

Research Ethics Committee of the Faculty of Education (EduREC)

Submission checklist (September 2024)

	Yes	No	N/A
1. Has the project already been approved by a scientific committee?			
2. Is the project team described in detail?			
3. Are the objectives of the project described in detail?			
4. Are the project design and procedures, etc., appropriate to achieve the project goals?			
5. Is it clear what is expected of the participants in the project?			
6. Are there measures in place to take care of any discomfort/inconvenience of participants and to see to their welfare?			
7. Will there be any intrusion into the privacy of participants?			
8. Is the project head/researcher, etc., competent to execute the required procedures/techniques?			
9. Does the study involve participants who are particularly vulnerable or unable to give informed consent? (e.g., children, people with learning or other mental or physical disabilities, people who are incarcerated, unemployed or otherwise compromised in responding to your questions – if this is the case, the application must serve at NWU-EMELTEN-REC).			
10. Does the study include minors in a peripheral capacity, such as children being observed? [If so, such applications should serve at NWU-EMELTEN-REC]			
11. Will any data (e.g., artefacts, projects, marks, assignments or any informal communication) be collected from minors? [If so, such applications should serve at NWU-EMELTEN-REC]			
12. Should informed consent/assent/goodwill permission be obtained?			
12.1 If so, from the children/learners? [Such applications should serve at NWU-EMELTEN-REC]			
12.2 Parents?			
12.3 Students (who are not minors)?			
12.4 Teachers?			
12.5 School principals?			
12.6 School governing body?			
12.7 Education department?			
12.8 Lecturers?			
12.9 Deans?			
12.10 A university's gatekeeper?			
12.11 Any other party? (Stipulate)			
13. Will the study require the cooperation of a gatekeeper for initial access to the groups or individuals to be recruited? (e.g. learners at school, university students, residents of a nursing home or any study requiring permission from the Minister of Basic Education, a tribal chief or village elders)			
14. Will it be necessary for participants to take part in the study without their knowledge and consent at the time of research? (e.g. covert observation of people)			
15. Will the study involve a discussion of, or questions about a sensitive topic? (e.g. sexual activity, drug use, crime, harassment, violence, sexual orientation etc.)			
16. Will this study obtain information which may not lead to the benefit of participants?			

17. Could the study induce physical, psychological or social stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?			
18. Has it been made clear that participation is voluntary and that a participant may withdraw at any time, without disclosing reasons?			
19. Has it been made clear that withdrawal from the project will not be held against the participants?			
20. Will the confidentiality of participants be assured?			
21. Will the study require the identification of individuals for follow-up evaluation?			
22. Is there clear information about whom to contact if further information is required about the project?			
23. Is the information explicit about how the participants will be selected?			
24. Is the information explicit about how the data will be collected?			
25. Will participants be misled in any way?			
26. Has the project been approved by NWU's Statistical Consultation Services?			
27. Where applicable, is it clear how participants will be allocated to groups?			
28. Is ethical accountability assured throughout?			
29. Where relevant, are the measuring instruments, including questionnaires, link to an electronic questionnaire, psychometric tests, checklists for observation, initial questions for interviews, etc., attached?			
30. Will this research involve participants who are engaged in illegal activities, or be at risk of breaking the law by taking part in certain activities, or may the research reveal information that requires action on the part of the researcher or NWU, which could place the participant or others at risk?			
31. Will financial remuneration (other than reasonable expenses and compensation for time) or remuneration of any other kind be offered to participants?			
32. Are you planning on making use of NWU students or direct and secondary/contracted staff members in this research?			
33. Are you aware that, if you involve NWU staff or students in the study, permission has to be sought from the relevant Faculty Dean(s) and if applicable, the School Director(s) after ethical clearance is obtained?			
34. Have you used the NWU's official letterhead for any letters and/or consent forms?			
35. Has the application been language edited?			
36. Have you ensured that no part of the application is plagiarised from existing articles, publications or unpublished postgraduate research?			
37. Could the image of the NWU, the relevant academic department, your employer, or any other institution involved in the project, be negatively affected by this research?			
38. Have all researchers listed on the application form signed the Code of Conduct for Researchers?			

Vulnerable groups raise special issues of informed consent and potential risk. Vulnerability refers to the diminished ability to fully safeguard one's own interests in the context of a specific research project; may be caused by limited capacity or limited access to social goods like rights, opportunities and power (Department of Health. Second edition. Ethics in Health Research. Principles, Processes and Structures, 2015). "Vulnerable" participants are not clearly described, but have been noted to include "... children, prisoners, pregnant women, mentally disabled persons, economically or educationally disadvantaged persons" (Common Federal Policy, 1991). Weijer and Emanuel (2000) consider participants to be vulnerable if they are not in a position to provide informed consent, due to their position (such as being in prison), or not possessing adequate intellectual faculty (such as children or the mentally ill)." Children" here are defined as participants younger than 18 years of age.

Risk: These possible risks are described as an "...invasion of privacy, loss of confidentiality, psychological trauma, indirect physical harm, embarrassment, stigma, and group stereotyping" (Oakes, 2002: 449), and also risks posed to "...a subject's personal standing, privacy, personal values and beliefs, their links to family and the wider community, and their position within occupational settings, as well as the adverse effects of revealing information that relates to illegal, sexual or deviant behaviour" (Economic and Social Research Council (ESRC), 2005: 21). Minimal risk may be defined as where "...the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life" (Code of Federal Regulations, 2005).

When signing this document, the project leader/promoter/supervisor confirms the following:

- The ethics application approval will apply strictly to the proposal as stipulated in the application form.
- Should any amendments to the proposal be deemed necessary, during the course of the study, the project leader/promoter/supervisor must apply for approval of these amendments at the relevant scientific committee and EduREC, prior to implementation.
- Amendments for the consideration by EduREC should be communicated by e-mail to Erna.Greyling@nwu.ac.za.
- Should there be any deviations from the research proposal without the necessary approval of such amendments, the ethics approval is immediately and automatically forfeited.
- Ethics approval letters provided by EduREC may not be changed or altered by the project leader/promoter/supervisor or anyone else other than the committee administrator.
- The project leader/promoter/supervisor takes full responsibility for the application process, accuracy of information and completeness of the application. Postgraduate students may not do the application on their own and have to be supported by the relevant promoter/supervisor.
- All communication with and submissions to EduREC must be handled by the project leader/promoter/supervisor and not postgraduate students.
- If any gatekeeping permission letters are obtained from provincial departments, universities or other structures then they will be submitted to Erna.Greyling@nwu.ac.za to be included in the application.
- Additional information and documentation are available on EduREC's website and it is the responsibility of the project leader/promoter/supervisor to ensure being informed about the latest procedures and forms as published on this website:
<https://education.nwu.ac.za/research-and-innovation/research-ethics-committee-education>

Signature:

(Project head/promoter/supervisor)