

Application for Ethical Approval

Guidelines for the Outline of a 499 Report of an Investigation

Waikato Management School

Te Raupapa



THE UNIVERSITY OF
WAIKATO
Te Whare Wānanga o Waikato

Template:

Use clear and simple language. Avoid technical terms wherever possible.

*Please allow **at least two weeks** for your application to be reviewed by the WMS Ethics Committee*

You must gain ethics approval prior to the commencement of data collection for your research project

See How to fill out the form for guidance.

1. IDENTIFY THE PROJECT.

- Title of Project
- Researcher(s) name and contact information
- Supervisor's name and contact information (if relevant)
- Anticipated date to begin data collection

2. BRIEF BACKGROUND TO THE STUDY AND RESEARCH QUESTION OR RESEARCH THEME

- Background: Provide a brief overview of your research and the organisation that you will be conducting your research in
- Research question or theme

3. BRIEFLY DESCRIBE THE METHOD

- Describe the method you will use for gathering empirical material (e.g. interviews, quantitative surveys, focus groups)

4. DESCRIBE YOUR PARTICIPANT SELECTION CRITERIA

- For example: what features must the respondents have to be included in your research? Do they need to be of a certain age, from a certain firm, from a certain country? Do they need to be in a certain position in the company i.e. HR Manager

5. DESCRIBE HOW YOU WILL INVITE PEOPLE TO PARTICIPATE IN YOUR RESEARCH

- For example: will you send them an e-mail, telephone them, go to their place of work and ask for volunteers, stand on a street corner or in the sponsor's place of business and ask people randomly?
- Remember the process that you select must abide by the Privacy Act; therefore you cannot use information that was gathered for a different purpose to generate a potential list of respondents. Your sponsor may send out information on your behalf though.

- Remember, respondents must be able to volunteer. This means that respondents cannot be 'required' to participate by their employer. Employers may help generate a list of potential respondents, but respondents must be able to freely decide to participate, and any risks associated with this must be declared in this application form below and to the participants.

6. DESCRIBE HOW YOU WILL INFORM POTENTIAL PARTICIPANTS ABOUT YOUR RESEARCH

- Attach the participant information sheet, cover letter or sample e-mail message that details all relevant information needed by participants to make an informed consent. This needs to include what the research is about, who will see the information, participant rights, researcher contact details (For your own safety do not provide personal home addresses or land-line numbers).

7. DESCRIBE HOW YOU WILL GET PARTICIPANTS' CONSENT

- a) Before you begin the interview or data gathering phase: e.g. will you get them to sign a consent form? Will consent be implied if they fill out a questionnaire or show up for an interview?
- b) To use their interview material. e.g., will you send their interview material back for editorial review
- c) To record the interview if appropriate

8. DESCRIBE HOW YOU WILL PROTECT YOUR RESPONDENTS' IDENTITY THROUGHOUT THE RESEARCH PROCESS

Make sure you do not disclose anyone's identity (either by naming them or identifying their position in the organisation, or through any other means) unless the respondent has expressly given your permission to do so. Things to cover in this section:

- a) During data gathering – e.g. how will participants identity be kept confidential from other people, things to consider is where you conduct your interview, how you collect your sample.
- b) Storing data – describe how you will keep information secure from other people
- c) In the final reports, conference or class presentations or journal articles – e.g., give participants a fictitious name or code number.

9. DESCRIBE WHO WILL SEE THE RESEARCH OUTPUTS.

- This might be your supervisors, employers at the organisation, and may also include student presentations, conferences or journal publications. You need to tell your participants who are potentially going to see the interview information and the final report outcomes.

10. DESCRIBE ANY CULTURAL SIMILARITY OR DISSIMILARITY BETWEEN YOURSELF AND RESPONDENTS.

- Again, N/A in this section is not an adequate response. If you perceive that you are similar to your respondents, then describe why you think this is the case, and highlight any research ethic considerations that may arise from this. Similarly, if you are different from the participants, describe these differences and the potential research ethic considerations of this.

11. ARE YOU INVOLVED WITH THE SPONSOR ORGANISATION IN ANY WAY? IF SO, EXPLAIN HOW

- For example: Are you related to the organisation in any way? e.g. do you know someone who works at the sponsoring organisation? Is there a relationship between the sponsoring organisation and the intended participant group? Are you personally related to anyone in the organisation? e.g. family member, spouse. Do you work for the organisation? Are you in a position of authority in the organisation? Are you intending to research people who report to you?

12. DESCRIBE ANY HARM TO THE PARTICIPANTS OR TO THE ORGANISATION THAT MIGHT BE ASSOCIATED WITH THEIR PARTICIPATION IN THIS RESEARCH.

- Describe how you will minimise these risks. For example, is there any risk to their psychological wellbeing (is this research potentially emotionally stressful), is there any physical risk associated with your research, could respondents risk losing their job, could respondents risk their work-relationships if they participate. These issues must be considered – a N/A response here is not adequate as all research has potential risk. It is your responsibility to demonstrate that you have considered these risks before you start research and decide how you will minimise these risks.