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APPLICATION FOR RESEARCH ETHICAL CLEARANCE FORM

Please note that the form should be completed in **typed script** by the candidate applying for research ethical clearance, involving human subjects. This form should be submitted after the proposal is approved with the approval of the student's supervisor. The supervisor should also sign the clearance application before it is submitted to the Ethics Review Committee (ERC).

NO RESEARCH SHOULD PROCEED WITHOUT ETHICAL CLEARANCE. The research policy clearly states that ethics clearance does not apply retrospectively. If data collection has already commenced, or is in progress, the ERC will not consider the application[1].

Please also take note that the application must be submitted as ONE document. Do not submit separate documents. Consent letters and data collection instruments must be appended to, or embedded in the application form.

Note: All applications must be approved by the Ethics Review Committee and ratified at the meetings as scheduled each quarter. Therefore, the process for ethical approval may take several weeks from a student's perspective.

Date:

SECTION 1: PERSONAL DETAILS

1.1 Full name and surname of candidate

1.2 Title (Ms/ Mr/ Mrs/ Dr/ Professor, etc.)

[1] **This may be waived in the case of students who registered prior to 2017.**

1.3 Student number

1.4 Current qualifications: 1.5 Proposed qualification for research project

2. Contact details

2.1 Tel. number: 2.2 Cell phone number:

2.3 E-mail:

2.4 Postal address:

3. Supervisor's details

Initials and surname	
Contact details	
Email	
Institutional affiliations	
Qualification	

4. Co-supervisor's details (If applicable)

Initials and surname	
Contact details	
Email	
Institutional affiliations	
Qualification	

SECTION 2: RESEARCH PROJECT DESCRIPTION

Please do *not* provide your full academic research proposal here: what is required is a short project description of not more than two pages that gives, under the following headings, a brief overview describing the background to the study, including its scientific purpose (where applicable) and reasons for requiring human subjects, the key questions to be addressed, the participants (or subjects) and research site, including a full description of the sample, and the research approach/ methods. *Referencing is expected as per academic norms as described in the Writing Guide*.

2.1 Dissertation/thesis title

2.2 Location of the study (e.g. at your workplace?)

2.3 Conflict of interest

Describe the steps you will take to mitigate the risks involved when conducting research at your workplace. It may be difficult for the researcher not to let subjective feelings interfere with the study when he/she is familiar with the participants. Which steps will be taken to maximise impartiality in an attempt to ensure that objectivity and the ethical integrity of the research process and/or finding are not compromised by self-interest.

2.4 Risk Category

Classify your research project based on the anticipated degree of risk by marking X in the appropriate box. (**Consult the guidelines document to select your risk category)**

Category 1: Negligible risk	No apparent risk to participants. No human participants directly involved. Analysis of statistics, literature study or market research surveys. All research directly involving human participants has an inherent measure of risk and cannot be marked as risk category 1	
Category 2: Low risk	Human participants involved. Foreseeable risk of inconvenience. Non-vulnerable adult participants and non-sensitive information involved.	

Category 3: Medium risk	Potential risk of harm or discomfort. Sensitive research topic. Personal information gathered and analysed. Participants directly involved. Participants are children under the age of 18 or vulnerable adults.	
Category 4: High risk	Real and foreseeable risk of harm or discomfort. Highly sensitive topics. Participants are vulnerable children under the age of 18. Deception of research participants.	

a. Briefly justify your choice/classification of risk
b. In medium and high risk research, indicate the potential benefits of the study for the research participants and/or other entities
c. In medium and high risk research, indicate how the potential risks of harm will be mitigated by explaining the steps that will be taken (e.g. referral for counselling, debriefing, etc.)

There are, to the best of my knowledge and belief, no known risks or dangers associated with this research, in terms of the Da Vinci Research Ethics Policy, save for this disclosure.	☐ Agree

2.5 Research background

Refer to your research proposal to complete this section.

Use the sub headings as indicated.

Introduction and (short) background Problem statement Research question Sub questions Aim Objectives

2.6 Research approach/methods (as stated in the full proposal).

(Explain how you will go about answering the questions which you indicate under 2.4 above. Set out the approach within which you will follow, and indicate step-by-step the methods you will use in this research in order to answer the critical questions).

NB. Methodological, technical and ethical soundness of proposal is very important.

Use the sub headings as indicated:

Research approach Population Sample size Participant selection (how will participants be identified and selected?)

2.7 Data collection instrument/s

Copies of all questionnaires and any other data collection instruments that will be shared with subjects must be attached to this application form.

Mark (X) the data collection instruments that you will use to conduct this research

	YES	NO
Questionnaire		
Survey		
Interview		
Psychometric test		
Focus group		
Observation		

2.8 Data collection process

Describe how the data will be collected

2.9 Data analysis

Describe how the data will be analysed

2.10 Proposed work plan

Set out your intended plan of work for the research (as discussed with your supervisor), indicating important target dates necessary to meet your proposed deadline. Please be realistic and afford the supervisors about three (3) weeks to

review your submitted chapter/s and/or document and for you to effect the corrections each time.

Plan	Dates

SECTION 3: ETHICAL ISSUES

The Da Vinci Research Ethics Policy applies to all members of staff, graduate and undergraduate students who are involved in any kind of research. In addition, any person not affiliated with the Da Vinci Institute who wishes to conduct research with Da Vinci students and/or staff, is bound by the same ethics guidelines. Each member of the Da Vinci Institute community is responsible for implementing this Policy in relation to scholarly work with which she or he is associated and to avoid any activity which might be considered to be in violation of this Policy.

All students and members of staff must familiarise themselves with AND sign an undertaking to comply with the Da Vinci Institute's "Research Ethics Policy". **Attach a signed copy to this application.**

Students are reminded that the Da Vinci Institute caters for academic research in the Management of Technology, Innovation and People in a Systemic context (TIPS™).

QUESTION 3.1

Does your research involve any of the following?	**YES**	**NO**
Children		
Persons working in sensitive situations or with sensitive information		
Persons who are intellectually or mentally impaired		
Persons who have experienced traumatic or stressful life/work circumstances		
Persons who are HIV positive		
Persons highly dependent on medical care		
Persons in dependent or unequal relationships		
Persons in captivity		
Persons living in particularly vulnerable life circumstances		

If "Yes", indicate what measures you will take to protect the autonomy of respondents and (where indicated) to prevent social stigmatisation and/or secondary victimisation of respondents. If you are unsure about any of these concepts, please consult your supervisor/ project leader.

QUESTION 3.2

Will data collection involve any of the following?	**YES**	**NO**
Access to confidential information without the prior consent of participants		
Participants being required to commit an act which might diminish self-respect or cause them to experience shame, embarrassment, or regret		
Participants being exposed to questions which may be experienced as stressful or upsetting, or to procedures which may have unpleasant or harmful side effects		
The use of stimuli, tasks or procedures which may be experienced as stressful, noxious, or unpleasant		
Any form of deception		

If "Yes", explain/justify and also explain what steps you will take to minimise the potential stress/harm.

QUESTION 3.4

Will the autonomy of participants be protected through the use of an Informed Consent form, which specifies (in a language that respondents will understand), the items below?	**YES**	**NO**
The nature and purpose/s of the research		
The identity and institutional association of the researcher and supervisors and their contact details		
The fact that participation is voluntary		
The responses will be treated in a confidential manner		
Limits on confidentiality may apply		
Anonymity will be ensured where appropriate (e.g. coded/ disguised names of participants/ respondents/ institutions)		
Participants are free to withdraw from the research at any time without any negative or undesirable consequences to themselves		
The nature and limits of any benefits participants may receive as a result of their participation in the research		

NB: Copy of the Informed Consent form is attached. If "No" - this needs to be explained and justified, which may have a material impact on the application. Also the measures to be adopted to ensure that the respondents fully understand the

nature of the research and the consent that they are giving, needs to be explained and justified.

QUESTION 3.5
If applicable, describe the process of obtaining permission for the research from appropriate authorities[2] (including caretakers/legal guardians in the case of minor children and vulnerable persons)

NB: *Where applicable, attach the letter requesting permission from a responsible person from the organization where the research is to be conducted. See footnote 2 for further explanation.*

QUESTION 3.6
Describe the process and any documentation, including responses in the obtaining of informed consent from the participants. If children are involved, you have to obtain consent from parents and assent from the children.

Attach the consent/assent letter to obtain permission from the participants as an annexure.

Remember to also attach the reply slip also. It must not be signed; we just need to see an example of the return slip. If you are involving a focus group, you also need to attach the confidentiality agreement.

QUESTION 3.7
STORAGE AND DISPOSAL OF RESEARCH DATA:
Please note that the research data should be kept for a period of at least five years in a secure location, under data protection guidelines. Where and how will you keep hard copies and the soft data?

[2] In some instances, the relevant authority may require proof of Ethical Clearance from the Da Vinci Institute, prior to granting permission for the study to be conducted in a specific organization. In this case, the student must explain this on the application.

QUESTION 3.8
How will the research data be disposed of and by when? Please provide specific information, e.g. shredding of documents, incineration of videos, CDs, DVDs and information on other devices, etc.

QUESTION 3.9
How will anonymity/confidentiality be protected in the dissemination of your research findings (any form- finished dissertation/thesis, oral presentations, publication, etc.)?If confidentiality cannot be protected, full details of who will have access to participant's details and why confidentiality will not be fully protected, must be provided.

QUESTION 3.10

Is this research supported by funding that is likely to inform or impact in any way, the design, outcome and dissemination of the research?	**YES**	**NO**

If yes, this needs to be explained and justified.

QUESTION 3.11

Has any organisation/company participating in the research or funding the project, imposed any conditions on the research?	**YES**	**NO**

If yes, please indicate the conditions.

QUESTION 3.12
Does the proposed study involve collaborative, multi-institutional or multi-country research? (Please see paragraph 6 of the Policy on Research Ethics of the Da Vinci Institute and make sure that the principal researcher complies with the stipulations of the policy)

Research in 1 country only	Please state country:
Research in more than 1 country	Please state countries
Research to be conducted in 1 institution **	Please give details:
Research is multi-institutional **	Please give details:

** In certain cases, consent is required from the **institutions** where the research will be undertaken (such as a hospital, clinic or school) and the relevant national, provincial and local **health or educational authorities**. In some of these cases, however, ethical clearance in Da Vinci is a pre-requisite for these institutions and/or authorities, prior to considering the student's request for access to the research site.

SECTION 4: FORMALISATION OF THE APPLICATION

APPLICANT AND SUPERVISOR

RESEARCHER'S DECLARATION TO ADHERE TO THE POLICY REGARDING THE ETHICS OF THE PROPOSED RESEARCH

By signing below, I _____ (full name of the main researcher) declare as follows:

(Double click on the shaded box and tick checked in the window that opens)

a) I have completed all the sections of this form that are relevant to the proposed research study.	☐ Agree
b) I have acquainted myself with Da Vinci Institutes' Policy on Research Ethics, having perused the Da Vinci Research Ethics Policy	☐ Agree
c) I will conduct the research in strict accordance with the approved proposal. I acknowledge that the approval is valid and binding and the approved procedures must be followed without deviation.	☐ Agree
d) I shall notify the ERC in writing immediately, if any changes (even the title), to the research are proposed that may affect any of the study-related risks for the research.	☐ Agree
e) I maintain privacy and the confidentiality of records pertaining to the research and fully understand the consequences in the event of a breach.	☐ Agree

f) I shall not use the research and information in a manner that is detrimental to individuals or institutions unless it can be scientifically justified and is legally permissible.	☐ Agree
g) I shall store research data securely and in accordance with the data management measures indicated in my application/proposal.	☐ Agree
h) I shall uphold research integrity and refrain from conduct that may taint the integrity of science, including, but not limited to plagiarism, fabrication and falsification of data.	☐ Agree
i) I hereby indemnify The Da Vinci Institute in respect of any claims by any person denying consent in her/his participation in the research study.	☐ Agree

Signing of declaration

Applicant: Name in Print: _____

Signature _____ Date signed _____

Approval by supervisor and co-supervisor (if applicable)

_____

To my knowledge the student has addressed all aspects set forth in the Da Vinci Institute's Policy for Research Ethics. I confirm that the form is complete. I will ensure that the student notify the committee in writing if any changes to the research are proposed that may affect any of the study-related risks for the research participants. Subsequently, I approve the submission and recommend that approval is granted for the research.

_____	_____	_____
Name in Print	Signature	Date signed
_____	_____	_____
Name in Print	Signature	Date signed

RECOMMENDATION/S OF THE DA VINCI RESEARCH ETHICS COMMITTEE
NAME OF CHAIRPERSON: _____ **SIGNATURE** _____ **DATE**.....

THE DA VINCI INSTITUTE
RESEARCH OFFICE

ETHICAL CLEARANCE APPLICATION FORM

CHECK SHEET FOR APPLICATION (PLEASE TICK)

1. Form has been fully completed and all questions have been answered	
2. Questionnaire/Research instrument attached (where applicable)	
3. Informed consent document attached (where applicable)	
4. Samples of letters attached	
5. Approval from relevant authorities obtained (and attached) where research involves the utilization of space, data and/or facilities at other institutions/organisations	
6. Signature of Supervisor	
SIGNATURE OF APPLICANT **DATE:**	

References:

1. Summary sheet for the ethical clearance of postgraduate student proposals for theses/ dissertations. ©2009. College of Human Sciences, UNISA.

2. Ethical Clearance Application Form. (nd). University of KwaZulu-Natal.