## Auckland University of Technology Ethics Committee (AUTEC)

# EA7

For AUTEC Secretariat Use only

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## Annual Report on Course Research Projects approved under delegated authority

## or Application for Amendment to a Course Research Project

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

## 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. In general each response should not exceed 100 words.
* 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 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.
* The Form is focussed around AUTEC’s ethical principles, which are in accordance with the *Operational Standards for Ethics Committees* in New Zealand.

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

### General Information

#### AUTEC Application Number

#### Is this an annual report? [ ]  Yes [ ]  No

#### Is this an application for amendments? [ ]  Yes [ ]  No

#### What is the name and number of the course?

##### Have these altered since ethics approval was given? [ ]  Yes [ ]  No

If the answer is ‘Yes’, please provide the proposed new title, otherwise please answer section A.5 and continue from there.

#### Who is the person who will be ensuring the research meets the necessary ethical standards (person responsible)?

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

If the answer is ‘Yes’, please answer the following, otherwise please answer section A.8 and continue from there.

#### Further information about the new person responsible.

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

##### What is the rôle 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?

#### When does AUTEC’s approval expire?

AUTEC usually grants ethics approval for a three year period.

### Annual Report

#### For which year is this report being provided?

#### Data Collection

Please provide a brief summary of the data collection instruments and procedures that were used.

#### Participant Recruitment

Please provide a brief summary of how participants were recruited.

#### Research Findings

Please provide a brief summary of the progress and outcomes of the class research projects.

#### Ethical Issues Arising

Please report on any ethical issues that arose during the class research projects and how they were managed, including any initial student proposals that focussed on sensitive content.

#### Individual Project Details

Please complete this table, providing the names of the students involved, and the titles of the projects they undertook.

|  |  |
| --- | --- |
| **Students’ Names** | **Research Titles** |
|  |  |

#### Other Comments

Are there any other matters to which you wish to draw AUTEC’s attention.

### Application for Amendments

**Do the recruitment protocols need to be amended? [ ]  Yes [ ]  No**

**Do the data collection protocols need amendment? [ ]  Yes [ ]  No**

**Has the aim of the research altered? [ ]  Yes [ ]  No**

**Has the methodology been altered? [ ]  Yes [ ]  No**

**Have the proposed outputs of the research been altered? [ ]  Yes [ ]  No**

**Does some other aspect of the research need alteration? [ ]  Yes [ ]  No**

***If the answer to any of the above is ‘Yes’, please provide full details and justification here and attach all relevant documents.***

### References

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

### 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*** |  | ***General information provided*** |  |  |
| ***Section B*** |  | ***Annual 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 Course Coordinator and Person Responsible

* 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 supervising this research, I ensured 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 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.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| ***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 continuing to authorise 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.

|  |  |  |
| --- | --- | --- |
|  |  |  |
| ***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. 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.