## Auckland University of Technology Ethics Committee (AUTEC)

# EA9

For AUTEC Secretariat Use only

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## Application by an external researcher to access AUT staff or students for research purposes

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. 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.
* 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.

### Researcher 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.

#### Who is the researcher?

#### For whom is the researcher seeking access permission? [ ]  AUT staff [ ]  AUT students

#### Further information about the researcher.

##### For which research institute does the researcher work?

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

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

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

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

##### Is this research being undertaken for a qualification? [ ]  Yes [ ]  No

If the answer is ‘Yes’, please provide full details about which qualification is involved and which institution will be awarding it.

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

### Research Project Information

#### Summary

Please provide in the following subsections a summary of the goals and methods of the study, indicating how and why Auckland University of Technology staff or students will be involved and how they and the University will be identified in the research outcomes. Copies of advertisements, Information Sheets, Consent Forms and Research Instruments need to be attached.

##### Aims or Goals of the study

##### Recruitment of participants

##### Informed and Voluntary Consent processes

##### Research instruments and procedures

##### Analysis and Storage of the data

##### Privacy Issues

##### Minimisation of Risk

#### When do you propose commencing research at AUT?

#### Has this research been given ethics approval by another ethics committee or authority?  [ ]  Yes [ ]  No

If the answer is ’Yes’, please provide copies of the original ethics application(s), any appendices and any approval letter(s).

### 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?

### References

Please include any references relating to your responses in this 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 |  | Researcher information provided |  |  |
| Section B |  | Research Project information provided |  |  |
| Section C |  | Three Principles information provided |  |  |
| Section D |  | References provided |  |  |
| Section E |  | Checklist completed |  |  |
| Section F |  | Applicant declaration signed and dated |  |  |
| 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 |  |  |

### Declaration

#### 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 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 |

**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.