



**RESEARCH ETHICAL APPLICATION FOR THE USE OF HUMAN PARTICIPANTS:
 REVIEW FORM**

- Please Note:**
- the form must be completed in typed script;
 - that handwritten applications will not be considered;
 - this form deals only with the use of human participants; and
 - Any other research needs to use the relevant form.

SECTION A COMPULSORY TO COMPLETE

APPLICANT'S PERSONAL DETAILS

Full name of Principle Investigator _____

Surname _____

Gender¹ _____

Race² _____

Student Number (where applicable) _____

Staff Number (where applicable - of Principal Investigator for Non-Degree Purposes) _____

Department _____

Faculty _____

Existing Qualifications _____

Proposed Qualification for Project
 (In the case of research of degree purposes - otherwise declare this a "Non-Degree Purpose") _____

Contact number of PI³ _____

Mobile number of PI _____

e-mail of PI _____

¹ Optional

² Optional

³ The PI is the Principal Investigator. In the case of degree research, this is the student

SECTION B COMPULSORY TO COMPLETE**SUPERVISORS / PROMOTERS AND OTHER RESEARCHERS' DETAILS**

	Name	Contact Number	e-mail	Department / Institution	Qualifications
1.					
2.					
3.					

SECTION C COMPULSORY TO COMPLETE**ETHICAL ISSUES**

The VUT Research Ethics Policy applies to all members of staff and postgraduate students who are involved in research on or off the campuses of VUT. In addition, any person not affiliated with Vaal University of Technology who wishes to conduct research with VUT students and / or staff is bound by the same ethics framework. Each member of the University community is responsible for implementing this Policy in relation to scholarly work with which she or he is associated and to avoid any activity which might be considered to be in violation of this Policy. ***By signing this application, the signatories bind themselves to the following conditions:***

1. That the project presented here and in the submitted proposal will be carried through as it is documented here;
2. That any deviations from the application and proposal that are significant enough to change the methodologies and methods envisioned must be reported and an amendment to the project be approved by the CREC (via the relevant FREC, where applicable);
3. The reporting of any Serious Adverse Events (SAEs) will be undertaken within the guidelines laid out by the VUT Standard Operating Procedures;
4. Progress reports will be submitted according to the dates presented in the Approval letter, and a completion report will be submitted;
5. That, by submitting this application, the PI and the research team declare that no data collection beyond that which is required for the preparation for the proposal and this application has taken place;
6. The ethics clearance number will be presented in any correspondence with the REC.

Title of Project**Name of Approving FRIC**

Please attach a copy of the approval letter or extract from the minutes

Date of FRIC Approval**QUESTION 1**

<i>Does your study cover research involving:</i>	YES	NO
Children		
Persons who are intellectually or mentally impaired		

Does your study cover research involving:	YES	NO
Persons who have experienced traumatic or stressful life circumstances		
Persons who are HIV positive		
Persons highly dependent on medical care		
Persons in dependent or unequal relationships		
Persons in captivity		
Persons living in particularly vulnerable life circumstances		

If any of above are marked "Yes", indicate what measures you will take to protect the autonomy of respondents and (where indicated) to prevent social stigmatization and/or secondary victimisation of respondents. If you are unsure about any of these concepts, please consult your supervisor/promoter.

IF YES, Describe the situation that brings about the measures, and then define the measures that are to be taken.

QUESTION 2

Will data collection involve any of the following:	YES	NO
Access to confidential information without prior consent of participants		
Participants being required to commit an act which might diminish self-respect or cause them to experience shame, embarrassment, or regret		
Participants being exposed to questions which may be experienced as stressful or upsetting, or to procedures which may have unpleasant or harmful side effects		
The use of stimuli, tasks or procedures which may be experienced as stressful, noxious, or unpleasant		
Any form of deception		

If any of above are marked "Yes", explain and justify. Explain, too, what steps you will take to minimise the potential stress/harm.

IF YES, Describe the situation that brings about the measures, and then define the measures that are to be taken.

QUESTION 3

Will any of the following instruments be used for purposes of data collection:	YES	NO
Questionnaire		
Survey schedule		
Interview/Focus group schedule		

Will any of the following instruments be used for purposes of data collection:	YES	NO
Psychometric test		
Other/ equivalent assessment instrument		

If any of above is marked "Yes", attach copy of research instrument. If data collection involves the use of a psychometric test or equivalent assessment instrument, you are required to provide evidence here that the measure is likely to provide a valid, reliable, and unbiased estimate of the construct being measured. If data collection involves interviews and/or focus groups, please provide a list of the topics to be covered/ kinds of questions to be asked.

ADD THE INFORMATION HERE and indicate that the instrument has been appended to this document under a specific name and Appendix number.

In the case of the Psychometric test indicate which one and attach evidence that you have permission to use it. Where the test is to be administered by a professional, provide the information of the professional.

QUESTION 4

Will the autonomy of participants be protected through the use of an informed consent form, which specifies (in language that respondents will understand):	YES	NO
The nature and purpose/s of the research		
The identity and institutional association of the researcher and supervisor/project leader and their contact details		
The fact that participation is voluntary that responses will be treated in a confidential manner		
Any limits on confidentiality which may apply		
That anonymity will be ensured where appropriate (e.g. coded/ disguised names of participants/ respondents/ institutions)		
The fact that participants are free to withdraw from the research at any time without any negative or undesirable consequences to themselves		
The nature and limits of any benefits participants may receive as a result of their participation in the research		
Is a copy of the informed consent form attached?		

*If **NOT**, this needs to be explained and justified, also the measures to be adopted to ensure that the respondents fully understand the nature of the research and the consent that they are giving.*

Refer to the relevant Information Leaflet and Informed Consent appended to this document by title or Appendix number.

In the case where any of the responses are indicated negatively (i.e as "NO") provide a justification why this decision has been made and the information has been omitted, here.

QUESTION 5

Specify what efforts been made or will be made to obtain informed permission for the research from appropriate authorities and gate-keepers (including caretakers or legal guardians in the case of minor children)?

Describe the measures, here, and append the relevant documents with their titles and Appendix numbers to this document.

QUESTION 6

STORAGE AND DISPOSAL OF RESEARCH DATA:

Please note that the research data should be kept for a period of at least five years in a secure location by arrangement with your supervisor. Declare in the box below where this is to occur.

QUESTION 7

In the subsequent dissemination of your research findings - in the form of the finished thesis, oral presentations, publication etc. - how will anonymity/ confidentiality be protected? Provide a detailed description.

QUESTION 8

Is this research supported by funding that is likely to inform or impact in any way on the design, outcome and dissemination of the research?

YES

NO

If YES, this needs to be explained and justified here. Append any documentation that will assist the Ethics Committees in reaching a conclusion.

QUESTION 9

Are extra arrangements necessary to indemnify the research team members and/or the participants?

YES

NO

If YES, please indicate here why this is deemed necessary and then indicate how the arrangements have been made. Append supporting documentation and refer.

QUESTION 10

Is it deemed necessary to have insurance cover, over and above the VUT insurance, for this research project?

YES

NO

If YES, please indicate why this deemed necessary and present evidence of how this is to be done. Append supporting documentation.

QUESTION 11

Are the participants to be compensated in any form?

YES

NO

If YES, please indicate what that compensation entails here.

QUESTION 12

APPROVAL BY OTHER ETHICS COMMITTEES. Are other, non-VUT, Ethics Committee approvals required?

YES

NO

*If YES, please indicate who these Ethics Committees are. Append copies of their approval letters. (It is acknowledged that the other committee will first require VUT approval before granting their approval. In such a case, the original committee must commit to a **provisional approval pending VUT approval.** This should be appended.)*

QUESTION 13

Has any organization/company participating in the research or funding the project, imposed any conditions to the research?

YES

NO

If YES, please indicate what the conditions are. Append supporting documentation.

FORMALISATION OF THE APPLICATION

APPLICANT

I have familiarised myself with the University’s Research Ethics Review Guidelines and undertake to comply with them. I understand that it is also my duty to inform the University timeously in cases where Serious Adverse Events occur and to take every precaution to avoid these happening.

The information supplied above is correct to the best of my knowledge.

NB: PLEASE ENSURE THAT THE ATTACHED CHECK SHEET IS COMPLETED

SIGNATURE OF APPLICANT

D	D	M	M	Y	Y	Y	Y

DATE

NB: Please ensure that the applicant has completed the attached Check Sheet and that the Form is forwarded to your Faculty Research Ethics Committee.

NOTE: In the case of research for Non-Degree purposes, this signature is not necessary.

SIGNATURE OF SUPERVISOR
OR PROJECT LEADER

D	D	M	M	Y	Y	Y	Y

DATE

**RESEARCH ETHICAL APPLICATION FOR REVIEW FORM
FOR HUMAN PARTICIPANTS**

PROPOSAL AND ETHICS APPLICATION RELATED DOCUMENTS

	PLEASE TICK OR INDICATE AS "Not Applicable" (N/A)
1. Full Research Proposal is attached	
2. FRIC Chair declaration of approval of project (both degree and NDP)	
3. Information Leaflet and Informed Consent forms, in English (an accredited translation in the language of the potential participants may be required at a later stage).	
4. Description and/or amounts of compensation including reimbursements, gifts or services to be provided to participants (if applicable)	
5. Description for arrangement for indemnity (if applicable)	
6. Description of any financial cost to participant (if applicable) Research budget to be included and source of funding declared.	
7. Description of provision of insurance coverage to participants (if applicable)	
8. Description of steps to be undertaken in case of and adverse event or when injury of harm is experienced by the participants attributable to their participation in the study	
9. Statement agreeing to comply with ethical principles set out in the VUT Ethics Review Guidelines has been signed	
10. Disclosure of any previous ethics review action by other ethics review bodies (if applicable). In the case of external applications proof that the research has been approved by the researcher's institutional research ethics body.	
11. Research instrument such as questionnaires, interview guides and similar documents	
12. CV's of principal investigators in the case of research for Non-Degree Purposes. In the case of external Research Ethics Application the CVs of the PI (in the case of research for Non-Degree Purposes) or consulting supervisor or promoter must be appended	
13. Letter(s) of permission from relevant bodies (if applicable)	
14. Did you language edit the application and proposal, i.e. checked for grammar and spelling errors?	