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| **RHODES UNIVERSITY HUMAN RESEARCH ETHICS COMMITTEE**  **APPLICATION FOR APPROVAL**  **(EXTERNAL OR NON-AFFILAIATED RESEARCHERS)** | | |
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| **1. GENERAL PARTICULARS** | | |
| TITLE OF RESEARCH: | | |
| NAMES OF RESEARCHERS: | | |
|  | | |
| CONTACT DETAILS (*physical address and affiliation of the principal investigator, phone number, telephone number and institutional email address)*: | | |
| **2. SUMMARY OF RESEARCH** | | |
| ABSTRACT (*briefly indicate the purpose and rationale of the proposed research. (300 words)*: | | |
| RESEARCH METHODS (*List each method of data collection)*: | | |
| INTERACTION WITH HUMAN PARTICIPANTS *(Describe the nature of interactions, their frequency and duration, and procedures (max 500 words)*: | | |
| **3. RESEARCH CONSIDERATIONS** | | |
| Will the research involve the use of anything (e.g., a procedure/ technology/therapy etc.) which constitutes Intellectual Property (IP) and for which particular protections or permissions apply? *(If Yes, explain)*: | | |
| Does any aspect of the research require the involvement of an appropriately trained and/or accredited and/or registered professional? *(If Yes, explain)*: | | |
| **4. PARTICIPANT GROUP** | | |
| Indicate the Minimum/Maximum sample size required. Clearly motivate for the sample size you have chosen *(max 500 words)*: | | |
| Are particular characteristics of any kind required in the participant group (age, culture, background, experience, physical characteristics, disease states etc.)? *(max 500 words)*: | | |
| Will any information be obtained from the sourced located in an institutional setting? (hospital, school, university, prison)? *(If yes, please identify the institutions(s), including: (a) Name, (b) Location, (c) Type of institution)*: | | |
| Will any part of the project be conducted on private property (e.g. participants’ homes, shopping centres)? *(If Yes, explain)*: | | |
|  | **Answer Yes or No** | **Explain if necessary** |
| Are participants Rhodes students? |  |  |
| Are participants Rhodes staff? |  |  |
| Are Participants drawn from a school population? |  | *Identify School*  *(State whether Pre-primary, Primary, Secondary. etc.)* |
| Are Participants drawn from an institutional population? (e.g., Hospital, Prison, Mental Institution) |  | *Identify Institution:* |
| Will any records be consulted for information? |  | *Specify the source of records:* |
| Are all participants over the age of 18? |  |  |
| Will individual participants know their records are being consulted? |  | *State how these records will be obtained and whose permission is required: n/a* |
| Are all participants over 18 years of age? |  | *If No, state justification for inclusion of minors in study n/a* |
| **5. PARTICIPANT RECRUITMENT** | | |
| How will potential participants be contacted and notified about the research? *(max 500 words)*: | | |
| Will any sort of public notice be used to advertise the research to potential participants and/or gatekeepers and/or legal guardians? *(If Yes, please attach invitation notice)*: | | |
| Is the information about the study provided to participants and/or gatekeepers and/or legal guardians prior to obtaining their consent complete and accurate? | | |
| Will any of the information be obtained from, or pertain to, people who may be considered vulnerable? *(If Yes, explain)*: | | |
| If your participants are vulnerable, which measures will be in place to ensure that vulnerable individuals are not exposed to additional risk or harm because of this research? | | |
| 1. **6. GATEKEEPER PERMISSION** | | |
| Is gatekeeper permission required to access information and /or participants and/or research sites in collecting data? *(If Yes, please provide gatekeepers details, physical address, contact details and position in the organisation / institution)*: | | |
| **GATEKEEPER 1**: | | |
| **GATEKEEPER 2**: | | |
| **GATEKEEPER 3**: | | |
| Are you requesting gatekeeper waiver? *(If Yes, please provide motivation for why this should be granted)*: | | |
| **7. INFORMED CONSENT** | | |
| Does any aspect of this research require obtaining informed consent and/or assent? | | |
| If Yes, Will the consent be written or verbal? | | |
| Describe the process by which consent (and, where necessary, assent) to participate in the research will be negotiated and obtained *(max 300 words)*: | | |
| Is there any legal reason why participants cannot effectively give informed consent? (e.g., under 18 years; declared insane by a court of law; unconscious)? *(If yes, explain)*: | | |
| Do any of the participants operate in an institutional environment which may cast doubt on the voluntary aspect of consent? *(If yes, explain)*: | | |
| Will participants receive an honorarium or reimbursement for their participation? *(If yes, explain)*: | | |
| **NOTE: PLEASE ATTACH ALL INFORMATION LETTERS, INVITATIONS TO PARTICIPATE, CONSENT AND ASSENT FORMS SEPARATELY AND IN CLEARLY LABELED FILES.** | | |
| 1. **PROTECTION OF PERSONAL INFORMATION ACT, 04 OF 2013 (“POPIA”)** | | |
| Under the Protection of Personal Information Act, 04 of 2013 (“POPIA”), researchers have a general legal duty to protect the information they process. They must ensure the security and protection of any personal information processed by the research and provide a compliant and consistent approach to data protection. The information collected via interviews must be for research purposes only. No personal information such as opinions, views, and academic background may be linked to the respondents' identity or shared with anyone for marketing purposes or otherwise. | | |
| Explain the provisions to be made to protect participants rights to privacy and anonymity and to preserve confidentiality. If these conditions cannot or should not be met, provide a motivation. *(max. 500 words)*: | | |
| Will mechanical or digital methods of observation or data collection be used (e.g. Video and audio recordings, bio-metric monitors etc.)? NB- Please ensure that permission to use such devices has been sought in the relevant informed consent. *(If yes, explain)*: | | |
| Which benefits, if any, are expected to accrue to individual participants, and/or third parties, and/or a particular social group and/or institution and/or community or society at large as a result of the research? *(max. 500 words)*: | | |
| How will you disseminate the results of your research for academic purposes? *(max. 100 words)*: | | |
| How will you provide feedback on your research to participants? *(max. 300 words)*: | | |
| **9. RISKS OF RESEARCH** | | |
| **Risk category 1: No ethics clearance required.** (Definition: No contact with human participants)  Examples: Use of previously-collected data that received ethics clearance; use of anonymized human datasets; document analysis of documents firmly in public domain; literature review; studies based on theoretical or secondary analysis alone; use of human biological material (e.g. human cells lines from a commercial source(s) or established cell lines, where the results or the sourcing of such materials definitely do not lead to social risks); use of open access digital texts that are in the public domain. Should any researcher be in doubt about whether their research fits into this category, they should consult with the relevant ethics committee chair | | |
| **Risk category 2: Low risk.** (Definition: The risk of harm is no greater than those imposed by daily life under stable social conditions, or in undertaking routine educational, psychological, health or social interventions or tests)  Examples: Market research; non-sensitive questions about people’s everyday lives, and opinions; review of non-sensitive privileged information (e.g. documentation not publicly available); research on usual classroom or educational activities, routine psycho-social interventions (e.g. empowerment programmed). [Note: usual classroom, educational or psycho-social activities may include minors; where minors are not expected to do anything more than participate in usual activities associated with these activities, the study may be assigned low risk status] | | |
| **Risk category 3: Medium risk.** (Definition: Where risk to participants, researchers and/or institutions is greater than those imposed by daily life under stable social conditions, but where appropriate steps can be taken to mitigate or reduce overall risk; the risk of harm is reasonable in relation to anticipated benefits or knowledge gained.)  Examples: Research concerning topics that have the potential to evoke negative feelings; research involving groups with vulnerabilities; research conducted in a locality that may contain potential risks to the participants and/or researchers. | | |
| **Risk category 4: High risk.** (Definition: Where there is significant and likely risk of harm to researcher, participant(s) and institutions which may lead to serious adverse consequences if not managed in a responsible manner; remedial interventions might be possible should harm occur, including by external professional intervention. The absence of remedial measures will not automatically disqualify the study where the risk of harm is reasonable in relation to anticipated benefits or knowledge gained.)  Examples: Research on highly sensitive topics such as experiences of violence, rape, illegal activities; research involving groups with significant vulnerabilities or multiple vulnerabilities; research conducted in a locality that definitely contains risks to the participants and/or researchers; research involving deception of the participants; research involving illegal activities; research activities in which the participants may place themselves at risk of harm if they participate; research activities in which the researcher may place themselves at risk of harm; where the researcher may place themselves at risk of breaking the law. | | |
| Rate the risk level of your project: Low / Medium / High: | | |
| Describe the risk (however slight or temporary to participant(s) and/or any third parties and/or to a particular social group or institution or a community or society at large). NB- Risk considerations are an important part of the ethics review process and not a hindrance to approval. Please use discipline specific knowledge and standards as applicable. *(max. 500 words)*: | | |
| What provisions will be made to mitigate the potential of these risks occurring during project activities? *(max. 500 words)*: | | |
| **10. CONFLICT OF INTEREST** | | |
| Do you and/or any of the research partners have a potential or actual conflict of interest in this project’s conduct or outcomes? Carefully consider any potential bias and your positionality in the context of the research. *(If yes, explain)*: | | |
| **11. RESEARCHER DECLARATION AND SIGNATURE** | | |
| Please confirm each of the following statements below:   * All the information provided in this application is complete and accurate * This research will not proceed before ethical approval is obtained * Only authorized persons will have access to the data * The information collected will only be used for the purposes for which approval has been obtained * This research project will only be conducted if funding is adequate to enable it to be carried out according to good research practice and in an ethical manner * Any additional information required by the RU-HREC either before approval is obtained or as the research progresses will be provided immediately upon request * The RU-HREC will be immediately notified in writing of any proposed change to the project which would in any way alter the risks associated with doing this research and await approval before proceeding with the proposed change * The RU-HREC will be immediately notified in writing of any proposed change to the researchers involved in the project and will be provided names and contact details of new and/or departing researchers * The RU-HREC will be immediately notified in writing and within seven days of any serious adverse event that occurs during the research | | |
| **I agree with the above declaration.** | | |
| Signature: | | |
| Date: | | |