

UNIVERSITY OF CANTERBURY
HUMAN ETHICS COMMITTEE
APPLICATION FOR REVIEW & APPROVAL



This form should be completed in the light of the Principles and Guidelines issued by the Human Ethics Committee. Applicants must read those before filling out the application form. The latest versions of both the Guidelines and the Application Form can be found on the website of the Human Ethics Committee.
website: <http://www.canterbury.ac.nz/humanethics>

This application form is to be used for Applications NOT covered by the Educational Research Human Ethics Committee (ERHEC)

NOTE: This electronic copy may not have sufficient space for completion of all parts of the form if downloaded as a blank copy of the application form. It is intended as a template for use by those staff and students who have access to a word processor. When typing in please type where the paragraph marks start after each question, not in the actual boxes.

Please submit **SIX printed or typed copies** and **ONE electronic copy** of the completed application duly signed by applicant and supervisor or Head of Department, and all relevant documents referred to in questions 3, 7, 8, 9, 10, 11, 15 (i.e. authorizations, approvals, information and consent forms). Hard copies should be sent to the Secretary, Human Ethics Committee, Okeover House and electronic copies to human-ethics@canterbury.ac.nz.

1. PROJECT NAME:

2. NAME OF APPLICANT:

Contact Telephone No:

UNIVERSITY DEPARTMENT (or other contact address):

EMAIL ADDRESS:

STATUS OF PROJECT (eg SOCI XYZ class project, M.A., M.Ed., M.Sc., Ph.D., Staff research study)

NAME OF SUPERVISOR:

OTHER INVESTIGATORS:

SIGNED BY: Applicant: Date:

HOD/Supervisor: Date:

The checklist on the following page must be completed and signed by the applicant and, if the applicant is a student, by the applicant's supervisor

CHECK LIST

Please check the following items before sending the completed form to the Committee.

- All the necessary signatures on page 1 have been obtained.** []
- All the necessary approvals under Question 3 have been obtained or are the subject of correspondence of which copies are attached.** [] or NA
- A copy of any questionnaire, with an appropriate rubric at the beginning or accompanied by an appropriate covering page, is attached.** [] or NA
- A list of interview topics and, for a structured interview, a detailed list of questions, is attached.** [] or NA
- A copy of any advertisement, or notice, or informative letter asking for volunteers is attached.** [] or NA
- A copy of each information sheet required is attached.** [] or NA
- A copy of each consent form required is attached.** [] or NA
- A copy of the required debriefing sheet is attached.** [] or NA

Attention to the preceding check list is intended to ensure that the application and its documentation have been thoroughly reviewed by the applicant and (where applicable) by the supervisor and that the preparation of the project is up to the standard expected of and by the University of Canterbury.

The signature of the applicant will be understood to imply that the applicant has designed the project and prepared the application with due regard to the Principles and Guidelines of the HEC, that all the questions in the application form have been duly answered and that the necessary documentation has been properly formulated and checked.

Signature of Applicant _____

The signature of the supervisor will be understood to imply in addition that, in the judgment of the supervisor, the design and documentation are of a standard appropriate for a research project carried out in the name of the University of Canterbury or for training in such research.

Signature of Supervisor _____

- | | | Delete
whichever is
in-applicable |
|---|--|---|
| 3 | <p>(a) WILL THE PROJECT REQUIRE ETHICAL APPROVAL FROM OTHER BODIES? eg Health and Disability Ethics Committee (HDEC)
If Yes, please explain how this approval has been or will be obtained, enclosing copies of relevant correspondence.
<i>NOTE: To save time, it is recommended that in the case of HDEC applications, an application is made concurrently with the application to the UC HEC.</i></p> <p>(b) WILL THE PROJECT REQUIRE APPROVAL FOR ACCESS TO THE PARTICIPANTS FROM OTHER INDIVIDUALS OR BODIES?
(e.g., parents, guardians, school principals, teachers, boards, responsible authorities including employers, etc.)
If Yes, please explain how this approval has been or will be obtained, enclosing copies of relevant correspondence.</p> <p>(c) WILL THE PROJECT REQUIRE MAORI CONSULTATION?
If Yes, please provide evidence that consultation has occurred or, if underway, provide a copy of approval once gained.</p> <p>(d) WILL THE PROJECT REQUIRE COMMUNITY CONSULTATION?
If Yes, please provide evidence of appropriate consultation.</p> | <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> |
| 4 | <p>(a) IS THE PROJECT BEING EXTERNALLY FUNDED?
If Yes, please identify the source of funds.</p> <p>(b) IS THE PROJECT COMMISSIONED BY OR CARRIED OUT ON BEHALF OF AN EXTERNAL BODY?
If Yes, please identify the body and any Intellectual Property agreements. This includes ownership of data and reports arising.</p> <p>(c) IS THE PROJECT TO BE PART OF THE CEISMIC DIGITAL ARCHIVE?
If so, please ensure all participants are made aware of this, and have filled in the UC CEISMIC Quake Studies consent form. See www.ceismic.org.nz.</p> | <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> |

Further, please ensure that all participants are made aware of any of the above in information sheets and consent forms provided.

A. DESCRIPTION OF THE PROJECT

Answer the following questions in language which is, as far as possible, comprehensible to lay people.

5 **AIM**

- (a) What is the objective of the project?
- (b) Describe the type of information sought.
- (c) Give the specific hypothesis, if any, to be tested.

6 **PROCEDURE**

Describe in practical terms how the participants will be treated, what tasks they will be asked to perform, etc. Indicate how much time is likely to be involved in carrying out the various tasks.

7 **DOES THE PROJECT INVOLVE A QUESTIONNAIRE?****Yes/No**

If Yes, please attach a copy, if possible.

NOTE: The HEC does not normally approve a project which involves a questionnaire without seeing the questionnaire, although it may preview applications in some cases where the production of the questionnaire is delayed for good reason.

8 (a) **DOES THE PROJECT INVOLVE A STRUCTURED INTERVIEW?****Yes/No**

If Yes, please list the topics to be covered and the questions to be used.

(b) **DOES THE PROJECT INVOLVE AN UNSTRUCTURED INTERVIEW?****Yes/No**

If Yes, please list the range of topics likely to be discussed.

(c) **IF THE PROJECT INVOLVES AN INTERVIEW OF EITHER TYPE, WILL IT BE RECORDED BY: AUDIO-TAPE OR VIDEO-TAPE?****Yes/No****Yes/No**

NOTE: This also covers focus groups.

(d) **WILL THE PARTICIPANTS BE OFFERED THE OPPORTUNITY TO CHECK THE TRANSCRIPT OF THE INTERVIEW?****Yes/No**

This also covers focus groups.

NOTE: it is normal practice to have participants review their transcription. If this is not to be the case, please explain why you believe it is not necessary.

Participants should be informed of interview recording and transcription review.

B. PARTICIPANTS9 (a) **WHO ARE THE PARTICIPANTS?**(b) **HOW ARE THEY TO BE RECRUITED?**

If recruitment is by advertisement or letter or notice, please attach a copy.

- (c) WILL ANY FORM OF INDUCEMENT BE OFFERED? **Yes/No**
If Yes, please give details and a brief justification.
- (d) IF A SELECTION FROM A GROUP IS NECESSARY, HOW WILL IT BE MADE?
eg randomly, by age, gender, ethnic origin, other - please give details.
- (e) HOW MANY PARTICIPANTS (OF EACH CATEGORY, WHERE RELEVANT) DO YOU INTEND RECRUITING?

C. INFORMATION AND CONSENT

10. WHAT INFORMATION IS BEING GIVEN TO PROSPECTIVE PARTICIPANTS?
Please attach a copy of the Information Sheet (or sheets if there are different categories of participant or if responsible persons other than participants need to be informed).

If information is being supplied orally, please provide a full description of the information provided.

If information is to be provided via electronic means, please provide a copy of the webpage or link containing the information.

Separate information sheets and consent forms are required if there are different categories of participant or if consent is needed from responsible persons other than participants.

For children and young adults, please provide an information sheet and an assent form even if consent for their participation is sought from a parent/caregiver.

NOTE: Projects which involve only an anonymous questionnaire may not necessarily require a separate information sheet, provided that the rubric of the questionnaire includes your name and contact number as well as the other points contained in the model shown in the Guidelines. In general, however, the HEC recommends that participants be given an information sheet, which they may retain, unless there are good reasons against such a procedure.

- 11 HOW IS INFORMED CONSENT TO BE OBTAINED?
- (a) The research is strictly anonymous, an information sheet is supplied and informed consent is implied by voluntary participation in filling out a questionnaire (include a copy of the rubric for the questionnaire as in Appendix C of the Guidelines)
This means you do not know the identity of any of the participants and will not include any personal participant details. **Yes/No**
- or (b) 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)
This means that while you do/may know the identity of the participants, with respect to the data provided, you will not make their identity public. **Yes/No**

Where confidentiality is promised, what will be done to ensure that the identities

of participants cannot be known by unauthorized persons? (e.g. use of pseudonyms and disguising of identifying material).

or (c) The research is neither anonymous nor confidential and informed consent will be obtained through a signed consent form (include a copy of the consent form and information sheet). **Yes/No**

or (d) Informed consent will be obtained by some other method – please specify and provide details. **Yes/No**

12 ARE THE PARTICIPANTS COMPETENT TO GIVE INFORMED CONSENT ON THEIR OWN BEHALF? **Yes/No**

NOTE: Children and young adults under the age of 16 years (or 18 years if still at school) require parental/caregiver consent as do adults with disabilities that limit comprehension and consent. Such participants should be provided with a suitable information sheet and an assent form where practicable.

If No, please explain:

(a) Why they are not competent to give informed consent on their own behalf.

(b) How consent will be obtained.

D RISK, DECEPTION, PRIVACY

13. WHERE WILL THE PROJECT BE CONDUCTED?

NOTE: It is recommended that interviews be conducted in public spaces and where possible, not in private homes. In the case of research involving children, young adults and participants with disabilities, an adult other than the researcher is required to be present.

14. FORESEEABLE RISKS TO THE PARTICIPANTS

If the answer to any of these questions is “Yes”, please indicate briefly the nature of the risk and what actions you could take, or support mechanisms you could rely on, if a participant should become injured, distressed or offended while taking part in this project.

Support should not be undertaken by researcher. At the very least a list of support services should be included in the information sheet and also participants made aware of the possibility in the information sheet.

(a) Is there any risk to physical well-being? **Yes/No**

If yes describe processes in place:

(b) Could participation involve mental stress or emotional distress? **Yes/No**

If yes describe processes in place:

(c) Is there a possibility of giving moral or cultural offence? **Yes/No**

If Yes, describe processes in place and consultation/awareness undertaken:

15. IS DECEPTION INVOLVED AT ANY STAGE OF THE PROJECT? **Yes/No**

NOTE: The use in the information sheet or consent form or questionnaire of a title which differs from the project title given in this application form, in order not to reveal the real aim of the project, is considered to be a form of deception however mild.

If Yes, please

- (a) Explain how and why it is to be used and how the participants will be 'debriefed' following their participation in the project.
- (b) Attach a copy of the debriefing sheet prepared for use by the researcher or for distribution to the participants after their participation in the project or after the completion of the project.

16. WILL INFORMATION ABOUT THE SUBJECTS BE OBTAINED FROM THIRD PARTIES? **Yes/No**

This includes 'snowball' recruitment and also the accessing of potential participants via a third party.

In general third party contact information should not be given directly to the researcher – participants should contact the researcher and/or agree to be contacted.

If Yes, please state:

- (a) The identity of the third party or parties.
- (b) Why such information is needed.
- (c) Whether appropriate consents for access to such information have been or will be obtained.
- (d) Whether the use of such data in your research project needs the consent of the participants.

NOTE: It may happen that by virtue of your job, you have right of access to information concerning the participants. Such information may have been given by the participants for a particular purpose or collated by yourself or colleagues in the normal course of your job. The use of such information for a quite different purpose (i.e., a research project culminating in some form of report) may well require that potential participants at least be informed that their agreement to participate may involve such use. The Information Privacy Principles should be consulted for guidance in this area.

F DATA STORAGE AND FUTURE USE**17 HOW WILL THE DATA BE STORED?**

- (a) Provide details of Where will the data with identifying information be securely stored?
- (b) Provide details of Where will the data with no identifying information be securely stored?
NOTE: All storage facilities should be locked and should be in rooms which can be locked.
- (c) Who, apart from the researcher and their supervisor (where applicable) will have authorised access to the data?
Note: Research Assistants and Transcribers need their own confidentiality forms and their participation needs to be made known to participants.
- (d) What will be done to ensure that unauthorised persons do not have access to the data?
- (e) What will happen to the raw data at the end of the project?
NOTE: up to MA level data is kept for 5 years and then destroyed; for above MA and staff research, it is normal practice to keep for 10 years and then destroyed. Participants need to be informed of and consent to what is decided.

18 WHAT PLANS DO YOU HAVE FOR PUBLICATION OF THE DATA?

NOTE: Masters thesis and PhDs are public documents via the UC library database Also, participants should be offered summary of results

19 ARE THERE PLANS FOR FUTURE USE OF THE DATA BEYOND THOSE ALREADY DESCRIBED?**Yes/No**

If Yes, please describe the future use.

NOTE: It may be the case that such future use should properly involve the production at an appropriate later date of additional information sheets and/or consent forms prior to such use. In that case, copies of those additional documents should be sent to the Human Ethics Committee, along with a covering letter referring to the present project, for HEC approval.