



Commerce Faculty Ethics in Research Application Form

Any person planning to undertake research in the Faculty of Commerce at the University of Cape Town is required to obtain ethical clearance. This form is intended for undergraduate students, honours students, PD Dip students and Masters students whose research component is less than 90 credits.

Once this form is completed it should be sent via email to your departmental ethics representative. Your supervisor will be able to provide you with the contact details.

It is assumed that the researcher has read the UCT Code for Research involving Human Subjects (Available at <http://web.uct.ac.za/depts/educate/download/uctcodeforresearchinvolvinghumansubjects.pdf>) in order to be able to answer the questions in this form. Students must include a copy of the completed form with the dissertation/thesis when it is submitted for examination.

1. PROJECT DETAILS		
Project title:		
Principal Researcher/s:	Email address(es):	
Research Supervisor:	Email address(es):	
Co-researcher(s):	Email address(es):	
Department:		
Brief description of the project:		
Data collection: (please select) <input type="checkbox"/> Interviews <input type="checkbox"/> Questionnaire <input type="checkbox"/> Experiment <input type="checkbox"/> Secondary data <input type="checkbox"/> Observation <input type="checkbox"/> Other (please specify): _____		
Have you attached a research proposal OR a literature review with research methodology? (please select) <input type="checkbox"/> Yes <input type="checkbox"/> No		

2. PARTICIPANTS

2.1 Does the research discriminate against participation by individuals, or differentiate between participants, on the grounds of gender, race or ethnic group, age range, religion, income, handicap, illness or any similar classification?	YES	NO
2.2 Does the research require the participation of socially or physically vulnerable people (children, aged, disabled, etc.) or legally restricted groups?	YES	NO
2.3 Will you be able to secure the informed consent of all participants in the research? (In the case of children, will you be able to obtain the consent of their guardians or parents?)	YES	NO
2.4 Will any confidential data be collected or will identifiable records of individuals be kept?	YES	NO
2.5 In reporting on this research is there any possibility that you will not be able to keep the identities of the individuals involved anonymous?	YES	NO
2.6 Are there any foreseeable risks of physical, psychological or social harm to participants that might occur in the course of the research?	YES	NO
2.7 Does the research include making payments or giving gifts to any participants?	YES	NO

If you have answered **YES to any of these questions**, please describe how you plan to address these issues (append to form):

Affiliations of participants: (please select)

- Company employees
 Hospital employees
 General public
 Military staff
 Farm workers
 Students
 Other (please specify): _____

Race / Ethnicity:

Are you asking a question about race/ethnicity in your questionnaire?

- Yes
 No

Which race categories have been used?

Have you included the option: "Prefer not to answer" as part of your race/ethnicity question?

3. PROVISION OF SERVICES

Does your research involve the participation of or provision of services to communities?

If your answer is YES, please complete below:

3.1 Is the community expected to make decisions for, during or based on the research?	YES	NO
3.2 At the end of the research will any economic or social process be terminated or left unsupported, or equipment or facilities used in the research be recovered from the participants or community?	YES	NO
3.3 Will any service be provided at a level below the generally accepted standards?	YES	NO

If you answered YES to any of these questions, please describe below how you plan to address these issues.

3. ORGANISATIONAL PERMISSION

If your research is being conducted within a specific organisation, please state how organisational permission has been/will be obtained:

Have you attached the letter from the organisation granting permission? (please select)

Yes No, but this **will be** obtained before commencing the research Not applicable

Are you making use of **UCT students** as respondents for your research? (please select) Yes No

If yes, have you contacted Executive Director: Student Affairs for permission? (please select) Yes No

Was approval granted? (please select) Yes No Awaiting a response

Are you making use of **UCT staff** as respondents for your research? (please select) Yes No

If yes, have you contacted Executive Director: Human Resources for permission? (please select) Yes No

Was approval granted? (please select) Yes No Awaiting a response

Contact Emails: Executive Director: Human Resources (Miriam.Hoosain@uct.ac.za)
Executive Director: Student Affairs (Moonira.Khan@uct.ac.za)

4. INFORMED CONSENT

What type of consent will be obtained from study participants?

- Oral Consent
- Written Consent
- Anonymous survey questionnaire (covering letter required , no consent forms needed)
- Other (Please Specify)

How and where will consent/permission be recorded?

Have you attached an informed consent form to your application? Yes No

5. SPONSORSHIP OF RESEARCH

If your research is sponsored, is there any potential for conflicts of interest?

If your answer is YES, please complete below

4.1 Is there any existing or potential conflict of interest between a research sponsor, academic supervisor, other researchers or participants?	YES	NO
4.2 Will information that reveals the identity of participants be supplied to a research sponsor, other than with the permission of the individuals?	YES	NO
4.3 Does the proposed research potentially conflict with the research of any other individual or group within the University?	YES	NO

If you have answered **YES** to any of these questions, please describe how you plan to address these issues (append to form)

6. RISK TO PARTICIPANTS

Does the proposed research pose any physical, psychological, social, legal, economic, or other risks to study participants you can foresee, both immediate and long range? (please select)

Yes No

If yes, answer the following questions:

1. Describe in detail the nature and extent of the risk and provide the rationale for the necessity of such risks
2. Outline any alternative approaches that were or will be considered and why alternatives may not be feasible in the study
3. Outline whether and why you feel that the value of information to be gained outweighs the risks

1.

2.

3.

I certify that I have read the Commerce Faculty Ethics in Research policy
(<http://www.commerce.uct.ac.za/Pages/ComFac-Downloads>)

I hereby undertake to carry out my research in such a way that

- there is no apparent legal objection to the nature or the method of research; and
- the research will not compromise staff or students or the other responsibilities of the University;
- the stated objective will be achieved, and the findings will have a high degree of validity;
- limitations and alternative interpretations will be considered;
- the findings could be subject to peer review and publicly available; and
- I will comply with the conventions of copyright and avoid any practice that would constitute plagiarism.


Signed by:

	Full name and signature	Date
Principal Researcher/Student:		

This application is approved by:

Supervisor		
Departmental Ethics Rep		

Questionnaire checklist on next page

CHECKLIST	SELECT
A full copy of a research proposal or a literature review with methodology is attached in a separate file	<input type="checkbox"/>
Interview schedules / cover letters / questionnaires / forms and other materials used in the study are attached in separate files	<input type="checkbox"/>
Organisational consent letter / UCT student or staff approval letter	<input type="checkbox"/>
<p data-bbox="161 517 1129 548">On your cover letter to your questionnaire have you included the following?</p> <p data-bbox="209 577 568 609">1. The following UCT Logo</p> <div data-bbox="614 555 722 651" style="text-align: center;">  </div> <p data-bbox="209 669 842 701">2. A sentence explaining the aim of the research</p> <p data-bbox="209 730 1206 790">3. Sentences of a similar nature to below must be included in the cover letter or consent form:</p> <p data-bbox="256 822 1137 882">This research has been approved by the Commerce Faculty Ethics in Research Committee.</p> <p data-bbox="256 913 1104 974">Your participation in this research is voluntary. You can choose to withdraw from the research at any time.</p> <p data-bbox="256 1005 1085 1037">The questionnaire will take approximately X minutes to complete</p> <p data-bbox="256 1068 1197 1128">You will not be requested to supply any identifiable information, ensuring anonymity of your responses.</p> <p data-bbox="256 1160 1219 1252">Due to the nature of the study you will need to provide the researchers with some form of identifiable information however, all responses will be confidential and used for the purposes of this research only.</p> <p data-bbox="256 1283 1193 1344">Should you have any questions regarding the research please feel free to contact the researcher (insert contact details).</p> <p data-bbox="209 1402 1128 1433">4. Have you scanned in your signature for the last section of the form?</p>	<p data-bbox="1257 517 1297 548">NA</p> <p data-bbox="1347 517 1377 548"><input type="checkbox"/></p> <p data-bbox="1347 600 1377 631"><input type="checkbox"/></p> <p data-bbox="1347 683 1377 714"><input type="checkbox"/></p> <p data-bbox="1347 822 1377 853"><input type="checkbox"/></p> <p data-bbox="1347 927 1377 958"><input type="checkbox"/></p> <p data-bbox="1347 1010 1377 1041"><input type="checkbox"/></p> <p data-bbox="1347 1093 1377 1124"><input type="checkbox"/></p> <p data-bbox="1347 1151 1377 1182">OR</p> <p data-bbox="1347 1205 1377 1236"><input type="checkbox"/></p> <p data-bbox="1347 1288 1377 1319"><input type="checkbox"/></p> <p data-bbox="1347 1397 1377 1429"><input type="checkbox"/></p>