Basic outline of the updated Human Ethics Application form in Hōkai



# About this document

Applications for human ethics approval are completed online in Hōkai.

This Word document provides a simplified outline of the human ethics application form, so you can start preparing your application offline before you access Hōkai.

**Note this document does not include all of the instructions and buttons that appear on the online form.**

When you get access to Hōkai, you can copy and paste text from this document into the online application. On the online form, this will paste as plain text without any formatting.

If you are familiar with the old ethics application form used in ResearchMaster, you will notice some updates.

On the old form and the new form, **the same questions appear in the same order.**

The question numbering is slightly different, and some question text has been improved.

Q28 regarding our Te Tiriti o Waitangi Statute now specifies that this question applies to every application, regardless of who the participants are or where the research is conducted.

# Human Ethics application form outline

# Research Overview

## Q1. This application is for

Research

## Q2. School or Research Centre

School

## Q3. Title of this Research Project

Title

## Q4. The following questions will help the committee assess whether your application is categorised as a Category A (raises potentially significant ethical issues) or Category B (low ethical risk).

## Category A applications receive further review from the Committee, in order to make sure the project has the support it needs to proceed safely for participants.

|  |  |
| --- | --- |
| a. Is health research |  |
| b. Is an intervention study |  |
| c. Involves the use, collection or storage of human tissue |  |
| d. Involves processes that use EEG, ECG, MRI, TMS, FMRI, EMG, radiation, invasive or surface recordings |  |
| e. Involves collection of information about illegal behaviour, or information that has been obtained illegally |  |
| f. Involves people who are not giving consent to be part of the study (other than observational research in a public place) |  |
| g. Involves participants whose ability to consent freely is compromised due to context (e.g. people in prison), or a limited capability to make independent rational decisions (e.g. those with a serious intellectual disability). |  |
| h. Involves the use of concealment or covert observations, including those conducted online or conducted in social media. |  |
| i.Involves the use of previously collected personal information, other data, or biological samples for the collection of which there was no explicit consent for use in research. |  |
| j. Involves deception of the participants, including concealment of the true purpose of the research |  |
| k. Involves the use of highly sensitive information (see policy for definition) |  |
| l. Involves a focus on, has particular importance for, or impacts on Māori (selecting this ensures your application is reviewed by a reviewer with kaupapa Māori research expertise) |  |
| m. Involves any other group (for example cultural or religious), other than Māori, and has the potential to cause discomfort or disruption to members of that group |  |
| n. Involves any direct financial interest in the outcome of the research by any member of the research team or external sponsor |  |
| o. Involves a conflict of interest or the appearance of a conflict of interest for the researcher (for example, where the researcher is also the lecturer/teacher/treatment provider/colleague/manager or employer of the participants) |  |
| p. Involve any situation which may put the researcher at risk of harm (e.g. overseas in politically unstable countries) |  |
| q. Involve a reasonable expectation that participants may experience (at a greater level than in everyday life) physical discomfort, emotional discomfort, or psychological or spiritual harm (e.g. asking participants to recall upsetting events) |  |
| r. Involves participants under the age of 16 |  |

### Risk category pathway

Your answers to the screening questions above have indicated that your application is: Low Risk or High Risk

Select the risk category pathway that you believe is appropriate for your application. You may be asked to change this after your application is reviewed by the Research Office.

High Risk/Cat A or Low Risk/Cat B

### Please explain why this is the appropriate risk category for your application

Response here

## Q5. Does this application relate to any previous applications submitted to an ethics committee (at VUW or other Institute)?

No

# Personnel

## Q6. If you are a student researcher, please indicate which programme you are enrolled in

PhD, Masters, Honours, or N/A

## Q7. Project Team

| Role | Name | Email |
| --- | --- | --- |
| Principal Investigator |  |  |
| Other roles, e.g. Supervisor for PhD, Masters student, Associate Investigator, etc. |  |  |

### Q6a. Email

Please provide your preferred email address so the Ethics team can contact you, if necessary. You will receive Hōkai system notifications at the email address listed with your name, above.

### Q6b. What is your course code (e.g. ANTH 690)?

course code, or n/a

## Q8. Are any of the researchers from outside Victoria University of Wellington?

No

# Project Details

## Q9. Describe the aims and objectives of this project.

Provide a brief summary in plain language of the purpose, research questions/hypothesis, and objectives of your project.

Response here

## Q10. Describe the background, benefits and scholarly value of the project.

Briefly place the project in perspective. Describe: a) your research team's expertise and experience in relation to this project, and b) the benefits of this project, which may be community benefits and/or its contribution to scholarship.

Response here

## Q11. Explain any ethical issues your research raises for participants, yourself as the researcher, or wider communities and institutions, and how you will address these.

This is an opportunity to present what you think the key risks are in your project and show how you have taken them into account.

Response here

## Key Dates

### Start Date

06/07/2024

### End Date

06/07/2027

### End Date for Project

06/07/2027

## Q12. Indicate any sources of funding

|  |  |
| --- | --- |
| Internally funded |  |
| Externally funded |  |
| Self funded |  |

## Q13. Is any professional code of ethics to be followed?

No

## Q14. Do you require ethical approval from any other organisation, such as another tertiary institution in New Zealand or overseas, or a District Health Board?

No

# Data Collection and Recruitment

## Q15. Please select all forms of data collection you will use in your project. Please upload your questions, consent forms, and information sheets for participants, and any other appropriate documentation.

|  |  |
| --- | --- |
| Interviews |  |
| Focus Groups |  |
| Questionnaires |  |
| Observation |  |
| Other |  |

## Q16. Provide an explanation of the sampling rationale for your study

Response here

## Q17. How many participants will be involved in your research?

Response here

## Q18. What are the characteristics of the people you will be recruiting?

Response here

## Q19. Outline in detail the method(s) of recruitment you will use for participants in your study.

Response here

## Q20. Explain the details of the method of data collection.

Response here

## Q21. Will your research project take place overseas?

Yes or No

### Q21a. Is this country experiencing any issues with public disorder or instability (e.g. political unrest, natural disaster)?

Yes or No

### Q21a (i). Please give details

If you answered yes, this appears for you to provide a response

### Q21b. Have you obtained consent to carry out your research from an appropriate official and/or community body?

If you answered yes, this appears for you to provide a response

### Q21b (i). Please give details (supporting documentation should be uploaded in the Documents section)

If you answered yes, this appears for you to provide a response

### Q21c. If this is NOT your home country, have you made arrangements for in-country support (e.g. local university academic, local partner organisation, senior colleague travelling with you)?

Yes or No

### Q21c (i). Please give details of the support you have arranged

If you answered yes, this appears for you to provide a response

### Q21d. If you are a student, have you agreed with your supervisor how you will address your health and safety while overseas

Yes or No

### Q21e. Are you required to follow the policies and/or regulations of a foreign government (that will impact on your research project)?

If you answered yes, this appears for you to provide a response

### Q21e (i). Please provide details

If you answered yes, this appears for you to provide a response

## Q22. Does the research involve any other situation which may put the researcher at risk of harm (e.g. gathering data in private homes)?

Yes or No

### Q22a. Do you have a plan in place to mitigate these risks to the researcher?

If you answered yes, this appears for you to provide a response

# Participants and Informed Consent

## Q23. Does your research target members of a vulnerable population?

Yes or No

### Q23a. Give details and indicate how you will manage this.

If you answered yes, this appears for you to provide a response

## Q24. Have you undertaken any consultation with the groups from which you will be recruiting, regarding your method of recruitment, data collection, or your project more widely?

Yes or No

### Q24a. Provide details of consultation and/or collaboration you have undertaken or are planning.

If you answered yes, this appears for you to provide a response

## Q25. Will participants receive any koha or gift, or any compensation?

Yes or No

### Q25a. Please describe what you will offer and your rationale for doing so.

Please be clear about which participant group will receive what. Please indicate the value of what you will offer, even if that is not fully confirmed at this time.

If you answered yes, this appears for you to provide a response

## Q26. Will your participants receive reimbursement for any costs they incur as part of participating in your research?

This could include costs such as transport or travel in order to participate in the research.

Yes or No

### Q26a. Give details about the reimbursement participants will receive

Note that providing light refreshments for participants (e.g. tea, coffee, biscuits) is an expression of hospitality. You do not need to explain those details here.

If you answered yes, this appears for you to provide a response

## Q27. How will informed consent be obtained? (tick all that apply to the research you are describing in this application)

|  |  |
| --- | --- |
| Informed consent will be implied through voluntary participation (anonymous) |  |
| Informed consent will be obtained through a signed consent form |  |
| Informed consent will be obtained by some other method |  |

### Q27a. Describe the other method

If you selected other, this will appear to describe.

# Te Tiriti o Waitangi Statute

## Q28. Describe how your research will uphold our Te Tiriti o Waitangi Statute, in practice.

This question applies to your research, regardless of who your participants are or where your research is conducted. You can access the [Statute here](http://www.victoria.ac.nz/documents/policy/governance/treaty-of-waitangi-statute.pdf)). This [Te Tiriti o Waitangi Guide](http://www.wgtn.ac.nz/maori-hub/rauemi/te-tiriti-o-waitangi) provides further guidance about each principle.

Response here

# Project Risks

## Q29. Is it possible that participants may experience any physical discomfort as a result of the research?

Yes or No

### Q29a. Give details and indicate how you will manage this.

If you answered yes, this appears for you to provide a response

## Q30. Is it possible that participants may experience any emotional or psychological discomfort as a result of the research? (E.g. asking participants to recall upsetting events, viewing disturbing imagery.)

Yes or No

### Q30a. Give details and indicate how you will manage this.

If you answered yes, this appears for you to provide a response

## Q31. Will your participants experience any deception as a result of the research?

Yes or No

### Q31a. Give details and indicate how you will manage this. Please also upload a participant debriefing sheet in the ‘Documents’ section.

If you answered yes, this appears for you to provide a response

## Q32. Is any third party likely to experience any special hazard/risk including breach of privacy or release of commercially sensitive information? This may occur in the instance participants are asked to discuss identifiable third parties in the research.

Yes or No

### Q32a. Give details and indicate how you will manage this.

If you answered yes, this appears for you to provide a response

## Q33. Do you have any professional, personal, or financial relationship with prospective research participants?

Yes or No

### Q33a. Give details and indicate how you will manage this.

If you answered yes, this appears for you to provide a response

## Q34. What opportunity will participants have to review the information they provide?

|  |  |
| --- | --- |
| a full transcript of their interview and given an opportunity to provide comments |  |
| a full transcript of their interview and NOT given an opportunity to provide comments |  |
| a summary of their interview |  |
| an other opportunity |  |
| no opportunity to review the information they provide |  |

### Q34a. Please give details

If other opportunity, describe here

## Q35. Will participation in the research be anonymous?

Yes or No

### Q35a. How will anonymity be assured in terms of access to the research data?

If you answered yes, this appears for you to provide a response

## Q36. Will participation in the research be confidential?

Yes or No

### Q36a. How will confidentiality be maintained in terms of access to the identifiable research data?

|  |  |
| --- | --- |
| Access to the research will be restricted to the investigator |  |
| Access to the research will be restricted to the investigator and their supervisor |  |
| Focus groups will have confidentiality ground rules |  |
| Transcribers will sign confidentiality forms |  |
| Other |  |

### Q36b. How will confidentiality be maintained in terms of reporting of the data?

|  |  |
| --- | --- |
| Pseudonyms will be used |  |
| Data will be aggregated |  |
| Participants will be referred to by role rather than by name |  |
| Other |  |

## Q37. Will participation in the research be neither confidential nor anonymous, and participants will be identifiable in any outputs or publications relating to the research?

Yes or No

### Q37a. Please tick all that apply to your research.

|  |  |
| --- | --- |
| Names will be confidential but other identifying characteristics may be published with consent |  |
| Participants will be referred to by association with an organisation rather than by name |  |
| Participants will be named in a list of interviewees |  |
| Participants will be named and their contribution attributed to them |  |

### Q37b. Please explain how this will occur and ensure this is clear to participants on your information sheet.

If you answered yes, this appears for you to provide a response

### Q37b (i). Please explain how this will occur; please ensure you upload permission from someone in the organisation who has the authority to agree to this on behalf of the organisation.

If you answered yes, this appears for you to provide a response

# Data Management

## Q38. Which of the following best describes the form in which data generated in your study will be stored during the study?

|  |  |
| --- | --- |
| Identifiable |  |
| Potentially identifiable |  |
| Partially de-identified |  |
| De-identified |  |
| Anonymous |  |
| Other |  |

### Q38a. Please describe

If other, describe here

## Q39. Which of the following best describes the form in which data generated in your study will be stored after the study is completed?

|  |  |
| --- | --- |
| Identifiable |  |
| Potentially identifiable |  |
| Partially de-identified |  |
| De-identified |  |
| Anonymous |  |
| Other |  |

### Q39a. Please describe

If other, describe here

## Q40. Proposed date for destruction of identifiable research data (i.e. the date when data will be de-identified and personal information on participants destroyed)

06/07/2027

## Q41. Proposed date for destruction of de-identified research data, including anonymous data

06/07/2027

## Q42. Will any research data be kept for longer than 5 years after the conclusion of the research?

Yes or No

## Q43. Who will have access to identifiable, de-identified or anonymous data, both during and at the conclusion of the research?

|  |  |
| --- | --- |
| Access restricted to the researcher only (whoever is named as PI) |  |
| Access restricted to researcher and their supervisor |  |
| Access restricted to researcher and immediate research team, e.g. co-investigators, assistants |  |
| Other |  |

## Q44. Are there any plans to re-use either identifiable, de-identified or anonymous data?

Yes or No

### Q44a. Outline these plans, and how data security will be maintained. Ensure that your information sheet explains these plans to participants.

Response here

## Q45. What procedures will be in place for the storage of, access to and disposal of data, both during and at the conclusion of the research? (Check all that apply)

|  |  |
| --- | --- |
| All hard copy material will be stored securely e.g. in a locked filing cabinet | **Yes** |
| All electronic material will be held securely e.g. only on University servers, password protected | **Yes** |
| All hard copy material will be appropriately destroyed (e.g. shredded) on the dates given above | **Yes** |
| All electronic data will be deleted on the dates given (Digital Solutions should be consulted on the proper method) | **Yes** |

# Dissemination

## Q46. How will you share findings of this research with participants?

Response here

## Q47. How will results be reported and published?

|  |  |
| --- | --- |
| Publication in academic or professional journals | **Yes** |
| Dissemination at academic or professional conferences | **Yes** |
| Availability of the research paper or thesis in the University Library and Institutional Repository | **Yes** |
| Other | No |

## Q48. Is it likely that this research will generate commercialisable intellectual property?

No

# Documents

## Supporting documents

|  |  |  |  |
| --- | --- | --- | --- |
| Document type | Document title | File name | File size (bytes) |
| Application Attachment |  |  |  |

# Checklist

Please check the information below and tick the box at the bottom of the page, then follow the instructions to submit.

You have indicated that your research will include the following as a means of data collection:

## If Interviews

### Have you uploaded:

* The interview schedule (questions)
* Information sheets for participants
* Consent forms for participants
* Information and consent forms for organisations, if necessary
* Any recruitment material, such as posters, online advertisements or emails
* A transcriber confidentiality agreement, if necessary

## If Focus Groups

### Have you uploaded:

* The focus group schedule (questions)
* Focus group ground rules
* Information sheets for participants
* Consent forms for participants
* Information and consent forms for organisations, if necessary
* Any recruitment material, such as posters, online advertisements or emails
* A transcriber confidentiality agreement, if necessary

## If Questionnaires

### Have you uploaded:

* The questionnaire/survey
* Information sheets for participants
* Consent forms for participants, if the questionnaire is not anonymous
* Information and consent forms for organisations, if necessary
* Any recruitment material, such as posters, online advertisements or emails

## If Observation

### Have you uploaded:

* An observation protocol
* Information sheets for participants
* Consent forms for participants
* Information and consent forms for organisations, if necessary
* Any recruitment material, such as posters, online advertisements or emails
* A transcriber confidentiality agreement, if necessary

## If Other

### Have you uploaded appropriate documentation? This may include:

* Information sheets for participants
* Consent forms for participants
* Information and consent forms for organisations, if necessary
* Any recruitment material, such as posters, online advertisements or emails
* A transcriber confidentiality agreement, if necessary

Have you read the Human Ethics Policy and Guidelines?

Have you read the Human Ethics webpage for any information related to your project?

Have you ensured that your documentation fits the requirements of the Human Ethics Policy and Guidelines, and any additional procedural advice available on the Human Ethics webpage?

## I have gone through the checklist and completed all the relevant tasks.

# Application Sign Off

## Principal Investigator Declaration

By selecting 'Accept and Submit' you agree that all other researchers named on this application in the 'Project Team' section have read the application and agree it is ready to be submitted.

If you are the Principal Investigator for your PhD research, you agree that your Supervisor(s) have reviewed your application and agree it is ready to be submitted.