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For AUTEC Secretariat Use only

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# Application for Ethics Approval

## Auckland University of Technology Ethics Committee (AUTEC)

* Email a single PDF file containing the application and all related documents to ethics@aut.ac.nz. The application must have all the required signatures.
* Applications submitted to the AUTEC Secretariat by 4 pm on the agenda closing date will be reviewed at the next AUTEC meeting. Late applications will be placed on the agenda for the following meeting.
* If there is a section you do not need to answer due to the nature of your study, you may collapse it by clicking on the blue triangle beside the heading to shorten the form (pictured, right).

|  |
| --- |
|  |

#### Project Title: (WRITE YOUR TITLE HERE)

If you will be using a different title in documents or otherwise have a working title, provide both, clearly indicating which title will be used for what purpose.

**Who is the applicant?**

If the project is student research, the student’s AUT primary supervisor is the applicant. Otherwise, the applicant is the primary researcher responsible for the research.

Name:

Position:

Faculty:

Email:

Project relevant expertise:

**Please complete the following checklist:**

|  |  |  |
| --- | --- | --- |
| **ANONYMOUS SURVEY ASSESSMENT** | Yes | No |
| * The collection of **anonymous** and non-sensitive survey/questionnaire data only.

(If YES, and the data is from adults or presents no foreseeable risks to participants beyond inconvenience– no further questions on this checklist need be answered). | [ ]  | [ ]  |
|  |  |  |
| **MINIMAL RISK ASSESSMENT[[1]](#footnote-2)** | Yes | No |
| * Participants that may be unable to provide voluntary informed consent or considered vulnerable at the time of this research?
 | [ ]  | [ ]  |
| * A reasonable potential for causing participants physical pain, emotional discomfort, embarrassment, or psychological distress (e.g. asking participants to recall upsetting events)?
 | [ ]  | [ ]  |
| * Collection of 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)?
 | [ ]  | [ ]  |
| * Collection of any human tissue, blood or other samples, or invasive or intrusive physical examination or testing?
 | [ ]  | [ ]  |
| * The administration of an intervention, any drugs, medicines, supplements, placebo or non-food substances?
 | [ ]  | [ ]  |
| * 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?
 | [ ]  | [ ]  |
| * Any situation which may put the researcher at risk of harm? (E.g. gathering data in private homes)?
 | [ ]  | [ ]  |
| * The use of previously collected biological samples or identifiable personal information for which there was no explicit consent for this research?
 | [ ]  | [ ]  |
| * Any matters of commercially sensitive information?
 | [ ]  | [ ]  |
| * Any financial interest in the outcome of the research by any member(s) of the research team?
 | [ ]  | [ ]  |
| * 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?
 | [ ]  | [ ]  |
| * 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?
 | [ ]  |[ ]

Project Team and Details

#### Who is the primary researcher?

[ ] [ ]  an AUT staff member? [ ]  an AUT student? [ ]  another person?

If the primary researcher is external to AUT, state the name of the organisation they belong to.

Name:

Position:

Student ID or Organisation Name:

Faculty:

Email:

Project-relevant expertise:

#### Please take this opportunity to explain any context as to why you are doing this research.

This could include your world view, lived experience or relevant affiliation(s). Please share information about the research team, including your collaborating partners and research context. Include anything that the committee should know and understand when reviewing this application.

#### Is this research being undertaken as part of a qualification?

[ ]  Yes [ ]  No ☐ Yes and it is part of a summer studentship

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

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

#### List all members of the research team and briefly describe their roles within the research project (eg, co-investigator, research assistant, community partner, etc).

Repeat the below as needed

Name:

Role:

Organisation:

#### List any organisations involved in this research, stating their location and role they will have.

Repeat the below as needed.

Name of organisation:

Location:

Role:

#### Is this application for research that is being undertaken in phases?

[ ]  Yes [ ]  No

If ‘Yes’ explain, describe which phase(s) this application is for and the AUTEC approval number for related applications.

##### Is this application for a preliminary phase (such as a pilot study) of your study to inform future phases.

[ ] [ ] If you are a PhD student and this study will occur prior to completion of the Confirmation of Candidature, provide peer review to support this stage. (Read page 67 of the [PG Handbook](https://www.aut.ac.nz/__data/assets/pdf_file/0003/796224/AUT-Postgraduate-Handbook-V1.0-January-2025-Final.pdf) for more context).

[ ]  Yes [ ]  No

|  |
| --- |
| Has any peer review taken place? [ ]  Yes [ ]  NoIf ‘Yes’, specify below and provide evidence e.g. a letter of confirmation.[ ]  AUT Competitive Grant [ ]  External Competitive Research Grant[ ]  Confirmation of Candidature [ ]  Admission to Doctoral Programme [ ]  Postgraduate Research Proposal [ ]  Independent Peer Review\*\*[Optional template for peer review](https://www.aut.ac.nz/__data/assets/word_doc/0018/1008180/Peer-Review-Template.docx)  |

Research Summary

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

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

[ ]  interviews [ ]  observation

[ ]  participant observation [ ]  ethnography

[ ]  photographs [ ]  videos

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

[ ]  some other research instrument (please specify) [ ]  performance tests

[ ]  performance tests

Include final copies of all the relevant research tools, such as indicative questions (for interviews or focus groups); a copy of the finalised questionnaire or survey in the format that to participants will see it (for a written or electronic questionnaire or survey); assessment tools; observation protocol etc.

##### Is this research an intervention study?

[ ]  Yes [ ]  No

An Intervention Study is defined in [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) guidelines 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)” (p.247).

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

Include answers to these questions:
1. What are you trying to find out?

2. What are the key outcomes or research questions?
3. Who are you wanting to involve?
4. What would you like them to do for you?

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

[ ]  a thesis [ ]  a dissertation [ ]  a journal article

[x]  a research paper [ ]  conference paper [x]  a book

[ ]  a documentary [ ]  an exhibition [ ]  a film

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

[ ]  Some other output, please specify

Methods and Data

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

#### Who is responsible for data collection?

If data will be collected/shared with an organisation or group external to AUT, include the [data sharing agreement](https://autuni.sharepoint.com/sites/Tuia/Research/Forms/AllItems.aspx?FolderCTID=0x0120003DC00F0AF9A84942A35CA79843C4D328&id=%2Fsites%2FTuia%2FResearch%2FResearch%2Ddata%2Dmanagement%2FData%20Sharing%20Agreements) (accessible by staff only) and [data dictionary](https://aut.ac.nz.libguides.com/ld.php?content_id=50109739).

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

If someone other than the applicant or primary researcher will be transcribing or recording data, include a [confidentiality agreement](https://www.aut.ac.nz/__data/assets/word_doc/0016/118006/Confidentiality-Agreement-exemplars-042018.docx). If AI tools will be used, disclose that here and include in the Information Sheet for participants. [AUT’s approved AI transcription tools](https://autuni.sharepoint.com/sites/Tuia/SitePages/Researchers-toolkit-transcription-tools.aspx?CT=1752710967343&OR=OWA-NT-Mail&CID=eefbf25e-c237-89f7-ed04-cc26fd6b9bbf&xsdata=MDV8MDJ8cm9ieW4ubWlubnNAYXV0LmFjLm56fDA1OTYxNWY2ZGVlMjQ4NTBiMzBjMDhkZGMzZDY0NGE2fDVlMDIyY2ExNWMwNDRmODc4ZGI3ZDU4ODcyNjI3NGUzfDF8MHw2Mzg4ODIwNDcyMTgyNzU3MTN8VW5rbm93bnxUV0ZwYkdac2IzZDhleUpGYlhCMGVVMWhjR2tpT25SeWRXVXNJbFlpT2lJd0xqQXVNREF3TUNJc0lsQWlPaUpYYVc0ek1pSXNJa0ZPSWpvaVRXRnBiQ0lzSWxkVUlqb3lmUT09fDB8fHw%3D&sdata=bFZFRXFVaHBseENWYnBnajNaWml1ZVloZ2ZWNGJnd2V3WVVCOEJ3YXhpUT0%3D&clickParams=eyJYLUFwcE5hbWUiOiJNaWNyb3NvZnQgT3V0bG9vayBXZWIgQXBwIiwiWC1BcHBWZXJzaW9uIjoiMjAyNTA3MDQwMDMuMDciLCJPUyI6IldpbmRvd3MgMTEifQ%3D%3D) can be found on TUIA.

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

Provide all data collection protocols, describing step by step how you will be interacting with participants to collect data. Alternatively append a study protocol and reference the appropriate pages to answer the following questions.

#### How will the data be analysed?

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

#### Where will the data be kept for analysis?

E.g., will this be overseas or local. If the data was collected from participants directly they should be made aware of where this location is in the information sheet.

#### Will there be face-to-face data collection?

[ ]  Yes [ ]  No

##### Where will face-to-face data collection occur?

If you are a student travelling to do your research, read the section in the [PG Handbook](https://www.aut.ac.nz/__data/assets/pdf_file/0003/796224/AUT-Postgraduate-Handbook-V1.0-January-2025-Final.pdf) on overseas data collection and travel, as well as the AUT [post graduate student travel policy](https://www.aut.ac.nz/research/postgraduate-student-support/pg-forms-policies-and-processes/forms%2C). Note that if you are recruiting participants outside of NZ you will need to organise compensation for injuries that occur as part of participation.

[ ]  Participants homes [ ]  Marae [ ]  Online

[ ]  Café or other public place [ ]  workplace [ ]  AUT campuses

[ ]  Other, please specify

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

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

#### Will data be held permanently by the journal for validation?

[ ]  Yes [ ]  No

#### Are there any plans for the future use of the data beyond those already described?

[ ]  Yes [ ]  No

Information may only be used for the purpose for which it was collected ([Privacy Act 2020](https://www.legislation.govt.nz/act/public/2020/0031/latest/LMS23223.html)). Describe plans for future use of the data and include in the Information Sheets for participants.

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

A database here being defined as a collection of data organised for rapid searching and analysis. This is not a file on a computer containing data from your study.

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

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

Data must be kept separate from consent forms and held by the supervisor where the research is for a qualification as outlined in the [Research Data Management Guidelines.](https://aut.ac.nz.libguides.com/ld.php?content_id=51223132)

[ ]  OneDrive [ ]  Filing Cabinet [ ]  SharePoint

[ ]  Iron Mountain [ ]  Teams [ ]  Network Drives

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

[ ]  6 Years [ ]  10 years (health data) ☐ other (please explain)

##### 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.

Participants

#### What are the inclusion criteria for participants in this study?

#### How many participants will be involved (of each group where relevant)?

Include statistical justification where necessary. If you are unsure, provide an approximate number.

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

#### 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 would disqualify any potential participant from recruitment into the study.

If ‘Yes’, answer D.4.1, otherwise continue from D.5.

##### What are the exclusion criteria for this study?

#### Who will interact with the participants?

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

#### Describe how potential participants will be identified and recruited.

#### Does the project involve recruitment through advertising?

If yes, attach a copy of all variations of this advertising (including online adverts e.g., social media) and discuss any permissions that you have or might need from admin or moderators.

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

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

[ ]  2 weeks ☐ other (please explain)

##### Describe if any follow up to the invitation be carried out?

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

Whakapapa (relationships), Tika (design), Manaakitanga (culture) and Mana (justice) - [Te Ara Tika](https://www.hrc.govt.nz/sites/default/files/2019-06/Resource%20Library%20PDF%20-%20Te%20Ara%20Tika%20Guidelines%20for%20Maori%20Research%20Ethics_0.pdf) in Practice.

All researchers are encouraged to become familiar with [Te Ara Tika: Guidelines for Māori 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). There are questions of relevance in Te Ara Tika that could be used as additional prompts to answer this section. The Māori ethics framework references four tikanga based principles whakapapa (relationships), tika (research design), manaakitanga (cultural and social responsibility) and mana (justice and equity).

#### Which of the following best describes your research in relation to Māori?

[ ]  Research involving Māori (continue to E.1.2) [ ]  Māori-centred research (continue to E.1.2)

[ ]  Māori-led research (continue to E.1.2)

[ ]  Research does not involve Māori (explain in E.1.1)

##### If your research does not involve Māori, explain if and how your findings may impact Māori now and in the future.

**If you are unsure how to answer, please contact the Research Ethics Senior Consultants.**

Even if your research does not involve Māori, the research findings may impact Māori in the future. This could be through researching a condition that effects Māori disproportionately or some area where there are not equitable outcomes or processes in place for Māori. Once complete, continue to E2.

##### How will Māori participate in your research project in its design, planning, and implementation?

Check all that apply.

[ ]  Māori governance group [ ]  Lead investigators

[ ]  Co-investigators [ ] Research assistants/ officers/ fellows

[ ]  Participants [ ]  Co-ordinators

[ ]  Expert advisors [ ] Other (specify):

#### Does this research aim to include participants of other (non-Māori) particular cultures or social groups?

[ ]  Yes [ ]  No

AUTEC defines 'cultures or social groups' broadly. An example of the variety considered for this question could be everything from kaimahi at AUT to immigrant families from a particular country.

If ‘No’, continue from section E.3 and there. If ‘Yes’, answer the next question.

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

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

#### How does the design and practice of this research develop, and uphold relationships consistent with the value of Whakapapa? (Te Ara Tika page 12)

What consultation has occurred, how is it appropriate and how is ongoing engagement and return of benefits considered in the study design. Provide evidence of the consultation.

#### How does the Tika (research design), take into account the views of groups in the research and work with them to produce an output that is relevant to them? (Te Ara Tika page 14)

#### What groups, (iwi, hapu, communities etc,) may be interested in the findings?

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

#### How does this study ensure justice and equity for participants and therefore uphold Mana as a core principle? (Te Ara Tika page 18)

Some things to consider are: How has transparency been prioritised and how has minimisation of harm been considered? How will relevance to the cultural or social group in this study be maintained and how will the researchers maintain integrity in their activities?

#### How is cultural sensitivity, Manaakitanga, reflected in the research design? (Te Ara Tika page 17)

Explain what cultural sensitivity is demonstrated in the study design and conduct. How will cultural safety and spiritual integrity be ensured for participants in this research?

Vulnerability

“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](https://www.who.int/publications/i/item/9789241502948)).

#### 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. If “no”, answer G.1 and continue from there.

[ ]  Adults who are unable to give informed consent ([HDC code of rights](https://www.hdc.org.nz/your-rights/about-the-code/code-of-health-and-disability-services-consumers-rights/))?

[ ]  Your (or your supervisor’s) own students?

[ ]  Children under the age of sixteen years ([UN Convention on the Rights of the Child](https://www.ohchr.org/en/instruments-mechanisms/instruments/convention-rights-child))?

[ ]  People lacking the mental capacity for consent?

[ ]  People in a dependent situation (e.g. living with a disability, living in residential care, or prison or patients highly dependent on medical care)?

[ ]  People who are vulnerable for some other reason (e.g. older adults, survivors of abuse, people who have limited proficiency in English, new immigrants, refugees)? – please specify

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

Please provide evidence of the consultation that has occurred.

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

Informed and Voluntary Consent

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

Include copies of all information that will be given to prospective participants (e.g. information sheets, instructions for participation or other documentation). AUTEC templates can be tailored to the research [Information Sheet and Consent form templates](https://www.aut.ac.nz/research/researchethics/research-ethics-applications).

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

Consent must be evidenced. Include the [Consent Form(s](https://www.aut.ac.nz/research/researchethics/research-ethics-applications)) with this application. If written or electronic consent cannot be given, please justify.

#### Will any of the participants have difficulty giving informed consent on their own behalf?

[ ]  Yes [ ]  No

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

If ‘Yes’,answer G.3.1 and the following sections, otherwise continue with G.4

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

The circumstances in which consent is legally able to be given by a person on behalf of another are **very constrained**. Only parents or legal guardians may give consent on behalf of a legal minor. For adults in interventional research who cannot consent for themselves consult the [Health and Disability Commission Code of Rights, Code 7](https://www.hdc.org.nz/your-rights/about-the-code/code-of-health-and-disability-services-consumers-rights/)

##### How will participants under the age of 16 years be asked to provide assent?

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. Ensure written material is age appropriate.

#### Will translations or interpreting services be provided or used?

[ ]  Yes [ ]  No

If ‘Yes’, include copies of translated research documents and the Confidentiality Agreement for translators or interpreters.

Deception and Disclosure of Information

#### Does your research include any deception of the participants, such as non-disclosure of aims or use of concealment, or covert observations?

[ ]  Yes [ ]  No

Deception may sometimes be justified in cases where benefit outweighs risk. Please refer to Section [2.4 of AUTEC’s Guidelines and Procedures](https://www.aut.ac.nz/research/researchethics/autec-guidelines-and-procedures/limitation-of-deception-2.4) when considering this question.

If ‘Yes’ please answer H.1.1 and the following sections. Otherwise, continue with H.2.

##### What is the deception and why is this deception necessary?

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

##### In cases where deception is used how will individual results be returned to participants?

#### Will this research involve use of a control group?

[ ]  Yes [ ]  No

If ‘Yes’ please answer H.2.1 and the following sections, otherwise continue with I.1

##### Describe how randomisation will occur?

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

##### How will the control group be otherwise managed?

Privacy and Confidentiality

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

**Anonymity and confidentiality are different**. ‘Anonymity’ means that the researcher is unable to identify who the participant is. ‘Confidentiality’ means the participant is known, but the information collected will not be disclosed in an identifiable manner. If participants will be anonymous, please state how, otherwise, if the researcher will know who the participants are, please describe how participants’ privacy and the confidentiality of their information will be managed.

####  Will any participants be identifiable in the research outputs or findings?

[ ]  Yes [ ]  No

If ‘Yes”, please answer I.2.1, otherwise continue with I.3

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

The number of participants impacts the level of confidentiality the researcher can provide, such as in a focus groups or hui, or when participants are recruited from a small pool of potential participants and only limited confidentiality. 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.

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

This includes use of third parties, (eg, employers or professional organisations), in recruitment. Please read [Section 11 of the Privacy Act](https://www.legislation.govt.nz/act/public/2020/0031/latest/LMS23318.html) to ensure that data obtained in this way is used for what it was collected for and respects the rights of the person the data came from.

#### Will any data be linked to other datasets, including the Stats New Zealand Integrated Data Infrastructure (IDI)?

#### How will potential participants’ contact details be collected or provided to the researcher?

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

#### Does your research involve the collection of information about organisational practices?

[ ]  Yes ☐ No

AUTEC applies a broad definition for ‘organisations’. It could include for example, businesses, hospitals or clinics, schools, or sports clubs and teams. If ‘Yes’ please answer I.7.1, otherwise, answer I.8 and continue from there.

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

Include an Information Sheet and Permission to Access Form for someone with organisational authority to grant access. If this study involves data then please include a data dictionary and [data sharing agreement](https://autuni.sharepoint.com/%3Aw%3A/r/sites/Tuia/_layouts/15/Doc.aspx?sourcedoc=%7BC5E436D1-1D63-42C6-A207-764DCDA1CE6C%7D&file=Data%20sharing%20agreement%20information%20sheet.docx&action=default&mobileredirect=true) with this application.

##### Could disclosure of this information potentially disadvantage the oganisation or the participants?

[ ]  Yes [ ]  No

##### Will any participants or members of the organisation be identifiable in the information by the researcher with the organisation?

[ ]  Yes [ ]  No

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

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

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

Consent Forms should be stored securely on AUT premises **in a location separate from the data**. If you are proposing an alternative arrangement, please explain why.

[ ]  OneDrive [ ]  Filing Cabinet [ ]  SharePoint

[ ]  Iron Mountain [ ]  Teams [ ]  AUT Network Drives

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

[ ]  6 Years [ ]  10 years (health data) ☐ other (please explain)

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

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

#### 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](https://aut.ac.nz.libguides.com/ld.php?content_id=51223132) potentially poses a substantial threat to those who it concerns or who have collected it, especially if the data is shared inappropriately, or if it falls into the wrong hands. [The Privacy Commission have a note](https://privacy.org.nz/assets/New-order/Your-responsibilities/Privacy-resources-for-organisations/Sensitive-Personal-Information-and-the-Privacy-Act-2020.pdf) to provide guidance on what is considered personal and sensitive data.

If ‘Yes’, identify what data is being collected and how it is sensitive. Provide a Data Safety Management Protocol. If ‘No‘, continue with I.11.

#### Does your project involve secondary use of tissue or data/information?

This would be data or tissue previously collected for a purpose other than this research or where there was no explicit consent given for research.

[ ]  Yes [ ]  No

If ‘Yes’, answer I.11.1 and the following questions, otherwise continue with J.1.

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

##### Who collected the data originally?

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

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

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

Minimisation of Risk

#### Risks to Participants

Consider the potential ethical, physical, psychological or emotional risks to participants, including issues of confidentiality and privacy, from the participants’ perspective as well as from your perspective as the researcher. Clearly state what issues are likely to arise, their probability, and how this will be minimised or mitigated. All possible risks and related mitigation strategies should be fully described in the Information Sheets for participants.

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

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

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

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

##### If the participants are likely to experience any significant discomfort, incapacity, or mental distress, as a result of participating, please state if you will be providing counselling or post-interview support (at no cost to the participant).

Adult research participants in New Zealand can access counselling support from the AUT Counselling and Mental Health team. There may be more appropriate local or specialist providers for your participants or for children. You may discuss the potential for participant psychological impact or harm with the Head of AUT Counselling and Mental Health. Please check the appropriate wording is included in the Information Sheet when counselling opportunities need to be offered. Counselling must be at no cost to the participant.

##### Will your research 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 ‘Yes’, detail how these risks will be managed and how participants will be informed.

##### 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 ‘Yes’, detail how these risks will be managed and how participants will be informed.

##### 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

For example, finger prick blood samples, urine samples, etc. ([refer to section 13 of AUTEC’s Guidelines and Procedures).](https://www.aut.ac.nz/research/researchethics/autec-guidelines-and-procedures/principles-relating-to-the-treatment-of-human-remains-13) If ‘Yes’, provide full details of all arrangements and 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.

##### Will this research involve potentially hazardous substances?

[ ]  Yes [ ]  No

For example, radioactive material, biological substances ([refer to section 15 of AUTEC’s Guidelines and Procedures](https://www.aut.ac.nz/research/researchethics/autec-guidelines-and-procedures/hazards-15) and the [Hazardous Substances and New Organisms Act 1996](https://www.legislation.govt.nz/act/public/1996/0030/latest/DLM381222.html)).

If ‘Yes’, provide full details, including hazardous substance management plan.

#### Risks to Researchers

If this research involves interviewing participants in their home or other private dwelling, 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](https://www.aut.ac.nz/s/redirect?collection=aut-ac-nz-meta-dev&url=https%3A%2F%2Fwww.aut.ac.nz%2F__data%2Fassets%2Fword_doc%2F0004%2F181597%2FResearcher-safety-protocol-guide-032019.docx&auth=8phcJG6xgIoM6gz8YEK2hg&profile=_default&rank=1&query=researcher+safety+protocol)should be included with this application.

##### Are the researchers likely to be at risk?

[ ]  Yes [ ]  No

If ‘Yes’, answer J.2.1.1 and then continue, otherwise continue with J.3 .

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

#### Risks to AUT

##### Is AUT or its reputation likely to be at risk because of this research?

[ ]  Yes [ ]  No

If ‘Yes’, answer J.3.1.1 and then continue, otherwise continue with K.1.

######  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.

##### Are AUT staff and/or students likely to encounter physical hazards during this project?

[ ]  Yes [ ]  No

If yes and you are a student, provide a [Hazard and Risk Assessment](https://www.aut.ac.nz/s/redirect?collection=aut-ac-nz-meta-dev&url=https%3A%2F%2Fwww.aut.ac.nz%2F__data%2Fassets%2Fword_doc%2F0006%2F920292%2FPostgraduate-Research-Hazards-and-Risks-Assessment-V1.0-July-2024-Final.docx&auth=UUoo9NEN%2B%2FbOlEtXLKlibw&profile=_default&rank=1&query=hazard+and+risk+assessment) and protocol identifying how harm from these hazards will be eliminated or minimised.

Conflicts 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, teaching staff who propose to involve their students as research participants 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 activity as their staff.

#### Declare any conflicts of that may occur due to the researchers’ personal, professional, social, financial, or cultural relationships?

#### Is there the potential for power imbalances to occur (either between participants and researchers or otherwise) and how will this be mitigated?

[ ]  Yes [ ]  No

Coercion could arise from relationships where there are power imbalances such as teacher/ student; parent/ child; employer/ employee; coach/ athlete etc.)

#### Does your project involve koha or payments, gifts or other financial inducements to participants?

Use the term appropriate for the participants in your study. E.g., Meaalofa instead of Koha when working with Pacific peoples.

[ ]  Yes [ ]  No

If ‘Yes’, answer K.3.1 and the following sections, otherwise continue with K.4. Refer to the [AUT Gifts, Koha and Donations Policy.](https://www.aut.ac.nz/rc/autincludes/getpolicy.php?id=130)

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

##### Of what value will any gift/token of appreciation be?

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

Where researchers are working with iwi, they should consult with the iwi regarding appropriate koha, or if iwi already have a koha framework that should be used.

#### Has (or will) funding external to AUT be sought?

[ ]  Yes [ ]  No

If ‘Yes’ please provide more details below. Include the name of the external funder in the Information Sheet.

Name of External funder:

Amount of funding:

Research Elements Funding number:

#### Where funding is commercial, has insurance sufficient to compensate participants injured during participation been arranged ([Declaration of Helsinki pt 15](https://www.wma.net/policies-post/wma-declaration-of-helsinki/))?

[ ]  Yes [ ]  No

If ‘Yes’ attach the certificate of insurance to this application.

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

#### Have any applications been (or will be) submitted to an AUT Faculty Research Grants Committee or other AUT funding entity?

[ ]  Yes [ ]  No

#### 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 ‘Yes’, provide full details about the financial interests, how any conflicts of interest are being managed and evidence of consultation with AUT Ventures. Otherwise, continue from section K.9. Include this in the Information Sheet.

#### Are the participants expected to pay in any way for any services associated with this research?

[ ]  Yes [ ]  No

If ‘Yes’, 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 continue from section L.1.

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Respect for Property

Researchers should consider how their research will practice and respect the tikanga and kawa (protocol) of places, spaces and people as well as ensuring that they do not infringe on legal property rights.

#### Will this research impact upon property owned by someone other than the researcher?

[ ]  Yes [ ]  No

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

##### How will this be managed?

#### 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. [AUT’s Intellectual Property Policy](https://www.aut.ac.nz/rc/autincludes/getpolicy.php?id=156) provides further guidance.

References

Please include all references used in this application.

Declarations

#### Declaration by the 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](https://www.aut.ac.nz/research/researchethics/autec-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](https://www.aut.ac.nz/research/researchethics/autec-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 AUT Research Office - Te Kāhui Poipoi Rangahau, or the University’s insurers for purposes relating to AUT’s interests.

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| Name |
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| 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](https://www.aut.ac.nz/research/researchethics/autec-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](https://autuni.sharepoint.com/sites/ResearchethicsMatatikaRangahau/Shared%20Documents/General/EA%20documents/EA1%20work/Previous%20versions/EA1%20review_RM_V1.2.docx?web=1), 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 AUT Research Office - Te Kāhui Poipoi Rangahau, or the University’s insurers for purposes relating to AUT’s interests.

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| 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 AUT Research Office - Te Kāhui Poipoi Rangahau, or the University’s insurers for purposes relating to AUT’s interests.

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| Signature |  | Date |

1. [↑](#footnote-ref-2)