# Auckland University of Technology Ethics Committee (AUTEC)

For AUTEC Secretariat Use only

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

# EA6

## Application to AUTEC for granting of delegated authority to approve Course Research Projects

Once this application has been completed and signed, please read the notes at the end of the form for information about submission of the application for review.

## Notes about Completion

* Ethics review is a community review of the ethical aspects of a research proposal. Responses should use clear everyday language with appropriate definitions being provided should the use of technical or academic jargon be necessary.
* The AUTEC Secretariat and your AUTEC Faculty Representative are able to provide you with assistance and guidance with the completion of this application which may help expedite the granting of ethics approval.
* 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 and the advisability of delegating authority to a lecturer to grant ethics approval for their students’ projects. Responses that do not provide sufficient information may delay approval because further information will be sought. Overly long responses may also delay approval when unnecessary information hinders clarity.
* AUTEC reserves the right not to consider applications that are incomplete or inadequate.
* 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.

### Course Information

#### What is the name of the course in which the research will occur?

#### What is the course number?

#### Who is the course coordinator?

#### Of which programmes does the course form part?

#### Which faculty is responsible for the course?

#### What percentage of the course assessment is related to the research component?

### Person Responsible Details

#### Is the course coordinator the person who will be ensuring the research meets the necessary ethical standards (person responsible)? Yes No

If the answer is no, please explain why and then continue with B.2. Otherwise, please go to section B.3 and continue from there.

#### Who will be the person responsible?

#### Further information about the person responsible?

##### In which faculty, directorate, or research centre is the person responsible employed?

##### What is the role of the person responsible in relation to the Course?

##### What are the qualifications of the person responsible?

##### What is email address of the person responsible?

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

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

### Course Research Project Parameters

If this application is approved, then the Person Responsible will be given delegated authority to grant ethics approval for their students’ course research projects. To enable AUTEC to give this delegated authority, please provide full details about all the anticipated research tools and methodologies that will be used and clearly outline the parameters within which the course research projects will occur Information about the overall aim and purpose of the class research projects should also be given. All course and project information that will be provided to students needs to be attached.

#### What is the overall aim and purpose of the research component of the course?

#### How many students will be involved?

Please provide a range of likely course project numbers for a semester

#### What level of control do the students have over the design of the research?

#### What information and education will be provided to the students to enable them to undertake the research?

#### What types of projects will be undertaken?

#### What are the parameters around the content of the research and how will these be monitored?

Please clearly identify how any sensitive topics proposed by students will be managed and provide the course material being given to students.

#### What research methodologies will be employed?

#### What research tools will be used?

Please provide examples of these.

#### Where will the data and Consent Forms be stored and for how long? Who will have access to the data and Consent Forms?

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. Electronic data should be downloaded to an external storage device (e.g. an external hard drive, a memory stick etc.) and securely stored. If you are proposing an alternative arrangement, please explain why. 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 If the data will not be destroyed, please explain why, identify how it will be safely maintained, and provide appropriate informed consent protocols.

### 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 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 specifically benefit the participants and/or their social or cultural group? How will the information and knowledge provided by the participants be acknowledged?

#### 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)?

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

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?

### Implementation of AUTEC’s Ethical Principles

Please provide a brief statement for each of the following, identifying how this principle is being implemented in the research and whether there are any issues in relation to the principle and if so, how they are being managed.

#### Informed and Voluntary Consent

#### Respect for the rights of privacy and confidentiality

#### Minimisation of risk

#### Truthfulness, including limitation of deception

#### Social and cultural sensitivity

#### Research adequacy

#### Avoidance of conflict of interest

#### Respect for the vulnerability of some participants

#### Respect for property

### 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 | | |
|  | | | | | |
| Section A |  | Course information provided | |  |  |
| Section B |  | Person Responsible information provided | |  |  |
| Section C |  | Course Research Project parameters information provided | |  |  |
| Section D |  | Three Principles information provided | |  |  |
| Section E |  | Ethical principles information provided | |  |  |
| Section F |  | Checklist completed | |  |  |
| Section G1 and 2 |  | Applicant and student declarations signed and dated | |  |  |
| Section G.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) | | | | | |
| Course handbook | | | |  |  |
| Research Project advice | | | |  |  |
| Participant Information Sheet(s) template (s) | | | |  |  |
| Consent Form(s) template(s) | | | |  |  |
| Suggestions for Questionnaire(s) | | | |  |  |
| Suggestions for 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 Course Coordinator and Person Responsible

* The information in this application is complete and accurate to the best of my knowledge and belief. I take full responsibility for it.
* In supervising this research, I will ensure that it abides 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 and amendments to the research protocols before they are used.
* 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 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 |

**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 either:
  + one printed, single sided, A4, and signed copy of the application and all related documents. This may be delivered or posted to the AUTEC Secretariat, room WU406, fourth floor, WU Building, City Campus. The internal mail code is D-88. The courier address is 46 Wakefield Street, Auckland 1010. Alternatively, the application may be provided to the Research Ethics Advisor in person at one of the Drop In sessions at any of the four campuses (<http://www.aut.ac.nz/researchethics/resources/workshops-and-drop-inns>). OR
  + A single .pdf file containing the application and all related documents emailed to [ethics@aut.ac.nz](mailto: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 in 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.
* If sending applications by internal mail, please post them at least two days earlier to allow for any delay that may occur.
* Late applications will be placed on the agenda for the following meeting.