

FACULTY OF SCIENCE

**ETHICS APPLICATION FOR APPROVAL TO INVOLVE HUMANS IN RESEARCH (QUESTIONNAIRES ONLY)**

**Instructions:**

* This document must be completed electronically;
* Complete all the sections (A – G);
* Section G provides space for a reference list;
* Sufficient details of the study have to be provided in the application. This will assist the Committee to understand the protocol detailing the background to the research project, the design of the study and all procedures;
* Should the project include the use of existing data that were collected during a previous project/survey, the necessary supporting documents including ethical clearance and a permission letter for the use of the data need to be provided;
* If a specific question within a section is not applicable to your project, please indicate as such or briefly motivate why it is not applicable in the space provided;
* Ensure that your final submission document has all the required signatures;
* Please do not change the format of the form;
* Please submit the final, signed document in PDF format via email ([*facultyethics@uj.ac.za*](mailto:facultyethics@uj.ac.za)) to the Faculty Ethics Committee (FEC) before or on the scheduled agenda closing date;
* Meeting dates and agenda closing dates of the FEC are available on the “Faculty Meetings Schedule” provided annually by the Head of Faculty Administration;
* Whether written or verbal consent is to be obtained, the FEC requires the Participant Information Sheet/Consent Form to be used, written in professional language, understandable to lay persons and explaining what will be required from a potential participant. This should include the following:

1. An invitation letter to participants to take part in the study;
2. A stipulation that participation is voluntary, and refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled;
3. A stipulation that the participant may discontinue participation at any time without penalty or loss of benefits;
4. Provide a brief description of the research, its duration, procedures and what the participant may

expect and/or will be expected to do;

1. Explain any foreseeable risks if applicable;
2. Disclose alternatives available to the participant (if risks are involved);
3. Explain where and how the data, photographs, videos and other materials will be used and published;
4. Explain how and when feedback will be provided on the final outcome of the study.

**A: DETAILS OF APPLICATION**

1. **APLICATION TYPE** (MARK THE APPROPRIATE BLOCK WITH “X”)

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| **NEW PROJECT** | **ONGOING PROJECT** | **AMMENDED PROPOSAL** |
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1. **RESEARCH TYPE** (MARK THE APPROPRIATE BLOCK WITH “X”)

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| **ACADEMIC** (Research by academic staff or postdoctoral researchers i.e. not for degree purposes) |  |
| **CONTRACT** (Research for contract purposes) |  |
| **DEGREE** (Research for degree purposes – staff or students, including Honours or undergraduate projects) |  |
| **PROTOCOLS** (Research for protocol development) |  |

1. **PROJECT TITLE**

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| |  | | --- | |  | | **B: DETAILS OF RESEARCHERS**   1. **PRINCIPAL INVESTIGATOR/RESEARCHER**  |  |  | | --- | --- | | **STUDENT / STAFF NUMBER** |  | | **INITIALS AND SURNAME** |  | | **TELEPHONE/CELL NUMBER** |  | | **EMAIL ADDRESS** |  | | **STREET ADDRESS** |  | | **PREVIOUS QUALIFICATION** |  | | **CURRENT DEGREE REGISTERED FOR (E.G. MSc ENVIRONMENTAL MANAGEMENT)** |  | | **BRIEFLY ELABORATE ON YOUR PREVIOUS RELEVANT EXPERIENCE IN HUMAN RESEARCH (Include number of years)** |  |      1. **SUPERVISOR**  |  |  | | --- | --- | | **STAFF NUMBER** |  | | **INITIALS AND SURNAME** |  | | **TELEPHONE/CELL NUMBER** |  | | **EMAIL ADDRESS** |  | | **DEPARTMENT** |  | | **HIGHEST QUALIFICATION** |  | | **BRIEFLY ELABORATE ON PREVIOUS RELEVANT EXPERIENCE IN HUMAN RESEARCH (Include number of years)** |  |      1. **CO-SUPERVISOR**  |  |  | | --- | --- | | **STAFF NUMBER** |  | | **INITIALS AND SURNAME** |  | | **TELEPHONE/CELL NUMBER** |  | | **EMAIL ADDRESS** |  | | **DEPARTMENT/INSTITUTION** |  | | **HIGHEST QUALIFICATION** |  | | **BRIEFLY ELABORATE ON PREVIOUS RELEVANT EXPERIENCE IN HUMAN RESEARCH (Include number of years)** |  | | |  |  |  |  |   **C: DETAILS ON FUNDING**  (MARK THE APPROPRIATE BLOCK WITH “X”)   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Is the project fully funded? | **YES** |  | **NO** |  | | Does the funding of the project depend on the project being approved by the Faculty Ethics Committee? | **YES** |  | **NO** |  | | **Please note:** Final approval of the project by the FHDC of the Faculty of Science will depend on the project being approved by the Faculty Ethics Committee. | | | | | |  |  |  |  |

**D: COMMENCEMENT OF RESEARCH**

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| Expected starting date of the study or the part of the project requiring ethical clearance (e.g. 1 March 2020). This date cannot precede the FEC meeting date): |  |
| Expected completion date (e.g. 31 October 2022): |  |
| **I DECLARE THAT THE PROJECT HAS NOT COMMENCED WITHOUT APPROVAL: (Print name and signature of principal investigator)** | **Name:**  **Signature:**  **Date:** |

**E: DETAILS OF THE PROJECT**

###### BRIEF JUSTIFICATION

###### (Provide a brief introductory statement NOT EXCEEDING 500 WORDS and supported by relevant scientific literature that explains what problems, questions, needs or scientific new ideas have led to the planning of the study)

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###### Are the following compulsory documents attached?

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| **Questionnaire** | | **Information sheet /Consent form** | |
| **Yes** | **No** | **Yes** | **No** |

1. **STUDY PARTICIPANTS**
2. State the study area:
3. How will participants be invited to volunteer or how will they be selected?
4. Are the participants subordinate to the person doing the recruiting?
5. If yes, justify the selection of subordinate participants.
6. Will a control group of participants be used?
7. If yes, explain who they are and how they will be recruited.
8. Please specify the number of participants that will take part in the study.
9. What is the age range of participants in the study?
10. If participants are minors, is an informed consent document provided?
11. Is the study gender-specific? If yes, please elaborate.
12. Will the research benefit the participants in any direct way?
13. If yes, explain how?
14. Will participants receive any remuneration?
15. If yes, describe the nature of the remuneration and if monetary, how much they will be paid.
16. Explain the steps taken to ensure **educated informed consent** (make sure that the participants fully understand what they are agreeing to).
17. How will confidentiality be maintained so that participants are not identifiable to persons not involved in the research? Please answer the questions below:
18. Will data be confidential?
19. Will identifiable data be coded and the ‘links’ kept separate?
20. Who will have access to the data?
21. To whom will results be made available?

v. Does the procedures for capturing and processing of data comply with the eight principles of the

POPIA (Protection of Personal Information Act)? For more information on the eight principles, see the following link: <https://www.werksmans.com/wp-content/uploads/2013/04/popifaq.pdf>. Also refer all relevant UJ documentation or policies regarding the POPIA.

vi. Does the project involve the use of existing/available data? (i.e. from a previous study and/or from an existing database)

vii. Was the necessary permission obtained to make use of this data for research purposes?

viii. Was the data originally collected done with the necessary ethical approval? (Please attach the clearance letter as supporting documentation)

1. **AIMS/OBJECTIVES OF THE PROPOSED STUDY**

(State these briefly and succinctly)

1. **EXPECTED RESULTS**

(Briefly summarize the expected results)

1. **STUDY DESIGN (What will be done?)**

(Explain the reasoning behind the study design and planning, with particular reference to determination of sample size and statistical analysis)

1. **STUDY PROCEDURES (How will it be done?)**

(Describe briefly in short annotated sentences IN SEQUENCE, all the steps that will be performed in conducting the proposed data survey or interviews)

1. **RISKS**

9.1. Explain any risks (i.e. safety, health, privacy) to the participants should they participate in the study.

1. **STATISTICAL ANALYSIS**

(Is the data descriptive only or will it be statistically analysed? Describe briefly how the data obtained from the study will be analysed statistically, explain this decision and state by whom the analyses will be performed.

1. **FEEDBACK**

(Will feedback of the final outcome of the study be provided to the participants? If YES, give details of how and when the feedback will be provided. If NO, explain why feedback is not considered necessary or appropriate)

1. **PERMISSION OF RELEVANT AUTHORITY/IES TO DO THE STUDY**

(State the name of authority/ies where applicable. Please attached copies of the letters of approval)

1. **ANY OTHER INFORMATION, WHICH MAY BE OF VALUE TO THE COMMITTEE, SHOULD BE PROVIDED HERE.**

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**F: SIGNATURES:**

**THE APPLICANT/S CONFIRM THAT THE INFORMATION PROVIDED IN THIS APPLICATION IS CORRECT AND A TRUE REPRESENTATION OF THE PROPOSED RESEARCH**

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| **SUPERVISOR /**  **LECTURER:** | **SIGNATURE & DATE:** |
| **STUDENT:** | **SIGNATURE & DATE:** |
| **CO-SUPERVISOR / COLLABORATOR**  **(add additional rows, if necessary):** | **SIGNATURE & DATE:** |

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| **Departmental screening by**  **FEC member or senior staff member prior to submission (NAME AND SURNAME):** |  |
| **SIGNATURE AND DATE:** |  |

**G: REFERENCES:**

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