



Ethics Committee for Language Matters (ECLM)

APPLICATION FOR ETHICS APPROVAL

NWU Human Subjects Ethics Application Form

Please read the Ethical Clearance Guidelines for Researchers before completing this form. Complete all sections of this form and attach all necessary documents as indicated – incomplete applications will not be reviewed and may delay the approval process. Please feel free to contact the ECLM for more information or further assistance and advice in this regard.

Section A: Project / Study Details			
Title:			
Date of submission:	Duration of Project/Study	Start Date:	End Date:

Details of Primary Investigator, Co-researchers, Research Assistants, Field Workers, etc.

[illegible]

Section B: Project funding, purpose and research design:

Project Funding:

Is project funding sought / achieved? Yes No

Will members of the research team have a financial interest in, receive personal compensation from, or hold a position in an industry sponsoring this study? Yes No

Will the research subjects receive any financial or other personal compensation for participating in this research study? Yes No

Additional details regarding any possible conflict of interest on the part of the researchers or funders, as well as appropriate steps taken in consideration of such possible conflict of interest:

Provide a brief summary (300 words or less) of the purpose of the research project. Include necessary background information, research questions and motivating factors for conducting this research:

Provide a description of the research design, including procedures and methodology. Specify the type of data that will be collected, primary outcome measurements and anticipated follow-up processes and actions (Copies of all data collection instruments, such as questionnaires or survey forms, should be attached to this application. Please see the note in section G). Include details on procedures in place to monitor the research, including those by funding agencies, supervisors, etc.:

Section C – Proposed research subjects:

Provide details of the proposed human subjects to be included in the research, including number of participants, gender, ethnicity, socio-economic level, educational level and any other categorizing details that could impact on this study. Specify the required characteristics of potential human subjects, both for inclusion criteria as well as exclusion criteria.

Will any stakeholder groups from the NWU (students, staff, systems/departments/laboratories) be included in the research project? Yes No

If YES, please motivate why the data must be gathered from a specific / designated NWU stakeholder group.

How will prospective subjects be contacted/recruited? Attach copies of planned written text, advertisements, telephone scripts, etc.

Explain how the participant identification and recruitment process of your research adheres to the Protection of Personal Information Act 4 of 2013 (POPI Act).

Please see <http://www.nwu.ac.za/access-to-information-act> for more information regarding the POPI Act.

Detail the requirements of subjects to participate in this research. Specify what they are expected to do, how long their involvement will take and whether the study will require multiple or follow-up activities.

Detail the location of subjects when participating in this research. Specify any potential hazards or risks that could arise from participating in this location.

Section D – Obtaining free and informed consent:

Have you arranged to obtain clear and informed consent from all human subjects that may be involved in this research? Yes No

Attach copies of all consent and information forms to this application. Consent information forms should indicate briefly the purpose of the study and specify what would be expected of participants. If measurements will be used, they must be informed of the nature of these; if interviews are held, the questions must be stated; similarly any other form of data collection must be specified. If recordings of any nature will be made, the participants have to give consent. Note that prospective participants should have consent forms provided in the language they are most familiar with and illiterate subjects will require detailed verbal description of the consent form.

Will deception in any form be practiced against the research subjects during the course of this research?

Yes No

If so, specify the justifications for such deception and detail how full disclosure and free and informed consent will be achieved before dissemination of the findings of this research:

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Will you be deliberately involving any of the following vulnerable population groups in the research project?

Description of vulnerable group	Yes	No
Very young children (0 – 5 years old)		
Children (6 – 18 years old)		
People unfamiliar with the language the research is being conducted in		
People with physical disabilities		
People with a cognitive disability		
People with any other type of disability		
People suffering from health related problems		
People who have experienced acute psychological trauma (e.g. rape or abuse)		
People in dependent/unequal relationships (in prison or in the military)		
North-West University students (your own students)		
University students (not your own)		
Illiterate people or those with a poor level of formal education		
People living in vulnerable life circumstances (e.g. poverty or refugee status)		
People over 65 years of age		
Any other perceived vulnerability		

Please provide information justifying and detailing your use of any of the above mentioned groups in your research, as well as detailing extra precautions taken to protect vulnerable subjects:

Risk mitigation:

Please provide details regarding any risk factors for general subject involvement, including emotional distress, personal or cultural embarrassment, breach of confidentiality, economic harm, legal jeopardy, physical pain or injury, AND the intended method(s) of mitigating such possible risks. In the consent information letter, any possible risk or lack thereof, must be stated, *as well as what the benefits of participation would be*. Also specify any risks to the researchers themselves and what steps will be taken to protect them:

Compensation:

Will participants be compensated in any way (even by means of tokens of appreciation)? Who will pay for such expenses?

Third party data:

Will data on research subjects be accessed via a third party (e.g. school or other gatekeeper)?

Yes

No

What legal and informed consent arrangements have been made in this regard? Letters of request for such permission and of the gatekeeper's permission, must be submitted.

Section E – Confidentiality and data storage:

How will the confidentiality of the data collected be protected? What steps will be taken to protect participants against breaches of confidentiality or invasion of privacy? Specify intended plans for storage of data, access by researchers and others to this data and what plans are in place to de-identify and anonymise the data (particularly audio/video recording or photos taken). Specify how long data will be stored and if and how it will be disposed of.

Data security for storage and transmission. Select all that will apply to this research:Electronic data:

Description	Yes	No
Secure network		
Data password protected		
Data encrypted		
Data stored on portable storage device (CD/laptop/flash disk/external drive)		

Hardcopy data:

Description	Yes	No
Data de-identified by research team		
Locked office		
Locked filing cabinet		
Data coded and master list secured elsewhere		

Section F – Data analyses and outcomes:

How will the data be evaluated?

Where and by whom will data analyses be performed?

What training or supervision will be provided to research assistants (or student researchers) to collate, analyse and prepare data?

Projected outcomes for the research project:

What population, organization or entity will likely derive the greatest benefit from the results of this research?

What are the intended avenues for publication and dissemination of the results of this research study? Note that it is not necessary to name a specific journal or publication. Stipulate rather how this data and related findings will be disseminated and to what audience. Also, will the data be reused for multiple publications and will it be shared with other researchers for secondary outcomes?

What steps have been/will be taken to ensure the research results are unbiased and fairly disseminated? (Note that steps must be taken to ensure no unfavourable data is ignored or discarded and that the research may be scrutinised publicly).

Section G – Attachments:

Please ensure that the following, relevant documentation is to be included together with this application:

1. Copy of approved research proposal. Yes
2. Copy of letter of approval of research proposal by the Scientific Committee. Yes
3. Copies of all data collection instruments including survey forms, interview questions, etc. (See the note below) Yes N/A
4. Copies of any psychometric or other tests to be used by research subjects. (See note below) Yes N/A
5. Copies of all consent or information forms, including translated forms if needed. Yes
6. Copies of all written text, advertising or script used to recruit subjects. Yes
7. Copies of any third party or sponsorship agreements related to the research. Yes N/A
8. Signed approval from any relevant authorities required for this project, including from other institutions linked to this research. Yes N/A
9. Short CV of research assistants (one page each). Yes N/A
10. Copies of prior ethical clearance or denial (A letter noting revisions made since, may be attached).
Yes N/A
11. Any relevant budgetary outlines, resource or equipment lists that may impact on the research. Yes N/A
12. Any other relevant documentation which may impact on the research itself. Yes N/A
13. Short CV of the principal researcher (one page). Yes N/A
14. Signed NWU code of conduct form for each researcher. Yes

Note: If questionnaires and/or interview questions are to be developed after ethics approval have been requested, it must be stated clearly in the application form and requested that conditional approval be granted by the ECLM until receipt of the measuring instruments and/or interview protocol. No data gathering may proceed before final approval has been granted. The questionnaires and/or interview protocol have to be submitted to the ECLM within three months (for a Master's study) and six months (for a Doctoral study), otherwise conditional approval will be withdrawn.

Section H – Declaration by applicant:

- I certify that all researchers involved in this research project have thoroughly examined the Ethical Clearance Guidelines for Researchers document and have agreed to abide by this code of conduct in their research.
- I am aware of the relevant ethics authority and legal requirements associated with the research to be conducted and will undertake to ensure no illegal activities are engaged in, with regards to this research.
- I declare that all information provided by me in this application is true and honest and that I will abide by the undertakings I have provided in this application.
- I declare that this application has been proof read and/or language edited.
- I agree to keep the relevant ethics committee updated on any changes or adjustments to the research procedures and to obtain written approval before engaging in said changes.
- I will submit progress reports at least annually (for long term research projects) as well as a final report within 30 days of the project completion.

I HAVE READ AND AGREED TO THE ABOVE STIPULATIONS.

Signed by the Applicant:

Date: