

## Appendix D



### HUMAN ETHICS COMMITTEE

#### *Application for Approval of Research Projects*

**Please write legibly or type if possible. Applications must be signed by supervisor (for student projects) and Head of School**

**Note:** The Human Ethics Committee attempts to have all applications approved within three weeks but a longer period may be necessary if applications require substantial revision.

#### **1. NATURE OF PROPOSED RESEARCH:**

- (a) Staff Research/ Student Research (delete one)
  - (b) If Student Research ..... Degree ..... Course Code .....
  - (c) Project Title: .....
- .....

#### **2. INVESTIGATORS:**

- (a) Principal Investigator
  - Name .....
  - Email address .....
  - School/Dept/Group .....
- (b) Other Researchers                      Name                                      Position
  - .....
  - .....
- (c) Supervisor (in the case of student research projects)
  - .....

#### **3. DURATION OF RESEARCH**

- (a) Proposed starting date for data collection .....  
 (**Note:** that NO part of the research requiring ethical approval may commence prior to approval being given)
- (b) Proposed date of completion of project as a whole .....

**4. PROPOSED SOURCE/S OF FUNDING AND OTHER ETHICAL CONSIDERATIONS**

(a) Sources of funding for the project

Please indicate any ethical issues or conflicts of interest that may arise because of sources of funding e.g. restrictions on publication of results

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(b)  Is any professional code of ethics to be followed **Y**  **N**

If yes, name

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(c)  Is ethical approval required from any other body **Y**  **N**

If yes, name and indicate when/if approval will be given

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**5. DETAILS OF PROJECT**

Briefly Outline:

(a) The objectives of the project

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(b) Method of data collection

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(c) The benefits and scientific value of the project

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(d) Characteristics of the participants

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(e) Method of recruitment

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(f) Payments that are to be made/expenses to be reimbursed to participants

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(g) Other assistance (e.g. meals, transport) that is to be given to participants

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(h) Any special hazards and/or inconvenience (including deception) that participants will encounter

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(i) State whether consent is for (delete where not applicable):

- (i) the collection of data
- (ii) attribution of opinions or information
- (iii) release of data to others
- (iv) use for a conference report or a publication
- (iv) use for some particular purpose (specify)

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Attach a copy of any questionnaire or interview schedule to the application

(j) How is informed consent to be obtained (see sections 4.1, 4.5(d) and 4.8(g) of the Human Ethics Policy)

(i) the research is strictly anonymous, an information sheet is supplied and informed consent is implied by voluntary participation in filling out a questionnaire for example (include a copy of the information sheet) Y  N

(ii) the research is not anonymous but is confidential and informed consent will be obtained through a signed consent form (include a copy of the consent form and information sheet) Y  N

(iii) the research is neither anonymous or confidential and informed consent will be obtained through a signed consent form (include a copy of the consent form and information sheet) Y  N

(iv) informed consent will be obtained by some other method (please specify and provide details) Y  N

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With the exception of anonymous research as in (i), if it is proposed that written consent will not be obtained, please explain why

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(k) If the research will not be conducted on a strictly anonymous basis state how issues of confidentiality of participants are to be ensured if this is intended. (See section 4.1(e) of the Human Ethics Policy). (E.g. who will listen to tapes, see questionnaires or have access to data). Please ensure that you distinguish clearly between anonymity and confidentiality. Indicate which of these are applicable.

- (i) access to the research data will be restricted to the investigator Y  N
- (ii) access to the research data will be restricted to the investigator and their supervisor (student research) Y  N
- (iii) all opinions and data will be reported in aggregated form in such a way that individual persons or organisations are not identifiable Y  N
- (iv) Other (please specify)

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(l) Procedure for the storage of, access to and disposal of data, both during and at the conclusion of the research. (see section 4.12 of the Human Ethics Policy). Indicate which are applicable:

- (i) all written material (questionnaires, interview notes, etc) will be kept in a locked file and access is restricted to the investigator Y  N
- (ii) all electronic information will be kept in a password-protected file and access will be restricted to the investigator Y  N
- (iii) all questionnaires, interview notes and similar materials will be destroyed:
  - (a) at the conclusion of the research Y  N
  - (b).....years after the conclusion of the research; or Y  N
- (iv) any audio or video recordings will be returned to participants and/or electronically wiped Y  N
- (v) other procedures (please specify):

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If data and material are not to be destroyed please indicate why and the procedures envisaged for ongoing storage and security

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(m) Feedback procedures (See section 7 of Appendix 1 of the Human Ethics Policy). You should indicate whether feedback will be provided to participants and in what form. If feedback will not be given, indicate the reasons why.

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(n) Reporting and publication of results. Please indicate which of the following are appropriate. The proposed form of publications should be indicated on the information sheet and/or consent form.

- (i) publication in academic or professional journals Y  N
- (ii) dissemination at academic or professional conferences Y  N
- (iii) deposit of the research paper or thesis in the University Library (student research) Y  N
- (iv) other (please specify) Y  N

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Signature of investigators as listed on page 1 **(including supervisors) and Head of School.**

**NB: All investigators and the Head of School must sign before an application is submitted for approval**

..... Date.....

..... Date.....

..... Date.....

Head of School:

..... Date.....

## APPLICATIONS FOR HUMAN ETHICS APPROVAL

### CHECKLIST

- Have you read the Human Ethics Policy?
- Is ethical approval required for your project?
- Have you established whether informed consent needs to be obtained for your project?
- In the case of student projects, have you consulted your supervisor about any human ethics implications of your research?
- Has your supervisor read and signed the application?
- Have you included an information sheet for participants which explains the nature and purpose of your research, the proposed use of the material collected, who will have access to it, whether the data will be kept confidential to you, how anonymity or confidentiality is to be guaranteed?
- Have you included a written consent form?
- If not, have you explained on the application form why you do not need to get written consent?
- Are you asking participants to give consent to:
  - collect data from them
  - attribute information to them
  - release that information to others
  - use the data for particular purposes
- Have you indicated clearly to participants on the information sheet or consent form how they will be able to get feedback on the research from you (e.g. they may tick a box on the consent form indicating that they would like to be sent a summary), and how the data will be stored or disposed of at the conclusion of the research?
- Have you included a copy of any questionnaire or interview checklist you propose using?
- Has your application been seen by the head of your school or department (or the person given responsibility to consider applications on behalf of the head (see section 4.5(b) of the Human Ethics Policy).

**PLEASE FORWARD YOUR COMPLETED APPLICATION FORM TO THE SECRETARY,  
HUMAN ETHICS COMMITTEE OR, IN THE CASE OF APPLICATIONS FROM SCHOOLS  
OR DEPARTMENTS WITH AN APPROVED ETHICS SUB-COMMITTEE, TO THE  
CONVENER OF THAT SUB-COMMITTEE**