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| ***Research Ethics Application*** | |
| *Human Research Ethics Committee*  Postal Address: The Secretary, Human Research Ethics Committee  Private Bag 3105  Hamilton 3240 |  |
| E-mail: humanethics@waikato.ac.nz |  |
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| ***Before applying for approval applicants must familiarise themselves with the Ethical Conduct in Human Research and Related Activities Regulations in the University Calendar*** [***http://calendar.waikato.ac.nz/assessment/ethicalConduct.html.***](http://calendar.waikato.ac.nz/assessment/ethicalConduct.html) | |
| Use this application if your research project involves the collection, use, and/or reuse of human data. This form is to be completed by staff and students doing research **prior to** the collection of any data from human participants. | |
| Upon completion of this form please submit to/or email to your Faculty/School Human Research Ethics Committee [HREC]. Health Research and Health, Sport & Human Performance applications should be submitted to the central HREC ([humanethics@waikato.ac.nz](mailto:humanethics@waikato.ac.nz)). | |
| **Note 1:** This application has been formatted as a series of tables to enhance stability. Please type your responses to questions in the cells beside or below the prompts. The table will expand to accommodate the length of your responses. At times, tables in word do not display correctly onscreen, although the underlying formatting is stable and the file will print to hard copy or pdf correctly. To fix this problem, position the cursor in an empty cell, and press enter or tab. This should fix the display. You can then delete the formatting you have added and continue. | |
| **Note 2:** Use the file naming convention 2019\_Surname\_HRECApplication(e.g. **2019\_Smith\_HRECApplication**). When you submit your application, we would prefer a single pdf file including all documents associated with the application, in the order you intend us to read them. If you have difficulty combining files, please number your files in the order that you intend us to read them (e.g. **2019\_Smith\_HRECApplication01, 2019\_Smith\_HRECApplication02**, etc.) | |

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| ***Checklist*** | | | |
| A positive answer to one or more of the questions below indicates the need for review by the University of Waikato Human Research Ethics Committee (Health), which is accredited by the Health Research Council. Health Applications should be submitted by email to [humanethics@waikato.ac.nz.](mailto:humanethics@waikato.ac.nz) | | | |
| y/n | Are you investigating a topic that concerns health, disability or well-being? | | |
| y/n | Are you using an instrument intended to assess health, disability or well-being? | | |
| y/n | Is referral to a health service provider anticipated as a potential outcome of participation? | | |
| y/n | Are participants being recruited in their capacity as DHB employees? | | |
| y/n | Is the researcher intending to collect tissue samples (e.g. bloods, saliva, urine) from healthy individuals? | | |
| y/n | Is the researcher intending to utilize interventions related to exercise and nutrition? | | |
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| Submit this application form when the checklist and the Application Cover Sheet is complete and has been signed. | | | |
| y/n | Personal details (on Application Cover Sheet) | y/n | Academic Details (on Cover Sheet) |
| y/n | Information Sheet (attached) | y/n | Signatures (where required) |
| y/n | Consent Form (attached) | y/n | Research Instruments (attached) |

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| ***Research Ethics Application – Cover Sheet*** | | |
| *Human Research Ethics Committee*  Postal Address: The Secretary, Human Research Ethics Committee  Private Bag 3105  Hamilton 3240 |  | |
| E-mail: humanethics@waikato.ac.nz |  | |
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| **Name of Principal Investigator**: |  | |
| School / Faculty / Institute: |  | |
| Email address: |  | |
| Phone number: |  | |
| Office: |  | |
| Student ID (if applicable): |  | |
| Proposed start date of field research / data collection: |  | |
| This is an application for approval of:  (indicate all that apply) | y/n | Staff research project |
|  | y/n | PhD Research |
|  | y/n | Masters Research |
|  | y/n | Other |
| Name of degree / paper (if applicable): |  | |
| Supervisor’s name (if applicable): |  | |
| Supervisor’s approval (signature): |  | |
| Funding sources: |  | |
| Project sponsors (e.g. equipment sponsors): |  | |
| Research locations (if not within University of Waikato facilities) |  | |
| Associated Applications (provide the associated application code and title): |  | |
|  |  | |
| I request approval for this research or related activity and attach all relevant documentation necessary for evaluation under the Ethical Conduct in Human Research and Related Activities Regulations. <http://calendar.waikato.ac.nz/assessment/ethicalConduct.html> | | |
|  | | |
| I have read and complied with the University’s Ethical Conduct in Human Research and Related Activities Regulations. | | |
|  | | |
| Principal Investigator’s signature: |  | |
| Date: |  | |

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| ***Project Overview*** | |
| **Please provide us with basic information about your project.** | |
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| 1. | Project Title: |
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| 2. | Briefly state the **research topic, research questions** and/or **research objectives**. |
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| 3. | What specific research activities are you planning to undertake? Respond to this question with a list of research activities. You will be asked to provide further details under Q.18. |
|  | *e.g. semi-structured interviews of 12 FASS academic staff members about their experiences of xxx*  *e.g. anonymous online survey of all University of Waikato staff members about xxx*  ... |
| 4. | To justify your project, provide a summary of the research, its methods, anticipated academic benefits, value and/or contribution to the field. |
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| ***The Researcher(s)*** | |
| **Please tell us about your research team.** | |
| 5. | List all members of the research team and briefly describe their roles within the research project. |
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| 6. | Outline your qualifications to undertake this research. Include such things as prior experience, training in relevant research methods, and/or personal knowledge of the subject. |
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| 7. | What, if any, discipline-specific codes of ethics or professional standards will guide your research? |
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| ***The Participants*** | |
| **Please provide the following information about your potential participants:** | |
| 8. | Broadly, who will your participants be? (Indicate the population, not the names of participants) How many participants will there be? Provide an estimate if you are unsure of exact numbers. |
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| 9. | How will you recruit participants? Summarise your process. |
|  |  |
| 10. | How will you inform them about the project and their part in it? Summarise your process. |
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|  | ***Attach*** *a copy of the information sheets for participants. Ensure that the content of the information sheet is written in language suited to the relevant participants.* |
|  |  |
|  | ***Attach*** *a copy of any recruitment emails, posts, posters or similar.* |
|  |  |
| 11. | Are the participants vulnerable? |
|  | If yes, then: |
|  | In what ways are they vulnerable?  Why do you need to involve them in your research?  How will you protect them from harm? |
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| 12. | Will you select participants on the basis of their ethnicity, iwi, culture, gender, sexuality, religion, ethical belief or disability? |
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|  | If yes, then specify the basis for selection, and state how you will tell participants about the selection criteria. |
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|  | Are your participants likely to be from a particular ethnic group or other distinct population even if you are not selecting them on that basis? |
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|  | What cultural and other competencies do you have to work with your selected participant group (e.g. language, membership, professional training)? |
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| 13. | Do you have any type of relationship with your participants already (e.g. employer/employee, supervisor/worker, personal relationship)? |
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|  | If yes, then you will have a dual role in the research, both as researcher and, for example, as friend or family member. How will your pre-existing relationship affect your role as a researcher? |
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|  | Consider potential ethical issues associated with your pre-existing relationship. How will you address these issues in your project? |
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| 14. | Will participants receive any form of compensation or incentive for participation? (See guidelines on compensation, and note that reimbursement for travel expenses can be stated, but does not need justification.) |
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|  | If yes, what will they receive? (e.g. vouchers, prizes, shared refreshments, course credits etc.) |
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| ***Consent*** | |
| **Please provide the following information about consent processes:** | |
| 15. | How will you gain informed consent from your participants? |
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|  | Who will gain consent from participants? Note that where dual roles exist (Q.13 above), coercion to participate may be avoided by asking a third party to undertake the informed consent process. |
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|  | When will participants give their consent? |
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|  | How will you record their consent? |
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|  | ***Attach*** *a copy of the consent forms for participants. If you intend to seek oral consent, include a procedure sheet to describe the process by which consent will be negotiated.* |
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|  | If vulnerable, are your participants able to give informed consent?  If no, then:  How will you obtain consent from their proxy?  What steps will you take to ensure that their participation is voluntary at all times? |
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| 16. | With the exception of participants who are anonymous to the researcher, participants have the right to withdraw entirely or in part from the research. Please provide the following information: |
|  | How long will participants have to withdraw? (e.g. three weeks after data collection, or receipt of a  transcript) |
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|  | How will they withdraw? (e.g. by informing the researcher) |
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| 17. | Data collection activities may be planned for off-campus locations. Please list all off-campus location where you will engage in data collection. |
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|  | Do you need consent or permission from any organisation, community representative, and/or anyone  other than the individual participants? If yes, list all the required permissions, consents, and/or approvals. |
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|  | How and when will you gain these permissions, consents and/or approvals? |
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|  | ***Attach*** *any statements, letters, or emails of permission or approval that have been secured in advance of your application to the Human Research Ethics Committee.* |

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| ***Research design*** | |
| **Please tell us about what you will be asking your participants to do.** | |
| 18. | What will participants be doing and how long will each activity take? Please provide these details for each of the items on your list in Q.3 above. |
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|  | ***Attach*** *all research instruments that you intend to use to collect data. (e.g. interview schedules, questionnaire/survey items). Indicate whether the research instruments are drafts or final versions. The final versions of research instruments must be lodged with the committee prior to data collection.* |
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|  | How will participants benefit from their involvement in the research? |
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| 19. | Could participants be harmed in your research? |
|  | If yes, please describe all potential harms to your participants. |
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|  | How will you minimize the risk of these harms occurring? |
|  |  |
|  | What will you do if a participant is harmed? Describe your processes in detail. |
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|  | Is it likely that concerns could arise regarding the health and wellbeing of your participants, through their participation in your project? How will this be managed? |
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| 20. | How will you analyse the data that you collect from your participants? |
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|  | Will your research involve comparing one group to another? |
|  | If yes, then explain how the comparison will be done.  How are the participants categorized into specific groups?  Why is it important to do this? |
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| 21. | Does your research involve any deception of participants? |
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|  | If yes, then describe the deception.  Why is it necessary to deceive participants? How and when will participants be told of the deception? |
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| 22. | Will the true identity of the researcher(s) be concealed from participants at any time during the researcher? (Such research is called ‘covert research’.) |
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|  | If yes, then describe the concealment.  Why is it necessary?  How and when will participants be told of the concealment?  If never, then, explain why the concealment will not be disclosed to participants. |
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| ***Cultural safety*** | |
| Te Whare Wānanga o Waikato, the University of Waikato, through its official *Charter,* has an explicit commitment to partnership with Māori, to kaupapa and tikanga Māori, and to the interests of New Zealand- born and Island-born Pacific people.  Through the *Ethical Conduct and Human Research and Related Activities Regulations*, researchers are required to respect the **cultural, social** and **language preferences** and **sensitivities** of participants. When applying for ethical approval, researchers should demonstrate an awareness of social and cultural difference, consult advisors regarding the appropriate conduct of their research, and present the outcome of consultation in their ethics application.  Two resources that are particularly relevant to research at the University of Waikato are *Te Ara Tika – Guidelines for Māori Research Ethics* and the *Pacific Health Research Guidelines.* | |
| 23. | Does the research project have particular relevance or potential implications for Māori, or for other social and cultural groups? |
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|  | If yes, then please provide the following information about your consultation processes: |
|  | Who are the stakeholders? (That is, whom do you have to consult?)  What are the results of your consultation with them so far? (e.g. describe advice taken on appropriate  procedures and approaches to research, decisions made about appropriate ways to return research findings) |
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|  | Do you have at least one cultural advisor for this project? Please provide their name(s) and specific role(s). |
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| 24. | Describe how you will show respect and sensitivity towards participants (e.g. having support persons present during interviews, having an interpreter if you are not fluent in the language, being vouched for by elders, using appropriate gestures, dressing inoffensively, or participating in cultural ceremonies or rituals). |
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| 25. | How will the identities of participants (and their communities and/or organisations where relevant) be represented in the research? |
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|  | Is it important to maintain the confidentiality of participants (and their communities/organisations where relevant) in the research reporting? |
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|  | If yes, how will you preserve confidentiality? |
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| 26. | In addition to the lead researcher(s), who else will see information provided by the participants? Will any of the shared information be linked to the participants’ names, or will it be anonymised before sharing? |
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|  | *It may be appropriate to ask additional parties (e.g. student researchers, transcribers) to sign a confidentiality agreement.* ***Attach*** *the confidentiality agreement that you intend to use.* |
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| 27. | How and where will the data be stored and protected **during** the research project? |
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| ***Research Reporting*** | |
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| 28. | List all the anticipated research outputs for the project (e.g. thesis, conference papers, journal articles, other sorts of presentation, book, media release, pedagogic materials). |
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|  | What provision is there to provide participants with information about the outcomes of the research? |
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| 29. | Research data must be stored for a minimum of 5 years after the completion of a research project. |
|  | Where and how will you store your data after the project has been completed? Supervisors are responsible for storing research data on behalf of their students. |
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|  | If archiving is appropriate for your project data, where will you archive the data and under what conditions? |
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|  | If you do not intend to store your data indefinitely, how will you ensure that your data is safely destroyed? |
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| ***Legal Issues*** | |
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| 30. | Ownership of Human Research Data |
|  | It is usual to state that participants own the data that they provide, and that the researcher will use the data for the specified purposes, with the consent of participants. Please explain any variation from this arrangement. |
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| 31. | Copyright |
|  | The researcher’s ownership of scholarly publications and other forms of research outputs is governed by the University of Waikato’s Intellectual Property Rights Policy. Crucially the policy states in Clause 8 that*, “the University recognises and endorses the traditional academic freedom of staff to publish research and scholarly documents and to produce creative and artistic works without restriction; the University does not assert ownership of copyright of such works (e.g. books, journal articles, conference papers, art works and musical recordings) unless specified in clauses 12-18 of [the] policy.”* |
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|  | Please explain any variation from this policy. |
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|  | Clause 9 states that, *“When dealing with intellectual property that includes Mātauranga Māori, and in the context of the WAI262 claim report, the principles of Te Tiriti o Waitangi will be applied by the University”.* |
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|  | Please indicate if intellectual property is subject to the principles of Te Tiriti o Waitangi. |
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| 32. | Other legal or ethical issues |
|  | Describe any other legal or ethical issues related to this project. Consider particularly relationships between members of the research team, and project funders, sponsors, or other stakeholders. |
|  |  |