

# Information Requirements for Proposals

This is to be used in conjunction with the *APP804 Research Ethics Policy*, *APP803b Code for Responsible Conduct of Research*, and *APP803c Research Project/Programme Application Form*, including screening checklist, to assist researchers with preparation of application for research project/programme.

## 1 Participants

The project/programme application needs to describe the intended participants.

- Does the research involve participants who may be unable to give informed consent? (Refer to section 2)
- Does the research involve Ara staff or students whom the researcher also teaches? This could be a conflict of interest.
- Does the research involve participants from vulnerable groups or cultural/social groups that are different from the researchers? (Refer to section 3)
- Does the research involve Maori, ethnicity or cultural issues? (Refer to section 3)

The proposal needs to outline the method of recruitment how potential participants will be accessed or recruited. Do you need to access participants through a gatekeeper or organisation, such as a school or community group? If yes an information letter consent for or contract for this organisation shall be included in the application.

Indicate which, if any of the following apply and how the risks will be addressed:

- Any incentives to be offered?
- Any assistance offered e.g. counselling.
- Any hazards risk (including deception) that participants will encounter.

## 2 Informed Consent

State what the consent is for:

- Data collection.
- Use for conference report or publication.
- Use for some particular purpose e.g. report.

How is consent to be obtained? Written, oral or implied? Indicate which apply:

- The research is strictly anonymous: an information sheet is supplied and informed consent is implied by voluntary participation in filling out the questionnaire for example, (include copy of information sheet and/or questionnaire containing information).
- The research is not anonymous but the identity of the participants and identifiable information supplied by the participants will be kept confidential; informed consent will be obtained through a signed consent form (include copy of information sheet and/or questionnaire containing information).
- The research is neither anonymous nor confidential and informed consents will be obtained through a signed consent form (include copy of information sheet and/or questionnaire containing information).

If research is not conducted on a strictly anonymous basis, state how issues of confidentiality of participants will be protected (e.g. who has access to data, audio tapes, transcriptions, confidentiality agreement signed by transcriber etc). Distinguish clearly between anonymity and confidentiality.

Indicate which of the following apply:

- Access to research data is restricted to researchers.
- All opinions and data will be reported in an aggregated form in such a way that individual persons are not identifiable.
- Other (please specify)

Participants need to know their right to withdraw from a research project:

- At any time e.g. during an interview.
- Up until the time of data processing.
- Until publication or article written.

Does the research involve collaboration with or receive external funding from external sources? If so this needs to be acknowledged in the information sheet.

### **3 Cultural and social responsibility**

Researchers should be aware and respect:

- That in some communities, the rights and autonomy of an individual may be complicated and constrained by community members or collectives who have specific authority over, or cultural ties to, that individual. In such cases collective consent can be obtained, however individuals still have the right to choose whether or not to participate in the study.
- In communities in which collective values are emphasised, the benefits of research for the wider community may be considered of greater importance than the benefits to individual participants.
- Respect begins with researchers having at least some knowledge of the culture of the research participants (ensuring researchers are culturally safe may require training).

Intending researchers should seek advice from appropriate cultural adviser/s or organisations as to whether consultation is required and, if so, when and how. If it is, consultation should begin as early as possible in the project and should continue throughout its duration. Consultation may include the following:

- Ensuring that research practices are appropriate and acceptable to participants.
- Establishing appropriate informed consent procedures and privacy protocols.
- Safeguarding against discrimination and stigmatisation.

The researcher needs to document the consultation process.

Researchers should also be cognisant of potential implications or interest that the process and outcomes of the research might have for other cultures or groups. If it is anticipated that research exposes a participant or a group to a specific risk, this must be disclosed.

If appropriate, liability agreements should be drawn up between the researcher and the participating individual and/or group before commencement of the research.

### **4 Data storage, and disposal**

Include the procedure for the storage of, access to, and disposal of data both during and at the conclusion of research. Indicate in the proposal and on the information sheet which of these apply:

- All written materials will be kept in a locked file and access is restricted to researchers.
- All electronic information will be kept in a password-protected file and access will be restricted to the researcher/s.
- All questionnaires, interview notes and similar materials will be destroyed at a specified time.
- Any video or audio recordings will be electronically wiped (specify timeframe).
- Other procedures (please specify).
- If data and material are not to be destroyed, indicate why and the procedures envisaged for on-going storage and security. For example in oral history research it may be valuable to archive tapes and transcripts - this needs to be explained in the information letter and participants need to be able to choose whether to consent to this (on the consent form).

## **5 Feedback procedures**

Indicate whether or not feedback or copies of reports/papers will be provided to participants, in what form and at what point. If feedback will not be given, indicate the reasons why.

## **6 Reporting and publication of results**

Indicate which of the following are appropriate. The proposed form of disseminating publications should be indicated on the information sheet and/or consent form:

- Publication in academic or professional journals.
- Dissemination at academic or professional conferences.
- Research report.
- Other (please specify).

## **7 Summary of information**

Information on consent forms include:

- Purpose of the research
- Why it is being undertaken?
- What the consent is for?
- Data storage and disposal
- Participants can withdraw from a research project, usually at any time
- Protection of participant confidentiality
- Any assistance offered e.g. counselling
- Any hazards risk that participants will encounter and how these are managed and mitigated
- How findings will be disseminated
- Any incentives to be offered?
- Who to contact?

Information Sheets to Organisations include information on:

- Purpose of the research
- Why it is being undertaken?
- What the consent is for?

- Is consent oral, written implied?
- Data storage and disposal
- Participants can withdraw from a research project, usually at any time
- Protection of participant confidentiality
- Any assistance offered e.g. counselling?
- Any external funding is acknowledged in the information sheet?
- Any hazards risk (including deception) that participants will encounter and how these are managed and mitigated?
- How findings will be disseminated
- Any incentives to be offered?
- Who to contact?