



VAAL UNIVERSITY OF TECHNOLOGY

RESEARCH ETHICAL APPLICATION FOR THE USE OF NON-HUMAN RESEARCH PROJECTS: REVIEW FORM

Please note that the form must be completed in typed script. Handwritten applications will not be considered.

Please note that this form deals primarily with research that is undertaken in non-human projects. The research team, however, is considered a part of the project. Where human participation is planned for, the relevant form should also be used.

APPLICANT'S PERSONAL DETAILS

Full name of Principle Investigator

Surname

Gender¹

Race²

Student Number (where applicable)

Staff Number (where applicable - of Principle 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 Principle Investigator. In the case of degree research, this is the student



SUPERVISORS/ PROMOTERS AND OTHER RESEARCHERS' DETAILS

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

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	



LABORATORY WORK

This section is to be completed for all use of a laboratory for research purposes, as outlined in the proposal and in the descriptions that follow, whether the research is only partially going to be conducted in a laboratory or not. Please also note that an IT laboratory, even with only one workstation, is also considered a laboratory.

Is the laboratory that is to be used a VUT laboratory? If so, in the space below, indicate which laboratory, by Department and Room number. If an outside laboratory is being used, fully name the laboratory, and attach a copy of the Letter of Agreement with the owners of that laboratory to this application as an Annexure. *Such a Letter of Agreement needs to declare and list all the relevant Standard Operating Procedures that are pertinent to the research project.*

Describe briefly the procedure you are following, paying particular attention to the areas that might present hazardous situations. (Please do not ask to cross-refer to the proposal).

In the space below document the hazardous material that you might be using in your research. If there is no use of hazardous material, declare this in the space. (Please do not indicate this as N/A or Not Applicable).

In the space below describe the apparatuses that you will be using in your research that might be considered dangerous to yourself and your co-workers. If there is no danger, declare this in the space. (Please do not indicate this as N/A or Not Applicable).



Provide a list of VUT Standard Operating Procedures (SOPs) that you will be following in your specific laboratory work. (Please note that all laboratories need to have SOPs in place. If the SOPs are not in place, ethical clearance will automatically not be granted).

Provide a description of how you plan to protect yourself and your fellow researchers during the carrying out of the laboratory research, should this be necessary. If this is not the case, declare in the space below that this is not necessary. (Please do not indicate this as N/A or Not Applicable).

In the space below describe how you plan to dispose of the waste and residue that will follow your research. Please refer to the VUT SOP that is relevant to this procedure. If there is no waste or residue, declare this in the space. (Please do not indicate this as N/A or Not Applicable).

If there are any products, processes, patents and the like connected to Intellectual Property that might emanate from your research, please declare it in the space below, and provide, as an Annexure, evidence that you have begun the process of registering such products, processes, patents and the like with VUT systems. If there are no products, patents, processes that are registerable, beyond what is contained in written outputs from the research, please declare this in this space. (Please do not indicate this as N/A or Not Applicable).

If the research is reliant on cooperation or contribution from sources outside VUT, where such cooperation or contribution might bring about outputs sharing, please describe the situation, and



provide, as an Annexure, copies of all agreements pertaining to this situation. If this does not apply, please declare so, in the space. (Please do not indicate this as N/A or Not Applicable).

RESEARCH THAT IS UNDERTAKEN *IN SITU* OR ON SITE

This section refers to all research where the research is undertaken in any physical domain that is not a *bona fide* laboratory as defined, under Question 4. PLEASE NOTE: in this situation the environment or domain might normally be utilised by people and/or animals (as defined in the VUT Research Ethics Policy) who are NOT directly considered as *participants* in the research but whose wellbeing must be considered because the presence and aftermath of the research project might be invasive of their habitat and render them vulnerable.

Describe the environment in which the research will take place. Pay attention, at least, to the following:

- ✓ A description of the place where the research is to be undertaken, including size, vegetation, human and animal habitation and utilisation.
- ✓ A description of how the environment is currently being utilised.
- ✓ Describe any measures that are in place that protect the environment before the arrival of the research project

Justify why the project needs to be undertaken in this environment.

Describe the permission and procedures to access the environment, including daily access and departure procedures, and any specific procedures that are connected to this. Document any particular



prohibitions placed on the project because of the access to the environment. Attach a copy of the permission letter to access to environment, as an Annexure.

Briefly describe the procedures to be carried out in the environment. Please do not ask to cross-refer to the relevant sections in the proposal but present the description here.

Document any use of hazardous material that might be part of the research on site. Include in this the process of transportation of the material. If there is no use of hazardous material please declare this in the space below. (Please do not indicate this as N/A or Not Applicable).

Document any machinery that is to be used in the research project on site, specify the SOPs of each machine, and indicate how the machinery is to be transported to and from the site, or made safe when the research team is not there. (This includes reference to all provisions of power for the machinery, such as electricity, fuel and the like). If there is no use of machinery please declare this in the space below. (Please do not indicate this as N/A or Not Applicable).

Stipulate how you are going to dispose of any hazardous or pollutant waste, upon completion of the research project. Where applicable, refer to the relevant SOPs.



Document the procedures you will undertake, upon completion of the research project, to return the environment to its original state, or, where applicable, indicate how the environment will be enhanced.

If there are any products, processes, patents and the like connected to Intellectual Property that might emanate from your research, please declare it in the space below, and provide, as an Annexure, evidence that you have begun the process of registering such products, processes, patents and the like with VUT systems. If there are no products, patents, processes that are registerable, beyond what is contained in written outputs from the research, please declare this in this space. (Please do not indicate this as N/A or Not Applicable).

If the research is reliant on cooperation or contribution from sources outside VUT, where such cooperation or contribution might bring about outputs sharing, please describe the situation, and provide, as an Annexure, copies of all agreements pertaining to this situation. If this does not apply, please declare so, in the space. If this does not apply, declare this in the space. (Please do not indicate this as N/A or Not Applicable).

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	2	0	Y	Y
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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.

 SIGNATURE OF
 SUPERVISOR / PROJECT
 LEADER

D	D	M	M	2	0	Y	Y
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DATE

ETHICS CHECKLIST FOR NON-HUMAN RESEARCH

	Yes	No	N/A
Was DRIC approval received?			
Was FRIC approval received?			
Is the laboratory that is to be used a VUT laboratory?			
If an outside laboratory is being used, was the laboratory fully named?			
Was a Letter of Agreement from the owners of that laboratory received?			
Did you describe briefly the procedure you are following regarding hazardous situations?			
Do you follow Standard Operating Procedures (SOPs) for transporting and discard of hazardous materials?			
Did you document the hazardous material that you might be using in your research?			
Did you document the apparatuses that you will be using in your research that might be considered dangerous to yourself and your co-workers?			

Did you provide a list of VUT SOPs that you will be following in your specific laboratory work?			
If you are using Non-VUT laboratories, have you included the contract between VUT and that laboratory, including the SOP documents?			
Did you provide a description of how you plan to protect yourself and your fellow researchers during the carrying out of the laboratory research?			
Did you provide a description of how you plan to dispose of the waste and residue that will follow your research? (Please refer to the VUT SOP that is relevant to this procedure)			
Did you declare any products, processes, patents and the like connected to Intellectual Property that might emanate from your research? OR			
Did you declare what written outputs will derive from the research?			
Is the research reliant on cooperation or contribution from sources outside VUT?			
Did you provide an agreement towards the partnership?			
Is your research funded by an outside entity?			
Are there any specific demands you have to adhere to because of the external funding? (Please add the list of demands in your documentation)			
Did you supply a description of the place where the research is to be undertaken, including size, vegetation, human and animal habitation and utilisation?			
Did you supply a description of how the environment is currently being utilised?			
Did you describe any measures that are in place that protect the environment before the arrival of the research project?			
Did you justify why the project needs to be undertaken in this environment?			
Did you describe the permission and procedures to access the environment, including daily access and departure procedures, and any specific procedures that are connected to this?			
Did you supply documentation on any particular prohibitions placed on the project because of the access to the environment?			
Did you receive a permission letter/access key to receive access to the environment?			
Did you describe the procedures to be carried out in the environment?			



Did you document any use of hazardous material that might be part of the research on site? (Include in this the process of transportation of the material)			
Did you declare that there is no hazardous material on site?			
Did you document the machinery and equipment that is to be used in the research project on site?			
Did you specify the SOPs of each machine and equipment, and indicate how the machinery and equipment are to be transported to and from the site, or made safe when the research team is not there? (This includes reference to all provisions of power for the machinery, such as electricity, fuel and the like)			
Did you stipulate how you are going to dispose of any hazardous or pollutant waste, upon completion of the research project? (Where applicable, refer to the relevant SOPs)			
Did you document the procedures you will undertake, upon completion of the research project, to return the environment to its original state, or, where applicable, indicate how the environment will be enhanced?			
Are there are any products, processes, patents and the like connected to Intellectual Property that might emanate from your research?			
Do you have evidence that you have begun the process of registering such products, processes, patents and the like with VUT systems?			