

**NWU: Human Social Sciences Research Ethics Committee (HSSREC)**

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

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| **Section A: Project details:**  Project title:  Date of submission:  Duration of Project: Start date: End date: |
| **Brief description of project:** |

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| **Primary Investigator and Co-Researcher details:**  Personal Review:  **Name:**  Primary investigator: **Yes/No**  Start date: End date: |
| **Additional Information:** |

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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 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. (A copy of all data collection instruments such as questionnaires or survey forms, should be attached to this application). Include details of 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 categorising details that could impact on this study. Specify the required characteristics of potential human subjects, both for inclusion criteria as well as exclusion criteria. * How will prospective subject be contacted/recruited? Attach copies of planned written text, advertisements, telephone scripts, etc. * Detail the requirements on subjects to participate in this research study. 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. |

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| **Section D: Obtaining free and informed consent:**  Have you obtained or 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. Note that prospective participants should have consent forms provided in the language they are most familiar with and illiterate subjects will require a 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 **Yes**, specify the justifications for such deception and detail how full disclosure and free informed consent will be achieved before dissemination of the findings of this research.  Will you be deliberately involving any of the following vulnerable population groups in the research project?   |  |  |  | | --- | --- | --- | |  | **Yes** | **No** | | Very young children (0 – 5 years old) |  |  | | Children (6 – 18 years old) |  |  | | People unfamiliar with the language the research is conducted in |  |  | | People with physical disability |  |  | | People with cognitive disability |  |  | | People with any other type of disability |  |  | | People suffering from health-related problems (including AIDS) |  |  | | People who have experienced acute psychological trauma (e.g. rape or abuse) |  |  | | People in dependent/unequal relationships (e.g. in prison or in the military) |  |  | | 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 refuge 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. Also specify any risks to the researchers themselves and what steps will be taken to protect them.  **Third part data:**  Will data on research subjects be accessed via a third party (e.g. a school or a doctor) **Yes/No**  What legal and informed consent arrangements have been made in this regard? |
| **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 recordings 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:**   |  |  |  | | --- | --- | --- | |  | **Yes** | **No** | | Secure network |  |  | | Data password protected |  |  | | Data encrypted |  |  | | Data stored on portable storage device (CD/laptop/flash disk/external drive) |  |  |   **Hardcopy data:**   |  |  |  | | --- | --- | --- | |  | **Yes** | **No** | | Data de-identified by research team |  |  | | Locked office |  |  | | Locked filing cabinet |  |  | | Data coded and master list secured elsewhere |  |  | |
| **Section F: Data analysis and outcome:**  How will the data be evaluated?  Where and by whom will data analysis be performed?  What training or supervision will be provided to research assistants (or student researchers) collating, analysing and preparing data?  **Projected outcomes for this research project:**  What population, organization or entity will likely derive the greatest benefit from the results of this research study?  What are the intended avenues for publication and dissemination of the results of this 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 is 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 remember: Upload all of the following relevant documentation:**   * Copies of all data collection instruments, including survey forms interview questions, etc. * Copies of any psychometric or other tests to be used by research subjects. * Copies of all consent and information forms, including translated forms if needed. * Copies of all written text, advertising or script used to recruit subjects. * Copies of any third party or sponsoring agreements related to this research. * Signed approval from any relevant authorities required for this project (including from institutions linked to this research). * Short CVs of research assistants (one page each). * Copies of prior ethical clearance or denial (a letter noting revisions made since, may be attached). * Any relevant budgetary outlines, resource or equipment lists that may impact on the research. * Any other relevant documentation which may impact on the research itself. * Short CV of principal researcher (one page). |
| **Section H: Declaration by applicant:**  I certify that all researches involved in this research project have thoroughly examined the “Ethical Guidelines for Researchers” document and have agreed to abide by this code of conduct in this research.  I am aware of the relevant health 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 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 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:**  **Name:**  **Date:** |