

**Application Form**

**Limpopo Research Ethics Committee**

**Instructions**

1. This form must be completed by all researchers who require ethics clearance. Note that staff departments, must also complete the form.
2. Completed applications must be emailed to lprecsecretariat@premier.limpopo.gov.za
3. Applications may be submitted as soft (electronic) copies, but the first page of the application must contain the signatures of the researcher and supervisor. Final revised versions must be in soft (electronic) copy as all documentation will be archived.
4. Incomplete applications will **NOT** be considered, including where signatures are missing.
5. Necessary supporting documents (e.g. *research proposal, Information Sheet, Consent form*, child assent form, copies of instruments, permission letters, university ethical clearance certificate etc), must be provided*.*

**SECTION A**

**Complete this checklist to show what documents you have submitted and that you agree with the conditions of application.**

|  |  |
| --- | --- |
|  | Completed ***Ethics Application Form****.* |
|  | Copy of the ***Research proposal.*** |
|  | Copy of proposed ***Research instruments*** (e.g. questionnaires/interview schedules). |
|  | ***Participant Information Sheets***(for each different sample group and/or instrument used). |
|  | ***Consent forms*** (for each different sample group and/or instrument used). |
|  | ***Relevant permission letters*** if required (from, e.g. provincial department, ethical clearance certificate etc.) - |
|  | **Research Data Management Plan** |

**SIGNATURES (REQUIRED)**

***Declaration: We, the signatories, declare that all information on this form is correct and that we will strive to maintain the highest ethical standards in this research at all times, according to disciplinary and government expectations, recognising that ethical practice in research is always a continuing process.***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| I recognise that it is my responsibility to conduct my research in an ethical manner according to Guidelines of the Limpopo Provincial Government, according to any laws and/or legal frameworks that may apply, and according to the norms and expectations of my discipline. In preparing this Application for Ethics Clearance form, I have consulted the ***National Department of Health Ethics in Health Structures: Principles, Processes and Structures*** (available on this website: ( <https://www.health.gov.za/nhrec-home/> ). In receiving ethics clearance, I agree to abide by the conditions of data collection as outlined in the *Guidelines* document.  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |

**By signing this form, the researcher and supervisor of this project undertake to ensure that any amendments to this project that are required by the Human Research Ethics Committee are made before the project commences.**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Date | Name | Signature\* |
| **Applicant** |  |  |  |
| **Supervisor**  |  |  |  |

\*electronic signatures are permitted but there are requirements governing this – please see *Guidelines* *for Applicants* document.

|  |  |
| --- | --- |
| **SECTION B** |  |
| **1. Summary of risk categories of this research project** |
| **1.1** Does this project involve human participants? |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| **1.2** I have read and understood the risk categories table *Applicants must have read the table of risk level category definitions on the final page of this document.*  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| **1.3** The applicant must tick the box for the category that best applies to this project:

|  |  |  |
| --- | --- | --- |
| **Risk category** | **Tick the appropriate box**  |  |
| No risk |  |  |
| Minimal risk |  |  |
| Low risk |  |  |
| Medium risk |  |  |
| High risk |  |

 |
| **1.4** Will human participant research involve **vulnerable categories**?  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| If **YES** state which ones: |
| If **YES**, how will **existing vulnerabilities** among research participants be addressed? |
| **1.5** Does this research expose either the participant(s) or the researcher(s) to any **potential risks or harm** to which they would not otherwise be exposed? |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| If **YES**, how will **potential risks or harm** be addressed?*See the* Guidelines for Applicants *document for guidance on a distress protocol, if needed* |
| **NB:** Vulnerability is context specific. The term 'vulnerable categories' includes, among others, children under 18, orphans, prisoners, persons with cognitive or communication disorders, people who are traumatised or currently in traumatic situations. Vulnerable categories do not necessarily include poor or marginalised communities, older people, women, people with disabilities (unless it results in diminished capacity to give informed consent). Not all research involving ‘vulnerable categories’ is Medium or High Risk research: here vulnerability must be considered in terms of the nature of the research and the context in which the research is carried out. Where necessary, include details of steps to be taken to facilitate data collection across language barriers (e.g. interpretation or translation).  |

|  |
| --- |
| **2. Researcher's personal data** |
| Your family name:  | Your first name:  |
|

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Mr |  | Ms |  | Other : \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Title:  |
| Institution:  |  |
| Your student number:  |  |
| Your email:  |  |
| Your tel number:  |  |
| Name of supervisor(s):  |  |
| Your supervisor’s email: |   |
| Your supervisor’s tel number: |  |
| **2.1** Is this application for a multi-researcher project (i.e. several researcher working on exactly the same topic under the same supervisor/institution)?If **YES**: List the names and their contact details of co-researchers working on this project: |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |

|  |
| --- |
| **3. Research project** |
| **3.1** Title of research project: |
| **3.2** Is this research for degree purposes?  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| **If no give explanation:** |  |
| If so, for what degree?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Honours |  | Masters (research report) |  | PhD \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
|  | Other (specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

  |
| **3.3** Has the proposal been **approved** by the relevant committee ?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  | Submitted and pending. If no explain why?? |

 |
| **3.4** Will any **additional researchers** be covered by this ethics protocol (including translators/interpreters, research assistants, etc. but not including supervisors)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

If yes, please specify their names, affiliations and roles: |
| **3.5** What are the **aims and objectives** of the research? (Please be specific) |
| **3.6** **Summary or abstract of the research** **(100 words maximum)***Give a brief outline of the research plan such that reviewers can understand what the study is about, who the participants are, and how you will collect the data* |
| **3.7** Do you have any **financial or material interests or a relationship** associated with your research participants or with the organisations that you will be involved with in your research? (such as a familial relationship; lecturer/student relationship; collegial relationship; employer/employee relationship)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Yes |  | No |  |

If yes, please explain how you will **manage any existing or potential conflicts of interest and potential coercion** during recruitment and data collection, if applicable: |
|  |
| **4. Formal permission** |
| **4.1** **Where** will the research be carried out? (Please give a specificlocation and /or the names of specific organisations or institutions) |
| **4.2** Has appropriate **formal permission been obtained**, if required (e.g. employer, government department, land owner, etc.)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes (attached) |  |  Not required |  | Pending (must be supplied before ethics clearance can be given) |

 |
|

|  |  |
| --- | --- |
|  | No  |

 |
| **NB:** Obtaining permission is often necessary when conducting research *within the premises* of a particular site such as an ethnographic study of the functioning of a supermarket or a school, or the way staff interact with clients in a clinic or how members of a closed social media group interact/post on a specific topic. Permission is also required to use data from personal communication with participants or experts. Please note that any research done on Provincial Government Departments and Municipalities employees requires formal permission (Gatekeeping permission) from the Departmental Heads of Department and Municipal Managers obtainable through their institutions. .  |

|  |
| --- |
|  |

|  |
| --- |
| **5. How will data on human research participants be collected** (instruments, methods, procedures)? (tick all applicable boxes) (**NB:** All applicable instruments must be attached to the application)  |
|

|  |  |
| --- | --- |
|  | Hard copy questionnaires or diagnostic tests, etc. |
|  | Online instruments (e.g. questionnaires, surveys) |
|  | Individual interviews (e.g. structured, semi-structured, etc.) |
|  | Personal communication (e.g. email or informal conversation with experts) |
|  | Group interviews (e.g. seminar/discussion groups, focus groups, etc.) |
|  | Ethnographic observation, participant observation, other informal descriptive, and/or interactive methods (you **must explain** the ethnographic methods in the box below) |
|  | Autoethnography |
|  | Community-based methods or techniques such as drama workshops, community theatre, training workshops, participant rural appraisal, rapid rural appraisal, etc. (you **must explain** in the box below) |
|  | Research on/in therapeutic or counselling contexts |
|  | Putting on your own exhibition / public performance |
|  | Observation of public performances, and/or public behaviour observation |
|  | Photography  |
|  | Video recording |
|  | Audio recording (e.g. of interviews) |
|  | Use of data from social media |
|  | Other research methods or techniques (you **must explain** in the box below) |

 |
| Explanation of **research methods** specified above, and / or explanation of any other **research methods that are not listed** above: |

|  |
| --- |
| **6. Who will the research participants be**? |
| **6.1** List the **different** participant groups (e.g. experts, community members, key informants) that you will be working with in your project:  |
| **6.2** Description of these participant groups, including **age range** and **sample size**, for **each group**: |

|  |
| --- |
| **7. How will informed consent be obtained?** |
| **7.1** How will **potential participants** be **identified / selected / recruited**? |
| **7.2** How will informed consent be obtained?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Formal (Signed form) |  | Informal (e.g. verbal) |  | Other (e.g. online survey) |

 |
| If you cannot obtain **formal written consent**, explain why:  |
| **NB**: Attach *Participant Information Sheets* and *Consent Forms* for each sample group (please label these carefully), and/or other related materials.It is essential that participants in research be fully informed (irrespective of the method used) and then be able to agree on this basis to participate in the research. |

|  |
| --- |
| **8. Protecting participant identities** |
| 8.1 Can **confidentiality** of participants’ responses be guaranteed throughout the **data collection** process?  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| 8.2 Can **anonymity** be guaranteed throughout the **data collection** process? |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| 8.3 Can **anonymity** be guaranteed in **resulting research reports** or publications? |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |   | No |

 |
| 8.4 Explain how you will manage issues of **anonymity and confidentiality** in your project (What will participants be told in this regard?): |
| **Definitions**: ***Confidentiality***: that any information considered confidential by the participant or researcher will not be disclosed to others. ***Anonymity throughout the data collection process****:*that you as the researcher will not be able to identify the participant. ***Anonymity in the resulting reports***: that the participant’s name/identifying data will not be disclosed and that anyone reading your results will not be able to identify the participant. **NB**: While confidentiality may be desirable, it cannot be guaranteed in, for example, focus groups, or ethnographic observations. Similarly, anonymity should be preserved in questionnaires, but cannot be offered in workshop methodologies, focus group research, etc. Participants should have the right to remain anonymous in the final report and this must be respected in handling of all data relating to them. Participants need to be informed about these issues through the *Participant Information Sheet*. |

|  |
| --- |
| **9. Protection of data during and after the research** |
| **9.1** How will the data be protected while the research is **in progress**? (This includes how the identities of participants will be protected). |
| **9.2** What is to be done with the research data **after completion** of the project? Please note that usage of data should be consistent with what is indicated to participants in the *Participant Information Sheet* and *Consent Form*.

|  |  |  |  |
| --- | --- | --- | --- |
|  | Stored in archives (specify below) |  | Stored in online database (specify below) |
|  | Stored in password protected computer |  | Stored in digital form with all identifying features removed |
|  | Stored for future secondary analysis |  | Destroyed after … years (insert numbers of years, if applicable) |

Please specify which **archives or online databases** will be used (if applicable): |
| **NB**: ‘Raw' or unprocessed data, especially **where the identity or personal data of research participants is included, must be safeguarded** and preserved from unauthorised access. Data may be destroyed after use, but **preservation in an archive or personal collection** may also be appropriate, desirable or even essential. For instance, datasets that contain **historically important information** or information that relates to **national heritage** must be preserved and should be placed in a public archive where possible and appropriate. An **online database** could include secure databases such as REDCAP, or open access databases (see loadb.org for examples). All data should be preserved in a way that **respects the nature of the original participants’ consent**. If you are unsure about the procedure of data management and storage, please contact the Data Services Librarian.  |

****

**LPREC REVIEW CHECKLIST**

|  |
| --- |
| The following checklist provides a quick way to establish whether you have attached all the required documentation and have all the necessary standard items on the proposal. This checklist must be completed together with the LPREC application form. N.B: **All documents outlined below must be submitted. Incomplete applications will not be reviewed.** |
| **Tick the appropriate response** | **YES** | **NO** |
| 1. Approved Research Proposal by the researcher’s institution.
 |  |  |
| 1. Problem statement clearly articulated
 |  |  |
| 1. Research Questions clearly articulated
 |  |  |
| 1. Research aim and objectives clearly articulated
 |  |  |
| 1. Contribution of the study to the body of knowledge clearly articulated (applicable to PHD studies only)
 |  |  |
| 1. Research Methods (also explain how research methods will be applied)
 |  |  |
| 1. Ethical considerations (provide ethical principles and how they will be adhered to)
 |  |  |
| 1. Ethical Clearance Certificate from a registered REC
 |  |  |
| 1. Data Collection Tools e.g. Research questionnaires (i.e. paper-based format, electronic format, structured interview)
 |  |  |
| 1. Attached Information Sheet/leaflet
 |  |  |
| 1. Attached Informed Consent documents for the respective participant groups
 |  |  |
| 1. Attached Assent form in case of minors
 |  |  |
| 1. Research Data Management Plan
 |  |  |



**LPREC Research Data Management Plan Template**

**What is a Data Management Plan (DMP)**

A data management plan (DMP) is a written document that describes the data you expect to acquire or generate during a research project, how you will manage, describe, analyze, and store those data, and what mechanisms you will use at the end of your project to share and preserve your data.

**Creating a Data Management Plan**

Research is all about discovery, and doing research sometimes requires you to shift gears and revise your intended path. Your DMP is a living document that you may need to alter as the course of your research changes. Remember that any time your research plans change, you should review and revise your DMP to ensure it meets your needs.

**1. Project Information**

* 1. **Project Title** (Exactly as in the proposal that the RDM accompanies)
	2. **Department/Institution Name:**
	3. **Principal Investigator:**
	4. **Contact Information:**
	5. **Start and End Date:**
	6. **Project Description:**

**2. Data Collection and Description**

* 1. **Data Types:** (Types of research data to be managed in the following terms e.g. quantitative, qualitative, generated from surveys, interviews, electronic health records, images etc)
	2. **Data Formats**: (File formats, videos, audios, photographs, software used, number of records, databases, e.g. CSV, Excel, PDF, etc.)
	3. **Method of Data Collection**: (How will data be collected e.g., surveys, interviews, observations, sensors, etc.)
	4. **Data Protection/ Management:** (How will the collected data be protected)

**3. Legal and Ethical Considerations**

* 1. **Data Ownership:** (Who owns the data? e.g., government department, third-party etc).
	2. **Intellectual Property:** Who owns the data and how will intellectual property be protected if needed. Who is responsible for personnel with access to data? Any copyright restrictions must be noted. Are there any legal requirements? If so, provide a list of all relevant federal and funder requirements.
	3. **Data Licensing:** Is the data subject to any licenses? (e.g., Creative Commons).
	4. **Ethical Compliance:** Does the research comply with ethical guidelines? (Yes/No)
	5. **Data Sensitivity:** Are there any privacy and confidentiality issues or restrictions related to the data? (e.g., personally identifiable information, classified data)

**4. Data Storage and Backup**

* 1. **Managing, storing and curating data**. (Briefly describe how data will be stored, backed up, managed and curated in the short to medium term. Locations: (e.g., cloud storage, on-premise servers, external hard drives)
	2. **Backup strategy:** How will data be backed up and secured? (e.g., daily backups, automated backups, encrypted storage)
	3. **Data security:** What security measures will be used? (e.g., encryption, access control, passwords)
	4. **Data preservation strategy and standard.** (Plans and place for long-term storage preservation and planned retention period for the research data. Indicate which data may not be retained if any).

**5. Data Sharing and Access**

* 1. **Data Sharing Plan:** Will the data be shared? (Yes/No)
	+ If yes, with whom? (e.g., other departments, public, researchers)
	+ How will data be shared? (e.g., through a data portal, repository etc.)