

**NWU-EMELTEN-REC**

**CHECKLIST FOR ATTACHMENTS**

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| **Application number** |  |
| **Applicant** |  |

***Checklist for attachments for a research study ethics approval application to the North-West University Education, Management and Economic Sciences, Law, Theology, Engineering and Natural Sciences (NWU-EMELTEN-REC):***

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| **Document** | | **Tick if attached** | **Comment** |
| **NWU-EMELTEN-REC: FOR OFFICE USE ONLY** | |  |  |
| 1 | Application cover sheet with progress report |  |  |
| 2 | Checklist of attachments |  |  |
| 3 | Feedback Letter to applicant |  |  |
| 4 | Reviewer reports |  |  |
| **Ethics Applications submission:** | |  |  |
| 5 | A cover letter written by the Principal Investigator/Study Leader that indicates:   * The title of the research study, * The researcher/s, * The type of research ethics application, * The documents attached with the application * The discipline and/or research entity in which the research study is undertaken * Any explanations to further clarify your application |  |  |
| 6 | Executive summary of the research study (150 words only) |  |  |
| 7 | Research proposal approved by a scientific/proposal committee (Please attach the approved research proposal as a separate Word.doc). |  |  |
| 8 | Ethics application form to provide additional information not covered in the proposal. (Please attach in Word.doc format and not in PDF format) |  |  |
| 9 | Recruitment and Enrolment (If applicable)   * Advertising materials * Any other recruitment materials |  |  |
| 10 | Budget: (Compulsory for all research studies. Include expenses such as printing, transport, reimbursements etc. and how these expenses will be covered).   * Reimbursements * Inducements for participants * Costs for participants |  |  |
| 11 | Informed consent documentation (Please use the template provided by EMELTEN-REC).   * Informed consent form * Checklist (if a collaborative research study, informed consent from all the centres, or if an affiliated research study, the original informed consent documentation of the original research study) |  |  |
| 12 | Questionnaire/s, interview schedules for interviews or focus groups, observation schedules |  |  |
| 13 | Risk-Benefit Assessment (Sections 2.5 and 5.2-5.4 of the ethics application form).   * Safety reviews |  |  |
| 14 | Scientific/ Research Committee evaluation:   * Approval letter * Extracts from the minutes of meeting |  |  |
| 15 | Two page narrative CVs of all the researchers in the research study (including promoters, co-promoters, students and any other person directly involved with the research). |  |  |
| **Other documents** | | **Tick if attached** | **Comment** |
| 16 | Proof of ethics training over the past three years for all the researchers in the project (compulsory for promoters, co-promoters, students and any other person directly involved with the research study). |  |  |
| 17 | Permission letters to conduct the research (Can be in draft form and must be written on official NWU letter head by Principal Investigator/Study Leader with his/her contact details on it):   * Government departments * Gatekeepers, such as gatekeeper committees at universities, heads of institutions, CEO’s of companies, etc. * Principals and SGB’s of schools * Parents/guardians of minor participants (if applicable) |  |  |
| 18 | Goodwill permission letters (Can be in draft form and must be written on official NWU letter head by Principal Investigator/Study Leader with his/her contact details on it):   * For example, community leaders, church leaders, tribal chiefs etc. |  |  |
| 19 | Any other applicable documentation:   * Memorandum of Understanding * Contracts with collaborators * Permits etc. |  |  |
| 20 | Signed NWU code of conduct for researchers for each research team member (Compulsory for promoters, co-promoters, students and any other person affiliated with the NWU directly involved with the research). |  |  |
| 21 | Declarations: (Please sign section 8.1 and 8.3 of the ethics application document. If the study has a quantitative component section 8.2 should be signed by a statistical consultant).   * Project leader, * Statistical consultation services, * Director of the research entity |  |  |
| 22 | Ethics review checklist |  |  |
| **If applicable:** | |  |  |
| 23 | Confidentiality agreement (Research team members do not have to sign this document as they sign the NWU’s code of research conduct. Non-research team members who will come in contact with participants or have access to the research data must sign the confidentiality agreement). |  |  |
| 24 | Indemnity form and Insurance Certificate (Only members of the research team who are not covered by the NWU’s insurance). |  |  |
| 25 | Permission from the research project leader if a research study is conducted as an affiliated study falling under another study, or a sub-study falling under a larger study |  |  |
| 26 | Signed statistical review form |  |  |
| 27 | Form A for delegated ministerial consent in the case of research conducted with minors where there is greater than minimal risk to the minors without the prospect of direct benefit to them. Form A must be completed by the Principal Investigator/Study Leader |  |  |
| 28 | Permission letter of the chairperson of the research ethics committee if the study is an affiliated study or sub-study of a larger study conducted at another university than where the student is registered. |  |  |
| 29 | Any other additional information documents where applicable |  |  |