## Auckland University of Technology Ethics Committee (AUTEC)

# EA2

For AUTEC Secretariat Use only

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## Research Progress Report or Application for Amendment

## Notes about Completion

* The AUTEC Secretariat and your AUTEC Faculty Representative are able to provide you with assistance and guidance with the completion of this report or application.
* The information provided in this Report 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.
* Please ensure that you are using the current version of this form before submitting your form.
* Please ensure that all questions on the form have been answered and that none have been deleted.
* Please deliver or post to the AUTEC Secretariat, room WU406, fourth floor, WU Building, City Campus or email to ethics@aut.ac.nz. The internal mail code is D-88. The courier address is 46 Wakefield Street, Auckland 1010.

To respond to a question, please place your cursor in the space following the question and its notes and begin typing.

### Project Information

#### AUTEC Application Number and Project Title

Click or tap here to enter text.

##### Current Expiry date

Click or tap here to enter text.

#### Are you making an annual progress report? [ ]  Yes [ ]  No

If you have responded ‘Yes” to this question, please complete part B of this form

#### Are you making an application for amendments? [ ]  Yes [ ]  No

If you have responded ‘Yes” to this question, please complete part C of this form

#### Has the title altered since ethics approval was given? [ ]  Yes [ ]  No

If the answer is ‘Yes’, please answer the following question, otherwise please answer section A.5 and continue from there.

###### What is the proposed new title for the research?

Click or tap here to enter text.

#### Who is the applicant?

Click or tap here to enter text.

##### Has the applicant altered since ethics approval was given? [ ]  Yes [ ]  No

If the answer is ‘Yes’, please answer the following, otherwise please go to Part B and continue from there..

##### Who is the new 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 or tap here to enter text.

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

Click or tap here to enter text.

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

Click or tap here to enter text.

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

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

Click or tap here to enter text.

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

Click or tap here to enter text.

### Progress Report

Please complete this section if you answered ‘Yes” to section A.2

#### Has the recruitment of participants commenced? [ ]  Yes [ ]  No

#### Has the recruitment of participants been completed? [ ]  Y [ ]  Yes [ ]  No

#### Has the collection of data commenced? [ ]  Yes [ ]  No

#### Has the collection of data been completed? [ ]  Yes [ ]  No

#### Has data analysis commenced? [ ]  Yes [ ]  No

#### Has data analysis been completed? [ ]  Yes [ ]  No

#### Has the writing up of the findings commenced? [ ]  Yes [ ]  No

#### Has the writing up of the findings been completed? [ ]  Yes [ ]  No

#### Has any publication of findings occurred? [ ]  Yes [ ]  No

#### If the research is for a qualification, is it on schedule to finish before its expiry date? [ ]  Yes [ ]  No

If the answer is ‘No’, please explain why and indicate when the research is likely to be completed. Otherwise, please answer section B.11 and continue from there.

Click or tap here to enter text.

#### Ethical issues that have arisen

##### Were there any previously unforeseen risks and if so, how have they been managed?

Click or tap here to enter text.

##### Were there any conflicts that may have arisen and if so, how have they been managed?

Click or tap here to enter text.

##### Were there any complaints and if so, how have they been managed?

Click or tap here to enter text.

##### Were there any adverse events and if so, how have they been managed?

Click or tap here to enter text.

#####  Were there any problems with the approved research protocols and if so, how have they been managed?

Click or tap here to enter text.

### Application for Amendments

Please complete this section if you answered ‘Yes” to section A.3. Please ensure all applicable revised documentation such as Advertisement, Participant Information Sheets or Consent Forms are attached to this application.

#### What amendments to the recruitment protocols are needed?

Click or tap here to enter text.

#### What amendments to the data collection protocols are needed?

Click or tap here to enter text.

#### What amendments to the research aims are needed?

Click or tap here to enter text.

#### What amendments to the research methodology are needed?

Click or tap here to enter text.

#### What changes are there to the proposed research outputs?

Click or tap here to enter text.

#### What other amendments to the research are required?

Click or tap here to enter text.

### References

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

Click or tap here to enter text.

### Checklist

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

|  |  |
| --- | --- |
| Have you discussed this form with your AUTEC Faculty Representative, or a member of the AUTEC Secretariat? | [ ]  Yes [ ]  No |
| Is this form related to another ethics application? If yes, please provide the application number of the other application. | [ ]  Yes [ ]  No |
| Are you seeking ethics approval from another ethics committee for this research? If yes, please identify the other committee. | [ ]  Yes [ ]  No |

Click or tap here to enter text.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Section A |  | Project information provided |  | [ ]  |
| Section B |  | Progress Report information provided |  | [ ]  |
| Section C |  | Amendment details provided |  | [ ]  |
| Section D |  | References provided |  | [ ]  |
| Section E |  | Checklist completed |  | [ ]  |
| Section F.1 and 2 |  | Applicant and student declarations signed and dated |  | [ ]  |
| Section F.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 report or 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 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 report 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.

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

#### Declaration by Student Researcher

* The information in this report or 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 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 report 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.

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

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

* The information in this report or application is complete and accurate to the best of my knowledge and belief.
* In authorising the continuation of 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 understand that brief details of this report 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.

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