



**POLICY: CONDUCTING ETHICAL RESEARCH**

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<b>Brief Description</b>	<p>This policy aims to enable researchers and academics to:</p> <ol style="list-style-type: none"> <li>Undertake ethical research</li> <li>Maintain their independence, especially when confronted with undue influence or pressure that may compromise the integrity of the research</li> <li>Discourage unethical research practice/s</li> <li>Preserve and promote the autonomy, quality, legitimacy and credibility of Research.</li> </ol>
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## 1 INTRODUCTION

The Da Vinci Institute is an accredited private higher distance education provider (Registration No. 2004/HE07/003) offering qualifications on NQF levels five to ten, which are registered on the Higher Education Qualifications Sub-Framework (HEQSF). This policy forms part of the institutional Integrated Quality Management System and details the principles for ensuring that programme offerings adhere to required academic standards and empower students to contribute to the transformation of their communities, society, and the economy of the future. This approach is underpinned by the Business- and Community-based Action Learning discourse on the co-creation and distribution of relevant knowledge. The Institute offers outcomes-based distance education with an emphasis on the Mode 2 discourse on knowledge production.

- a. The Institute is committed to:
  - I. Undertaking and promoting research that will benefit society
  - II. Being guided by integrity, accountability and academic rigour in research
  - III. Promoting an institutional ethos that is conducive to critical discourse, intellectual curiosity, tolerance and a diversity of views
  - IV. Maintaining a supportive environment for researchers in which they may be autonomous and ethical in their work.
- b. The Institute strives for excellence in research that can withstand academic peer review and public scrutiny
- c. The Institute espouses the constitutional values of human dignity, equality, social justice and fairness
- d. The Institute affirms the constitutional principles of academic freedom and freedom of scientific and social research.

## 2 DEFINITIONS

Term	Definition
Ethics	The principles that govern behavioural conduct within The Institute
Novice Researcher	Individuals entering the research field with little or no experience in conducting research
Principal Researcher	The lead researcher for a funded or commissioned research project who is responsible for overall research project and oversees a team of researchers and/or field workers
Research Ethics code	A set of principles governing conduct and decision-making related to the scope of this policy
Researcher	Someone who conducts systematic inquiries to produce knowledge or to verify existing knowledge
Research Activities	Any systematic investigation or inquiry aimed at the production of knowledge, or contribution to the body of

Term	Definition
	knowledge. Any activities complying with these requirements are regarded as research.

### 3 REGULATORY FRAMEWORK

This policy is benchmarked against, and should be read in the context of the relevant legislation underpinning the principles against which institutional policies, processes and standard operational procedures are developed, implemented and maintained. These include:

#### A. Regulatory legislation:

- I. Constitution of the Republic of South Africa (No. 108 of 1996)
- II. Criteria for Programme Accreditation (CHE, 2004)
- III. Distance Higher Education Programmes in a Digital Era: Good Practice Guide (CHE, 2014)
- IV. Higher Education Act 101 of 1997 as amended Act No. 39 of 2008
- V. National Policy and Criteria for Designing and Implementing Assessment for NQF Qualifications and Part Qualifications and Professional Designations in South Africa (SAQA, 2017)
- VI. Protection of Personal Information Act (POPIA) (2013), which came into effect on 1 July 2020

#### B. Applicable Da Vinci documents:

- I. D1: Nomination and Appointment of Examiners
- II. D6: Appointment, Management and Development of Faculty
- III. D12: Students-Supervisor Relationships
- IV. D10: Appointment of Research Supervisors
- V. Research Policy Guidelines: External examiners of dissertations and theses
- VI. Research Policy Guidelines: Supervisor and student roles and responsibilities.

### 4 SCOPE

This policy covers all techniques and activities through which data is gathered, co-constructed, interpreted, processed, and disseminated.

The policy applies to all stakeholders in research, including The Institute's staff, researchers, students, research participants, peer reviewers, consultants, clients, funders and sponsors.

All research conducted at and for The Institute requires ethical clearance before data can be collected. However, the policy does not apply retrospectively. Any researchers who are currently conducting research without ethical clearance should report to the Research and Ethics Committee on the extent to which their current research complies with the policy.

## **5 PURPOSE**

This policy is not intended to restrict or discourage research at The Institute, however, this policy aims to:

Enable researchers and academics to:

- e. Undertake ethical research
- f. Maintain their independence, especially when confronted with undue influence or pressure that may compromise the integrity of the research
- g. Discourage unethical research practice/s
- h. Preserve and promote the autonomy, quality, legitimacy and credibility of Research.

This policy further aims to ensure that:

- i. An ethical and scientific intellectual culture prevails among its employees and students
- j. The rights and interests of human participants are protected. This is particularly important where information gathered has the potential to invade the privacy and dignity of participants, and where participants are vulnerable
- k. Research is conducted ethically regardless of the context/s and methodologies employed, whether it is qualitative, quantitative or mixed methods research, or collaborative research between international researchers and host country institutions. Such collaboration may raise ethical concerns, which include the possible exploitation of vulnerable populations and indigenous people as well as the possible infringement of intellectual property rights.

## **6 RIGHTS AND RESPONSIBILITIES OF THE INSTITUTE**

- a. The Institute should respect the autonomy and academic freedom of researchers to the extent that they conform to ethical conduct
- b. The Institute should create and maintain an enabling environment in which researchers may conduct ethical research
- c. The Institute should ensure the appropriate implementation of the policy
- d. As a general rule, all intellectual property resulting from research that was conducted with The Institute's funds, or use of its resources, vests in The Institute. However, agreements may be entered into, according to which the outcomes and benefits of research are shared with the researchers, funders and/or participants or communities involved. These include intellectual property ownership, data, technologies, prototypes and instruments developed in the research, such as questionnaires and analytic designs or methods.

## **7 RIGHTS AND RESPONSIBILITIES OF RESEARCHERS AT THE INSTITUTE**

- a. Researchers have the fundamental right to academic freedom and freedom of scientific research provided that it is conducted in an ethical manner
- b. Researchers are responsible and accountable for upholding the principles of ethical research
- c. Researchers should ensure that they are competent to conduct research
- d. Researchers should act with integrity in a responsible manner and strive to achieve the highest possible level of quality. This applies to the whole range of research, including generating and analysing data, publishing results, and acknowledging the direct and indirect contributions of participants, fellow researchers, collaborators, and others
- e. Researchers must avoid plagiarism, piracy, falsification or the fabrication of sources or results during the research. These are regarded as serious disciplinary offences that will be investigated by the Research and Ethics Committee, and the findings will be reported to The Institute or the research sponsor
- f. The findings of research should be reported accurately and truthfully, and historical records and empirical data must be stored for a period of five years whereafter it must be destroyed by the researcher, unless otherwise stipulated by the Research and Ethics Committee or requested by the researcher. Electronic research data is to be deposited in an appropriate repository in accordance with any contractual obligations
- g. Researchers must refrain from undertaking or continuing any research that contravenes this policy, violates the integrity and/or validity of research and/or compromises autonomy.
- h. If research is conducted that violates this policy or any of the ethical principles it promotes, then the violation should be reported to the Research and Ethics Committee, who will decide on appropriate remediation
- i. Researchers should undertake only such research as, according to their understanding, will benefit society and make a contribution to the body of knowledge
- j. Researchers are advised to use resources judiciously and to avoid the unnecessary duplication of research
- k. Researchers have a right and a duty to make all necessary efforts to bring the research and its findings to the public domain in an appropriate manner and at an appropriate time. The publishing of research findings should be done in a manner that will not harm research participants or their communities
- l. Except where approved by the Research and Ethics Committee, researchers should not undertake deceptive, covert or classified research. Written permission should be obtained from client(s), sponsor(s) and funder(s) based on a detailed motivation from the researcher, to publish research in scholarly peer-reviewed journals
- m. Researchers have a responsibility towards those involved in, or affected by, their research. They should make reasonable efforts to anticipate and to avoid the

possible undesirable or harmful consequences of the research. Researchers should take reasonable corrective actions to mitigate potential harm to participants/respondents.

n. Relationship among researchers:

- I. Principal researchers are responsible for the ethical conduct of research by novice researchers and field workers. The principal researcher has a further responsibility to delegate only those responsibilities to novice researchers that they are capable of performing
- II. Novice researchers have a responsibility to obtain the necessary knowledge and skill to conduct high quality and ethical research
- III. In the case of postgraduate research supervision, it is the responsibility of the supervisor to guide the student in conducting the research, but it is the student's responsibility to ensure that they have the necessary knowledge and skills to conduct their research in an appropriate and ethical manner
- IV. Researchers must not engage in discriminatory, harmful, or exploitative practices or harassment
- V. Supervisors must not impose their personal preferences, views or beliefs on students in order to influence the direction or outcome of the study
- VI. Researchers must not coerce other researchers to participate in a research study and all researchers have the right to withdraw from a study without having to face adverse consequences
- VII. Any member of the research team may not publish any of the research findings without the consent of fellow team members
- VIII. In addition to researchers and students, other individuals such as administrative employees of The Institute who may have access to data or identifying information, should be briefed on ethical issues and this policy, including the participants' right to confidentiality.

o. Data sharing:

- I. Researchers must ensure the protection of the interests of participants, particularly their right to confidentiality when publishing results
- II. Researchers may not share any data with another party, without written permission from participants/respondents and the Research and Ethics Committee
- III. De-identified data may be shared, if necessary, before publication, among researchers and peer reviewers as deemed necessary
- IV. Research data must be made available for re-use or re-purposing where possible, subject to privacy, ethical, contractual, or legal limitations that prevent the sharing of data
- V. As far as possible, researchers should ensure that relevant findings of the research are shared with research participants or communities.

p. Reporting and publishing on research

- I. Researchers are encouraged to publish research findings in scientific journals, books or other media. When researchers agree to delegate this responsibility to other parties they should do so in a mutually agreed manner
  - II. Researchers should present their results clearly, honestly, and without fabrication, falsification or inappropriate data manipulation
  - III. Researchers should strive to describe their methods clearly and unambiguously so that their findings can be confirmed by others
  - IV. The authorship of research publications should accurately reflect individuals' contributions to the work and its reporting
  - V. The purpose of research is to be disseminated as widely as possible. Where there is a conflict between the advancement of scientific knowledge and the protection of intellectual property, such a case must be submitted to the Research and Ethics Committee.
- q. Funding sources and relevant conflicts of interest should be disclosed
- r. The authorship of research publications should accurately reflect individuals' contributions to the work and its reporting:
- I. Authorship and its sequence should be agreed amongst the research team. In all instances the student should be the first author if the publication is based on the student's work
  - II. If research is conducted under the auspices of The Institute or funded or commissioned by The Institute all publications must be affiliated to The Institute
  - III. Upon registration all intellectual property is by default signed over to The Institute unless a mutually acceptable agreement has been reached and documented
  - IV. All contributors other than the authors should be properly acknowledged in the reference section or thanked upfront.
- s. When results are disseminated through popular media, researchers should endeavour to ensure that the limitations and implications of research results are not misrepresented.
- t. Peer review:
- I. Peer reviewers should be aware of the ethical aspects of research and publication. They have to act objectively, impartially and constructively
  - II. If peer reviewers have any actual or potential conflicts of personal or professional interest with the work under review which could jeopardise their ability to undertake the review in a scientific and ethical manner, they should either disclose the same or decline to review the work concerned.

## **8 INSTITUTIONAL COLLABORATIVE RESEARCH**

Before submission of a collaborative research proposal to the Research and Ethics Committee, agreement should be reached between the host research institution and the collaborating institution on all aspects of the research. These include sharing of

intellectual property rights, management of the research process, data management, the fate of data and research specimens, division of responsibilities, finances, research output, publication strategy, sharing of benefits and burdens, development of infrastructure and research capacity in the host country, or a mediator to settle any disputes. Intellectual property rights of parties should be respected and acknowledged as agreed on before the research commences.

## **9 RIGHTS AND RESPONSIBILITIES OF FUNDERS, CLIENTS AND SPONSORS**

- a. Researchers should ensure that they have a research mandate in writing from the client who is sponsoring or funding the research that outlines the scope and deliverables of the research project
- b. The approach regarding the dissemination and publication of findings from the research study should be clarified (e.g. the selection of journals and number of publications)
- c. The client who is sponsoring or funding the research should respect this policy and should not expect researchers or The Institute to undertake research or conduct which is in any way contrary to the policy
- d. This policy must be disseminated to all stakeholders.

## **10 GUIDELINES FOR CONDUCTING RESEARCH**

The Institute promotes the following ethical principles for conducting research that have been benchmarked widely (these principles are not ranked in any order of preference):

- a. Autonomy

Research should respect the autonomy, rights and dignity of research participants

- b. Beneficence

Research should make a positive contribution towards the welfare of people

- c. Non-maleficence

Research should not cause harm to the research participant(s) in particular or to people in general

- d. Justice

The benefits and risks of research should be fairly distributed among people

- e. Relevance

Before undertaking research, adequate consideration should be given to the contextual relevance of the study and how it could potentially contribute to the goals of amongst others, the NDP, SDGs and the greater public good

f. Research competence

Researchers should be adequately qualified to conduct the research

g. Respect for and protection of participants' rights

Researchers should respect and protect the dignity, privacy, safety and confidentiality of participants. Research and the pursuit of knowledge should not be regarded as the supreme goal at the expense of participants' rights

h. Informed and non-coerced consent

Participants and/or respondents may not be directly or indirectly coerced to participate in research, and even when consent to participate was given, those who participate in the research should always have the right to withdraw from the study

i. Respectful, just, and fair engagement

Researchers should treat research participants as unique human beings within the context of their community systems and should respect what is sacred, proprietary or secret by tradition. Research should preferably be undertaken with, and not merely on, an identified community. In some situations, the consent of authorised organisational or community leaders or representatives may have to be obtained in addition to that of research participants

j. Participants/respondents selection

Criteria for the selection of participants/respondents of research should be ethical, justified, explicit and in accordance with the methodology. Easily accessible individuals or groups should not be inordinately burdened with research being carried out repeatedly on them

k. Integrity, transparency, and accountability

The conduct of research should be honest, fair, and transparent. Researchers should be honest about their own limitations, competence, belief systems, values, needs, and be accountable for their actions and the actual/potential outcomes

of the research. Researchers should not abuse their positions or knowledge for personal power or gain

l. Risk minimisation

Researchers should ensure that the actual benefits to be derived by the participants or society from the research clearly outweigh possible risks, and that participants are subjected to only those risks that are justifiable for the conduct of the research. Researchers should ensure that the risks are assessed and that adequate precautions are taken to minimise and mitigate risks. Where the research has proceeded without ethical approval of the Research and Ethics Committee, The Institute accepts no liability or responsibility

m. Non-exploitation

In research that involves humans, participants should be seen as valuable and worthy partners in research. Researchers should respect and protect the rights and interests of participants at every stage and level of research. There may be no exploitation of research participants, researchers (including field workers), communities, institutions, or vulnerable people. There should be benefit to a community in which research is conducted. As far as possible, communities should receive feedback and share possible benefits from research in which they participated.

## **11 RELATIONSHIP BETWEEN RESEARCHERS AND PARTICIPANTS**

Researchers must make every effort to ensure that participants are well informed about any potential risks that may result from participating in the study and must obtain informed consent from participants. In addition, researchers must put the necessary risk-mitigation strategies in place to reasonably safe-guard them against unintended consequences of participating in the research. The researcher should make available clear instructions and guidelines on how participants could get help or support in the event that they are adversely affected. Should researchers not adhere to these guidelines they will held accountable for remedial actions.

- a. Researchers must adhere to best practice regarding participant selection, for example avoiding the over-use of participant selection owing to ease of access. Research should not unreasonably burden or exploit participants or communities and should not unnecessarily consume their time or make them incur loss of resources, opportunities, or income
- b. No qualifying participants should be unfairly excluded from research

- c. Unless consent on a mutually beneficial arrangement is obtained, The Institute and its students should not use a community or research setting as a constant and long-term resource for data collection for curricular research or training
- d. The relevant social, cultural, and historical background of participants should be taken into consideration in the planning and conduct of research
- e. Researchers should not infringe on the autonomy of participants by resorting to coercion, undue influence, or the promise of unrealistic benefits. Coercion may include taking undue advantage of individuals or when a researcher abuses their authority, power, or influence. Participants must always have the choice to participate in or withdraw from research
- f. Any inducement or compensation offered to participants, or their communities must be explicitly disclosed during the ethics application process and in the publication of the research and all participants must be offered similar benefits. However, no inducement may be offered for participation in unethical research. As part of the consent process, reimbursement of expenses (e.g., transport costs, meals) or compensation for time or effort expended or opportunity lost should be documented and agreed upon by all participants before commencement.

## **12 INFORMED CONSENT**

- a. Consent for participation in research is considered to be informed if:
  - I. It is given without any direct/indirect coercion or inducement
  - II. Prospective participants have been fully informed of the purpose of the intended research
  - III. Prospective participants have understood the terms of the research
  - IV. The researcher has answered participants' questions about the research
  - V. It is given before research commences.
- b. The participation of individuals should only proceed after they have freely given specific and informed consent. Researchers should respect participants' right of refusal and their right to withdraw from the study at any point
- c. Consent is not required in instances where personal information has been de-identified and cannot be re-identified, or is in the public domain
- d. Personal information (i.e., information about an identifiable, natural person) may only be collected and processed with the specific informed consent of the individual(s) involved. Only information that is relevant should be collected
- e. For studies where only confidentiality and not anonymity can be guaranteed, participants must sign a consent form. For anonymous studies tacit consent is given when the data collection tools have been completed and submitted and therefore written consent is not required

- f. The researcher should make available clear instructions and guidelines on how participants could get help or support in the event that they are adversely affected
- g. In the event of a longitudinal study where there are multiple data collection points, informed consent should be sought each time
- h. In covert studies where the concealment of certain information is a necessity, the researcher should, before conducting the study, determine whether the use of such a methodology is justified or whether alternative procedures which do not require the concealment of information could be used instead. If the use of such methodology is deemed justified by the researcher, the following should be done:
  - I. A detailed justification for not revealing all necessary information and obtaining informed consent should be provided in the research proposal and it should be subjected to ethical reviews. Only after ethical clearance has been provided should such research be undertaken
  - II. The participants must be debriefed after the study and informed consent must be obtained from them before the collected data can be analysed or published. In no instance, however, should researchers withhold information that could result in any negative consequence for the participant.
- i. Consent where gatekeepers are involved:

In some situations, there may be a need to obtain permission of the “gatekeeper” to access the participants for research. The following care should be taken in such a situation:

  - I. Permission obtained from the gatekeeper may not be substituted for the need to obtain separate and informed consent from the participants. The rights of participants in such a situation are the same as in all other cases
  - II. In obtaining the gatekeeper’s permission, no precondition made by the gatekeeper for access to information or data obtained should be accepted without the consent of the participants
  - III. In the process of research or data collection, care should be taken to ensure that the relationship between the gatekeeper and the participants is not jeopardised.
- j. Vulnerable participants:

Researchers should be concerned particularly about the rights and interests of vulnerable participants, such as children (i.e., those individuals under the age of 18 years), the elderly, pregnant women, people with mental impairments, prisoners, students and persons in dependent relationships, the disabled, indigenous people, and indigents.
- k. Children should only participate in research if their participation is indispensable to the research. In such instances informed consent for the child to participate must be obtained from the child's parents or legal guardians.

### **13 PRIVACY, ANONYMITY, AND CONFIDENTIALITY**

- a. All research participants have the right to privacy to the extent permitted by law (e.g., child abuse cases should be reported to the appropriate authorities in terms of the law)
- b. Privacy includes autonomy over personal information, anonymity, and confidentiality, especially if the research deals with stigmatising, sensitive or potentially damaging issues or information. When deciding on what information should be regarded as private and confidential, the perspective of the participant(s) on the matter should be respected
- c. All personal information and records provided by participants should remain confidential. When conducting interviews, it should be made clear that confidentiality will be safeguarded. Whenever it is methodologically feasible, participants should be allowed to respond anonymously or under a pseudonym to protect their privacy
- d. All personal information obtained directly or indirectly on or about the participants as well as information obtained in the course of research that may reveal the identity of participants should remain confidential and anonymous. This guarantee should also be given when researchers ask consent to use data which is not already available within the public domain (e.g., classified data on prisoners held by the Department of Correctional Services)
- e. Researchers should maintain privacy, anonymity, and confidentiality of information in collecting, creating, storing, accessing, transferring, and disposing of personal records and data under their control, whether these are written, automated or recorded in any other medium, including computer equipment, graphs, drawings, photographs, videos, or other devices in which visual images are embodied
- f. In the case of covert observation (e.g., of a public scene) steps should be taken to ensure that the information will not be used or published in a form in which the individuals could be identified
- g. Researchers should make appropriate arrangements for the preservation and confidentiality of research records for five years after the submission of the report or the results
- h. Risk minimisation should be applied to research records. The possibility of a breach of confidentiality and anonymity should be anticipated, addressed, and explained to the participants as a known risk.
- i. Codes or other identifiers should be used to break obvious connections between data and individuals/organisations/institutions
- j. Confidentiality and anonymity of participants and their localities should be maintained when reporting to clients/sponsors/funders. Participants should not be identified or made identifiable in the report unless there are clear reasons for doing so. If the researcher or institution intends to identify participants or communities in the report, their informed consent allowing such disclosure should be obtained

- k. Research findings published in the public domain (e.g., theses and articles) that relate to specific participants, organisations, or communities, should protect their privacy unless written consent was given to use identifiable information. Identifiers which could be traced back to the participants, organisations or communities in the study should be removed unless written consent was provided
- l. Participants' consent should be sought where data identifying them are to be shared with individuals or organisations not in the research team. They should be provided with information about such individuals or organisations (their names, addresses etc.)
- m. The obligation to maintain privacy, anonymity and confidentiality extends to the entire research team, other researchers at The Institute, The Institute's administrative employees, and all those (from or outside The Institute) not directly associated with the research who may possibly have access to the information.

#### **14 INTERNATIONAL COLLABORATIVE RESEARCH INVOLVING HUMAN PARTICIPANTS**

- a. In international collaborative research, the stakeholders could include, host country institutions, collaborating country institutions, researchers from both, research participants, and/or communities
- b. There should be clear justification for collaborative research and why it needs to be carried out in a particular community. Unless there is clear justification, no research should be done in a host country that could just as easily be done in a collaborating country
- c. There should be clear potential benefit to the community being researched (e.g., access to the best proven methods or treatment identified by the study)
- d. Research involving human participants may not commence without ethics approval by the Research and Ethics Committee of all collaborating institutions
- e. Research may not commence without informed consent from participants and/or communities
- f. There may be no exploitation of institutions, researchers, research participants or communities
- g. Funders, sponsors, and clients may accept responsibility for payment of compensation for research injury, if agreed to in writing
- h. Institutions and researchers should assist indigenous communities and traditional societies to protect their knowledge and resources and should respect what is sacred and secret by tradition
- i. Those involved in international collaborative research should have some understanding of, and be sensitive to, the social, economic, and political conditions in which the research is carried out. This will alert them to the need to protect research participants who are, for example, subject to deprivations through poverty.

## 15 ACKNOWLEDGEMENTS AND WORKS CONSULTED

- a. Access and benefit sharing: good practice for academic research on genetic resources website:  
<http://abs.scnat.ch>
- b. National Committee for Ethics in Social Science Research in Health (NCESSRH) (2003)  
<http://www.hsph.harvard.edu/bioethics/guidelines/ethical1.html>  
<http://www.gal.ac.uk/R-E/pub/policies/goodpractice>
- c. South African Human Sciences Research Council *Draft Code of Research Ethics*.  
<http://www.hsrc.ac.za/about/researchEthics/draftCode.html>
- d. South African Medical Research Council *Guidelines on Ethics for Medical Research: General Principles (Book 1)* (2002)

## 16 REVIEW OF THIS POLICY

Regular review and amendment of this policy will be done in line with the approved institutional policies and regulatory requirements. This will take place in consultation with the relevant quality assurance structures at departmental and institutional level, under the auspices of the official custodian of this policy, namely the Executive Dean: Research and Institutional Partnerships.


## 17 APPENDIX A – REQUIREMENTS FOR THE COMPLETION OF THE ETHICAL CLEARANCE APPLICATION FORM

- a. Purpose of research: The aims, implications (including commercial ones) and possible outcomes of the intended research should be stated in understandable language
- b. Risks and benefits: The possible, anticipated, and potential benefits and the potential risks (direct/indirect, immediate/long term) of the research should be explained. These include discomfort and unpleasant emotional experiences. Where questionnaires or interviews are involved, participants should be informed of the nature of questions posed, for example, that they are sensitive or emotionally disturbing, or that they cover personal issues such as health, sex life or criminal behaviour. Where research may affect communities (e.g., when genetically modified organisms are studied) they should be informed and consulted on possible long-term effects for them
- c. Methods of study and participants' actual role in research
- d. Participants should be informed of the estimated time that participation in the research will take
- e. The name, address and telephone number of the primary researcher(s) and the name and telephone number of the Supervisor.

- f. Measures to ensure privacy, anonymity, and confidentiality of participants, as well as any risk of breach of confidentiality and anonymity should be explained. If data and identity provided by participants in group discussions cannot be kept anonymous and confidential, this should also be disclosed
- g. Participants should be informed of any possible future use of the information obtained, including publication of research findings, use as a database, archival research, recordings for educational purposes, and use as secondary data (i.e., anonymous, or abstracted information that does not violate the privacy, anonymity, and confidentiality of participants)
- h. Participants should be informed that they have the right to decline their consent outright, or to withdraw their given consent at any time without any penalty or prejudice. They can refuse to answer certain questions that form part of an interview and can object to the use of data gathering devices, such as cameras, recorders, and so forth.



## ETHICAL APPLICATIONS PROCEDURE

Policy Code	D15-P1	Authorised by	Benjamin Anderson
Version	V1	Signature	
Date Approved	15/02/2019		

Date Reviewed	Version History
31/07/2018	V1
15/02/2019	V1

### 18 Procedure Description

This procedure will ensure that the research projects do not proceed without appropriate ethical clearance and review where necessary.

Step	Description	Notes
1	The research proposal is approved and the Supervisor/s is /are appointed	
3	The student meets with the Supervisor and agrees on the research instruments and processes	

4	The Ethical Clearance application is completed and signed off by the student and submitted to the Supervisor, together with relevant documentation	Ethics application form is available on website
5	The Supervisor is to review the application and sign and forward it to the student	
6	The Student is to submit all documentation to relevant Programme Convener who will save copy on the server and submit application to the Ethics Committee for review and consideration	
7	Ethics committee considers application	
8	If the application is approved, the ethical clearance letter is issued by the Research Office and the student may continue with the research under the guidance of the Supervisor/s	
9	The approved ethics clearance letter is saved on the server by the Programme Convener	
10	If application for ethical clearance is denied, feedback is provided to the student for amendment/s or redevelopment and re-submission of the application	
11	The student can reapply and submit all documentation to relevant Programme Convener by following Step 6 above.	

#### Stakeholders

#	Stakeholder
1	Dean: Teaching & Learning
2	Dean: Research
3	Registrar
4	Programme Co-ordinator
5	Programme Convener
6	Lecturer
7	Supervisor

