# Auckland University of Technology Ethics Committee (AUTEC)

# EA1

For AUTEC Secretariat Use only

\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_

## Application for Ethics Approval by AUTEC

## Notes about Completion

* Responses should use clear everyday language with appropriate definitions being provided should the use of technical or academic jargon be necessary.
* The information in this application needs to be clearly stated and to contain sufficient details to enable AUTEC to make an informed decision about the ethical quality of the research.
* AUTEC reserves the right not to consider applications that are incomplete or inadequate. Please do not alter the formatting or numbering of the form in any way or remove any of the help text.
* Comprehensive information about ethics approval and what may be required is available online at <http://aut.ac.nz/researchethics>
* The information provided in this application will be used for the purposes of granting ethics approval. It may also be provided to the Graduate Research School, the Research and Innovation Office, or the University’s insurers for purposes relating to AUT’s interests.
* The Form is focussed around AUTEC’s ethical principles, which are in accordance with the *Guidelines for the approval of ethics committees* in New Zealand.

### Project Information

#### What is the title of the research?

If you will be using a different title in documents to that being used as your working title, please provide both, clearly indicating which title will be used for what purpose.

Click or tap here to enter text.

#### Is this application for research that is being undertaken in stages? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer A.2.1 and the following sections, otherwise please answer A.3 and continue from there.

##### Does this application cover all the stages of the research? [ ]  Yes [ ]  No

If the answer is ‘No’ please provide details here of which stages are being covered by this application, otherwise please answer A.3 and continue from there.

Click here to enter text.

#### Who is the applicant?

When the research is part of the requirements for a qualification at AUT, then the applicant is always the primary supervisor. Otherwise, the applicant is the researcher primarily responsible for the research, to whom all enquiries and correspondence relating to this application will be addressed.

Click here to enter text.

#### Further information about the applicant.

##### In which faculty, directorate, or research centre is the applicant located?

Click here to enter text.

##### What are the applicant’s qualifications?

Click here to enter text.

##### What is the applicant’s email address?

An email address at which the applicant can be contacted is essential.

Click here to enter text.

##### At which telephone numbers can the applicant be contacted during the day?

Click here to enter text.

#### Research Instruments

##### Which of the following does the research use:

[ ]  a written or electronic questionnaire or survey [ ]  focus groups [ ]  interviews

[ ]  observation [ ]  participant observation [ ]  ethnography [ ]  photographs

[ ]  videos [ ]  other visual recordings [ ]  a creative, artistic, or design process

[ ]  performance tests

[ ]  some other research instrument (please specify)

Click here to enter text.

Please attach to this application form all the relevant research protocols. These may include: Indicative questions (for interviews or focus groups); a copy of the finalised questionnaire or survey in the format that it will be presented to participants (for a written or electronic questionnaire or survey); a protocol indicating how the data will be recorded (e.g. audiotape, videotape, note-taking) for focus groups or interviews (Note: when focus groups are being recorded, you will need to make sure there is provision for explicit consent on the Consent Form and attach to this Application Form examples of indicative questions or the full focus group schedule. Please note that there are specific confidentiality issues associated with focus groups that need to be addressed); a copy of the observation protocol that will be used (for observations); full information about the use of visual recordings of any sort, including appropriate protocols and consent processes; protocols for any creative, artistic, or design process; a copy of the protocols for the instruments and the instruments that will be used to record results if you will use some other research instrument.

##### Who will be transcribing or recording the data?

If someone other than the applicant or primary researcher will be transcribing the interview or focus group records or taking the notes, you will need to provide a confidentiality agreement with this Application Form.

Click here to enter text.

#### Please provide a brief plain English summary of the research (300 words maximum).

Please provide a simple response to each of these three questions: What are you trying to find out? Who are you wanting to involve? and What would you like them to do for you?

Click here to enter text.

####  Additional Research Information

##### Is this research an intervention study? [ ]  Yes [ ]  No

An Intervention Study is defined in NEAC’s [National Ethical Standards for Health and Disability Research and Quality Improvement](https://neac.health.govt.nz/publications-and-resources/neac-publications/national-ethical-standards-health-and-disability). as “A study in which an investigator controls and studies an intervention(s) provided to participants for the purpose of adding to knowledge of the health effects of that intervention(s). The term ‘intervention study’ is often used interchangeably with ‘experimental study’. Many intervention studies are clinical trials.” (p.247)

##### Is this Health and Disability Research? [ ]  Yes [ ]  No

Broadly speaking, health and disability research should:

* aim to answer a question or solve a problem and therefore generate new knowledge to prevent, identify and treat illness and disease
* have the ultimate purpose of maintaining and improving people’s health – in the sense of a state of physical, mental and spiritual wellbeing, rather than simply the absence of disease or infirmity
* support disabled people to be included, participate more, exercise choice and control, and be more independent
* address health and disability disparities
* contribute to whānau ora.

This description is necessarily broad; we acknowledge that people’s health is influenced by a much wider range of social factors than their health care. (NEAC’s [National Ethical Standards for Health and Disability Research and Quality Improvement](https://neac.health.govt.nz/publications-and-resources/neac-publications/national-ethical-standards-health-and-disability). p.28)

##### Does this research involve people in their capacity as consumers of health or disability support services, or in their capacity as relatives or caregivers of consumers of health or disability support services, or as volunteers in clinical trials (including, for the avoidance of doubt, bioequivalence and bioavailability studies)? [ ]  Yes [ ]  No

### The Ethical Principle of Research Adequacy

AUTEC recognises that different research paradigms may inform the conception and design of projects. It adopts the following minimal criteria of adequacy: the project must have clear research goals; its design must make it possible to meet those goals; and the project should not be trivial but should potentially contribute to the advancement of knowledge to an extent that warrants any cost or risk to participants.

#### Is the applicant the person doing most of the research (the primary researcher)? [ ]  Yes [ ]  No

If the answer is ‘No’ please answer B.1.1 and the following sections, otherwise please answer B.2 and continue from there.

##### What is the name of the primary researcher if it is someone other than the applicant?

Click here to enter text.

##### What are the primary researcher’s completed qualifications?

Click here to enter text.

##### What is the primary researcher’s email address?

An email address at which the primary researcher can be contacted is essential.

Click here to enter text.

##### At which telephone numbers can the primary researcher be contacted during the day?

Click here to enter text.

#### Is the primary researcher

[ ]  an AUT staff member [ ]  an AUT student

If the primary researcher is an AUT staff member, please answer B.2.1 and the following sections, otherwise please answer B.3 and continue from there.

##### In which faculty, directorate, or research centre is the primary researcher employed?

If the response to this section is the same as that already given to section A.4.1 above, please skip this section and go to section B.2.2.

Click here to enter text.

##### In which school or department is the primary researcher employed?

Click here to enter text.

#### When the primary researcher is a student:

##### What is their Student ID Number?

Click here to enter text.

##### In which faculty are they enrolled?

Click here to enter text.

##### In which school, department, or Research Centre are they enrolled?

Click here to enter text.

#### What is the primary researcher’s experience or expertise in this area of research?

Where the primary researcher is a student at AUT, please identify the applicant’s experience or expertise in this area of research as well.

Click here to enter text.

#### Who is in charge of data collection?

Click here to enter text.

#### Who will interact with the participants?

Click here to enter text.

#### Is this research being undertaken as part of a qualification? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer B.7.1 and the following sections, otherwise please answer B.8 and continue from there.

##### What is the name of the qualification?

Click here to enter text.

##### In which institution will the qualification be undertaken?

Click here to enter text.

#### Details of Other Researchers or Investigators

##### Will any other people be involved as researchers, co- investigators, or supervisors? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer B.8.1.1 and the following sections, otherwise please answer B.8.2 and continue from there.

###### What are the names of any other people involved as researchers, investigators, or supervisors?

Click here to enter text.

###### Where do they work?

Click here to enter text.

###### What will their roles be in the research?

Click here to enter text.

###### What are their completed qualifications?

Click here to enter text.

##### Will any research organisation or other organisation be involved in the research? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer B.8.2.1 and the following sections, otherwise please answer B.9 and continue from there.

###### What are the names of the organisations?

Click here to enter text.

###### Where are they located?

Click here to enter text.

###### What will their roles be in the research?

Click here to enter text.

#### Why are you doing this research and what is its aim and background?

Please provide the key outcomes or research questions and an academic rationale with sufficient information, including relevant references, to place the project in perspective and to allow the project's significance to be assessed.

Click here to enter text.

#### What are the potential benefits of this research to the participants, the researcher, and the wider community?

Click here to enter text.

#### What are the theoretical frameworks or methodological approaches being used?

Click here to enter text.

#### How will data be gathered and processed?

Please provide your data collection protocols, describing step by step how you will be interacting with participants when collecting data.

Click here to enter text.

#### How will the data be analysed?

Please provide the statistical (for quantitative research) or methodological (for qualitative or other research) justification for analysing the data in this way.

Click here to enter text.

#### Has any peer review taken place? [ ]  Yes [ ]  No

If your answer is ‘Yes’, please specify and provide evidence e.g. a letter of confirmation.

[ ]  AUT Competitive Grant [ ]  External Competitive Research Grant

[ ]  PGR1 [ ]  PGR2 [ ]  PGR9 [ ]  Independent Peer Review\*

\*Optional exemplars for evidencing peer review are available from the Ministry of Health (HDEC) website (<http://ethics.health.govt.nz/>) or from the Forms section of the Research Ethics website (<http://aut.ac.nz/researchethics>)

### General Project Details

#### Likely Research Output

##### What are the likely outputs of this research?

[ ]  a thesis [ ]  a dissertation [ ]  a research paper [ ]  a journal article

[ ]  a book [ ]  conference paper [ ]  a documentary [ ]  an exhibition

[ ]  a film [ ]  some other artwork [ ]  other academic publications or presentations

[ ]  Some other output, please specify

Click here to enter text.

#### Research Location and Duration

##### In which countries and cities/localities will the data collection occur?

Click here to enter text.

###### Exactly where will any face to face data collection occur?

If face to face data collection will occur in participants’ homes or similarly private spaces, then a Researcher Safety Protocol needs to be provided with this application.

Click here to enter text.

##### In which countries and cities/localities will the data analysis occur?

Click here to enter text.

##### When is the data collection scheduled to commence?

Click here to enter text.

#### Research Participants

##### Who are the participants?

Click here to enter text.

##### How many participants are being recruited for this research?

If you are unsure, please provide an indicative range.

Click here to enter text.

##### What criteria will be used to choose who to invite as participants?

Click here to enter text.

###### How will you select participants from those recruited if more people than you need for the study agree to participate?

Click here to enter text.

##### Will any people be excluded from participating in the study? [ ]  Yes [ ]  No

Exclusion criteria apply only to potential participants who meet the inclusion criteria. An exclusion criterion is any characteristic that ought to disqualify any potential participant from recruitment into the study. Consider exclusion criteria when there are heightened risks due to power differences in the relationship, recent injury, or other characteristics that might place potential participants at unreasonable risk of harms.

If the answer to this question is ‘Yes’ please answer C.3.4.1 and the following sections, otherwise please answer C.3.5 and continue from there.

###### What criteria will be used to exclude people from the study?

Click here to enter text.

###### Why is this exclusion necessary for this study?

Click here to enter text.

##### Recruitment of participants.

Please describe in detail the recruitment processes that will be used. If you will be recruiting by advertisement or email, please attach a copy to this Application Form

###### How will the initial contact with potential participants occur?

Click here to enter text.

###### How will the contact details of potential participants be collected and by whom?

Click here to enter text.

###### How will potential participants be invited to participate?

Click here to enter text.

###### How much time will potential participants have to consider the invitation?

Click here to enter text.

###### How will potential participants respond to the invitation?

Click here to enter text.

###### How will potential participants give consent?

Click here to enter text.

###### How and when will the inclusion criteria and exclusion criteria given in sections C.3.2 and C.3.3 be applied?

Click here to enter text.

###### Will there be any follow up invitations for potential participants?

Click here to enter text.

### Partnership, Participation and Protection

#### How does the design and practice of this research implement the principle of Partnership in the interaction between the researcher and other participants?

How are the researcher and the participants working together? How will your research design and practice encourage a mutual respect and benefit and participant autonomy and ownership? How will you ensure that participants and researchers will act honourably and with good faith towards each other? Are the outcomes designed to benefit the participants and/or their social or cultural group? How will the information and knowledge provided by the participants be acknowledged?

Click here to enter text.

#### How does the design and practice of this research implement the principle of Participation in the interaction between the researcher and other participants?

What is the actual role of participants in your research project? Will participants be asked to inform or influence the nature of the research, its aims, or its methodology? Will participants be involved in conducting the research or is their principal involvement one of sharing information or data? Do participants have a formal role as stakeholders e.g. as the funders and/or beneficiaries of the research? What role will participants have in the research outputs (e.g. will they be asked to approve transcripts or drafts)?

Click here to enter text.

#### How does the design and practice of this research implement the principle of Protection in the interaction between the researcher and other participants?

How are the researcher and the participants protecting each other? How will you actively protect participants from deceit, harm and coercion through the design and practice of your research? How will the privacy of participants and researchers be protected? How will any power imbalances inherent in the relationships between the participants and researchers be managed? How will any cultural or other diversity be respected?

Click here to enter text.

### Social and Cultural Sensitivity (including the obligations of the Treaty of Waitangi)

#### What familiarity does the researcher have with the social and cultural context of the participants?

Click here to enter text.

#### What consultation has occurred?

Research procedures should be appropriate to the participants. Researchers have a responsibility to inform themselves of, and take the steps necessary to respect the values, practices, and beliefs of the cultures and social groups of all participants. This usually requires consultation or discussion with appropriate people or groups to ensure that the language and research approaches being used are relevant and effective. Consultation should begin as early as possible when designing the project and should continue throughout its duration.

All researchers are encouraged to make themselves familiar with Te Ara Tika: Guidelines for Maori Research Ethics: A framework for researchers and ethics committee members which is able to be accessed through the Research Ethics website. Researchers may also find Te Kaahui Maangai a directory of Iwi and Maaori organisations to be helpful. This may be accessed via the Te Puni Kookiri website (http://www.tkm.govt.nz/). As well as these documents, the Health Research Council has published Pacific Health Research Guidelines, and Guidelines on research involving children. (see <http://www.hrc.govt.nz>). There are also guidelines by various organisations about researching with other populations that researchers will find helpful.

Click here to enter text.

##### With whom has the consultation occurred?

Please provide written evidence that the consultation has occurred.

Click here to enter text.

##### How has this consultation affected the design and practice of this research?

Click here to enter text.

#### Does this research target Māori participants? [ ]  Yes [ ]  No

All researchers are encouraged to make themselves familiar with [Te Ara Tika: Guidelines for Maori Research Ethics: A framework for researchers and ethics committee members](https://www.hrc.govt.nz/sites/default/files/2019-06/Resource%20Library%20PDF%20-%20Te%20Ara%20Tika%20Guidelines%20for%20Maori%20Research%20Ethics_0.pdf)

If your answer is ‘No’, please go to section E.4 and continue from there. If you answered ‘Yes’, please answer the next question.

##### Which iwi or hapu are involved?

Click here to enter text.

#### Does this research target participants of particular cultures or social groups? [ ]  Yes [ ]  No

*AUTEC defines the phrase 'specific cultures or social groups' broadly. In section 2.5 of* Applying for Ethics Approval: Guidelines and Procedures *it uses the examples of Chinese mothers and paraplegics. This is to identify their distinctiveness, the first as a cultural group, the second as a social group. Other examples of cultural groups may be Korean students, Samoan husbands, Cook Islanders etc., while other examples of social groups may be nurse aides, accountants, rugby players, rough sleepers (homeless people who sleep in public places) etc.* Please refer to Section 2.5 of AUTEC’s Applying for Ethics Approval: Guidelines and Procedures (accessible in the Ethics Knowledge Base online via <http://www.aut.ac.nz/about/ethics>) and to the relevant Frequently Asked Questions section in the Ethics Knowledge Base.

***If your answer is ‘No’, please go to section E.5 and continue from there. If you answered ‘Yes’, please answer the next question.***

##### Which cultures or social groups are involved?

Click here to enter text.

#### Does this research focus on an area of research that involves Treaty obligations? [ ]  Yes [ ]  No

All researchers are encouraged to make themselves familiar with Te Ara Tika: Guidelines for Maori Research Ethics: A framework for researchers and ethics committee members.

***If your answer is ‘No’, please go to section E.6 and continue from there. If you answered ‘Yes’, please answer the next question.***

##### Which treaty obligations are involved?

Click here to enter text.

#### Will the findings of this study be of particular interest to specific culturesor social groups? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer E.6.1 and the following sections, otherwise please answer F.1 and continue from there.

##### To which iwi, hapū, culture or social groups will the findings be of interest?

Click here to enter text.

##### How will the findings be made available to these groups?

Click here to enter text.

### Respect for the Vulnerability of Some Participants

“Vulnerable persons are those who are relatively (or absolutely) incapable of protecting their own interests. More formally, they may have insufficient power, intelligence, education, resources, strength, or other needed attributes to protect their own interests. Individuals whose willingness to volunteer in a research study may be unduly influenced by the expectation, whether justified or not, of benefits associated with participation, or of a retaliatory response from senior members of a hierarchy in case of refusal to participate may also be considered vulnerable.” (Standards and Operational Guidance for Ethics Review of Health-Related Research with Human Participants, World Health Organisation).

#### Will your research involve any of the following groups of participants? [ ]  Yes [ ]  No

If your research involves any of these groups of participants, please clearly indicate which ones and then answer F.2 and the following section, otherwise please answer G.1 and continue from there.

[ ]  people unable to give informed consent? [ ]  your (or your supervisor’s) own students?

[ ]  preschool children? [ ]  children aged between five and sixteen years?

[ ]  legal minors aged between sixteen and twenty years?

[ ]  People lacking the mental capacity for consent?

[ ]  people in a dependent situation (e.g. people with a disability, or residents of a hospital, nursing home or prison or patients highly dependent on medical care)?

[ ]  people who are vulnerable for some other reason (e.g. the elderly, persons who have suffered abuse, persons who are not competent in English, new immigrants)? – please specify

Click here to enter text.

#### How is respect for the vulnerability of these participants reflected in the design and practice of your research?

Click here to enter text.

#### What consultation has occurred to ensure that this will be effective?

Please provide evidence of the consultation that has occurred.

Click here to enter text.

### Informed and Voluntary Consent

#### How will information about the project be given to potential participants?

A copy of all information that will be given to prospective participants is to be attached to this Application Form. If written information is to be provided to participants, you are advised to use the Information Sheet exemplar. The language in which the information is provided is to be appropriate to the potential participants and translations need to be provided when necessary.

Click here to enter text.

#### How will the consent of participants be obtained and evidenced?

AUTEC requires consent to be obtained and usually evidenced in writing. A copy of the Consent Form which will be used is to be attached to this application. If this will not be the case, please provide a justification for the alternative approach and details of the alternative consent process. Please note that consent must be obtained from any participant aged 16 years or older. Participants under 16 years of age are unable to give consent, which needs to be given by their parent or legal guardian. AUTEC requires that participants under the age of 16 assent to their participation. When the nature of the research requires it, AUTEC may also require that consent be sought from parents or legal guardians for participants aged between 16 and twenty years. For further information please refer to AUTEC’s Applying for Ethics Approval: Guidelines and Procedures.

Click here to enter text.

#### Will any of the participants have difficulty giving informed consent on their own behalf? [ ]  Yes [ ]  No

Please consider physical condition, cognitive status, age, language, legal status, or other barriers.

If the answer is ‘Yes’ please answer G.3.1 and the following sections, otherwise please answer G.4 and continue from there.

##### If participants are not competent to give fully informed consent, who will consent on their behalf?

Researchers are advised that the circumstances in which consent is legally able to be given by a person on behalf of another are very constrained. Generally speaking, only parents or legal guardians may give consent on behalf of a legal minor and only a person with an enduring power of attorney may give consent on behalf of an adult who lacks capacity.

Click here to enter text.

##### How will these participants be asked to provide assent to participation?

Whenever consent by another person is possible and legally acceptable, it is still necessary to take the wishes of the participant into account, taking into consideration any limitations they may have in understanding or communicating them.

Click here to enter text.

#### Is there a need for translation or interpreting? [ ]  Yes [ ]  No

If your answer is ‘Yes’, please provide copies of any translations with this application and any Confidentiality Agreement required for translators or interpreters.

Click or tap here to enter text.

### Respect for Rights of Privacy and Confidentiality

#### How will the researchers respect the privacy and confidentiality of participants?

Please note that anonymity and confidentiality are different. For AUTEC’s purposes, ‘Anonymity’ means that the researcher is unable to identify who the participant is in any given case. If the participants will be anonymous, please state how, otherwise, if the researcher will know who the participants are, please describe how the participants’ privacy issues and the confidentiality of their information will be managed.

Click here to enter text.

####  Will any participants be identifiable in the research outputs or findings? [ ]  Yes [ ]  No

If your answer is ‘Yes”, please answer H.2.1, otherwise please answer H.3

##### What level of confidentiality is able to be offered to participants and how will this be managed?

If the research involves small or distinctive groups of participants or procedures such as interviews conducted at the worksite, or focus groups with peers, researchers should identify the level of participant confidentiality that can be offered in the Information Sheet. If participants or groups will be identified, please state why this is appropriate, how this will happen, and how the participants will give consent.

Click here to enter text.

####  What information on the participants will be obtained from third parties?

This includes use of third parties, such as employers or professional organisations, in recruitment.

Click here to enter text.

#### How will potential participants’ contact details be obtained for the purposes of recruitment?

Click here to enter text.

#### What identifiable information on the participants will be given to third parties?

Click here to enter text.

#### Who will have access to the data during the data collection and analysis stages?

Click here to enter text.

#### Who will have access to the data after the findings have been produced?

Click here to enter text.

#### Are there any plans for the future use of the data beyond those already described? [ ]  Yes [ ]  No

The applicant's attention is drawn to the requirements of the Privacy Act 2020 (see Appendix I of AUTEC’s Applying for Ethics Approval: Guidelines and Procedures). Information may only be used for the purpose for which it was collected so if there are plans for the future use of the data, then this needs to be explained in the Information Sheets for participants. If you have answered ‘Yes’ to this question, please answer section H.8.1.1 and continue from there. If you answered ‘No’ to this question, please go to section H.9 and proceed from there.

###### If data will be stored in a database, who will have access to that information, how will it be used, for what will it be used, and how have participants consented to this?

Click here to enter text.

###### Will any contact details be stored for future use and if so, who will have access to them, how will they be used, for what will they be used, and how have participants consented to this?

Click here to enter text.

#### Where will the data be stored once the analysis is complete?

Please provide the exact storage location. AUTEC normally requires that the data be stored securely on AUT premises in a location separate from the consent forms. Please refer to the AUT Data Management Guidelines which can be found on the AUT Library website. . If you are proposing an alternative arrangement, please explain why.

Click here to enter text.

##### For how long will the data be stored after completion of analysis?

AUTEC normally requires that the data be stored securely for a minimum of six years, or ten years for health data. If you are proposing an alternative arrangement, please explain why.

Click here to enter text.

##### How will the data be destroyed?

If the data will not be destroyed, please explain why, identify how it will be safely maintained, and provide appropriate informed consent protocols.

Click here to enter text.

#### Who will have access to the Consent Forms?

Click here to enter text.

#### Where will the completed Consent Forms be stored?

Please provide the exact storage location. AUTEC normally requires that the Consent Forms be stored securely on AUT premises in a location separate from the data. If you are proposing an alternative arrangement, please explain why.

Click here to enter text.

##### For how long will the completed Consent Forms be stored?

AUTEC normally requires that the Consent Forms be stored securely for a minimum of six years, or ten years in the case of research involving health data. If you are proposing an alternative arrangement, please explain why.

Click here to enter text.

##### How will the Consent Forms be destroyed?

If the Consent Forms will not be destroyed, please explain why.

Click here to enter text.

#### Does your research involve the collection of personally identifiable and sensitive data? [ ]  Yes [ ]  No

Sensitive data can be used to identify an individual, object or location and has a risk of discrimination, harm or unwanted attention. Sensitive data potentially poses a substantial threat to those who are or who have been involved in it, especially if it is shared inappropriately, or if it falls into the wrong hands. If you have answered ‘Yes’ please identify what data is being collected and how it is sensitive and provide a Data Safety Management Protocol (see the Forms section of the Research Ethics website for a guide to drafting one). If the answer is ‘No‘, please answer H.13 and continue from there.

Click here to enter text.

#### Does your project involve the use of previously collected information or biological samples for which there was no explicit consent for this research? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer H.13.1 and the following sections, otherwise please answer H.14 and continue from there.

##### What previously collected data will be involved?

Click here to enter text.

##### Who collected the data originally?

Click here to enter text.

###### Why was the information originally collected?

Click here to enter text.

###### For what purposes was consent originally given when the information was collected?

Click here to enter text.

##### How will the data be accessed?

Click here to enter text.

#### Does your research involve the collection of information about organisational practices? [ ]  Yes [ ]  No

AUTEC applies a broad definition to the term ‘organisations’. It could include for example, businesses, hospitals or clinics, schools, or sports clubs and teams If the answer is ‘Yes’ please answer H.14.1, otherwise please answer I.1 and continue from there.

##### How will the authorisation to access the organisation or its staff for research purposes be obtained?

Click here to enter text.

##### Could disclosure of this information potentially disadvantage the oganisation or the participants? [ ]  Yes [ ]  No

If your answer is ‘Yes”, please answer H.14.2.1, otherwise please answer H.14.3

###### How will the risks associated with potential disadvantages be managed?

Click here to enter text.

##### Will the participants or anyone else in the oganisation be identified in this information? [ ]  Yes [ ]  No

If your answer is ‘Yes”, please answer H.14.3.1, otherwise please answer I.1 and continue from there.

###### How will the potential risks involved be managed?

If the research involves procedures such as interviews conducted at the worksite, or focus groups with peers, researchers should identify the level of participant confidentiality that can be offered in the Information Sheet.

Click here to enter text.

### Minimisation of risk

#### Risks to Participants

Please consider the possibility of moral, physical, psychological or emotional risks to participants, including issues of confidentiality and privacy, from the perspective of the participants, and not only from the perspective of someone familiar with the subject matter and research practices involved. Please clearly state what is likely to be an issue, how probable it is, and how this will be minimised or mitigated (e.g. participants do not need to answer a question that they find embarrassing, or they may terminate an interview, or there may be a qualified counsellor present in the interview, or the findings will be reported in a way that ensures that participants cannot be individually identified, etc.) Possible risks and their mitigation should be fully described in the Information Sheets for participants.

##### How much time will participants be required to give to the project?

Click here to enter text.

##### What level of discomfort or embarrassment may participants be likely to experience?

Click here to enter text.

##### In what ways might participants be at risk in this research?

Click here to enter text.

##### In what ways are the participants likely to experience risk or discomfort as a result of cultural, employment, financial or similar pressures?

Click here to enter text.

##### Will your project involve processes that are potentially disadvantageous to a person or group, such as the collection of information, images etc. which may expose that person/group to discrimination, criticism, or loss of privacy? [ ]  Yes [ ]  No

If your answer is ‘Yes’, please detail how these risks will be managed and how participants will be informed about them.

Click here to enter text.

##### Will your research involve collection of information about illegal behaviour(s) which could place the participants at current or future risk of criminal or civil liability or be damaging to their financial standing, employability, professional or personal relationships? [ ]  Yes [ ]  No

If your answer is ‘Yes’, please detail how these risks will be managed and how participants will be informed about them.

Click here to enter text.

##### If the participants are likely to experience any significant discomfort, embarrassment, incapacity, or psychological disturbance, please state what consideration you have given to the provision of counselling or post-interview support, at no cost to the participants, should it be required.

Adult research participants in Auckland are able to utilise counselling support from the AUT Counselling Team, otherwise you may have to consider local providers for participants who are located nationwide, or in some particular geographical area or who are children. You may discuss the potential for participant psychological impact or harm with the Head of AUT Counselling, if you require. Please check the relevant Frequently Asked Question on the research ethics website as well and ensure the appropriate wording in included in the Information Sheet when counselling opportunities need to be offered.

Click here to enter text.

##### Will any use of human remains, tissue or body fluids which does not require submission to a Health and Disability Ethics Committee occur in the research? [ ]  Yes [ ]  No

e.g. finger pricks, urine samples, etc. (please refer to section 13 of AUTEC’s Applying for Ethics Approval: Guidelines and Procedures). If your answer is yes, please provide full details of all arrangements, including details of agreements for treatment, how participants will be able to request return of their samples in accordance with right 7 (9) of the Code of Health and Disability Services Consumers' Rights, etc.

Click here to enter text.

##### Will this research involve potentially hazardous substances? [ ]  Yes [ ]  No

e.g. radioactive material, biological substances (please refer to section 15 of AUTEC’s Applying for Ethics Approval: Guidelines and Procedures and the Hazardous Substances and New Organisms Act 1996).

If the answer is ‘Yes’, please provide full details, including hazardous substance management plan.

Click here to enter text.

#### Risks to Researchers

If this project will involve interviewing participants in private dwellings, undertaking research in unfamiliar cultural contexts either in New Zealand or overseas, doing research in a place to which a travel warning applies, or going into similarly vulnerable situations, then a Researcher Safety protocol should be designed and appended to this application. This should identify simple and effective processes for keeping someone informed of the researcher’s whereabouts and provide for appropriate levels of assistance. A guide to drafting one is provided in the forms section of the [Research Ethics website](https://www.aut.ac.nz/research/researchethics).

##### Are the researchers likely to be at risk? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer I.2.1.1 and then continue, otherwise please answer I.3 and continue from there.

###### In what ways might the researchers be at risk and how will this be managed?

Click here to enter text.

#### Risks to AUT

##### Is AUT or its reputation likely to be at risk because of this research? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer I.3.1.1 and then continue, otherwise please answer I.3.2 and continue from there.

###### In what ways might AUT be at risk in this research?

Please identify how and detail the processes that will be put in place to minimise any harm.

Click here to enter text.

##### Are AUT staff and/or students likely to encounter physical hazards during this project? [ ]  Yes [ ]  No

If yes, please provide a hazard management protocol identifying how harm from these hazards will be eliminated or minimised.

Click here to enter text.

### Truthfulness and limitation of deception

#### How will feedback on or a summary of the research findings be disseminated to participants (individuals or groups)?

It is normally courteous to provide participants with a one or two page summary of the findings of the research. Please ensure that this information is included in the Information Sheet.

Click here to enter text.

#### Does your research include any deception of the participants, such as non-disclosure of aims or use of control groups, concealment, or covert observations? [ ]  Yes [ ]  No

Deception of participants in research may involve deception, concealment or covert observation. Deception of participants conflicts with the principle of informed consent, but in some areas of research it may sometimes be justified to withhold information about the purposes and procedures of the research. Researchers must make clear the precise nature and extent of any deception and why it is thought necessary. Emphasis on the need for consent does not mean that covert research can never be approved. Any departure from the standard of properly informed consent must be acceptable when measured against possible benefit to the participants and the importance of the knowledge to be gained as a result of the project or teaching session. This must be addressed in all applications. Please refer to Section 2.4 of AUTEC’s Applying for Ethics Approval: Guidelines and Procedures when considering this question.

If the answer is ‘Yes’ please answer J.2.1 and the following sections, otherwise please answer J.3 and continue from there.

##### Is deception involved?

Click here to enter text.

##### Why is this deception necessary?

Click here to enter text.

##### How will disclosure and informed consent be managed?

Click here to enter text.

#### Will this research involve use of a control group? [ ]  Yes [ ]  No o

If the answer is ‘Yes’ please answer J.3.1 and the following sections, otherwise please answer K.1 and continue from there.

##### How will the Control Group be managed?

Click here to enter text.

##### What percentage of participants will be involved in the control group?

Click here to enter text.

#####  What information about the use of a control group will be given to the participants and when?

Click here to enter text.

### Avoidance of Conflict of Interest

Researchers have a responsibility to ensure that any conflict between their responsibilities as a researcher and other duties or responsibilities they have towards participants or others is adequately managed. For example, academic staff members who propose to involve their students as participants in research need to ensure that no conflict arises between their roles as teacher and researcher, particularly in view of the dependent relationship between student and teacher, and of the need to preserve integrity in assessment processes. Likewise researchers have a responsibility to ensure that any conflict of interest between participants is adequately managed for example, managers participating in the same research as their staff.

#### What conflicts of interest are likely to arise as a consequence of the researchers’ professional, social, financial, or cultural relationships?

Click here to enter text.

#### What possibly coercive influences or power imbalances are there in the professional, social, financial, or cultural relationships between the researchers and the participants or between participants (e.g. dependent relationships such as teacher/student; parent/child; employer/employee; pastor/congregation etc.)?

Click here to enter text.

#### How will these conflicts of interest, coercive influences or power imbalances be managed through the research’s design and practice and how will any adverse effects that may arise from them be mitigated?

Click here to enter text.

#### Does your project involve payments or other financial inducements (including koha, reasonable contribution towards travel expenses or time, or entry into a modest prize draw) to participants? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer K.4.1 and the following sections, otherwise please answer K.5 and continue from there.

##### What form will the payment, inducement, or koha take?

Click here to enter text.

##### Of what value will any payment, gift or koha be?

Click here to enter text.

##### Will potential participants be informed about any payment, gift or koha as part of the recruitment process, and if so, why and how?

Click here to enter text.

#### Have any applications for financial support for this project been (or will be) made to a source external to AUT? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer K.5.1 and the following sections, otherwise please answer K.6 and continue from there.

##### What financial support for this project is being provided (or will be provided) by a source external to AUT?

Click here to enter text.

##### Who is the external funder?

Click here to enter text.

##### What is the amount of financial support involved?

Click here to enter text.

##### How is/are the funder/s involved in the design and management of the research?

Click here to enter text.

#### Have any applications been (or will be) submitted to an AUT Faculty Research Grants Committee or other AUT funding entity? [ ]  Yes [ ]  No

If the answer is ‘Yes’ please answer K.6.1 and the following sections, otherwise please answer K.7 and continue from there.

Click here to enter text.

##### What financial support for this project is being provided (or will be provided) by an AUT Faculty Research Grants Committee or other AUT funding entity?

Click here to enter text.

##### What is the amount of financial support involved?

Click here to enter text.

##### How is/are the funder/s involved in the design and management of the research?

Click here to enter text.

#### Is funding already available, or is it awaiting decision?

Click here to enter text.

#### Do the applicant or the researchers, investigators or research organisations mentioned in Part B of this application have any financial interests in the outcome of this project? [ ]  Yes [ ]  No

If the response is ‘Yes’, please provide full details about the financial interests and how any conflicts of interest are being managed, otherwise, please respond to section K.9 and continue from there.

Click here to enter text.

#### Are the participants expected to pay in any way for any services associated with this research? [ ]  Yes [ ]  No

If the response is ‘Yes’, please provide full details about the charges and describe how any benefits will balance the burdens involved as well as how any conflicts of interest are being managed. Otherwise please respond to section L.1 and continue from there.

Click here to enter text.

### Respect for Property

Researchers must ensure that processes do not violate or infringe legal or culturally determined property rights. These may include factors such as land and goods, works of art and craft, spiritual treasures and information.

#### Will this research impact upon property owned by someone other than the researcher? [ ]  Yes [ ]  Noo

If the answer is ‘Yes’ please answer L.1.1 and the following sections, otherwise please answer L.2 and continue from there.

##### How will this be managed?

Click here to enter text.

#### How do contexts to which copyright or Intellectual Property apply (e.g. research instruments, social media, virtual worlds etc.) affect this research and how will this be managed?

Particular attention should be paid to the legal and ethical dimensions of intellectual property. Care must be taken to acknowledge and reference the ideas of all contributors and others and to obtain any necessary permissions to use the intellectual property of others. Teachers and researchers are referred to AUT’s Intellectual Property Policy for further guidance.

Click here to enter text.

### References

Please include any references relating to your responses in this application in the standard format used in your discipline.

Click here to enter text.

### Checklist

Please ensure all applicable sections of this form have been completed and all appropriate documentation is attached as incomplete applications will not be considered by AUTEC.

|  |  |
| --- | --- |
| Have you discussed this application with your AUTEC Faculty Representative, the Executive Secretary, or the Ethics Coordinator? | [ ]  Yes [ ]  No |
| Is this application related to an earlier ethics application? If yes, please provide the application number of the earlier application. | [ ]  Yes [ ]  No |
|  |
| Are you seeking ethics approval from another ethics committee for this research? If yes, please identify the other committee. | [ ]  Yes [ ]  No |
|  |
| Section A |  | Project information provided |  |[ ]
| Section B |  | Research Adequacy information provided |  |[ ]
| Section C |  | Project details provided |  |[ ]
| Section D |  | Three Principles information provided |  |[ ]
| Section E |  | Social and Cultural Sensitivity information provided |  |[ ]
| Section F |  | Vulnerability information provided |  |[ ]
| Section G |  | Consent information provided |  |[ ]
| Section H |  | Privacy information provided |  |[ ]
| Section I |  | Risk information provided |  |[ ]
| Section J |  | Truthfulness information provided |  |[ ]
| Section K |  | Conflict of Interest information provided |  |[ ]
| Section L |  | Respect for Property information provided |  |[ ]
| Section M |  | References provided |  |[ ]
| Section N |  | Checklists completed |  |[ ]
| Section O.1 and 2 |  | Applicant and student declarations signed and dated |  |[ ]
| Section O.3 |  | Authorising signature provided |  |[ ]
| Spelling and Grammar Check (please note that a high standard of spelling and grammar is required in documents that are issued with AUTEC approval) |
| Attached Documents (where applicable) |
| Participant Information Sheet(s) |  |[ ]
| Consent Form(s) |  |[ ]
| Questionnaire(s) |  |[ ]
| Indicative Questions for Interviews or Focus Groups |  |[ ]
| Observation Protocols |  |[ ]
| Recording Protocols for Tests |  |[ ]
| Advertisement(s) |  |[ ]
| Researcher Safety Protocol |  |[ ]
| Hazardous Substance Management Plan |  |[ ]
| Any Confidentiality Agreement(s) |  |[ ]
| Any translations that are needed |  |[ ]
| Other Documentation |  |[ ]

### Declarations

#### Declaration by Applicant

* The information in this application is complete and accurate to the best of my knowledge and belief. I take full responsibility for it.
* In conducting this study, I agree to abide by all applicable laws and regulations, and established ethical standards contained in AUTEC’s Applying for Ethics Approval: Guidelines and Procedures, the [Auckland University of Technology Code of Conduct for Research](https://www.aut.ac.nz/__data/assets/pdf_file/0006/274371/AUT-CODE-OF-CONDUCT-FOR-RESEARCH-2019.pdf),. and internationally recognised codes of ethics.
* I accept responsibility for ensuring that management approval for access for this research from any institution or organisation at which it will be conducted will be obtained. When the research is undertaken outside New Zealand, I agree to ensure that all ethical, legal, and locality obligations or requirements for those jurisdictions are met.
* I will continue to comply with AUTEC’s Applying for Ethics Approval: Guidelines and Procedures, including its requirements for the submission of annual progress reports, amendments to the research protocols before they are used, and completion reports.
* I understand that brief details of this application may be made publicly available and may also be provided to the Graduate Research School, the Research and Innovation Office, or the University’s insurers for purposes relating to AUT’s interests.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Signature |  | Date |

#### Declaration by Student Researcher

* The information in this application is complete and accurate to the best of my knowledge and belief.
* In conducting this study, I agree to abide by all applicable laws and regulations, and established ethical standards contained in AUTEC’s Applying for Ethics Approval: Guidelines and Procedures, the [Auckland University of Technology Code of Conduct for Research](https://www.aut.ac.nz/__data/assets/pdf_file/0006/274371/AUT-CODE-OF-CONDUCT-FOR-RESEARCH-2019.pdf),. and internationally recognised codes of ethics.
* I will continue to comply with AUTEC’s Applying for Ethics Approval: Guidelines and Procedures, including its requirements for the submission of annual progress reports, amendments to the research protocols before they are used, and completion reports.
* I understand that brief details of this application may be made publicly available and may also be provided to the Graduate Research School, the Research and Innovation Office, or the University’s insurers for purposes relating to AUT’s interests.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Signature |  | Date |

#### Authorisation by Head of Faculty/School/Programme/Centre

* The information in this application is complete and accurate to the best of my knowledge and belief.
* In authorising this study, I declare that the applicant is adequately qualified to undertake or supervise this research and that to the best of my knowledge and belief adequate resources are available for this research and all appropriate local research governance issues have been addressed.
* I declare that the applicant will ensure that management approval for access for this research from any institution or organisation at which it will be conducted will be obtained. When the research is undertaken outside New Zealand, I declare that the applicant will ensure that all ethical, legal, and locality obligations or requirements for those jurisdictions are met.
* I understand that brief details of this application may be made publicly available and may also be provided to the Graduate Research School, the Research and Innovation Office, or the University’s insurers for purposes relating to AUT’s interests.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Signature |  | Date |
| Name |  |  |

**Notes for submitting the completed application for review by AUTEC**

* Please ensure that you are using the current version of this form before submitting your application.
* Please ensure that all questions on the form have been answered and that no part of the form has been deleted.
* Please provide
	+ A single .pdf file containing the application and all related documents emailed to ethics@aut.ac.nz. The application and documents must be scanned into a single .pdf file with the EA form at the beginning and the other documents in the order stated in the form. The application must have all the required signatures.
* Applications should be submitted once they have been finalised. For a particular meeting it needs to have been received in the AUTEC Secretariat by 4 pm on the relevant agenda closing day [AUTEC’s meeting dates are listed on the website at <http://www.aut.ac.nz/researchethics>]. As many applications are reviewed under delegated authority, applicants are encouraged to submit their applications once they are ready rather than waiting for the closing date.
* Late applications will be placed on the agenda for the following meeting.

**MINIMAL RISK CHECKLIST**

Your application may be eligible for delegated review if it poses no more than minimal risk of harm to participants. To assist AUTEC’s Secretariat to screen the application for assignment to the correct review pathway, please complete the following checklist:

Does the research involve any of the following?

**ANONYMOUS SURVEY ASSESSMENT**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Yes | No |
| 1 | The collection of anonymous and non-sensitive survey/questionnaire data only.*(If YES is checked, the application may receive an expedited review if the data is from adults and poses no foreseeable risks to participants OR where any foreseeable risk is no more than inconvenience – no further questions on this checklist need be answered.)* |[ ] [ ]
|  | **MINIMAL RISK ASSESSMENT[[1]](#footnote-1)** |  |  |
|  |  | Yes | No |
| 2 | Participants who are unable to give informed consent (including children under 16 years old), or who are particularly vulnerable or in a dependent situation, (e.g. people with learning difficulties, over-researched groups, people in care facilities, or patients highly dependent on medical care)? |[ ] [ ]
| 3 | A reasonable expectation of causing participants physical pain beyond mild discomfort, or that experienced by the participants on an every-day basis, or any emotional discomfort, embarrassment, or psychological or spiritual harm, (e.g. asking participants to recall upsetting events)? |[ ] [ ]
| 4 | Research processes which may elicit information about any participant’s involvement in illegal activities, or activities that represent a risk to themselves or others, (e.g. drug use or professional misconduct)? |[ ] [ ]
| 5 | Collection of any human tissue, blood or other samples, or invasive or intrusive physical examination or testing? |[ ] [ ]
| 6 | The administration of any drugs, medicines, supplements, placebo or non-food substances? |[ ] [ ]
| 7 | An intervention of any form of exercise, or other physical regime that is different to the participants’ normal activities (e.g. dietary, sleep)? |[ ] [ ]
| 8 | Participants who are being asked to give information of a personal nature about their colleagues, employers, teachers, or coaches (or any other person who is in a power relationship with them), and where the identity of participants or their organisation may be inferred? |[ ] [ ]
| 9 | Any situation which may put the researcher at risk of harm? (E.g. gathering data in private homes)? |[ ] [ ]
| 10 | The use of previously collected biological samples or identifiable personal information for which there was no explicit consent for this research? |[ ] [ ]
| 11 | Any matters of commercially sensitive information? |[ ] [ ]
| 12 | Any financial interest in the outcome of the research by any member(s) of the research team? |[ ] [ ]
| 13 | People who are not giving consent to be part of the study, or the use of any deception, concealment or covert observations in non-public places, including social media? |[ ] [ ]
| 14 | Participants who are in a dependent or unequal relationship with any member(s) of the research team (e.g. where the researcher is a lecturer/ teacher/ health care provider/ coach/ employer/ manager/ or relative etc.) of any of the participants? |[ ] [ ]

1. If “No” is checked to all items 2-14, the application’s status as Minimal Risk will be checked by the Secretariat, and may be forwarded to expedited review. Applications with more than Minimal Risk (any one “yes” to questions 2-14 above), and applications where the checklist is not completed will appear on AUTEC’s next agenda. [↑](#footnote-ref-1)