**NWU Human Subjects Ethics Application Form**

**Application for ethical approval: Basic and Social Sciences Research Ethics Committee (BaSSREC)**



***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 BaSSREC for more information or further assistance and advice in this regard.***

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| **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.**

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| **Name** | **Start Date** | **End Date** |
| **Primary Investigator:**  |  |  |
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**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:

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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:

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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.:

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**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.

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

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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.

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

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**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?

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| **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:

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**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:

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**Compensation:**

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

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**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.

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**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.

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

Electronic data:

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

Hardcopy data:

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| **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?

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Where and by whom will data analyses be performed?

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

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**Projected outcomes for the research project:**

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

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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?

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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).

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**Section G – Attachments:**

***Please ensure that the following, relevant documentation is to be included together with this application: Mark all attached documents with 🗹, and N/A if not applicable to your study.***

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| 1. BaSSREC Ethics Application Form (**all sections completed**)
 | **✓** |
| 1. Research proposal as approved by the Scientific Committee
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| 1. Approval letter from the Scientific Committee.
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| 1. Participant information and consent form (**please strictly use the** [BaSSREC template](https://humanities.nwu.ac.za/sites/humanities.nwu.ac.za/files/files/BaSSREC/Jan%202022/BaSSREC%20Informed%20Consent%20Statement%2025%20November%202021.docx))
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| 1. Copies of all recruitment material (i.e., written text-, advertising or script used to recruit participants
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| 1. Proof of ethics training received by the primary investigator/ principal researcher/study-leader
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| 1. Proof of ethics training received by the researcher/student/applicant
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| 1. Proof of ethics training received by the research assistant(s)
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| 1. Two-page narrative CV of the primary investigator/ principal researcher/study-leader
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| 1. One-page narrative CV of the researcher/student/applicant
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| 1. One-page narrative CV of the research assistant(s)
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| 1. [NWU Code of Conduct](http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/Ethics/9.1.5.1.3_Code_Conduct_2017.pdf) for Researchers signed by the primary investigator/principal researcher/study-leader
 |  |
| 1. [NWU Code of Conduct](http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/Ethics/9.1.5.1.3_Code_Conduct_2017.pdf) for Researchers signed by the researcher/student/applicant
 |  |
| 1. [NWU Code of Conduct](http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/Ethics/9.1.5.1.3_Code_Conduct_2017.pdf) for Researchers signed by the research assistant(s)
 |  |
| 1. [BaSSREC Confidentiality Undertaking](https://humanities.nwu.ac.za/sites/humanities.nwu.ac.za/files/files/BaSSREC/%28L%29%20BaSSRECConfidentialityUndertaking.docx) by the primary investigator/ principal researcher/study-leader
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| 1. [BaSSREC Confidentiality Undertaking](https://humanities.nwu.ac.za/sites/humanities.nwu.ac.za/files/files/BaSSREC/%28L%29%20BaSSRECConfidentialityUndertaking.docx) signed by the researcher/student/applicant
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| 1. [BaSSREC Confidentiality Undertaking](https://humanities.nwu.ac.za/sites/humanities.nwu.ac.za/files/files/BaSSREC/%28L%29%20BaSSRECConfidentialityUndertaking.docx) by signed the research assistant(s)
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| 1. Copies of all data collection instruments including ***survey forms, interview questions/protocols, observations protocols, psychometric or other tests, etc.***

**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 BaSSREC 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 BaSSREC within three months (for a Master’s study) and six months (for a Doctoral study), otherwise conditional approval will be withdrawn. |  |
| 1. Any other relevant documentation which may impact on the research itself. (***i.e., letter to gatekeepers, letters to authorities required for this project, including from other institutions linked to this research)***
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**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 proofread 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: