

Section 2 - Ethics

We acknowledge some of the format may initially seem complex: the forms are arranged like this to avoid duplication of effort for people making applications to both the Research Ethics and the Research Grants Committee.

Application for Ethics Approval

Please ensure that you have read through the entire application form and the **Otago Polytechnic Guidelines on Ethical Practices in Research** [Ethical Guidelines](#) before writing your application. You will find particularly useful the sections 'Completing the Category A Application Form', 'Advice for new researchers', and 'Principles governing ethical approval'.

- a) Please use this format when preparing your application.
- b) Do not omit any headings or sub-headings.

1. ETHICAL CONCERNS

1.1. Procedures in which research participants will be involved

Comment [L1]: Outline exactly what you will ask participants to do, including when and where and how often. The Committee uses this information to cross check the information sheet, the informed consent forms and to identify potential harm in relation to the research merit. Include here, or as an appendix, the questions you will ask.

1.2. Procedures for handling information and material produced in the course of the research including raw data and final research report(s)

Comment [L2]: Describe what will happen to the information (e.g. data analysis, returning for member checking, use of contracted transcribers) throughout the project. We use this information to see if participants' possible concerns have been addressed.

1.3. Procedures for sharing information with research participants

Comment [L3]: The Committee expects participants will be provided information about the outcomes. Show how you will be able to contact participants later or make the information available when the research is complete. This needs to be consistent with any assurances you make about confidentiality or anonymity.

1.4. Arrangements for storage and security, return, disposal or destruction of data

Comment [L4]: Detail how you will handle and store the data to ensure the commitments you have made related to anonymity or confidentiality are met.

1.5. Recruitment and access to participants

[Empty text box for recruitment and access to participants]

Comment [L5]: Describe who you wish to recruit, and how you will make contact with them. The Committee will consider who needs to give permission for you to contact possible participants and any conflict of roles that might exist and how they will be managed to keep the vulnerable safe.

1.6. Obtaining informed consent

[Empty text box for obtaining informed consent]

Comment [L6]: Describe the steps you will use to obtain informed consent. The Committee will consider participant safety if there are potential vulnerable participants or there are existing power relationships. Outline the specific considerations that have gone into your information sheet and what it is that participants are consenting to.

1.7. Anonymity and/or confidentiality

[Empty text box for anonymity and/or confidentiality]

Comment [L7]: Be clear of the difference and ensure that you have appropriate steps outlined to assure participants and the Committee that you can meet the commitments you make.
Anonymity; non disclosure of identity.
Confidentiality ; non disclosure of personal information.

1.8. Potential harm to participants and how this will be managed

[Empty text box for potential harm to participants and how this will be managed]

Comment [L8]: The Committee is looking to understand that you have considered any potential harm, and how it may be reduced or managed.

1.9. Potential harm to researcher(s) and how this will be managed

[Empty text box for potential harm to researcher(s) and how this will be managed]

Comment [L9]: The Committee is looking to understand that you have considered any potential harm, and how it may be reduced or managed.

1.10. Potential harm to the Polytechnic and how this will be managed

[Empty text box for potential harm to the Polytechnic and how this will be managed]

Comment [L10]: The Committee is looking to understand that you have considered any potential harm, and how it may be reduced or managed.

1.11. Participant's right to decline to take part or withdraw

[Empty text box for participant's right to decline to take part or withdraw]

Comment [L11]: The Committee is looking for clear statements that are congruent with the consent form and information sheet that ensure participation remains voluntary throughout the project.

1.12. How the information will be used

Comment [L12]: Indicate what will happen to the knowledge gained from the research e.g. conference presentations, contribution to government or professional association policies.

1.13. Conflict of interest / Conflict of roles

Comment [L13]: The Committee is looking for congruence between participant, recruitment, consent and harm statements and the researcher's recognition of all possible perceptions of conflict of interest or roles e.g. student/lecturer.

1.14. Other ethical concerns, e.g. sources of funding

Comment [L14]: The Committee is interested in any other aspect of how the project will be undertaken that may raise issues of influence. Over-include aspects rather than omitting them.

3. LEGAL CONSIDERATIONS

3.1. Legislation

Comment [L15]: Indicate where applicable the relevance of any legislation. Possible relevant legislation might include health and safety, ACC, or legislation that governs the participant or the experience being researched.

4. OTHER ETHICAL BODIES RELEVANT TO THIS RESEARCH

4.1. Ethics Committees

Comment [L16]: List other ethics committees to which you are referring this application. Common other committees would be those for institutions for which an OP staff member was enrolled as a student, or health and disability committees

4.2. Professional Codes

Comment [L17]: List all New Zealand professional codes to which this research is subject, e.g. a registered professional researching a subject related to their profession will be subject to that code. Do not include codes that are not related to the researcher, the participant or the topic.

5. OTHER RELEVANT CONSIDERATIONS

Comment [L18]: List any other issues you would like to discuss with the Otago Polytechnic Research Ethics Committee. You may have a concern that you are not sure how to address, or how to adequately summarise your considerations. Tell us and we can arrange to meet with you. This might be faster than not telling us of your thinking.

Forms and Appendices to be included

Include here the other forms and appendices you have prepared as part of your application. (Remember that the whole application is to be submitted as a single Word document.)

Suggestions as to information you *might* include:

- Approval email (note) from the Interim Treaty Compliance Committee
- Letters of permission to access specific information or employees
- Letter of invitation to participate
- Reminder letter to return survey
- Letter saying you have enough people
- Confidentiality agreements that e.g. your transcriber will sign
- The participant information form (see sample form attached; if you choose to use it, edit it as necessary to make it consistent with the information already provided in your application)
- The consent form (see sample form attached; if you choose to use it, edit it as necessary to ensure it is consistent with the information already provided in your application)
- The survey form participants will complete
- The recruitment poster

Helpful Information

Sample headings **to structure a Participant Information Form**

(Design your own and include only what is relevant to your study.)

Project title

General Introduction

What is the aim of the project?

How will potential participants be identified and accessed?

What types of participants are being sought?

What will my participation involve?

Should you agree to take part in this project you will be asked to.....

How will confidentiality and/or anonymity be protected?

What data or information will be collected and how will it be used?

Results of this project may be published but any data included will in no way be linked to any specific participant without prior consent.

You may request a copy of the results of the project and it will be available at _____

Data Storage

The data collected will be securely stored in such a way that only those mentioned above will have access to it. At the end of the project any personal information will be destroyed for any raw data on which the results are based. This will be retained in secure storage for a period of five years, after which it will be destroyed (unless agreed otherwise on the consent form).

Can participants change their minds and withdraw from the project?

You can decline to participate without any disadvantage to yourself of any kind. If you choose to participate, you may withdraw from the project at any time, without giving reasons for your withdrawal. You can also withdraw any information that has already been supplied until the stage agreed on the consent form. You can also refuse to answer any particular question, and ask for the audio/video to be turned off at any stage.

What if participants have any questions?

If you have any questions about the project, either now or in the future, please feel free to contact either:

or:

Any additional information given or conditions agreed to will be noted on the consent form.

Sample Consent Form

(Design your own and include only what is relevant to your study.)

Project title

I have read the information sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:

- My participation in the project is entirely voluntary.
- I am free to withdraw at any time without giving reasons and without any disadvantage.
- The data (including video tapes or audio tapes) will be *destroyed / returned to me / returned to my representative* at the conclusion of the project but any raw data on which the results of the project depend will be retained in secure storage for five years after which it will *be destroyed*. If it is to be kept longer than five years my permission will be sought.
- Mention remuneration or compensation if applicable.
- The results of the project may be published (you may also want to state 'or used at a presentation in an academic conference') but my anonymity / confidentiality will be preserved.

Additional information given or conditions agreed to

I agree to take part in this project under the conditions set out in the Information Sheet.

..... (signature of participant)

..... (date)

..... (signature of researcher)

This project has been reviewed and approved by the Otago Polytechnic Research Ethics Committee.

If you are not applying for a Research Grant delete Section 3, also delete comments; print out section 1 then send a copy of the whole file to your manager to read, and a copy to EthicsAdmin@tekotago.ac.nz; the hard copy of section 1 signed by your Manager/HoS needs to be sent out to the Ethics Administrator at the Research Office (G312) by internal mail, or deliver personally.