



**UNIVERSITY OF
ZULULAND**

A NODE FOR AFRICAN THOUGHT

ANIMAL RESEARCH ETHICS POLICY

POLICY NUMBER	(PN2404007)	POLICY OWNER	Deputy Vice-Chancellor: Research & Innovation
INITIATOR OF THE POLICY		Director: Research & Innovation	
OVERSEEING COMMITTEE(S)		Senate → Council	
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POLICY STATEMENT
<p>This Policy provides guidelines and direction to the University regarding the rules and procedures to be followed to ensure compliance with ethical obligations when using non-human animals for scientific purposes (including for research, testing, or teaching) at or under the auspices of the University, to ensure that the care and use of animals aligns with relevant regulations, standards, guidelines, and the University's high ethical values.</p>

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POLICY NUMBER	NAME OF POLICY
TBC	UNIZULU Code of Conduct for Staff and Students
TBC	UNIZULU Code of Conduct for Research Ethics Committee (REC) Members

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SECTION A: POLICY

1. POLICY RATIONALE¹

- 1.1 The University of Zululand (“the University” or “UNIZULU”) is committed to scientific activities (including research, testing, and teaching) that are ethical, rigorous, valid, and reliable, conducted with integrity and in a manner that protects the moral rights of all animals. The University aims to promote a *culture of ethical conduct* amongst all its stakeholders, and it wishes to create and maintain a scientific environment in which the underlying values of respect for animals as sentient beings, the *dignity of animals*, the animal’s quality of life, core ethical principles of the *Four Rs* [i.e., the *Replacement, Reduction, Refinement* of animals in research (the Three Rs) plus *Responsibility*], and the reduction of harms to animals are respected.
- 1.2 Staff, students and all other participants in the University’s *research, innovation and teaching endeavours that use animals* are enjoined to conduct work that is socially and ethically relevant, to pursue truth, intellectual honesty, and openness to ideas and to maintain the highest professional and ethical standards.

2. ETHICAL VALUES AND GUIDING PROTOCOLS

- 2.1 The University recognises that humans have an *obligation to respect and preserve the dignity of animals*, to appreciate that they are *sentient* and respond to stress, are sensitive to pain and suffering, and may remember such experiences. The responsibilities associated with these obligations apply throughout an animal’s life, including acquisition, transport, breeding, housing, husbandry, care, use, and provisions at the end of their life.
- 2.2 The care and use of animals for scientific purposes must be justified in accordance with the core ethical principles of *the Four Rs*. This means that animals may only be used when there is a convincing scientific justification, when the scientific objectives cannot be achieved using alternative non-animal methods, when the number of animals used is minimised to the lowest number that will achieve the scientific objectives, when the expected benefits (to humans, animals or the environment) outweigh the potential harms in terms of animal suffering, and when every effort has been made to reduce animal suffering (including discomfort, pain, fear, distress or lasting harm), as follows:
- 2.2.1 **Replacement** of animals with non-sentient models or systems, i.e., to avoid the use of animals when alternative (i.e., non-animal) methods can yield the relevant data.
 - 2.2.2 **Reduction** in the number of animals, by design strategies that facilitate the breeding and use of the smallest number of animals that will allow valid scientific information to be obtained, and that will not be implemented at the expense of greater suffering of individual animals.
 - 2.2.3 **Refinement** of approaches and techniques (including animal sourcing, animal care, and clinical procedures) that minimise or avoid suffering of animals, including fear, pain, suffering, distress (physiological or psychological) or lasting harm.
 - 2.2.4 **Responsibility** of all involved in the institutional animal care and use program: To be aware of, accept, and take accountability for their responsibilities to implement the Three Rs, and to ensure compliance with relevant standards as set out in this policy, including to assure that all animals are afforded the highest levels of welfare and appropriate consideration of their interests throughout.
- 2.3 Prospective ethical review and approval of animal care and use is a fundamental requirement when dealing with the collection, care, or use of animals for any scientific purposes.

¹ It should be noted that this policy is subject to the provisions of the **POPI Policy** of the University of Zululand

2.4 The policy is informed by the following national laws and codes. The care and use of animals for scientific purposes shall comply with all relevant national legislation and regulations under the Constitution of the Republic of South Africa, 1996, including the following (as amended):

2.4.1 National Laws and Regulations

- (a) Diseases Act, 1984 (Act No. 35 of 1984)
- (b) Animal Health Act, 2002 (Act No. 7 of 2002)
- (c) Animal Identification Act, 2002 (Act No. 6 of 2002)
- (d) Animals Protection Act, 1962 (Act No. 71 of 1962)
- (e) Fertilizers, Farm Feeds, Agricultural Remedies and Stock Remedies Act, 1947 (Act No. 36 of 1947)
- (f) Genetically Modified Organisms Act, 1997 (Act No. 15 of 1997)
- (g) Hazardous Substances Act, 1973 (Act No. 15 of 1973)
- (h) Medicines and Related Substances Control Act, 1965 (Act No. 101 of 1965)
- (i) National Environmental Management: Biodiversity Act, 2004 (Act No. 10 of 2004)
- (j) National Health Act, 2003 (Act No. 61 of 2003)
- (k) Natural Scientific Professions Act, 2003 (Act 27 of 2003)
- (l) Occupational Health and Safety Act, 1993 (Act No. 85 of 1993)
- (m) Patents Act, 1978 (Act No. 57 of 1978)
- (n) Performing Animals Protection Amendment Act, 2016 (Act No. 4 of 2016)
- (o) Promotion of Access to Information Act, 2000 (Act No. 2 of 2000)
- (p) Protection of Personal Information Act, 2013 (Act No. 4 of 2013)
- (q) Societies for the Prevention of Cruelty to Animals Act, 1993 (Act No. 169 of 1993)
- (r) Veterinary and Para-veterinary Professions Act, 1982 (Act No. 19 of 1982)
- (s) Provincial Nature Conservation Ordinances

2.4.2 National Standards and Guidelines. The University is committed to high ethical standards with regards to the care and use of animals for scientific purposes and complies with the following as the minimum required standards:

- (a) South African National Standard for the Care and Use of Animals for Scientific Purposes (**SANS 10386:2021**), produced by the South African Bureau of Standards (SABS).
- (b) South African Ethics in Health Research Guidelines: Principles, Processes and Structures (latest edition), produced by the National Department of Health ("**DoH Guidelines**").
- (c) The South African Medical Research Council's (SAMRC) Guidelines on the Responsible Conduct of Research: Use of Animals in Research and Training (2018).
<https://www.samrc.ac.za/sites/default/files/attachments/202212/ResearchEthicsPolicy.pdf>

2.4.3 All staff members and students are expected to consult at least the above documents before planning a research or teaching activity involving animals.

2.4.4 International Codes. The care and use of animals for scientific purposes shall comply with relevant international laws and treaties, including the following (as amended):

2.3.1 Terrestrial Animal Health Code (latest edition), Chapter 7.8, Use of Animals in Research and Education, produced by the World Organisation for Animal Health (WOAH, OIE). South Africa is a member of the WOAH; therefore, the Code applies to the country.

3. PURPOSE OF THE POLICY

- 3.1 The purpose of this policy is to provide a set of principles to guide animal research ethics governance and operations. Specifically, it is to:
- 3.1.1 Set out principles that inform the University's quest to ensure that the care and use of animals for scientific purposes is conducted with integrity and respect.
 - 3.1.2 Establish an institutional infrastructure to assist in ensuring that ethical norms and standards, as well as regulatory provisions, are adhered to.
 - 3.1.3 Set out processes and procedures to be followed in implementing the provisions of this policy, including the establishment of the University's Animal Research Ethics Committee.

4. DEFINITION OF TERMS

- 4.1 **Animal** - Means any non-human vertebrate or invertebrate, including their fertilised eggs, embryos, larvae, or fetuses, as well as any tissues or samples that originate from such vertebrates or invertebrates.
- 4.2 **Principal Investigator (PI)** - The principal investigator is the person leading a research study. This is a university appointed person responsible for conceptualizing, planning, executing, and writing up the report on the study, or a student conducting research under the guidance of an appointed supervisor. The principal investigator has the primary responsibility to ensure the safety and well-being of participants, the scientific integrity of the protocol and responsible implementation of the protocol. For international multi-centre research, at least one (co-) PI must be based in South Africa.
- 4.3 **Project owner** - Where research is undertaken by a student, the owner of the research project shall be the university. As the project owner, the University assumes responsibility for the careful management of the research-innovation that students follow. The university assumes liability for all the risks associated with the management of the research-innovation projects. By virtue of this, the university is the owner of the intellectual property that emanates from the research-innovation project. As such, the university owns the project.
- 4.4 **Scientific purposes** - Means the care and use of animals for use in research, teaching, training, testing, validation, field trials, the production of biological substances, environmental or observational studies (including for audio or visual recordings) to advance knowledge, to test a hypothesis, to supply or test a product, to provide organs or tissues or cells or gametes for scientific purposes, to act as a host, to teach procedures or techniques using animals, or to impart or demonstrate existing knowledge.
- 4.5 **Sentience** - Having the power of perception by the senses, the capacity to feel, perceive or experience subjectively and it implies the ability to experience pleasures and pains (including, to suffer). The SANS 10386:2021 and this Animal Ethics Policy recognise that non-human animals are sentient.
- 4.6 **Supervisor**: A person, usually an employee, or any contracted University associate, who is supervising a student engaged in a research study either solely or jointly with another person.
- 4.7 **Mentor**: An experienced and trusted person (e.g., employee, any University associate; others) who serves as an advisor to a less experienced person – guiding, motivating, inspiring, building confidence, and contributing toward the personal, emotional, and psychological development of the individual – who may be an employee, a postdoctoral fellow, or a student (See UNIZULU Mentorship Guide). A mentor is normally but not necessarily a supervisor, principal investigator, project leader or co-author.

- 4.8 **Research proposal:** A scientific research blueprint, developed around a research problem, providing the theoretical background, rationale and research questions, objectives or hypotheses to guide the investigation and describing the study philosophical orientation, design, approaches and methods, and the ethical and safety conditions, among other things, under which it will be performed and managed.
- 4.9 **REC Governance and Management Panel:** This structure responsible for good governance and administration of grievances and appeals arising from the registered Human Research Ethics Committee (HREC). The HREC is the committee registered with the NHREC to consider and approve the ethics of research involving human participants.

5. ABBREVIATIONS

AREC	Animal Research Ethics Committee
DoH	National Department of Health
DVC	Deputy Vice-Chancellor
FREC	Faculty Research Ethics Committee
HDMS	Higher Degrees Management System (The University's online research management system)
NHREC	National Health Research Ethics Council (A statutory body under the National Health Act)
SANS	South African National Standard (Produced by the South African Bureau of Standards)
SENATE	The University's academic highest statutory body
UNIZULU	University of Zululand
WOAH	World Organisation for Animal Health

6. SCOPE OF THE POLICY

6.1 This policy applies to the following animals and people:

6.1.1 Animals. This policy applies to the care and use of all animals for all scientific purposes. Specifically, the policy applies to all cases where:

- (a) animals are bred or procured for scientific purposes;
- (b) live animals are cared for or used for scientific purposes;
- (c) live animals are killed to be used for scientific purposes; or
- (d) tissues or samples of animals are used for scientific purposes (including the use of cadavers, specimens, tissues, cells, DNA, or other materials from live or dead animals).

6.1.2 People. This policy applies to:

- (a) All staff and students of the University, as well as its associated entities (academic or support structures that the University has/may establish to supplement, complement and enhance its mainstream academic endeavours, and which forms part of the University in some way and is ultimately accountable to the University's Council) and which includes research fellows and other academic associates (UNIZULU Associate Academic Policy);
- (b) Any person or organization not affiliated to the University, who conduct research or teaching activities, whether on university premises or off-site, using the University's infrastructure and/or data from animal origin, or who use the University's staff or students as participants, or who conduct research or teaching in the name of, under the auspices of, or in collaboration with the University and/or its staff and students.

- (c) All research and research-related activities, whether in pursuit of an undergraduate or postgraduate degree or for other purposes; including but not limited to activities aimed at animal research, or the gathering of research information, such as the conduct of surveys or interviews, the processing and analyses of research data, and the reporting of research findings.
- (d) Teaching-related or training-related activities such as class projects, assignments or tasks that involve the use of animal subjects.
- (e) Any other person who uses animals for scientific purposes at the University.

7. POLICY PRINCIPLES AND GOVERNANCE

7.1 The Institutional Official

- 7.1.1 In compliance with the DoH Guidelines, and the SANS 10386:2021, the University has appointed an Institutional Official. The Institutional Official is the Deputy Vice-Chancellor (DVC): Research and Innovation.
- 7.1.2 The Institutional Official is the person who, as a representative of senior and executive management, bears ultimate responsibility for the institutional animal care and use program, and is responsible for resource planning and ensuring alignment of program goals with the mission of the Institution.
- 7.1.3 The needs of the institutional animal care and use program should be clearly and regularly communicated to the Institutional Official by the institutional Animal Research Ethics Committee, Designated Veterinarians, and others associated with the program (e.g., animal facility managers, animal researchers, health & safety officers, etc.). Clear lines of communication should thus be established to enable this communication.
- 7.1.4 There shall be clear lines of communication established to promote and foster this communication.
- 7.1.5 To maintain independence from the institutional senior and executive management structures, the Institutional Official shall not ordinarily be a member of the UNIZULU-AREC.

7.2 The Institutional Animal Research Ethics Committee (UNIZULU-AREC)

- 7.2.1 To comply with the minimum national standards set by the SANS 10386:2021 and the regulatory requirements of the National Health Act and the NHREC, the University has appointed an institutional Animal Research Ethics Committee as the official University body to oversee the entire institutional animal care and use program.
- 7.2.2 The UNIZULU-AREC is a Senate-level, university-wide committee, which spans all Faculties and Departments, and derives its authority from the University's Senate.
- 7.2.3 As per the provisions of the National Health Act, the AREC shall maintain its registration with the NHREC, but where such registration is disrupted by virtue of non-compliance, the committee shall continue to exist and operate, under the University registration, as a body and arm of Senate while it rectifies the non-compliance.
- 7.2.4 The UNIZULU-AREC shall be sufficiently independent, i.e., be able to take decisions without undue institutional, political, or other interference, and able to make decisions without fear of intimidation or fear of prejudice. The UNIZULU-AREC membership shall be composed to manage potential conflicts of interest.
- 7.2.5 The UNIZULU-AREC's composition, appointment, responsibilities, authority, reporting, and functioning are described in the committee's Terms of Reference.

- 7.2.6 The University indemnifies UNIZULU-AREC members from personal liability and shall ensure that adequate public liability insurance exists at institutional level. The institution shall take legal responsibility for the decisions and advice of the AREC, if members act in good faith.
- 7.2.7 The UNIZULU-AREC Chairperson shall report directly to the University's Institutional Official.

7.3 Ethical Review, Approval and Monitoring

Review

- 7.3.1 The NHREC gives authority to its registered Research Ethics Committees (RECs) to review and approve all research protocols involving animal care and use.
- 7.3.2 The sole Committee responsible for formal ethical review and valid ethical approval for the care and use of animals for scientific purposes shall be the Senate-level AREC, registered with the NHREC. Work in all other committee structures at Faculty level (e.g., FREC) shall be for purposes of screening and supporting the proper documentation and presentation of the research proposal to the Senate-level HREC.
- 7.3.3 The UNIZULU-AREC shall be responsible for the oversight of the entire institutional animal care and use program, including the review, approval and monitoring of all projects and activities that involve the care or use of animals for scientific purposes, as defined in this policy.
- 7.3.4 The University requires *prior review and written ethical approval* from the UNIZULU-AREC, before any projects or activities may be initiated that use animals for scientific purposes, as defined in this policy.
- 7.3.5 The use of animals for scientific purposes can only be justified if the benefits to society are considered by the appropriately constituted and functioning UNIZULU-AREC to outweigh the potential harm to the animal subjects. Therefore, all research and teaching involving animals shall be approved by the UNIZULU-AREC before the activity commences, so that a formal evaluation of the potential harm/benefit analysis can be undertaken.
- 7.3.6 **Retrospective ethical review and approval or clearance is not permitted.**
- 7.3.7 No research project shall be exempted from ethical approval. However, depending on the level of risks associated with a research project, the review and approval process may take any of the following forms:
(a) Full review
(b) Expedited review
(c) Rapid review
- 7.3.8 The AREC shall establish and maintain clear procedures for the execution of full, expedited and rapid reviews.
- 7.3.9 All persons should keep in mind the requirement of prior ethics review and approval, when planning the timeframes for research or teaching projects or activities involving animals.

Approval

- 7.3.10 All research project given ethical approval shall carry such approval for a fixed duration, and it shall be linked to a specific Principal Investigator (PI). The ethical approval shall be null and void if the PI leaves the project before the project is completed, or before the duration of the approval period elapses. An application for an amendment to the approved protocol shall be made when a new PI is appointed.

- 7.3.11 When planning timelines for research project that involves human animals, all researchers shall take account of the turnaround time to obtain prior ethics approval in order to accurately forecast the project duration.

Monitoring

- 7.3.12 To ensure that all relevant regulatory, ethical, and animal welfare standards are being met on an ongoing basis, the University requires sufficient oversight and monitoring of all scientific activities that involve animals by the UNIZULU-AREC.

- 7.3.13 Beyond the measures to monitor the core ethical principles of the Four Rs, AREC members shall also judge a research project to be unethical if:

- (a) Sources are improperly cited.
- (b) Cited sources are improperly referenced.
- (c) The work is plagiarised above acceptable levels defined in the UNIZULU Plagiarism Policy and Guidelines.
- (d) There is falsification of information or misuse of research funds.
- (e) The grammatical errors in the research are overbearing and lead to conceptual and methodological uncertainty in the science.

7.4 Reciprocal recognition of review decisions and expert consultation

- 7.4.1 The UNIZULU AREC may, at its discretion, recognize prior review and approval of a research proposal by another NHREC registered REC to avoid duplication of effort.
- 7.4.2 Notwithstanding the provision to recognise prior reviews, the UNIZULU AREC reserves the right to revise its decision, and may choose instead not to recognise a prior review and approval by another NHREC registered REC if justifying circumstances arise. The rationale supporting non-recognition, or a reversal of such recognition, shall be documented.
- 7.4.3 Where it is necessary, the AREC may consult with experts outside of the committee, provided that: (a) a signed agreement of strict confidentiality is put in place; and (b) the experts are not conflicted in the research proposal or project that is under consideration.

7.5 Permits and Other Permissions

- 7.5.1 All required permits and other relevant permissions, including certifications, registrations, authorisations, and informed consent (if using privately owned animals or land), shall be obtained from relevant authorities, prior to initiating any relevant activities using animals.
- 7.5.2 Details of all required permits and other relevant permissions, shall be provided by the Principal Investigator during the UNIZULU-AREC application process.
- 7.5.3 If projects or activities using animals are performed in collaboration with external (i.e., non-University) persons on their permit (or other permissions), the details of those permits (and other permissions) shall be provided during the UNIZULU-AREC application process.
- 7.5.4 No living organism can be collected without valid permits and other relevant permissions.
- 7.5.5 Permits and other relevant permissions shall be carried by relevant persons at all relevant times for the duration of the project or activity.

- 7.5.6 All permit and other permission requirements and stipulations shall be adhered to at all time.

SECTION B: IMPLEMENTATION

8. RESPONSIBILITIES AND ACCOUNTABILITY

8.1 Guidelines for Practice

- 8.1.1 Research shall be conducted with scholarly integrity and excellence.
- 8.1.2 Researchers shall disclose any conflict of interest.
- 8.1.3 Researchers shall publish research results that have scientific merit in a timely and competent manner – recognising intellectual property rights, but also the society's right to access research findings and related information.
- 8.1.4 Potential benefits resulting from research shall ideally be brought to the attention of relevant communities.
- 8.1.5 Compliance standards and procedures shall be transparent and evenly applied.
- 8.1.6 Researchers shall engage in research which falls within the ambit of their expertise and which complies with acceptable ethical standards.
- 8.1.7 Principal investigators shall ensure that the design of their projects adheres to ethical guidelines.
- 8.1.8 Principal investigators shall ensure the safety of all those associated with the research or teaching activities using animals.
- 8.1.9 Confidentiality shall be observed and no confidential data gathered or involved in the research process shall be divulged to a third party without appropriate consent. However, members authorized by the UNIZULU-AREC shall scrutinize research data in the execution of their duties, provided that appropriate confidentiality is maintained.
- 8.1.10 Compliance oversight shall be conducted in a spirit of promoting ethical research endeavours, and not to hinder research.
- 8.1.11 The authority of regulatory authorities, professional bodies and codes shall be recognised and respected.

8.2 The University

- 8.2.1 The University's right to a sound research and teaching reputation shall be safeguarded, promoted and maintained, and AREC shall take steps to ensure it.
- 8.2.2 While the University has a right to promote, develop and support particular areas of research or research projects, it shall respect the principle of academic freedom and the autonomy of researchers to conduct research of their choice and within the field of their expertise, as long as this meets ethical norms and standards.
- 8.2.3 The University shall create and maintain an enabling environment within which researchers can conduct ethically sound research. This environment shall include, but is not limited to:
 - (a) Providing the resources necessary for the effective implementation of this policy, and ensuring that this is monitored by the University Senate.
 - (b) Administrative support, education and training, and other infrastructural support for the UNIZULU-AREC as may be required in accordance with the provisions of this policy and to enable the AREC to meet its Terms of Reference.
 - (c) Ensuring that all laboratory and other animal facilities and other physical resources used or made available for research or teaching at the University are suitable for the conduct of effective and ethical research and teaching in a safe and healthy environment and meet applicable regulatory requirements.

8.3 The Institutional Official

- 8.3.1 The University's Institutional Official, in consultation with the governance structures of the University, is responsible for the *implementation of this Animal Research Ethics Policy* and ensuring compliance with relevant regulations, guidelines and standards.
- 8.3.2 The Institutional Official bears ultimate responsibility for the institutional animal care and use program and shall be responsible for resource planning and ensuring alignment of program goals with the institutional mission.
- 8.3.3 The Institutional Official shall duly appoint the UNIZULU-AREC membership, ensure that the AREC has sufficient independence and authority to fulfil its mandate, and is sufficiently resourced to fulfil its Terms of Reference, and ensure compliance with this policy and its requirements.

8.4 The Institutional Animal Research Ethics Committee

- 8.4.1 UNIZULU-AREC is responsible for the implementation of and compliance with this Animal Ethics Policy, as per the detailed stipulations in the committee's Terms of Reference.

8.5 Researchers, Innovators and Students Who Use Animals

- 8.5.1 Researchers shall have the right to academic freedom, which includes the freedom to conduct ethical scientific research of their choice.
- 8.5.2 Researchers shall ensure that they undertake research work that falls within their fields of expertise and competence. The DoH Guidelines require researchers to be suitably qualified and technically competent to carry out the proposed research. Competence is demonstrated mainly by academic qualifications, credentials, scientific and technical competence, as evidenced in previous publications or testimonials.
- 8.5.3 All researchers and related practitioners shall be responsible for familiarising themselves with any relevant discipline-specific ethical principles and ensuring that their knowledge is up to date.
- 8.5.4 Researchers shall be required to ensure high standards of ethical and professional conduct and have an obligation to ensure that their research activities and methodologies are scientifically and ethically sound and not harmful to people, animals or the environment generally, and to the University's credibility and reputation, in particular.
- 8.5.5 Primary responsibility for ensuring that these policies and procedures are adhered to rests with the Principal Investigator and/or project supervisor, or in the case of teaching-related activities, the lecturer setting the class project, assignment or task. In particular:
 - (a) Where collaborative or team research or teaching is being conducted, the research project leader or Principal Investigator is obliged to ensure that members of the research team are aware of the provision of this policy, the AREC conditions of approval, and any other applicable norms governing the conduct of research or teaching.
 - (b) Where the researcher is a student conducting the particular research for academic credit, the supervisor shall be responsible for informing the student of her/his obligations in respect of the ethical conduct of research and ensuring

that the student's research is conducted in accordance with the provision of this policy and the AREC conditions of approval.

- (c) It is incumbent upon lecturers to make student investigators aware of this Policy, procedures and ethical guidelines applicable to the use of animals in academic affairs, to ascertain that they are able to maintain the necessary standards, and to monitor compliance.

8.5.6 All participants in activities that involve animals must recognise and meet their responsibility for:

- (a) Adherence to the applicable University policies, including this policy, and AREC standard operating procedures.
- (b) Ongoing compliance with requirements of the UNIZULU-AREC.
- (c) The appropriate design, methodology, execution, and publication of their research.
- (d) All persons who handle, restrain, or perform invasive or potentially harmful procedures on live animals, including euthanasia, must be confirmed to be practically competent in performing the procedures to prevent distress or harm. It is the responsibility of the relevant department to ensure that staff and students receive the necessary training.
- (e) Planning so that the research findings have a high degree of validity.
- (f) Appropriate management and declaration of potential conflicts of interest.
- (g) In reporting findings, adhering to the principles of honesty, clarity, comprehensiveness, accountability, and openness to public scrutiny.

8.5.7 The governing professional codes should be acknowledged and honoured when conducting research.

8.5.8 Notwithstanding the obligations that any other person might have, every person participating in a research or teaching-related activity using animals must adhere to the provisions of this policy and the UNIZULU-AREC requirements. Without derogating from the generality of this clause, researchers must refrain from:

- (a) Pursuing activities that are unsafe and/or do not comply with safety regulations and standards.
- (b) Falsifying, manipulating and fabricating data and/or other material.
- (c) Plagiarism.
- (d) Misuse of research funds.
- (e) Pursuing any other activities that might undermine the University's research integrity.

8.5.9 Where data of a confidential nature are obtained in the course of research, confidentiality must be observed and researchers and teachers must refrain from using such data for their own personal advantage or that of a third party. Although confidentiality may be necessary for a limited period in the case of contract research or non-contractual research that is under consideration for patent protection, research results and methods should however be open to scrutiny by colleagues within the University and, through appropriate publication, by the profession at large.

8.5.10 Members of the research and teaching community must report any suspected or known ethical transgressions to the UNIZULU-AREC.

8.5.11 Nothing in this policy should be interpreted as relieving a researcher, lecturer or research assistant of any obligations imposed upon him or her as a result of membership of a professional association; and conversely, adherence to a professional code of ethics does not in itself override the obligations that this policy imposes on persons.

8.6 Other Persons to whom this Policy Applies

- 8.6.1 All persons included in the scope of this policy shall be responsible for its implementation within their respective areas of activity.
- 8.6.2 All persons who care for and/or use animals for scientific purposes, shall be responsible in their personal capacity for assuring that the animals are afforded the highest levels of welfare and ethical treatment.
- 8.6.3 All persons who care for and/or use animals for scientific purposes, have direct ethical and legal responsibility for all matters relating to the welfare of the animals while in their care. The ultimate responsibility for any AREC-approved project or activity lies with the Principal Investigator.
- 8.6.4 Research must be carried out with integrity in a scholarly and responsible manner.

9. BREACHES AND VIOLATIONS

- 9.1 Breaches or violations of the University's policies (including this policy), codes (including the Code of Conduct for University personnel or AREC members, as applicable), or the conditions or requirements for ethical approval (as defined by the UNIZULU-AREC), shall be dealt with in accordance with the relevant University procedures.
- 9.2 Student thesis or dissertation supervisor(s) shall bear responsibility for the ethical compliance of the research proposal before the work is submitted to AREC for approval.
- 9.3 Where a supervisor breaches this policy provision by failing to discharge this (clause 9.2) duty, he or she shall be guilty of an offense, and shall be dealt with in accordance with the relevant University procedures.

10. DISCLOSURE OF CONFLICT OF INTEREST

- 10.1 All researchers shall disclose any actual or potential conflict of interest and all researchers shall comply with the statutory and institutional requirements on disclosure of conflict of interest, as contained in the University Code of Conduct.
- 10.2 Where an actual, or potential, conflict of interest arises during the proposing or reporting of research in an AREC meeting, the AREC member shall disclose the details of the conflict, and shall recuse him/her-self from the meeting.
- 10.3 Members of the committee shall sign a *non-disclosure agreement*, which shall remain in effect even after their tenure ends.

11. POLICY REVIEW, MONITORING AND EVALUATION

- 11.1 The University's Institutional Official is responsible for conducting a comprehensive review of this policy every **five years** or sooner, if warranted. Nothing in this clause prevents the University Council from reviewing this policy at any time.
- 11.2 The review shall serve the purpose of updating the policy to stay current with applicable legislation, ethical standards and guidelines, and the University's strategic objectives.