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| **2014/1**  |

**CONFIDENTIAL**



**RESEARCH ETHICS COMMITTEE**

**This application form must be read together with the Code of Ethics for Research (Rt 429/99); Committee for Research Ethics and Integrity Policy and Procedures for Responsible Research**

**(S 4083/00 – amended) and the Postgraduate Policy of the Faculty of Education (S 4308/10)**

**APPLICATION FOR ETHICS APPROVAL OF CONFIDENTIAL RESEARCH INVOLVING HUMAN RESPONDENTS/PARTICIPANTS**

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| **SECTION TO BE COMPLETED**  |
| **Section A: Research** **[ ]**  | **Section B: Research based on a community engagement project** [ ]   |
| **Section C: Secondary analysis of existing data [ ]**  | **Section D: Commissioned research [ ]**  |
| **Section E: Amendments to approved application (including changes to: instrumentation, co-researchers and participants) [ ]**  |  |
| **APPLICANTS’ DETAILS** |
| **Surname** |  | **Name** |  | **Title** |  |
| **Applicant’s e-mail address** |  | **Personnel/Student number** |  |
| **Degree** |  | **Contact number** |  |
| **Other applicants / co-researchers (If applicable)** |
| **Surname** |  | **Name** |  | **Title** |  |
| **Applicant’s** **e-mail address** |  | **Personnel/Student number** |  |
| **Degree** (If applicable) |  | **Contact number** |  |
| **Type of application** | **PhD** **[ ]**  | **MEd** **[ ]**  | **Honours** **[ ]**  | **Class approval****[ ]**  | **Staff****[ ]**  | **Supervisor’s e-mail address**(If applicable) |  |
| **Supervisor** (If applicable) |  | **Co-supervisor**(If applicable) |  | **First submission** **[ ]**  | **Resubmission****[ ]**  |
| **Department** | **ECE** **[ ]**  | **EMP** **[ ]**  | **EP** **[ ]**  | **HE** **[ ]**  | **SMTE** **[ ]**  |
| **STATUS OF RESEARCH PROJECT** |
| **Do you require a blind review of your application? (Staff members only)** | **Yes** | **[ ]**  | **No** | **[ ]**  |
| **Proposal defended?** | **Yes** | **No** | **N/A[[1]](#footnote-1)** | **Fieldwork started?** | **Yes** | **No** | **N/A[[2]](#footnote-2)** | **Pilot study/Fieldwork concluded** | **Yes** | **No** | **N/[[3]](#footnote-3)A[[4]](#footnote-4)** |
|  | **[ ]**  | **[ ]**  | **[ ]**  |  | **[ ]**  | **[ ]**  | **[ ]**  |  | **[ ]**  | **[ ]**  | **[ ]**  |
| **QUALIFICATIONS AND EXPERTISE OF THE RESEARCHER (S)****Please provide information regarding your experience and qualifications in research** |
| **Relevant prior experience** |  |
| **Previous academic qualifications** |  |
| **Is professional registration required for any part of the research?**  | **Yes** | **[ ]**  | **No** | **[ ]**  |
| **Provide details of registration authority and registration number** |  |
| **DETAILS OF THE RESEARCH PROJECT** |
| **Title of project** |  |
| **Research design**(Mark with an X) | Qualitative [ ]  | Quantitative [ ]  | Mixed methods [ ]  | Action research [ ]  | Other [ ]  |
| **Data collection/****Data Sources**(Mark appropriate boxes with an X) | Questionnaire/ [ ] Survey  | Document [ ] analysis  | Structured [ ] interviews/  | Semi-structured [ ] interviews  | Open ended [ ] interviews  |
|  | Non-participatory observation/ [ ] notes  | Participatory [ ] observation/notes  | Intervention/ [ ] therapy  | Experimental [ ]  | Other [ ] Achievement tests/ achievement data |

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| **RESEARCH CONTEXT AND PARTICIPANTS** |
| **Level of sensitivity/ intrusiveness**(Mark with an X) | **HIGH** **[ ]** (Participation requires intrusive and sensitive information about participants’ mental/psychological health and/or their relationship with a person/institution with power over them) | **MEDIUM** **[ ]** (Participation requires divulging of personal information but is not regarded as sensitive/intimate) | **LOW** **[ ]** (Participation requires information about policies/modules/courses/institutional processes with a view to analysing, assessing and evaluating them as artefacts)  |
| **Indicate to which category participants belong**(Mark all applicable descriptions) | 1. [ ] Under 18 years (minors)  | 2.**[ ]** Over 18 years (adults)  | 3. [ ]  Orphaned, separated or unaccompanied minors |
|  | 4. [ ]  Extreme poverty or illiterate  | 5. [ ]  HIV/AIDS  | 6. [ ] Mentally compromised or physical limitations  |
|  | 7. [ ] Limited proficiency in language used to conduct this research  |  |  |
| **Primary research setting** | 1.**[ ]** Pre-school  | 2. [ ]  School | 3. [ ] Higher education | 4.**[ ]** Private organisation |
| 5. [ ]  Individual | 6. [ ] Family | 7. [ ] Clinic/mental health/hospital | 8. **[ ]** Community | 9. [ ] Other |
| **Will staff or students of the University of Pretoria be included as participants?[[5]](#footnote-5)**        |
| **FUNDING OF RESEARCH PROJECT** |
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**Signature of Applicant Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Co-researcher (If applicable) Date**

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**Signature of Supervisor (If applicable) Date**

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**Signature of Head of Department Date**

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**Signature of Departmental Representative Date**

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**PERSONAL DECLARATION OF RESPONSIBILITY**

**Title of research project:**

1. I/we declare that I am/we are cognisant of the goals of the Research Ethics Committee in the Faculty of Education to

* develop among students and researchers a high standard of ethics and ethical practice in the conceptualisation and conduct of educational research;
* cultivate an ethical consciousness among scholars especially in research involving human respondents; and
* promote among researchers a respect for the human rights and dignity of human respondents in the research process.
1. I/We subscribe to the principles of
* *voluntary* *participation* in research, implying that the participants might withdraw from the research at any time.
* *informed consent*, meaning that research participants must at all times be fully informed about the research process and purposes, and must give consent to their participation in the research.
* *safety in participation* put differently, that the human respondents should not be placed at risk or harm of any kind e.g. research with young children.
* *privacy*, meaning that the *confidentiality* and *anonymity* of human respondents should be protected at all times.
* *trust*, which implies that human respondents will not be subjected to any acts of deception or betrayal in the research process or its published outcomes.
1. I/we understand what plagiarism entails and am/are aware of the University’s policy in this regard. I/we undertake not to make use of another person’s previous work without acknowledgment or to submit it as our own. I/we also undertake not to allow anyone to copy our work with the intention of using it as their own work.
2. I/we understand that the data collected in the course of our research become the institutional property of the University of Pretoria and I/we undertake to transfer all raw data and documents related to our research for safekeeping as required by the Faculty of Education.
3. I/we understand that any amendment to the approved protocol needs to be submitted to the Ethics Committee for review prior to data collection. Non-compliance implies that approval will be null and void.

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**Applicant Signature Date**

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**Supervisor (if applicable) Signature Date**

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Answer all questions honestly in full. The reviewers base their decisions on the information provided on this application form. Incomplete applications cannot be evaluated fairly. Please provide the Ethics Committee with a typed application that addresses the following ethical considerations.

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| **Please only complete THE RELEVANT SECTION APPLICABLE TO YOUR RESEARCH PROJECT****SECTION A: RESEARCH PROJECT INVOLVING HUMAN RESPONDENTS****SECTION B: COMMUNITY ENGAGEMENT PROJECT****SECTION C: SECONDARY ANALYSIS OF EXISTING DATA****SECTION D: COMMISSIONED RESEARCH****SECTION E: AMENDMENTS TO APPROVED APPLICATION (INCLUDING CHANGES TO INSTRUMENTATION, CO-RESEARCHERS, PARTICIPANTS)**  |

**SECTION A: RESEARCH PROJECT INVOLVING HUMAN RESPONDENTS**

**1. DESCRIPTION OF RESEARCH PROJECT**

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| * 1. Please provide a brief summary of the proposed research initiative. Include the main research question(s), rationale for this inquiry as well as its scientific importance. Mention the benefits which are likely to be derived from the project as well as its anticipated duration.
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**2. RESEARCH DESIGN/METHODOLOGY**

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| 2.1 Please provide a full description of the research design/methodology, and processes that will be used. Include details relating to the research sites and data collection protocols.  |
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| * 1. Should clinical data form part of the data sources in this study, detail the relevant processes for obtaining permission and informed consent to use such data.
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| * 1. If this is intervention research, describe the nature of the intervention and provide details about the scientific merit of the intervention you intend to study.
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Please note that you have a responsibility to ensure that you disclose fully the scientific status of the intervention to your participants when you invite them to participate in your research. Participants have the right to know to which degree the procedures and instruments you intend to use are accepted by the scientific community.

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**3. HUMAN PARTICIPANTS**

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| 3.1 Describe who will be participating in the study. Mention any other special criteria that may apply to your study. |

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| **Role** | **Vulnerability status** | **Institutional affiliation** | **Justification for participation** |
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| Please ensure that you attach to this application a draft letter of invitation to participate in the research on a UP letterhead for each group of participants in your study. Make sure that the content of the letter reflects the content of issues outlined in this application. The letter of invitation must be signed by the student and supervisor(s) but should not be signed by the participants yet. **🖐** |

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| 3.2 Describe your sampling procedure. Include how you will recruit and select participants. Attach as addenda any draft versions of adverts/letters inviting participation in your project. |
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| 3.3 Please provide additional information regarding the criteria that will be used as the basis for inclusion/exclusion of certain participants. |
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| 3.4 Outline in what activities participants will be expected to participate as part of this research project. Indicate the duration of each activity as well as where it will take place. |
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| **Participants** | **Activities** | **Venue/community site** (if applicable) | **Duration** |
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| 3.5 Should any of the participants be known to you in another context (apart from this research) provide details of this relationship and detail how you will handle the conflict of interest. |
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| 3.6 Should it be required that participants be deceived, please describe the nature of any deception and provide a rationale why it is applicable to this inquiry. Please note that deception includes but is not limited to the following: deliberate presentation of false information, suppression of pertinent information, selection of information designed to mislead, selective disclosure of information. |
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| 3.7 Should you make use of any assistants such as interpreters, photographers, or transcribers, please detail their involvement in the study. Include information regarding any orientation/training that such persons will receive prior to commencing their duties. |
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Please note that it is your responsibility to ensure that all assistants and interpreters fully understand and adhere to all ethical requirements of the project. Please attach a personal declaration of responsibility for each assistant/interpreter who works on the project..

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| 3.8 Is there the likelihood of a particular sort of “heinous discovery”? (e.g. child abuse, discovery of illness or condition) If so, how will you deal with such a situation? |
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**4. CONSIDERATION OF ETHICAL PRINCIPLES REGARDING HUMAN PARTICIPANTS**

**Voluntary participation and trust**

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| 4.1 Describe how you will ensure voluntary participation. |
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| 4.2 Should any of the participants constitute a captive audience[[6]](#footnote-6), state what additional safeguards you will take to ensure voluntary participation.  |
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| 4.3 Should any incentives be used please describe and justify these and outline what measures you will take to still ensure voluntary participation.  |
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| 4.4 Will participants be asked to comment on drafts (e.g. transcripts of interviews)? |
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| 4.5 How will participants be informed that they are free to discontinue at any time? Will the nature of the project place any limitations on this freedom? (e.g. documentary film) |
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**Informed consent/assent**

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| 4.6 Please describe how you will obtain informed consent/assent from your participants (or their care givers). Attach a draft consent form or oral consent script as an addendum. |
| **Informed consent from adults/assent from minors**      |
| **Informed consent from parents/guardians**      |

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| 4.7 In some cultural traditions, individualised consent as implied above may not be appropriate or additional consent (e.g. group consent or consent from community leaders) may be required. If this is the case with your sample population, indicate the procedures you will follow to obtain consent. |
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| 4.8 Should some participants in the study be considered to be mentally compromised or otherwise not competent to consent to participation, detail what safeguards you will take to ensure voluntary participation. |
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| 4.9 Should the research not be conducted in the mother tongue of the participants or in a language in which they feel competent, detail the measures you will take to ensure informed consent and voluntary participation. |
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**Safety in participation**

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| 4.10 Detail the possible benefits and/or consequences that participants can expect as a result of participating in this study.  |
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| 4.11 Detail the potential risks and harm to participants in this study. |
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| 4.12 Describe the safeguards you will take to minimise these risks, however minor. |
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| 4.13 If you have indicated that you will involve participants from vulnerable contexts, detail which extra safeguards you will take to protect your participants from harm, and how you will monitor for possible adverse effects. |
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**Privacy, confidentiality and anonymity**

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| 4.14 Detail how you will ensure confidentiality and/or anonymity in the sample selection phase of the study. |
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| 4.15 Should the privacy of participants not be protected in this research, have participants actively agreed to forego confidentiality requirements based on full disclosure of possible intended and unintended consequences and risks? Detail the conditions under which participants decided to forego their privacy rights. |
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| 4.16 Detail practical steps you will take to ensure confidentiality and/or anonymity in the data collection phase of the study. |
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| 4.17 Detail practical steps you will take to ensure confidentiality and or anonymity in the dissemination phase of the study. |
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**Confidentiality of results or findings**

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| 4.18 Please mark the box which best describes the level of access you, as the researcher(s), will have to your participant(s)’ identity(ies):  |
| [ ]  | Fully anonymous | Researcher(s) will not be able to identify who participated at all. Demographic information collected will be insufficient to identify individuals. |
| [ ]  | Anonymous results, but participants can be identified | The participation of individuals will be tracked (e.g. to provide course credit/chance for a prize etc.) but it would be impossible for collected data to be linked to individuals. |
| [ ]  | Pseudonym | Data collected will be linked to an individual who will only be identified by a fictitious name/code. The researcher(s) will not know the true identity of the participant. |
| [ ]  | Confidential | Researcher(s) will know the true identity of participant(s), but this identity will not be disclosed. |
| [ ]  | Disclosed | Researcher(s) will know and will reveal true identity of participants in results/published material. |
| [ ]  | Participant choice | Participants will have the option of choosing which level of disclosure they wish for their true identity. |
| [ ]  | Anonymity in dissemination | Participants’ identities will not be revealed in the dissemination of the research. |
| **[ ]**  | Other (please describe) |   |

**Additional comments**

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| * 1. Bearing in mind the ethical guidelines of your academic and/or professional association, please comment on any other ethical concerns which may arise in this research (e.g. responsibility to subjects beyond the purposes of this study).
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**5. INSTITUTIONAL APPROVAL**

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| 5.1 Indicate the institutions from whom you will require consent/approval |
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| 5.2 If the research is conducted in a country other than South Africa, please detail the relevant legislation pertaining to the requirements for informed consent if these differ from South Africa. |
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Please note that you must prepare a draft letter in which you request permission to conduct research. It must be addressed to the principal or senior official head of each research site you intend to use. The letter must accompany this application and may only be sent after ethical approval has been granted.

**6. DISSEMINATION OF RESEARCH FINDINGS**

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| 6.1 Please describe how you intend to share the findings of your research with academia and the broader community (e.g. conferences, articles, seminars, dissertation, reports). |
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**7. DATA ACCESS AND STORAGE**

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| 7.1 Please describe the access participants will have to the study results and any debriefing information that will be provided to participants post participation. |
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| * 1. Please describe the audit trail of your data from collection to storage to its eventual archiving or disposal. Include specific details on who will have access, short and long-term storage (format and location), and final destination. For full details please consult the policy documents referred to on page 1.
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**ACKNOWLEDGEMENTS**

We have drawn on the example obtained from the Office of Research at Concordia University, Montreal Canada while refining this form.

**FOR THE APPLICANT(S):**

|  | **Yes** | **No** |
| --- | --- | --- |
| * Have you disclosed all relevant information which may reasonably have an impact on the decisions made by the Ethics Committee?
 | **[ ]**  | **[ ]**  |
| * Do you declare that you have not yet engaged with fieldwork in this study?
 | **[ ]**  | [ ]  |
| * Are you aware that it is your responsibility to ensure that all documents relevant to this study, such as letters of permission and informed consent must be retained for safekeeping?
 | **[ ]**  | [ ]  |
| * Are you informed about Faculty, UP and professional regulations of ethical behaviour?
 | **[ ]**  | [ ]  |
| * Have you checked that all the appropriate role-players have signed in the appropriate places?
 | **[ ]**  | [ ]  |
| * Do you undertake to inform research assistants, transcribers and translators (if applicable) of the ethical principles and institutional requirements guiding this research and ensure that they sign the personal declaration of responsibility prior to their involvement in the research?
 | **[ ]**  | [ ]  |
| * Have you included a ***protocol letter of invitation to participate*** that will provide the conditions of participation and informed consent and handed to the school/ organisation/institution and participant(s) and signed by the applicant and the supervisor(s)?
 | **[ ]**  | [ ]  |
| * Have you included copies of the data collection protocols, such as questionnaires and/or interview schedules (if applicable)?
 | **[ ]**  | [ ]  |
| * Have you ensured that the process for obtaining informed consent complies with the relevant legal and professional requirements?
 | **[ ]**  | [ ]  |
| * Do you declare that all information provided in this application is true?
 | **[ ]**  | [ ]  |

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**Applicant Signature Date**

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**Co-researcher (If applicable) Signature Date**

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**Supervisor Signature Date**

**(If applicable)**

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**Head of Department Signature Date**

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**Departmental Representative Signature Date**

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| **Reference:** |       |

**SECTION B: DESCRIPTION OF RESEARCH BASED ON A COMMUNITY ENGAGEMENT PROJECT**

**1. DESCRIPTION OF RESEARCH PROJECT**

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| 1.1 Please provide a brief background to and the rationale for the community engagement project. |
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| * 1. Please provide a brief description of how the community engagement activity is integrated with applicable module(s) and how students will benefit.
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| 1.3 Give a short description on how the community will benefit from this project. |
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**2. RESEARCH DESIGN/METHODOLOGY**

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| 2.1 Please provide a full description of the research design/methodology, and processes that will be used. Include details relating to the research sites and data collection protocols.  |
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| * 1. Should clinical data form part of the data source(s) in this study, detail the relevant processes for obtaining permission and informed consent to use such data.
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| * 1. If this is intervention research, describe the nature of the intervention and provide details about the scientific merit of the intervention you intend to study.
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Please note that you have a responsibility to ensure that you disclose fully the scientific status of the intervention to your participants when you invite them to participate in your research. Participants have the right to know to which degree the procedures and instruments you intend to use are accepted by the scientific community.

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**3. HUMAN PARTICIPANTS**

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| 3.1 Describe who will be participating in the study. Mention any other special criteria that may apply to your study |

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| --- | --- | --- | --- |
| **Role** | **Vulnerability status** | **Institutional affiliation** | **Justification for participation** |
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| Please ensure that you attach to this application a draft letter of invitation to participate in the research on a UP letterhead for each group of participants in your study. Make sure that the content of the letter reflects the content of issues outlined in this application. The letter of invitation must be signed by the student(s) and supervisor(s) but should not be signed by the participants yet.  |

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| 3.2 Describe your sampling procedure. Include how you will recruit and select participants. Attach as addenda any draft versions of adverts/letters inviting participation in your project. |
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| 3.3 Please provide additional information regarding the criteria that will be used as the basis for inclusion/exclusion of certain participants. |
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| 3.4 Outline in what activities participants will be expected to participate as part of this research project. Indicate the duration of each activity as well as where it will take place. |
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| **Participants** | **Activities** | **Venue/Community site** (if applicable) | **Duration** |
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| 3.5 Should any of the participants be known to you in another context (apart from this research) provide details of this relationship and detail how you will handle the conflict of interest. |
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| 3.6 Should it be required that participants be deceived, please describe the nature of any deception and provide a rationale why it is applicable to this inquiry. Please note that deception includes but is not limited to the following: deliberate presentation of false information, suppression of pertinent information, selection of information designed to mislead, selective disclosure of information. |
|  |

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| 3.7 Should you make use of any assistants such as interpreters, photographers, or transcribers, please detail their involvement in the study. Include information regarding any orientation/training that such persons will receive prior to commencing their duties. |
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Please note that it is your responsibility to ensure that all assistants and interpreters fully understand and adhere to all ethical requirements of the project. Please attach a personal declaration of responsibility for each assistant/interpreter who works on the project.

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| 3.8 Is there the likelihood of a particular sort of “heinous discovery”? (e.g. child abuse, discovery of illness or condition) If so, how will you deal with such a situation? |
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**4. CONSIDERATION OF ETHICAL PRINCIPLES REGARDING HUMAN PARTICIPANTS**

**Voluntary participation and trust**

|  |
| --- |
| 4.1 Describe how you will ensure voluntary participation. |
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| 4.2 Should any of the participants constitute a captive audience[[7]](#footnote-7), state what additional safeguards you will take to ensure voluntary participation. |
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| 4.3 Should any incentives be used, please describe and justify these and outline what measures you will take to still ensure voluntary participation. |
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| 4.4 Will participants be asked to comment on drafts e.g. transcripts of interviews? |
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| 4.5 How will participants be informed that they are free to discontinue at any time? Will the nature of the project place any limitations on this freedom? (e.g. documentary film) |
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**Informed consent/assent**

|  |
| --- |
| 4.6 Please describe how you will obtain informed consent/assent from your participants (or their care givers). Attach a draft consent form or oral consent script as an addendum. |
| **Informed consent from adults/assent from minors**      |
| **Informed consent from parents/guardians**      |

|  |
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| 4.7 In some cultural traditions, individualised consent as implied above may not be appropriate or additional consent (e.g. group consent or consent from community leaders) may be required. If this is the case with your sample population, indicate the procedures you will follow to obtain consent. |
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| 4.8 Should some participants in the study be considered to be mentally compromised or otherwise not competent to consent to participation, detail what safeguards you will take to ensure voluntary participation. |
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| 4.9 Should the research not be conducted in the mother tongue of the participants or in a language in which they feel competent, detail the measures you will take to ensure informed consent and voluntary participation. |
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**Safety in participation**

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| 4.10 Detail the possible benefits and/or consequences that participants can expect as a result of participating in this study.  |
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| 4.11 Detail the potential risks and harm to participants in this study. |
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| 4.12 Describe the safeguards you will take to minimise these risks, however minor. |
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| 4.13 If you have indicated that you will involve participants from vulnerable contexts, detail what extra safeguards you will take to protect your participants from harm. |
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**Privacy, confidentiality and anonymity**

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| 4.14 Detail how you will ensure confidentiality and/or anonymity in the sample selection phase of the study. |
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| 4.15 Should the privacy of participants not be protected in this research, have participants actively agreed to forego confidentiality requirements based on full disclosure of possible intended and unintended consequences and risks? Detail the conditions under which participants decided to forego their privacy rights. |
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| 4.16 Detail practical steps you will take to ensure confidentiality and/or anonymity in the data collection phase of the study. |
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| 4.17 Detail practical steps you will take to ensure confidentiality and or anonymity in the dissemination phase of the study. |
|  |

**Confidentiality of results or findings**

|  |
| --- |
| 4.18 Please mark the box which best describes the level of access you, as the researcher(s), will have to your participant(s) identity(ies):  |
| [ ]  | Fully anonymous | Researcher(s) will not be able to identify who participated at all. Demographic information collected will be insufficient to identify individuals. |
| [ ]  | Anonymous results, but can identify who participated | The participation of individuals will be tracked (e.g. to provide course credit/chance for a prize, etc.) but it would be impossible for collected data to be linked to individuals. |
| [ ]  | Pseudonym | Data collected will be linked to an individual who will only be identified by a fictitious name/code. The researcher(s) will not know the true identity of the participant. |
| [ ]  | Confidential | Researcher(s) will know the true identity of participant(s), but this identity will not be disclosed. |
| [ ]  | Disclosed | Researcher(s) will know and will reveal true identity of participants in results/published material. |
| [ ]  | Participant choice | Participants will have the option of choosing which level of disclosure they wish for their true identity. |
| [ ]  | Anonymity in dissemination | Participant’s identities will not be revealed in the dissemination of the research. |
| [ ]  | Other (please describe) |       |

**Additional comments**

|  |
| --- |
| 4.19 Bearing in mind the ethical guidelines of your academic and/or professional association, please comment on any other ethical concerns which may arise in this research (e.g. responsibility to subjects beyond the purposes of this study).  |
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**5. INSTITUTIONAL APPROVAL**

|  |
| --- |
| 5.1 Indicate the institutions from whom you will require consent/approval  |
|  |

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| 5.2 If the research is conducted in a country other than South Africa, please detail the relevant legislation pertaining to the requirements for informed consent if these differ from South Africa. |
|  |

**🖐**

Please note that you must prepare a draft letter in which you request permission to conduct research. It must be addressed to the principal or senior official head of each research site you intend to use. The letter must accompany this application and may only be sent after ethical approval has been granted.

**6. DISSEMINATION OF RESEARCH FINDINGS**

|  |
| --- |
| 6.1 Please describe how you intend to share the findings of your research with academia and the broader community (e.g. conferences, articles, seminars, dissertation, reports). |
|  |

**7. DATA ACCESS AND STORAGE**

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| --- |
| 7.1 Please describe the access participants will have to the study results and any debriefing information that will be provided to participants post participation. |
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|  |
| --- |
| * 1. Please describe the audit trail of your data from collection to storage to its eventual archiving or disposal. Include specific details on who will have access, short and long-term storage (format and location), and final destination. For full details please consult the policy documents referred to on page 1.
 |
|       |

**ACKNOWLEDGEMENTS**

We have drawn on the example obtained from the Office of Research at Concordia University, Montreal Canada while refining this form.

**FOR THE APPLICANT(S):**

|  | **Yes** | **No** |
| --- | --- | --- |
| * Have you disclosed all relevant information which may reasonably have an impact on the decisions made by the Ethics Committee?
 | **[ ]**  | **[ ]**  |
| * Do you declare that you have not yet engaged with fieldwork in this study?
 | **[ ]**  | [ ]  |
| * Are you aware that it is your responsibility to ensure that all documents relevant to this study, such as letters of permission and informed consent must be retained for safekeeping?
 | **[ ]**  | [ ]  |
| * Are you informed about Faculty and UP and professional regulations of ethical behaviour?
 | **[ ]**  | [ ]  |
| * Have you checked that all the appropriate role-players have signed in the appropriate places?
 | **[ ]**  | [ ]  |
| * Do you undertake to inform research assistants, transcribers and translators (if applicable) of the ethical principles and institutional requirements guiding this research and ensure that they sign the personal declaration of responsibility prior to their involvement in the research?
 | **[ ]**  | [ ]  |
| * Have you included a ***protocol letter of invitation to participate*** that will provide the conditions of participation and informed consent and handed to the school/organisation/institution and participant/s and signed by the applicant(s) and the supervisor(s)?
 | **[ ]**  | [ ]  |
| * Have you included copies of the data collection protocols, such as questionnaires and/or interview schedules if applicable?
 | **[ ]**  | [ ]  |
| * Have you ensured that the process for obtaining informed consent complies with the relevant legal and professional requirements?
 | **[ ]**  | [ ]  |
| * Do you declare that all information provided in this application is true?
 | **[ ]**  | [ ]  |

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of applicant Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Co-researcher (if applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Supervisor (if applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Head of Department Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Departmental Representative Date**

|  |  |
| --- | --- |
| **Reference:** |       |

**SECTION C: SECONDARY DATA ANALYSIS OF EXISTING DATA**

**1. DESCRIPTION OF THE RESEARCH PROJECT**

|  |
| --- |
| 1.1 Please provide a brief summary of the proposed research initiative. Include the main research question(s), rationale for this inquiry as well as its scientific importance. Mention the benefits which are likely to be derived from the project as well as its anticipated duration. |
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**2. RESEARCH DESIGN/METHODOLOGY**

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| --- |
| 2.1 Please provide a brief summary of the project in which the data was originally generated  |
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| 2.2 Please provide a full description of the research design/methodology, and processes that will be used.  |
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**3. HUMAN PARTICIPANTS**

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| --- |
| 3.1 Describe the sampling procedure used in the original study.  |
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| 3.2 Please provide information on the criteria that the original study used to include/exclude certain participants. |
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**4. CONSIDERATION OF ETHICAL PRINCIPLES REGARDING HUMAN PARTICIPANTS**

**Voluntary participation and trust**

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| --- |
| 4.1 Describe how the original project ensured voluntary participation. |
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**Informed consent**

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| --- |
| 4.2 Please describe how the original project obtained informed consent/assent from the participants (or their care givers). |
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**Privacy, confidentiality and anonymity**

|  |
| --- |
| 4.3 Detail how the original project ensured confidentiality and/or anonymity in the sample selection phase of the study. |
|       |

**Additional comments**

|  |
| --- |
| * 1. Bearing in mind the ethical guidelines of your academic and/or professional association, please comment on any other ethical concerns which may arise in this research (e.g. responsibility to subjects beyond the purposes of this study).
 |
|       |

**5. INSTITUTIONAL APPROVAL**

|  |
| --- |
| 5.1 Indicate the institutions from whom you will require consent/approval  |
|  |

**🖐**

Please note that you must prepare a draft letter in which you request permission to conduct research. It must be addressed to the principal or senior official head of each research site you intend to use. The letter must accompany this application and may only be sent after ethical approval has been granted.

**6. DISSEMINATION OF RESEARCH FINDINGS**

|  |
| --- |
| 6.1 Please describe how you intend to share the findings of your research with academia and the broader community (e.g. conferences, articles, seminars, dissertation, reports). |
|  |

**7. DATA ACCESS AND STORAGE**

|  |
| --- |
| 7.1 Please describe the access participant(s) will have to the study results and any debriefing information that will be provided to participant(s) post participation. |
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|  |
| --- |
| 7.2 Please describe the audit trail of your data from collection to storage to its eventual archiving or disposal. Include specific details on who will have access, short and long-term storage (format and location), and final destination. For full details please consult the policy documents referred to on page  |
|       |

**ACKNOWLEDGEMENTS**

We have drawn on the example obtained from the Office of Research at Concordia University, Montreal Canada while refining this form.

**FOR THE APPLICANT:**

|  | **Yes** | **No** |
| --- | --- | --- |
| * Have you disclosed all relevant information which may reasonably have an impact on the decisions made the Ethics Committee?
 | **[ ]**  | **[ ]**  |
| * Are you informed about Faculty and UP and professional regulations of ethical behaviour?
 | **[ ]**  | [ ]  |
| * Have you included copies of the data collection protocols used in the original study, such as questionnaires and/or interview schedules if and when applicable?
 | **[ ]**  | [ ]  |
| * Do you declare that all information provided in this application is true?
 | **[ ]**  | [ ]  |

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of applicant Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Co-researcher (If applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Supervisor (If applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Head of Department Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Departmental Representative Date**

|  |  |
| --- | --- |
| **Reference:** |       |

**SECTION D: COMMISSIONED RESEARCH**

1. **DESCRIPTION OF RESEARCH PROJECT**

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| --- |
| 1. Please provide a brief summary of the proposed research initiative. Include the main research question(s), rationale for this inquiry as well as its scientific importance. Mention the benefits which are likely to be derived from the project as well as its anticipated duration.
 |
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**2. RESEARCH DESIGN/METHODOLOGY**

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| --- |
| 2.1 Please provide a full description of the research design/methodology, and processes that will be used. Include details relating to the research sites and data collection protocols.  |
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Please note that you have a responsibility to ensure that you disclose fully the scientific status of the intervention to your participants when you invite them to participate in your research. Participants have the right to know to which degree the procedures and instruments you intend to use are accepted by the scientific community.

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**3. HUMAN PARTICIPANTS**

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| --- |
| 3.1 Describe who will be participating in the study as indicated by the client.  |

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| --- | --- | --- |
| **Role** | **Vulnerability status** | **Institutional affiliation** |
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| Please ensure that you attach to this application a draft letter of invitation to participate in the research on UP letterhead for each group of participants in your study. Make sure that the content of the letter reflects the content of issues outlined in this application. The letter of invitation must be signed by the student and supervisor but should not be signed by the participants yet.  |

**🖐**

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| 3.2 Describe the sampling procedures to be used. Attach as addenda any versions of letters inviting participation in the project. |
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| 3.3 Please provide additional information regarding the criteria that will be used as the basis for inclusion/exclusion of certain participants. |
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| 3.4 Outline in what activities participants will be expected to participate as part of this research project. Indicate the duration of each activity as well as where it will take place. |
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| **Participants** | **Activities** | **Venue/Community site** (if applicable) | **Duration** |
|       |       |       |       |
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**4. CONSIDERATION OF ETHICAL PRINCIPLES REGARDING HUMAN PARTICIPANTS**

**Voluntary participation and trust**

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| --- |
| 4.1 Describe how you will ensure voluntary participation. |
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| 4.2 Should any of the participants constitute a captive audience[[8]](#footnote-8), state what additional safeguards you will take to ensure voluntary participation. |
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| 4.3 Will participants be asked to comment on drafts (e.g. transcripts of interviews) |
|       |

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| 4.4 How will participants be informed that they are free to discontinue at any time? Will the nature of the project place any limitation on this freedom? (e.g. documentary film) |
|       |

**Informed consent/assent**

|  |
| --- |
| 4.5 Please describe how you will obtain informed consent/assent from your participants (or their care givers). Attach a draft consent form or oral consent script as an addendum. |
| **Informed consent from adults/assent from minors** |
| **Informed consent from parents/guardians**      |

**Privacy, confidentiality and anonymity**

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| --- |
| 4.6 Detail how you will ensure confidentiality and/or anonymity in the sample selection phase of the study. |
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| 4.7 Detail practical steps you will take to ensure confidentiality and/or anonymity in the data collection phase of the study. |
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| 4.8 Detail practical steps you will take to ensure confidentiality and or anonymity in the dissemination phase of the study. |
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**Confidentiality of results or findings**

|  |
| --- |
| 4.9 Please mark the box which best describes the level of access you, as the researcher(s), will have to your participant(s) identity(ies):  |
| [ ]  | Fully anonymous | Researcher(s) will not be able to identify who participated at all. Demographic information collected will be insufficient to identify individuals. |
| [ ]  | Anonymous results, but can identify who participated | The participation of individuals will be tracked (e.g. to provide course credit/chance for a prize etc), but it would be impossible for collected data to be linked to individuals. |
| [ ]  | Pseudonym | Data collected will be linked to an individual who will only be identified by a fictitious name/code. The researcher(s) will not know the true identity of the participant. |
| [ ]  | Confidential | Researcher(s) will know the true identity of participant(s), but this identity will not be disclosed. |
| [ ]  | Disclosed | Researcher(s) will know and will reveal true identity of participants in results/published material. |
| [ ]  | Participant choice | Participants will have the option of choosing which level of disclosure they wish for their true identity. |
| [ ]  | Anonymity in dissemination | Participants identities will not be revealed in the dissemination of the research. |
| [ ]  | Other (please describe) |  |

**Additional comments**

|  |
| --- |
| 4.10 Bearing in mind the ethical guidelines of your academic and /or professional association, please comment on any other ethical concerns which may arise in this research (e.g. responsibility to subjects beyond the purposes of this study).  |
|       |

**5. INSTITUTIONAL APPROVAL**

|  |
| --- |
| 5.1 Indicate the institutions from whom you will require consent/approval  |
|  |

**🖐**

Please note that you must prepare a draft letter in which you request permission to conduct research. It must be addressed to the principal or senior official head of each research site you intend to use. The letter must accompany this application and may only be sent after ethical approval has been granted.

**6. DATA ACCESS AND STORAGE**

|  |
| --- |
| 6.1 Please describe the access participants will have to the study results and any debriefing information that will be provided to participants post participation. |
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| --- |
| 6.2 Please describe the audit trail of your data from collection to storage to its eventual archiving or disposal. Include specific details on who will have access, short and long-term storage (format and location), and final destination. For full details please consult the policy documents referred to on page 1.  |
|       |

**ACKNOWLEDGEMENTS**

We have drawn on the example obtained from the Office of Research at Concordia University, Montreal Canada while refining this form.

**FOR THE APPLICANT(S):**

|  | **Yes** | **No** |
| --- | --- | --- |
| * Have you disclosed all relevant information which may reasonably have an impact on the decisions made by the Ethics Committee?
 | **[ ]**  | **[ ]**  |
| * Do you declare that you have not yet engaged with fieldwork in this study?
 | **[ ]**  | [ ]  |
| * Are you aware that it is your responsibility to ensure that all documents relevant to this study, such as letters of permission and informed consent must be retained for safekeeping?
 | **[ ]**  | [ ]  |
| * Are you informed about Faculty and UP and professional regulations of ethical behaviour?
 | **[ ]**  | [ ]  |
| * Have you checked that all the appropriate role-players have signed in the appropriate places?
 | **[ ]**  | [ ]  |
| * Do you undertake to inform research assistants, transcribers and translators (if applicable) of the ethical principles and institutional requirements guiding this research and ensure that they sign the personal declaration of responsibility prior to their involvement in the research?
 | **[ ]**  | [ ]  |
| * Have you included a ***protocol letter of invitation to participate*** which will provide the conditions of participation and informed consent and handed to the school/ organisation/institution and participant(s) and signed by the applicant(s) and the supervisor(s)?
 | **[ ]**  | [ ]  |
| * Have you included copies of the data collection protocols, such as questionnaires and/or interview schedules if and when applicable?
 | **[ ]**  | [ ]  |
| * Have you ensured that the process for obtaining informed consent complies with the relevant legal and professional requirements?
 | **[ ]**  | [ ]  |
| * Do you declare that all information provided in this application is true?
 | **[ ]**  | [ ]  |

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of applicant Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Co-researcher (if applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Supervisor (if applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Head of Department Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Departmental Representative Date**

|  |  |
| --- | --- |
| **Reference:** |       |

**SECTION E: AMENDMENTS TO AN EXISTING ETHICS APPLICATION**

**(INCLUDING CHANGES TO: INSTRUMENTATION, CO-RESEARCHERS[[9]](#footnote-9), PARTICIPANTS)**

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| --- | --- | --- | --- |
| Project leader(s) of existing project |       | Existing application reference number |       |
| Existing application title |       |
| Planned theme and research question of this application in the existing project       |

| Please state which amendments will be made to the existing project |
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| Please provide details of the amendments indicated above |
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**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of applicant Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Co-researcher (If applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Supervisor (If applicable) Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Head of Department Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature of Departmental Representative** **Date**

1. Only applicable to secondary data analysis [↑](#footnote-ref-1)
2. <http://web.up.ac.za/default.asp?ipkCategoryID=8045&sub=1&subid=6258&ipklookid=6> [↑](#footnote-ref-2)
3. Only applicable to secondary data analysis [↑](#footnote-ref-3)
4. [↑](#footnote-ref-4)
5. If yes, please attach a letter of approval from the Dean, Faculty of Education. Please note that your application will also be forwarded to the Registrar. [↑](#footnote-ref-5)
6. Captive audience: Participants are potentially obligated to participate in the study due to the researchers’ position of authority (power) in relation to participants (e.g. learners and educator-researchers, students and lecturer-researchers, educators and government/district officials as researchers, clients and psychologist-researchers). Thus participation may in fact not be voluntary and may also limit participants’ anonymity and confidentiality. [↑](#footnote-ref-6)
7. Captive Audience: Participants are potentially obligated to participate in the study due to the researchers’ position of authority (power) in relation to participants (e.g. learners and educator-researchers, students and lecturer-researchers, educators and government-/district officials as researchers, clients and psychologist-researchers). Thus participation may in fact not be voluntary and may also limit participants’ anonymity and confidentiality. [↑](#footnote-ref-7)
8. Captive audience: Participants are potentially obligated to participate in the study due to the researchers’ position of authority (power) in relation to participants (e.g. learners and educator-researchers, students and lecturer-researchers, educators and government/district officials as researchers, clients and psychologist-researchers). Thus participation may in fact not be voluntary and may also limit participants’ anonymity and confidentiality. [↑](#footnote-ref-8)
9. Please note that when including co-researchers to an existing project, the co-researcher(s) personnel/student number(s) must be included. [↑](#footnote-ref-9)