



Introduction to Ethics involving Human participants

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Overview



1. Which activities require ethical approval
2. The approval process
3. Basic evaluation principles
4. What is needed for an application?
5. Special consideration
6. Further approvals required

Reference documents:

- Rhodes University Ethics Handbook (Ethics Policy, Protocols, Guidelines etc.)
- Website: www.ru.ac.za/research/research/ethics/
- Government Gazette No 38000-R719 (19 Sep 2014, Regulations to research with human participants)



Which activities require ethics approval?

- a) Research involving human participants,
- b) Research using human biological material,
- c) Research that might compromise individual, institutional or public integrity when being performed or published ,
- d) Teaching involving humans for study or demonstration purposes beyond what can be reasonably assumed as part of their normal life routine,
- e) Research and teaching that may cause health and safety risks for the involved individuals beyond what is covered by legal or professional standards.

For activities that

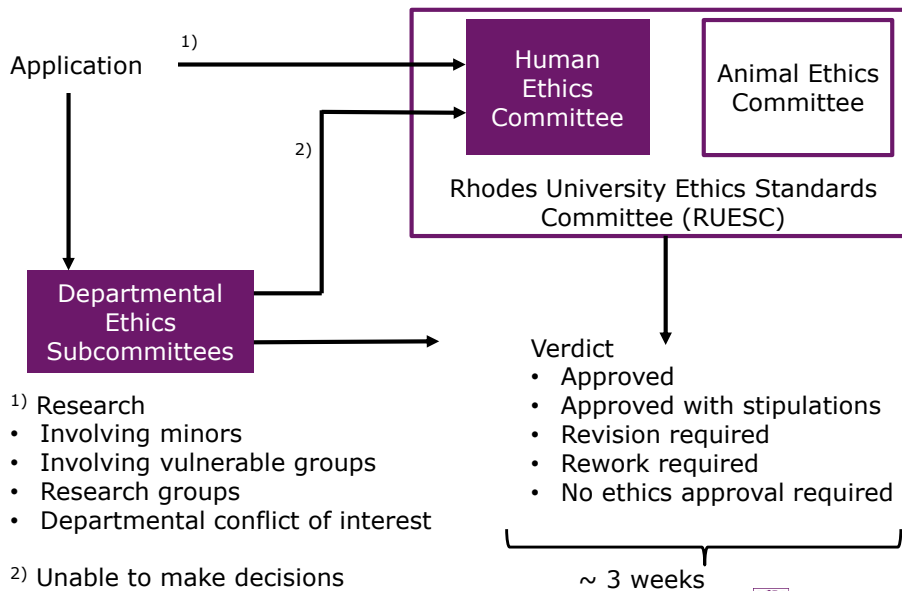
- are conducted by Rhodes University staff and students, and/or
- use infrastructure of Rhodes University, and/or
- use participants from Rhodes University, and/or
- are conducted on behalf of or affiliated to Rhodes University.

(Activities involving animals require further considerations)

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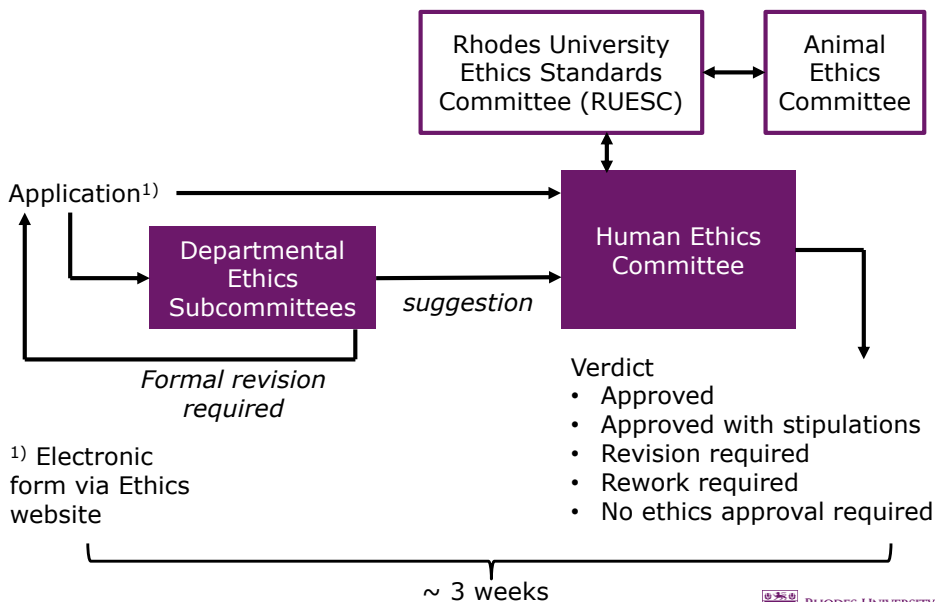
Current ethics approval process



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Ethics approval process (from ~2016)



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Basic evaluation principles



Risks to participants minimised (objective risks as well as psychological risks, e.g. of embarrassment)

Benefits of research justify the risks associated with it

Participants are informed and consent to the risks

No conflicts of interest for participants

No conflicts of interest for researchers

Risk to the institution is appropriate with respect to the benefits

Privacy of participants guaranteed (anonymity and confidentiality)

- No collection of personal data beyond necessity
- Anonymous handling of personal information
- Secure storage of personal data
- Anonymous publication of results (no backtracking possible)
- Anonymous to employers (if applicable)

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Composition of applications



A typical application consists of:

- Application Form
- Research methodology / protocol
- Participant information (sheet)
- Participant consent sheet
- Other information and consent sheets

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Special considerations



Research with minors

- Requires consent of minors
- Requires consent of both guardians
- Requires consent of hosting institution (if applicable)

Research involving vulnerable and dependent groups

- Employees
- Women (depending on circumstances)
- Persons participation in groups
- Participants under medication and in hospital
- Prisoners
- Special population groups

Research involving deception, concealment or covert observation

Research applying innovative or invasive methods

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Further approvals required

Research @ Rhodes

- Recruiting participants among the student body requires prior approval of the Director of Student Affairs.
- Recruiting participants among Rhodes University staff requires prior approval of the Director of Human Resources.
- Using infrastructure or data from Rhodes University (e.g. premises, class records) requires prior approval of the Registrar

Research in Hospitals

- Approval of the department/minister of Health
- Registration with the governmental Health Research Database
- Registration with the clinical trial register (if applicable)

Research in Schools

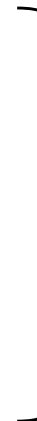
- Approval of the school principal
- Approval of the department/minister of education
- Approval of each learner
- Approval of the (both!) guardians of each learner

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Specific considerations

Using information from student or staff records
Internet surveys
Cross cultural research
Research involving employees
Can illegal action be ethically approved?
Transferral of ongoing research to Rhodes University
...



see Ethics Handbook

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Questions?

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