**Human ethics applications must be submitted as one PDF and emailed by the deadline date to***:* **humanethics@otago.ac.nz**



**UNIVERSITY OF OTAGO HUMAN ETHICS COMMITTEE APPLICATION FORM: CATEGORY A**

**Form updated: July 2023**

*Please ensure you are using the latest application form template available from:* [*http://www.otago.ac.nz/council/committees/committees/HumanEthicsCommittees.html*](http://www.otago.ac.nz/council/committees/committees/HumanEthicsCommittees.html) *and read the instruction documents provided (*Guidelines for Ethical Practices in Teaching and Research *and* Filling Out Your Human Ethics Application*).*

**1. Principal Investigator (University of Otago staff member responsible for project)**

*Surname First Name Title (Mr/Ms/Mrs/Mx/Dr/Assoc. Prof./Prof.)*

**2. Department/School:**

**3. Contact details of staff member responsible** *(always include your email address)***:**

**4. Title of project:**

**5. Names of other investigators** **and students**:   
**Staff Co-investigators**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Title:** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Department:** |  | **Email:** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Title:** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Department:** |  | **Email:** |  |

**Student Researchers**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Level of study:** |  |

**External Researchers**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Institute/Company:** |  |

**6. Is this a repeated class teaching activity?** *(Delete answer that does not apply)*

YES / NO

**If YES and this application is to continue a previously approved repeated class teaching activity, provide Reference Number:**

**7.** **When will recruitment and data collection commence?**

**What is the planned conclusion date of the study?**

***Note: At the conclusion (final write up) of the study a Final Report must be submitted to the Committee. The Final Report template can be found on the*** [*Human Ethics Web Page*](http://www.otago.ac.nz/council/committees/committees/HumanEthicsCommittees.html)

**8. Funding of project**

Is the project to be funded by an external grant?

YES / NO

If YES, specify who is funding the project:

If commercial use will be made of the data, will potential participants be made aware of this before they agree to participate? If not, explain:

**9. Location of study**

**9 (a) Where will the research take place? (Specify location, e.g. public spaces, schools, private company, online, telephone communications.)**

**9 (b) Will researchers be travelling overseas in order to conduct the research?**

YES / NO - If **YES** is permission, or ethical approval, required to conduct the research in the country or countries to be visited?

YES / NO – if **YES** evidence will be required for the committee’s records prior to commencing the research

*(For research which involves student overseas travel, a Student Overseas Travel Plan needs to be attached to the application).*

**9 (c) Does the research location require any additional permissions? (e.g. permission from an organisation (including schools) to access participants (or information)?**

YES/NO - If **YES**, the committee expects to receive evidence of approval/support from the localities prior to commencing the research.

**9 (d) Where participants are children in a school-setting (pre-school to tertiary), describe the arrangements that will be made for those students who are present but not taking part in the research?**

**10. Provide a plain English description of the purpose of the project:**

*\*It is essential that question 10 is completed in simple understandable lay language that a non-expert could understand*

**11. Aims and Background**

**11 (a) Describe the aims of the research – what is the research question?**

**11 (b) Study Background****– describe the rationale for the research.**

**12. Research teams’ qualifications and experience relating to conducting studies of this nature** *(include information regarding the principal investigator (or supervisor), co-investigators and students involved with the project*)**:**

**13. Participants**

**13(a)** Does your research involve those under 18 years of age?

YES/NO - If YES, please respond to the following:

1. Have you read and understood the Ethical Research Involving Children (ERIC) Guidelines?  (The guidelines can be found here: <https://childethics.com/>)

YES/NO

ii ) Briefly describe how you have used the principles set out in the guidelines in the design of your project.

**13 (b) Population from which participants are drawn:**

**13(c) Inclusion and exclusion criteria:**

**13(d) Estimated number of participants:**

**13(e) Age range of participants:**

**13(f) Method of recruitment:**

**13(g)** **Will participants receive any payment, reimbursement of expenses or any other incentives for taking part in the research?**

YES / NO - **If YES, explain:**

***13 (h)* Will participants receive a koha, or some form of thank you, acknowledging their participation in the research?**

YES ***–* please briefly describe**

NO ***–* if no, explain:**

**13 (i) How will the results of the research be offered to participants?** Explain how you will provide a summary of the results. Ensure that this is also indicated on the Information Sheet.

Note: If the results will not be offered, provide an explanation for why this will not be done

**14. Methods and Procedures**: (*Describe the design of the study and detail what participants will be asked to do. Provide the Committee with a copy of the interview questions to be asked of participants, or a general outline if the questions are not yet available.)*

**15. Compliance with The Privacy Act 2020 and the Health Information Privacy Code 2020 imposes strict requirements concerning the collection, use and disclosure of personal information. The questions below allow the Committee to assess compliance.**

**15(a)** **Are you collecting and storing personal information (e.g.name, contact details, designation, position etc) directly from the individual concerned that could identify the individual?** *(Delete the answer that does not apply.)*

YES / NO

**15(b)** **Are you collecting information about individuals from another source?**

YES / NO

**If YES, explain:**

**15(c)** **Collecting Personal Information** *(Delete the answer that does not apply)***:**

• Will you be collecting personal information (e.g. name, contact details, position, company, anything that could identify the individual)?

YES / NO

• Will you inform participants of the purpose for which you are collecting the information and the uses you propose to make of it?

YES / NO

• Will you inform participants of who will receive the information?

YES / NO

* Will you be disclosing participants’ personal information overseas?

YES/NO – If YES please note that the sharing of identifiable information overseas is allowed only where certain conditions are met as set out in the Privacy Act 2020. Please consult the Act and detail below how your research complies with the Act. <https://www.privacy.org.nz/>

* Will you inform participants of the consequences, if any, of not supplying the information?

YES / NO

* Does your study involve audio/visual recording?

YES/NO - If YES clearly state this in the Information Sheet. **Note:** *recordings held on unencrypted devices can represent a security risk. Where a personal mobile device is used, the recordings must be encrypted and password protected*

• Will you inform participants of their rights of access to and correction of personal information?

YES / NO

Where the answer is YES, make sure the information is included in the Information Sheet for Participants.

**If you are NOT informing them of the points above, please explain why:**

**15(d)** **Outline your data storage, security procedures and length of time data will be kept** (*If guidance is needed on data security* *the IT Assurance and Cyber Security Unit, can provide data security and storage options in particular while in the field. Note that research data is expected to be kept for a minimum of five years*.):

**15(e) Who will have access to personal information, under what conditions, and subject to what safeguards? If you are obtaining information from another source, include details of how this will be accessed and include written permission if appropriate. Will participants have access to the information they have provided?**

**15(f) Do you intend to publish any personal information they have provided?**

YES / NO

**If YES, specify in what form you intend to do this:**

**15(g) How will you disseminate and feedback the project results at the end of the research? Please describe your plans with respect to feedback to participants as well as any public dissemination plans, e.g. in journals and conferences.**

**15(h) Do you propose to collect demographic information to describe your sample? For example: gender, age, ethnicity, education level, etc.**

**15 (i) Have you, or will you, undertake Māori consultation? Choose one of the options below, and delete the option that does not apply:**

*(Refer to* [*http://www.otago.ac.nz/research/maoriconsultation/index.html*](http://www.otago.ac.nz/research/maoriconsultation/index.html)*).*

NO If not, provide a brief outline of your reasons (e.g. the research is being undertaken overseas):

YES We have ALREADY undertaken consultation.

*If YES, please* ***attach*** *the acknowledgement of receipt from Ngāi Tahu Research Consultation Committee. Consultation should be initiated prior to the Human Ethics Committee meeting.*

**16.** **Does the research or teaching project involve any form of deception?**

YES / NO

If yes, explain all debriefing procedures:

**17. Please describe the ethical issues that might arise from the proposed research and how they are to be addressed.** *E.g. confidentiality, anonymity, informed consent, withdrawal, conflict of interest etc. All human participant research projects have some ethical considerations so please do not leave this question unanswered. A not applicable response is not acceptable.*

**18. \*Applicant's Signature:** .............................................................................

***Name (please print):*** ………………………………………………………*.*

**Date:** ................................

\*The signatory should be the staff member detailed at Question 1.

**19. Departmental approval:** *I have read this application and believe it to be valid research and ethically sound. I approve the research design. The Research proposed in this application is compatible with the University of Otago policies and I give my consent for the application to be forwarded to the University of Otago Human Ethics Committee with my recommendation that it be approved.*

**Signature of \*\*Head of Department*:***..........................................................................

***Name of HOD (please print):*** ………………………………………………………*.*

***Date:***.....................................................

\*\*Where the Head of Department is also an investigator, then an appropriate senior staff member must sign on behalf of the Department or School.

|  |  |
| --- | --- |
|  | **Submitting to the Committee:** |

Once fully signed by the Principal Investigator and Head of Department, the application and all attachments must be compiled as one PDF and emailed by the deadline to [humanethics@otago.ac.nz](mailto:humanethics@otago.ac.nz).

**INFORMATION SHEET TEMPLATE: NOTES FOR APPLICANTS**

***(Delete all notes and prompts before providing to Human Ethics Committee)***

The template on the following pages is a guide for providing information to potential participants before they agree to take part in the research project. Not all of the suggestions or headings on this template will necessarily apply to all projects. Delete those that do not apply and/or make the necessary amendments. An Information Sheet is written in the form of a customised letter of invitation to each target group of research participants. It must contain all the information they need in order to make an informed decision about whether or not they wish to participate in your research. What are they asked to do? What will they experience?

An Information Sheet is expected to be submitted with the application for ethical approval in all Category A applications and most Category B Reporting Sheets. The Information Sheet template can be used as a prompt for a cover letter introducing the research even in cases where a formal written Consent Form is not used, e.g. an anonymous survey.

The Information Sheet should be written in simple, clear language (free from jargon and technical terms) that is age and culture appropriate for your participants, so that they can fully understand what they will be doing and experiencing. This is the principle of Informed Consent.

The Information Sheet you submit with your application should be the final version you intend to provide to your participants. All traces of the prompts in italics from the Human Ethics Committee to the researcher should be removed and it should be carefully proofread for spelling, grammar and formatting.

***The Information Sheet and Consent Form must be separate documents, as the Information Sheet is kept by participants, whereas they sign and hand in their Consent Form****.*

At a minimum the **Information Sheet** must describe, *in language understandable to your participants*:

• the nature and purpose of the research;

• the procedure and how long it will take;

• any risk or discomfort involved;

• who will have access and under what conditions to any personal information;

• the eventual disposal of data collected;

• the name and contact details of the staff member responsible for the project and an invitation to contact that person over any matter associated with the project;

• details of any reimbursement or compensation payable in the event of harm;

• Exclusion criteria for the project, if applicable.

The Information Sheet **must** conclude with the statement: “This study has been approved by the University of Otago Human Ethics Committee. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643479 8256 or humanethics@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.”

The **Consent Form** must make it clear that a participant:

• understands the nature of the proposal;

• has had all questions satisfactorily answered;

• is aware of what will become of the data (including video or audio tapes and data held electronically) at the conclusion of the project;

• knows that he or she is free to withdraw from the project, before its completion (specify a date if necessary);

• is aware of risks, reimbursement and compensation;

• is aware that the data may be published;

• is aware that a third party (i.e. transcriber) may have access to the data;

• is aware that every effort will be made prior to publication to ensure that participants will not be identified unless the participant gives an express waiver, which must be in addition to and separate from this consent form.

Applicants should use the Information Sheet and Consent Form templates provided on the following pages and adapt them for the project. **Delete the template prompts in italics and square brackets, and clauses that are not required, and ensure the numbering is correct and the document makes sense as a whole.**

The Committee expects to review the finalised documentation that will be provided to participants, as opposed to a draft; therefore writing style, spelling and formatting should be of the highest standards and should be free of any errors or ambiguity. **If the application is for student research, it is the responsibility of the supervisor to proofread and correct documentation that will be distributed to research participants.**

Research or teaching involving **children or young persons** **under 16 years old** requires written consent from both the child or young person AND the parent/legal guardian unless an adequate justification is provided.

[Reference Number: *as allocated upon approval by the Human Ethics Committee*]

[*Date*]



***TITLE OF PROJECT***

**INFORMATION SHEET FOR**

**PARTICIPANTS or PARENTS / GUARDIANS ETC.**

*(Tailor the title and labelling as appropriate for your participants)*

Thank you for showing an interest in this project. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate we thank you. If you decide not to take part there will be no disadvantage to you and we thank you for considering our request.

**What is the Aim of the Project?**

*Provide a brief summary of the project in terms your participants can easily understand.* *Provide* a *clear and concise explanation, in lay terms, of the major aim(s) of the project. Avoid academic/technical terms or provide a definition of them. Mention if the project is part of a specific course e.g. This project is being undertaken as part of the requirements for [name of student’s] Postgraduate Diploma in Science.*

**What Type of Participants are being sought?**

*Provide a* *statement of the type of participants being sought which includes information about the following:*

* *Recruitment method*
* *Method of obtaining participant names (where relevant)*
* *Selection criteria (where relevant)*
* *Exclusion criteria (where relevant)*
* *Number of participants to be involved*
* *Details of reimbursement of expense/payments offered for participation (where relevant) (Refer to section 13f) of the Filling in Your Application document. Care must be taken in particular to avoid phrases like “payment for your time”, which has tax implications.)*
* *Description of any benefit or information which the participant will have access to as a result of participating in the research*

**What will Participants be Asked to Do?**

Should you agree to take part in this project, you will be asked to

[*Clear and concise explanation in lay terms of:*

* *The procedures in which the participants will be involved*
* *The time commitment required (for interviews, surveys, focus groups, etc.)*
* *Any support or health and safety processes in place to deal with adverse physical or psychological risks associated with participating in the research*
* *Description of any discomforts, risks or inconvenience to participants as a result of participation.*]

Please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind.

**What Data or Information will be Collected and What Use will be Made of it?**

*[There is a distinction between the raw data or information collected by the researcher and the data/information that will be written up in the completed research. The potential participant has a reasonable expectation to know:*

* *What raw data or information will be collected?*

*-Will participants be audio or video recorded? How will this be used?*

*-What personal information will be collected?*

*-What are the purposes for which the data or information are being collected/What use will it be put to?*

* *Who will have access to the data or information?*

*-Participants should be made aware of all those who will have access to the data or information (student researchers, supervisors, other staff such as research assistants, typists, transcribers, staff making photocopies, outside organisations, including funding entities).*

*-If the research is externally funded, will there be any commercial use of the data?*

* *How will data or information be securely managed, stored and destroyed?*

*Participants should be made aware of the data and information which will be stored for possible future scrutiny in secure storage and what data and information will be destroyed at the end of the project. A statement should be included on the Information Sheet setting this out:*

The data collected will be securely stored in such a way that only those mentioned below will be able to gain access to it. Data obtained as a result of the research will be retained for **at least 5 years** in secure storage. Any personal information held on the participants [*such as contact details, audio or video tapes, after they have been transcribed etc,*] may be destroyed at the completion of the research even though the data derived from the research will, in most cases, be kept for much longer or possibly indefinitely.

***Anonymity or Disclosure – Please ensure your Information Sheet is consistent with the Consent Form in terms of whether or not participants data will be presented in de-identified or identified form.***

* *What data or information will be reflected in the completed research?*

*-Some research projects protect anonymity, others do not. The important factor is that the participant be made aware of whether or not they will be identified.* ***No participant should be identified without their consent****. It is the duty of the researcher to make clear to the participant the extent to which their participation will be known to others.*

*-Sometimes anonymity is not preserved despite the best efforts of researchers. Absolute claims to guarantee anonymity should therefore be avoided.*

***If you intend that participants’ contributions will remain de-identified, please use the following phrase****:*

The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to ensure that you will not be identified.

***In this case the Consent Form would not offer any options regarding identification*.**

***If participants may be able to be identified (e.g. a small participant pool) or can choose whether or not to be identified, please consider the following phrases and adapt them to your circumstances:***

*-Where de-identification cannot be preserved a statement to this effect should be made on the Information Sheet such as:*

Due to the nature of the research whereby …(give reasons why participants data cannot be de-identified) it will not be possible/desirable (choose one) to de-identify your contributions in the completed research.

On the Consent Form you will be given options regarding identification and you will be able to choose whether you wish to have your contributions de-identified or be made identifiable. Please be aware that should you wish we will make every attempt to ensure that you will not be identified. However, with your consent, there are some cases where it would be preferable to attribute contributions made to individual participants. It is absolutely up to you which of these options you prefer.

***In this case, please ensure the Consent Form either provides options for participants to choose whether or not to be identified; or contains a phrase allowing explicit consent to be named/identified.***

* *Will the participants have the opportunity to correct or withdraw the data/information?*

*-Will participants be given the opportunity to view the data or information that relates to them either before or after the completion of the research? At what stage will this opportunity be given to them?*

*- Some types of research such as oral history and documentary film making etc. are appropriate for storage for the purposes of posterity. If this is the case, the research might involve transfer to a public repository and should include an agreement, for example, a separate release form, with the participants which clarifies the placement and access to the recorded material.*

* *Will participants be provided with the results of the study? If so they should be informed of this.*
* *If the project involves any form of* ***open questioning technique****, i.e. where the questions have not been prescribed in advance and consequently not reviewed by the University of Otago Human Ethics Committee, a statement along the lines of that set out below should be included in the Information Sheet. The Information Sheet for should include the general line of questioning even if the precise questions are unknown.*

This project involves an open-questioning technique. The general line of questioning includes…**[insert topics here]**. The precise nature of the questions which will be asked have not been determined in advance, but will depend on the way in which the interview develops. Consequently, although the University of Otago Human Ethics Committee is aware of the general areas to be explored in the interview, the Committee has not been able to review the precise questions to be used.

In the event that the line of questioning does develop in such a way that you feel hesitant or uncomfortable you are reminded of your right to decline to answer any particular question(s) and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind.

**Can Participants Change their Mind and Withdraw from the Project?**

*Participants should normally be given the opportunity to withdraw themselves and their data or information from the project. The information sheet should include a statement such as:*

You may withdraw from participation in the project at any time [*explain the final point of withdrawal if appropriate]* and without any disadvantage to yourself of any kind*.*

**What if Participants have any Questions?**

If you have any questions about our project, either now or in the future, please feel free to contact either:-

*Name of Student Researcher* and *Name of Supervisor*

Department of … Department of …

University Telephone Number:- ... University Telephone Number:- …

Email Address … Email Address …

*[Home contact details of student researchers should not be included unless a special case is made to, and approved by, the University of Otago Human Ethics Committee. Students should use their university email address]*

This study has been approved by the University of Otago Human Ethics Committee. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email humanethics@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.

[Reference Number *as allocated upon approval by the Human Ethics Committee*]

*[Date]*



*Delete any clauses that are not required and ensure the numbering is correct*

***TITLE OF PROJECT***

CONSENT FORM FOR

***PARTICIPANTS***

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;

2. I am free to withdraw from the project before its completion *(specify a date if necessary*);

3. Personal identifying information [*specify e.g.* *audio or video recordings etc*] may be destroyed at the conclusion of the project but any raw data on which the results of the project depend will be retained in secure storage for at least five years;

4. *If an open-questioning technique is to be used, include the following statement, otherwise delete this question*:

This project involves an open-questioning technique. The general line of questioning includes…**[insert topics here]**. The precise nature of the questions which will be asked have not been determined in advance, but will depend on the way in which the interview develops and that in the event that the line of questioning develops in such a way that I feel hesitant or uncomfortable I may decline to answer any particular question(s) and/or may withdraw from the project without any disadvantage of any kind.

5. [*mention of any discomfort or risks – otherwise delete*];

6. [*mention of any reimbursement, or any external funding, or commercial use of the data – otherwise delete*];

7. The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand)

1. ***Where all participants will remain anonymous add:*** *but every attempt will be made to ensure that I will not be identified, and delete item 8.*
2. ***Where participants are able to choose add***: but every attempt will be made to ensure that I will not been identified, should I choose. *AND provide the options at item 8*
3. ***Where all participants need to consent to be named/identified use:***

The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) and ***adapt item 8 accordingly.***

8. I, as the participant: a) agree to being named in the research, OR;

b) would rather have my data de-identified

I agree to take part in this project.

............................................................................. ...............................

(Signature of participant) (Date)

.............................................................................

(Printed Name)

……………………………………………………..

Name of person taking consent

This study has been approved by the University of Otago Human Ethics Committee. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email humanethics@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.

[Reference Number *as allocated upon approval by the Human Ethics Committee*]

*[Date]*



*Delete any clauses that are not required and ensure the final numbering is correct.*

**[*TITLE OF PROJECT*]**

CONSENT FORM FOR

***PARENTS/GUARDIANS***

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My child’s participation in the project is entirely voluntary;

2. I am free to withdraw my child from the project at any time [*or up until ….date*] without any disadvantage;

3. Personal identifying information [*specify e.g.* *video or audio recordings*] may be destroyed at the conclusion of the project but any raw data on which the results of the project depend will be retained in secure storage for at least five years;

4. *If an open-questioning technique is to be used, include the following statement*:

This project involves an open-questioning technique. The general line of questioning includes…**[insert topics here]**. The precise nature of the questions which will be asked have not been determined in advance, but will depend on the way in which the interview develops and that in the event that the line of questioning develops in such a way that my child feels hesitant or uncomfortable he/she may decline to answer any particular question(s) and/or may withdraw from the project without any disadvantage of any kind.

5. [*mention of any discomfort or risks - if not, delete*];

6. [*mention of any reimbursement issues, or any external funding, or commercial use of the data - if not, delete*];

7. The results of the project may be published and will be available in the University of Otago Library (Dunedin, New Zealand) but every attempt will be made to preserve my child’s anonymity. [*Note:* ***only include the last part of this phrase if it is intended that anonymity will be preserved.*** *See main Consent Form template for the options depending on your intentions regarding anonymity.]*

I agree for my child to take part in this project.

............................................................................. ...............................

(Signature of parent/guardian) (Date)

.............................................................................

(Name of child)

……………………………………………………..

Name of person taking consent

This study has been approved by the University of Otago Human Ethics Committee. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email humanethics@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.



**Children and young people** are considered vulnerable participants. Research involving children and young people should only be conducted where:

a) the participation of children or young people is indispensable because information available from other research cannot answer the question posed in relation to children or young people;

(b) the study method is appropriate for children or young people; and

(c) the circumstances in which the research is conducted provide for the physical, emotional and psychological safety of the child or young person.

Consent to a child's or young person's participation in research should normally be obtained from:

* the **parent or legal guardian** if the child is under the age of 5 ;
* the parent or legal guardian **and** the child if the child is between 5 and 16; however in some circumstances, depending on the level of risk associated with the research, this requirement might be lowered to 14 years and younger;
* Remember to link the child’s name to the parent as sometimes surnames can differ.

[Reference Number *as allocated upon approval by the Human Ethics Committee*]

*[Date]*

*[If your research involves child participants it may be appropriate to provide them with an Information Sheet and Consent Form that is at their comprehension and reading level. You may also wish to alter the font or font size to reflect the age level of the participants (for example comic sans might be used for participants 10 years or younger)]*



**[*TITLE OF PROJECT*]**

CONSENT FORM FOR CHILD PARTICIPANTS

I have been told about this study and understand what it is about. All my questions have been answered in a way that makes sense.

I know that:

1. Participation in this study is voluntary, which means that I do not have to take part if I don’t want to and nothing will happen to me. I can also stop taking part at any time and don’t have to give a reason.

2. Anytime I want to stop, that’s okay.

3. [*The researcher*] will [*video / audio record*] me so that [*he/she*] can remember what I say, but the recording will be erased after the study has ended.

4. If I don’t want to answer some of the questions, that’s fine.

5. If I have any worries or if I have any other questions, then I can talk about these with [*the researcher*].

6. The paper and computer file with my answers will only be seen by [*the researcher*] and the people [*he/she*] is working with. They will keep whatever I say private.

7. I will receive a small gift as thanks for helping with this study.

8. [*The researchers*] will write up the results from this study for their University work. The results may also be written up in journals and talked about at conferences. My name will not be on anything [*the researcher*] writes up about this study.

I agree to take part in the study.

............................................................................. ...............................

Signed Date

[The advertisement which will be used to recruit participants should also be attached to the application for ethical approval. This template can be used to develop the advertisement. Please ensure the standard of the written material is of the highest quality, with correct spelling and grammar. You may wish to include an image to increase your advertisement’s appeal.

Please note: The University’s Marketing Services encourages researchers to contact the Marketing Advisory teams within the relevant Division regarding advertisements of the research once the application and the draft advertisement are approved by the Human Ethics Committee.



**[Title of Project]**

[Brief description of project: including the purpose, research aims, questions the research will attempt to answer, etc. Include a statement outlining that it is ‘research for an investigation’ , or include ‘research study’ somewhere in the title]

[Brief summary of criteria that will be used to determine eligibility for the study (inclusion/exclusion criteria)]

[Brief list of benefits to participants (if any) reasonably stated. Outsized fonts emphasising money should not be used]

[The time commitment that will be required]

[Contact Details: Name, address, phone number and email address of principal investigator]

**[This project has been reviewed and approved by the University of Otago Human Ethics Committee. Reference: ##/###]**

Title of research project

Contact details of principal investigator

Title of research project

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**IMPORTANT NOTES FOR APPLICANTS**

Detach this page of notes *before* forwarding to the University of Otago Human Ethics Committee.

• Proposals will only be considered if they are typed or word-processed.

• **Carefully review and proof-read your Information Sheet, Consent Form and Advertisement, as the University as a whole is likely to be judged by them.**

• Once fully signed by the Principal Investigator and Head of Department, the application and all attachments must be compiled as one PDF and emailed by the deadline to **humanethics@otago.ac.nz.**

**FINAL CHECKLIST**

**Please check-:-**

1. **Applicant** – is the application in the name of a University of Otago staff member (and not, for example, the student researcher)?
2. **Font** – have you used a font different to the default font in the application (please avoid capitals or italics)?
3. **Signatures** – has the application been signed off by the applicant and their HOD and approved for submission to the Committee (sections 18 and 19)?
4. **Page Numbers** – are page numbers consecutive, including Information Sheet and Consent Form? Does the document makes sense altogether as one document?
5. **Data storage and disposal**
6. Does section 15(d) state clearly the details of the secure storage of the data (normally within a University Department) and who will be responsible for the eventual disposal of the data (which must normally be kept for *at least* 5 years)? An appropriate member of the University staff should normally be responsible for the eventual disposal of data - not a student researcher.)
7. If the data is to be stored other than within a University Department, is there a detailed justification for this?
8. **Questionnaires** – have you included a copy of any questionnaires and/or surveys to be used?
9. **Information Sheet/Consent Form** - are these included in the application?

Please check:

1. that the language and style used is appropriate to the age, culture and knowledge of the likely readers;
2. that no personal home contact details for a student researcher are included (unless there is a detailed justification for this);
3. that both forms conclude (in anticipation of approval) with the statement:

“This study has been approved by the University of Otago Human Ethics Committee. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or humanethics@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.”

1. that they have been carefully reviewed and proof-read for spelling, grammar and formatting.
2. Once fully signed by the Principal Investigator and Head of Department, the application and all attachments must be compiled as one PDF and emailed by the deadline to humanethics@otago.ac.nz
3. **Please delete all prompts, notes, guidelines and checklists** before compiling.

**Academic Committee and Services Office contacts:**

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