL REVIEW BODY (AWERB)

PRE-APPLICATION FORM

TO DETERMINE FULL ETHICS APPROVAL OF A RESEARCH PROJECT INVOLVING ANIMALS BUT NOT REQUIRING A LICENCE UNDER THE ANIMALS (SCIENTIFIC PROCEDURES) ACT 1986

A core function of the AWERB¹ is to assess the potential harm to animals and balance these against the likely benefits of the research for each project. The AWERB requires information on what will happen to the animals during all stages of the project and what the animals are likely to experience as a result.

This form will help us assess if the project you are intending to undertake is of low or high risk, both in terms of to the animals being used in the research and the regulatory compliance the University upholds.

Please complete this form to the best of your knowledge and send to AWERB (awerb@sussex.ac.uk) and we will reply shortly whether this form is sufficient to grant ethical approval or if a full application is required.

IF YOUR RESEARCH INVOLVES THE STUDY OF ANIMALS REGULATED BY THE ANIMALS (SCIENTIFIC PROCEDURES) ACT 1986 (ASPA) PLEASE DO NOT COMPLETE THIS FORM AND GO DIRECT TO A FULL AWERB APPLICATION

http://www.sussex.ac.uk/staff/research/governance/erp_overview/animals

All applications should be completed giving consideration to the [ARRIVE guidelines](#) and the [NC3Rs experimental design assistant](#)

Name(s) and role(s) of researcher(s):

(For student projects only) Name(s) and role(s) of supervisor(s):

School of Study:

Title of research project or class practical including module code:

Date of application (to be reviewed annually):

¹ http://www.sussex.ac.uk/staff/research/governance/erp_overview/animals

Proposed start date and duration of research:
Brief Summary (Use this space to briefly introduce and summarise the work you wish ethically approved) Summary: Significant references with link (i.e. methods employed in your research):

<u>General information</u> Please tick options as appropriate: 1. Is the proposed activity for teaching <input type="checkbox"/> or research <input type="checkbox"/>? 2. Is the activity exclusively lab based (inc. CT rooms, greenhouses etc.) <input type="checkbox"/>/ exclusively field based <input type="checkbox"/>/ both lab and field based <input type="checkbox"/>? 3. Is the proposed activity UK based <input type="checkbox"/> or Overseas <input type="checkbox"/>? (If you have ticked the Overseas option, please complete the relevant section below) 4. Does the activity involve birds <input type="checkbox"/>, invertebrates <input type="checkbox"/>, fish <input type="checkbox"/>, mammals <input type="checkbox"/>, reptiles and amphibians <input type="checkbox"/> ? Other (please specify) <input type="checkbox"/>:..... (If you have ticked any of the animal groups above please complete the relevant section below) 5. Licences or Permission Are you aware of any specific licences or permissions you required to undertake this type of work in the proposed location? If so, please list and mark if you have these licences/permissions already: [] Have Licence/Permission? Yes <input type="checkbox"/> No <input type="checkbox"/> [] Have Licence/Permission? Yes <input type="checkbox"/> No <input type="checkbox"/> (If you are unsure about any of the questions in this box, please speak to the Technical representative for EBE on ext. 6967) <u>Overseas Work</u> (only complete if activity will occur outside of the UK) If working Overseas, please evidence awareness of relevant legislation or regulations relating to your work: Does the activity involve access to resources that fall under the Nagoya Protocol? https://www.cbd.int/abs/about/ Yes <input type="checkbox"/> No <input type="checkbox"/>
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If yes to above, please specify what agreements with local bodies/organisations/governments are in place to ensure compliance with the Nagoya Protocol:

Please complete the section(s) relevant to your activity, ticking what methods you will be employing:

Activities involving the study of Birds

Please list species involved:

Require a wildlife licence (UK only) <https://www.gov.uk/guidance/wildlife-licences> ☐

Observation ☐

Netting ☐

Ringing ☐

Radio / GPS tracking ☐

Other (please specify):

☐

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Activities involving the study of Invertebrates

Please list species involved:

Require a wildlife licence (UK only) <https://www.gov.uk/guidance/wildlife-licences> ☐

Observation ☐

Live capture and release ☐

Capture and kept in captivity ☐

Capture and death ☐

Other (please specify):

☐

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Activities involving the study of Fish

Please list species involved:

Require a wildlife licence (UK only) <https://www.gov.uk/guidance/wildlife-licences> ☐

Observation ☐

Live capture and release ☐

Capture and kept in captivity ☐

Other (please specify):

☐

Activities involving the study of Mammals

Please list species involved:

Require a wildlife licence (UK only) <https://www.gov.uk/guidance/wildlife-licences> ☐

Field observations ☐

Camera traps ☐

Radio / GPS tracking ☐

Small Mammal Trapping ☐

Capture and kept in captivity ☐

Bat netting/ringing ☐

Other (please specify): <input type="checkbox"/>
Activities involving the study of <u>Reptiles and Amphibians</u> Please list species involved: Require a wildlife licence (UK only) https://www.gov.uk/guidance/wildlife-licences <input type="checkbox"/> Observation <input type="checkbox"/> Radio / GPS tracking <input type="checkbox"/> Live capture and release <input type="checkbox"/> Capture and kept in captivity <input type="checkbox"/> Other (<i>please specify</i>): <input type="checkbox"/>

How do I apply for ethical review?

The University has two main routes for ethical approval, the Faculty Research Ethics Committee (F-REC) for **human** related research and the Animal Welfare and Ethical Review Body (AWERB) for **animal** work. If research involves both humans and animals, only a single application needs to be made as the two groups will check with each other to ensure overall approval.

In terms of the AWERB, it is important to note that all research and teaching activity that involves animals should undergo ethical review before commencing. This includes:

- Research and teaching activities with animals that falls both within and outside of definitions provided in the Animal Special Procedure Act (ASPA)
- Observational research (both on and off campus)
- Research with animals undertaken by collaborators both in the UK or overseas on research projects or studies for which the University is the lead and/or grant holder
- Activities that may be related to 'performance' or creative work
- Studies that may involve researcher interaction with both human and animals that may necessitate ethical review of both or either of the AWERB and a Cross-Schools Research Ethics Committee (or related ethical review process). In such an eventuality the Research Governance Office (rgoffice@sussex.ac.uk) will advise.
- Research and teaching activities with animals undertaken by all researchers and lecturers (staff and students)

How to apply to the AWERB?

The level of approval required from the AWERB will depend on the 'severity' or 'risks' associated with the work proposed. To assess if a full application is needed a pre-application assessment form has been developed (attached). Blanket approval for specific methods used in a variety of projects can also be applied for, e.g. camera trapping, insect sampling and behavioural assays.