**Te Komiti mō ngā Tāngata Whai Pānga Matatika o te Whare Wānanga o Tāmaki Makaurau**

**UAHPEC**

**University of Auckland Human Participants Ethics Committee**

**Application Form**

**Introduction**

**Whakataki**

**Completing the UAHPEC application:**

Prior to completing your application:

* Check the eligibility criteria for the three ethics committees available to the University of Auckland researchers for review of research studies involving human participants and complete the appropriate committee’s application form.  Eligibility criteria for Health and Disability Ethics Committees (HDECs) are described in their Standard Operating Procedures, and the University’s Guiding Principles for Conducting Research with Human Participants ([section 3.1](https://cdn.auckland.ac.nz/assets/HumanEthics/UAHPEC%20Guiding%20Principles%202020.pdf#page=7)) list the criteria for submissions to UAHPEC and the Auckland Health Research Ethics Committee (AHREC)
* Read the [Guiding Principles for Conducting Research with Human Participant](https://www.auckland.ac.nz/en/research/about-our-research/human-ethics/human-participants-ethics-committee-uahpec/essential-reading.html)s
* Go through the UAHPEC [Applicants' Reference Manual](https://www.auckland.ac.nz/en/research/about-our-research/human-ethics/human-participants-ethics-committee-uahpec/essential-reading.html)
* Check if an exemption applies (see [Guiding Principles section 3.1.1](https://cdn.auckland.ac.nz/assets/HumanEthics/UAHPEC%20Guiding%20Principles%202020.pdf#page=7))
* Visit the [UAHPEC web page](https://www.auckland.ac.nz/en/research/about-our-research/human-ethics/human-participants-ethics-committee-uahpec.html) for more information about support available for the development and submission of your UAHPEC application
* Please complete all the questions relevant to your study.

**Assistance available:**

* For any technical queries, please log a call with the Staff Service Centre at ext. 86000 or [staffservice@auckland.ac.nz](mailto:staffservice@auckland.ac.nz) and the query will be referred to either the Ethics and Integrity team or the Ethics RM support team.
* Ethics advisors in your Department or Faculty are available to consult about ethical issues related to your specific study. The lists of Ethics advisors are available from the [UAHPEC web page](https://www.auckland.ac.nz/en/research/about-our-research/human-ethics/human-participants-ethics-committee-uahpec.html).
* For assistance with completing the application form, you can also contact the Ethics and Integrity team for more information about UAHPEC processes and review, at [humanethics@auckland.ac.nz](mailto:humanethics@auckland.ac.nz)

**Please note:  The research may not start until approval from UAHPEC has been obtained**.

Acknowledgement:

1. The Ethics and Integrity team wants to convey our appreciation to everyone who contributed to the development and implementation of the new Infonetica Ethics RM form.   Please provide feedback either directly to the team or in Section 12 of the online form.
2. We acknowledge with appreciation Matua Te Wharekōtua Turuwhenua for providing the Māori translations of the Section headings in the application form.

**Eligibility for UAHPEC review:**   
**Te Māraurautanga mō te Arotakenga o ngā Tāngata Whai**   
**Pānga Matatika o te Whare Wānanga o Tāmaki Makaurau:**

**Does your study involve Clinical/Health research?**

Yes  No

**Is your research study an audit of clinical data only?**

Yes  No

**Will human tissue be used or collected as part of the study?**

Yes  No

If you have answered **YES** to **any** of the questions above, submit an application to the Auckland Health Research Ethics Committee (AHREC) (if out of scope for HDEC review).

*Definition of ‘Clinical Research’:*   
*Clinical research is defined as “research in which people, or data or samples of tissue from people, are studied to understand health and disease. Clinical research helps find new and better ways to detect, diagnose, treat, and prevent disease. Types of clinical research include clinical trials, which test new treatments for a disease, and natural history studies, which collect health information to understand how a disease develops and progresses over time.” [NIH National Cancer Institute]*

*Click on the*[*link*](https://cdn.auckland.ac.nz/assets/HumanEthics/Clinical%20Research%20Definition%20Guidelines.pdf)*for examples.*

**Section 1: Applicants**

**Tekihana 1: Ngā Kaitono**

|  |  |
| --- | --- |
| **1.1.** | **Project Title:** Let’s see emotions- Emotional speech visualization and annotation |
| **1.2.** | Is this a Research or Coursework application?  Research  Coursework |
| **1.2.a.** | **If this is a Coursework application, provide the course name and number:** Research Project 700A/B |
| **1.3** | Principal Investigator Contact Details:  Name: Jesin James  Department: Electrical, Computer Systems and Software Engineering  Faculty: Engineering  **Email:** jesin.james@auckland.ac.nz |
| **1.4** | **Is this a research study with students as participants in a University class where the Course Director permission is required?**  Yes  No |
| **1.4.a** | If Course Director permission is required provide Course Director Contact details:  Name: Click here to enter text.  Department: Click here to enter text.  Faculty: Click here to enter text.  **Email:** Click here to enter text. |
| **1.4.b.** | **Obtain Course Director's permission documents (if required)** |
| **1.5.** | **Are there any other investigators involved in the project (excluding student researchers)?**  Yes  No |
| **1.5.a.** | **If YES, list all other investigators (apart from students), their affiliation(s) and role in the project:**  Name: Felix Marattukalam  Department: Electrical, Computer Systems and Software Engineering  Faculty: Engineering  **Email:** fmar631@auckland.ac.nz  **Role in the project:** Co-Supervisor |
| **1.6.** | **Will a student researcher or researchers be involved in the project?**  *Research activities involving human participants that are to be undertaken by students as researchers: see*[*Applicants’ Reference Manual Section 11.1.*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=52)  Yes  No |
| **1.6.a.** | **If YES, will this research study contribute to a degree or qualification for any of the student researcher or researchers?**  Yes  No |
| **1.6.b.** | **If YES, provide the name, contact details and project role of each of the student researcher(s):**  *Copy this set of questions to add additional students*  **Name:** Enuri Kolugala  **Student ID:** 484286157  **Department / School:** ECSE  **Faculty and University:** Faculty of Engineering University of Auckland  **Email:** ekol616@aucklanduni.ac.nz  **Degree / Qualification:** Click here to enter text.  **Summer student**  Yes  No  **Research assistant**  Yes  No  **Other**  Yes  No  **If Other, explain:** Click here to enter text.  **Name:** Sunny CHoi  **Student ID:** 4383328  **Department / School:** ECSE  **Faculty and University:** Faculty of Engineering University of Auckland  **Email:** hcho109@aucklanduni.ac.nz  **Degree / Qualification:** Click here to enter text.  **Summer student**  Yes  No  **Research assistant**  Yes  No  **Other**  Yes  No  **If Other, explain:** Click here to enter text. |
| **1.7.** | **Is this a research study using only secondary data?**  Yes  No  If YES, complete only the questions listed at the start of each application form section.  N/A |

**Section 2: Study Description**  
**Tekihana 2: He aha te akoranga**

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| --- | --- |
|  | ***For studies using secondary data only, complete questions 2.1 – 2.7*** |
| **2.1.** | **What is/are the principal question(s) or hypothesis the study will address?**  *Describe the purpose, hypothesis/research questions and objectives of the research in plain language (language that is comprehensible to a lay person and free from jargon or undefined technical terms).*  *All acronyms must be written out in full the first time they appear in the application, recruiting materials, Participant Information Sheet (PIS) and Consent Form (CF).* |
| **2.2.** | **Summary of the study:**  *Provide a summary to place the project in perspective and to allow the significance of the project to be assessed. Please do not cut and paste directly from the research proposal and avoid jargon or technical terms if possible. If jargon or technical terms must be used, please include the definition.* |
| **2.3.** | **How will the study contribute to new knowledge?** |
| **2.4** | **Describe the study design:**  *The study design should include information about what will happen during the study. Include a description of any manipulations/interventions, measurements taken, and the time required. Also include information if it is a multiphase project, or, if the project will be run over multiple years.*  *All acronyms must be written out in full the first time they appear in the application, recruiting materials, Participant Information Sheet (PIS) and Consent Form (CF).* |
|  |
| **2.4.a.** | **Prepare a flowchart or study protocol for complex multi-phase studies.** |
| **2.5.** | **Data collection period (months):**  *Applications are approved for a period of three years, and can be extended for a further period of three years. Extension can be requested by submitting an amendment request a month prior to the expiry date. This extension does not cover addition of other projects unless that is specifically part of the study design approved in the initial application.*  *The start date is when the proposal is approved. The duration of the project is an estimate of how long you expect data collection will take.* |
|  |
| **2.6.** | **Provide a summary of the main ethical aspects of the study and give a brief explanation of how these will be addressed or managed:**  *List of common ethical aspects in research projects to address: Confidentiality; anonymity; informed consent; participants’ rights of withdrawal while participating; participants’ rights to withdraw their data; compensation for participation; conflict of interest (perceived or actual); risks of harm to participants; cultural aspects that were taken into account; incidental findings; deception; data management.* |
|  |
| **2.7.** | **How is the intended research consistent with Te Tiriti o Waitangi?**  This research focuses on a general population that is not specifically targeted towards Maori individuals. However, due to the research being conducted in New Zealand and its online availability, it is possible that Maori participants may be included. It is important to note that the data collected in this research will be treated with the utmost respect and regarded as Taonga. The opinions gathered through this research will be strictly used for research purposes and the participant’s sovereignty over their provided opinions will be upheld.  The research is being conducted by a team that includes Maori researchers. In order to ensure inclusivity and cultural sensitivity, the team has actively involved Maori researchers in the decision-making process of the project. The outcomes and findings obtained from this project will also be shared with Maori researchers, fostering collaboration and knowledge exchange. |
|  |

**Section 3: Location(s) where research will take place**

**Tekihana 3: Te(Ngā) wāhi kei reira nei te rangahau**

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| --- | --- |
|  | ***For studies using secondary data only, complete questions 3.6.and 3.7. only*** |
| **3.1.** | **Where will the research take place?**  Online survey – the participants can do it and the location of their choice with a labptop/PC and headphones/speakers |
| **3.2.** | **Will permission be required to conduct the study at the specific location(s)?**  Yes  No |
|  | **3.2.a. If YES, prepare an appropriate PIS and Consent form, or a support letter.** |
| **3.3.** | **Will the research be conducted in your own place of work?**  Yes  No |
| **If Yes, complete the following set of questions:** |
| **3.3.a. Provide a justification, other than convenience, for why you should conduct this research in your own place of work. Also state the potential benefits to your colleagues, clients, employees.** |
|  |  |
| **3.3.b. What are the potential or possible risks to the participants now and in the future when you may return to the work setting?** |
|  |
| **3.3.c. If you are in a position of authority (of any kind) in your work setting, how will you manage potential power relationships, conflicts of interest and protect others from the possible or potential negative consequences.** |
|  |
|  | **3.3.d.How will confidentiality and/or anonymity be maintained, particularly in a recruitment site with small numbers of potential participants?** |
|  |
|  | **3.3.e. How will you mitigate the conflict of interest with respect to information you are able to access as a staff member as opposed to accessing that information as a researcher?** |
|  |  |
|  | **3.3.f. How will you ensure that participation is voluntary and that potential participants do not feel under any pressure to participate?** |
|  |  |
|  | **3.3.g. When working with colleagues, your own clients or students, how will you incorporate ways to ensure that your participants can withdraw from your study without any negative effects upon their grades or future, employment, or their relationships with their employer, you, and other colleagues?** |
|  |
| **3.4.** | **How many departments/organisations (within or outside of the University of Auckland) will participate in your project?**  No targeted recruitment will be conducted through specific organisations. Participants in this strudy is open to individuals who meet the criteria of having average hearing ability and being above 16 years of age. |
| **3.5.** | **Will the researcher be travelling overseas to conduct this research?**  Yes  No  **If NO, move to question 3.6** |
|  | **If YES, complete questions 3.5.a - 3.5.e:**  **3.5.a.**  **List the countries where the research will take place:** |
|  | **3.5.b. Is a Research Visa or research permit (or similar document) required for the country where the research will be conducted?**  Yes  No |
|  | **3.5.b.i. If YES, provide more information:** |
|  | **3.5.c. Is additional ethics approval required for this project in the country/organisation where the research will take place?**  Yes  No |
|  | **If YES:**  **3.5.c.i. Prepare a copy of the approval letter from the relevant ethics committee/organisation, OR** |
|  | **3.5.c.ii. If the approval has not yet been received, provide more information about when the approval will be available:** |
|  | **3.5.d. Are there are any special circumstances related to this overseas study?**  Yes  No |
|  | **3.5.d.i.If YES, explain what the circumstances are and how they will be managed:** |
|  | **3.5.e. Undertaking to abide by any local laws:**  I undertake to abide by any local laws relating to, privacy and data collection. |
| **3.6.** | **Is this application related to one or more previous applications reviewed by an ethics committee?**  Yes  No |
|  | **3.6.a. If YES, explain the relationship, giving the name of the reviewing ethics committee and the ethics reference number(s) of the previous application(s):** |
| **3.7.** | **Has an application for this study (or a substantially similar study) previously been declined by an ethics committee in New Zealand or overseas?**  Yes  No |
|  | **3.7.a. If YES, explain:** |

**Section 4 : Māori-focused consultation and engagement**

**Tekihana 4 : Arotahinga uiuinga tahi ā Māori**

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|  | ***For studies using secondary data only, complete questions 4.1 and 4.2*** |
| **4.1.** | **Describe the research team’s track-record in Māori-focused research:**  Our research team does not have a specific track-record in Maori-focused research. However, we are willing to learn, collaborate and develop the necessary cultural competency to conduct research that respects Maori perspectives. We are committed to partnering with Maori researchers and community members to ensure our research approach is appropriate and culturally sensitive. |
| **4.2.** | **In what ways have you engaged with Māori organisations or communities in the planning stages of the research?**  No consultation or engagement - complete question 4.2.a Some consultation or engagement - complete question 4.2.b  Significant consultation or engagement - complete question 4.2.c |
| **.2.a.** | **Explain why consultation or engagement with Māori organisations or communities was not undertaken:**  Since our project does not directly relate to Maori topic or involve Maori communities, consultation or engagement with Maori organisations or communities was not undertaken. However, we recognise the importance of engaging with relevant stakeholders when conducting research on topics that directly impact or involve specific communities, including Maori. In such cases, we would prioritise consultation and engagement to ensure appropriate representation and cultural considerations. |
| **4.2.b.** | **If “Some consultation or engagement”, explain:** |
|  | **Identify and explain with whom the consultation or engagement was undertaken:**  Māori reviewer Peers/colleagues Attended Māori responsiveness training in last two years Attended Te Tiriti o Waitangi training in last two years Other |
|  | **.2.b.i. Provide more information about the consultation undertaken:** |
| **4.2.c.** | **If “Significant consultation or engagement”:**  **Identify and explain with whom the consultation or engagement was undertaken:**  Whānau  Hapū  Iwi  Mana whenua  Other |
|  | **4.2.c.i. Provide more information about the consultation undertaken:** |

**Section 5: Study Methodology**

**Tekihana 5: Tikanga akoranga**

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|  | ***For studies using secondary data only, complete question 5.2 only*** |
| **5.1.** | **Provide a summary of what participants will have to do when taking part in the study:**  The study aims to conduct an evaluation of the EmotionGUI website using an online survey.  Participants will be provided with an online-based questionnaire and a link to download a zip file containing multimedia files. There will be a series of tasks to explore various functionalities offered by the EmotionGUI website and provide ratings and opinions on the corresponding questions.  Recruitment for the survey will be done through advertisements sent via group email to University of Auckland staff and students, facilitated by the group services co-ordinator, or an advertising poster attached in the UoA facilities.  Participants should have a basic understanding of English?  Participants should also have average hearing and vision ability as the survey involves listening and watching to multimedia files.  In addition, they should ideally have access to a listening device such as over-the-ear headphones, providing unbiased listening experience in a quiet environment.  Interested participants can access more information about the survey and participate by clicking link provided in the email, which will redirect them to the UOA research website. To ensure anonymity, participants can choose to provide their email address separately at the end of the survey , if they wish to receive a $15 gift voucher.  The survey is designed to take approximately 30 minutes to complete.  The online survey consists of five parts. The first part collects demographic information, including age, language familiarity, any hearing impairments, and web browser etc.  The rest of part focuses on assessing the annotation, visualisation of speech emotion, live audio recording and the overall design and usability of the EmotionGUI website.    Participants will be required to do small tasks, followed by reading and responding to the corresponding questions, selecting the most appropriate answer, or providing written responses.  At the end of the survey, participants will be directed to another brief survey where they can enter their email addresses to receive a gift voucher. While this step makes participants non-anonymous, their identities will remain unlinked to the survey results. We will ensure that participant confidentiality and anonymity are maintained throughout the study, and their responses will be used only for research purposes. |
| **5.2.** | **Select the relevant study methodology(ies):**   * ***Interviews and focus groups:****for structured or semi-structured interviews or focus groups, provide a topic guide or proposed list of interview questions.  Also add an indication in the Participant Information Sheet of the kinds of questions that participants will be asked.* *See*[*Applicants' Reference Manual Section 5.7*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=29)*for further information about interviews.* *See*[*Applicants' Reference Manual Section 8.7*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=38)*for more information about research involving focus groups or small interview samples.* * ***Questionnaire:*** *A questionnaire is a written or electronic list of questions to be answered by participants. See*[*Applicants' Reference Manual Section 5.6*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=28)*for explanation.*   *A questionnaire is a specifically designed set of questions that a participant completes independently and returns to the researcher. Questionnaires should be submitted in the final format in which they will be viewed by participants or, in the case of an online questionnaire, in a format that is as close as possible to the proposed final format.* *For all online questionnaires, researchers must ensure that participants are able to print and/or save the PIS section of the questionnaire for future reference.*   * ***Observations:*** *A clear statement of the nature of the observations and a list of the kind of data that will to be collected must be provided.* |
| **Interviews**  **5.2.a** **Prepare the list of interview questions or discussion topics**  **Focus groups**  **5.2.b Prepare the list of focus group questions or discussion topics**  **Survey(s) or questionnaire(s)**  **5.2.c Prepare the questionnaire(s)**  Add a survey or questionnaires here??  **Observations**  **5.2.d Provide more information about the observations:**  *Explain how observations will happen (an indication of the kinds of things to be observed and recorded).*  **5.2.d.i Prepare an Observation Schedule**  **Audits and Data Analysis**  **5.2.e Provide more information about the audit and data analysis:**  **Secondary Data Analysis**  **Photography/Film/Video** *(Do NOT tick this if you are using video to record an interview or focus group. See* [*Applicants’ Reference Manual Section 5.4.7*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=26)*).*  **Virtual/Augmented Reality (VR/AR)**  **Other**  **5.2.f Provide more information about any other methodologies that will be used:** |
| **5.3.** | **Is this an intervention study?**  Yes  No  *An intervention study is where a researcher instigates a change in actions or processes for the purpose of studying the results. Non-health related interventions include, but are not limited to, changes to educational practices.* |
| **5.3.a.** | **If YES, provide more information:** |

**Section 6: Anonymity, Coding and de-identification of data**

**Tekihana 6: Muna, Tohu Muna me te āraingararaunga**

*The key principles of ethical research are underpinned by the value of respect for persons. Researchers need to consider how the confidentiality of research participants’ identities and data gained from them will be protected.*

*Anonymity in research means an anonymous record, biological sample or item of information can in no circumstance be linked to an identifiable person.*

*The study design should also include how the anonymity of non-participants will be protected (if relevant). See*[*Applicants’ Reference Manual section 8.12.1*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=42)

*If potential participants cannot be guaranteed anonymity or confidentiality, they must be informed in the PIS.*

*A research study is not anonymous if the researcher assigns codes to participants. To preserve anonymity when coding is used, a third party (someone other than the named researchers) can be asked to separate the identifiers from the data which is then coded so that the researchers will not be able to link the codes with participants.*

|  |  |
| --- | --- |
|  | ***For studies using secondary data only, complete question 6.3 only*** |
| **6.1.** | **Will the survey(s) or questionnaire(s) be anonymous?**  *See Applicants' Reference Manual Sections* [*8.12*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=42)  Yes  No |
| **6.1.a.** | **If YES, explain how anonymity will be preserved:** |
| **6.2.** | **Will the questionnaire be web-based?**  *See*[*Applicants' Reference Manual Sections 5.6,*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=28)[*11.2.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=56)  Yes  No  *If YES, ensure this is added to the PIS.* |
| **6.2.a** | **If YES, provide information about the platform that will be used for the web-based questionnaire:**  The questionnaire will be made available via Google Forms. No personal information about participants will be collected or recorded. |
| **6.3.** | **Will the data be provided to you in identifiable format?**  Yes  No |
| **6.3.a.** | **If YES, will permission be required to access the identifiable data?**  Yes  No |
| **6.3.a.i.** | **If YES, explain:** |
| **6.3.a.ii.** | **Obtain the relevant permission documentation** |
| **6.4.** | **Will participant responses or data be coded or de-identified?**  *A common practice in research projects is to assign codes to participants. A research study is not anonymous if the researcher assigns the codes to participants. Therefore, to preserve anonymity, a third party (someone other than the named researchers) must be used to separate the identifiers from the data which is then coded. The third party is required to sign a confidentiality agreement and must undertake not reveal the identities of participants to the research team. See* [*Applicants’ Reference Manual Section 8.12.1.*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=42)  *All data should be stored securely, and identifying materials (including key words or code names) should be stored separately from coded data. See* [*Applicants’ Reference Manual Section 8.12.2*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=43)*.*  Yes  No  **If NO, please move to question 6.6** |
| **6.4.a.** | **If YES, complete questions 6.4.a - 6.5.a.ii as applicable**  **Explain who will code or de-identify the data and when this will occur.**  *Explain in the PIS how confidentiality of participants' identities will be preserved.* |
| **6.4.b.** | **If YES, explain the coding process, who will keep the list of codes and who will have access to the list during and after data collection.** |
| **6.5.** | **Will the identifiers be used for future re-identification of individuals?**  Yes  No |
|  | **6.5.a. If YES, will the identifiers be stored separately from the research data?**  Yes  No |
|  | **6.5.a.i.If NO, explain:** |
|  | **6.5.a.ii. Explain how you will ensure the confidentiality of this information during the study:** |
| **6.6.** | **Will information about participants be obtained from third parties (i.e. anyone other than the participant themselves)?**  *For organisational research: see*[*Applicants' Reference Manual Section 5.4.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=23) *For research in schools: see*[*Applicants' Reference Manual Section 11.11*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=63) *For research on or about professions: see*[*Applicants' Reference Manual Sections 8.9*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=40)*and*[*3.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=16)  Yes  No |
| **6.6.a.** | **If YES, explain from whom and why this is necessary:**  *Ensure this is added to the PIS and CF* |
| **6.7.** | **Will any identifiable information about the participants be given to third parties (i.e., to anyone other than the researchers)?**  *Identifiable information or recorded interviews cannot normally be shared with third parties. If this is intended, it must be clearly indicated in the PIS for all concerned.*  Yes  No |
| **6.7.a.** | **If YES, explain to whom the information will be given:** |
| **6.8.** | **Does the research involve evaluation of the University of Auckland services, staff and students or organisational practices where information of a personal nature may be collected and where participants may be identified?**  Yes  No |
| **6.8.a.** | **If YES, explain and indicate this on the PIS:** |
| **6.9.** | **Does the research study require participants to comment on their employers?**  Yes  No |
| **6.9.a.** | **If YES, explain and indicate this on the PIS** |
| **6.10.** | **Does the research involve matters of commercial sensitivity?**  *Not all research in businesses will involve commercial sensitivity, only if the topic will touch on information confidential to the company.*  Yes  No |
| **6.10.a.** | **If YES, explain (and indicate this on the PIS):** |
| **6.11.** | **Does the research involve deception of the participants?**  Yes  No  *See*[*Guiding Principles Section 5.5*](https://cdn.auckland.ac.nz/assets/HumanEthics/UAHPEC%20Guiding%20Principles%202020.pdf#page=16)*and*[*Applicants' Reference Manual Section 8.15*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=45) |
| **6.11.a.** | **If YES, justify the use and nature of the deception and describe how participants will be informed of the deception after participation.** |
| **6.11.b.** | **If YES, prepare a debrief sheet.** |
| **6.12.** | **Has the study design been influenced by an organisation outside the University of Auckland?**  Yes  No  *See* [*Applicants' Reference Manual Section 3.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=16)*.* |
| **6.12.a.** | **If YES, explain:** |
| **6.13.** | **Are you intending to conduct the study in class time?**  Yes  No  *See*[*Guiding Principles Section 6.5.1(ii)*](https://cdn.auckland.ac.nz/assets/HumanEthics/UAHPEC%20Guiding%20Principles%202020.pdf#page=25)*and*[*Applicants' Reference Manual Section 5.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=22)*.* |
| **6.13.a.** | **If YES, explain:** |
| **6.13.b.** | **If YES, prepare PIS/CF or support letter from the Course Director.** |
| **6.14.** | **Will participants receive any payments, reimbursement of expenses or any similar benefits for taking part in the study?**  *If compensation or financial inducements are offered the terms and conditions should be stated. The absolute right of participants to withdraw at any time, irrespective of whether or not inducements are involved should be made clear. See*[*Applicants' Reference Manual Section 8.18*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=46)*.*  Yes  No |
| **6.14.a.** | **If YES, describe these and explain why they are appropriate:**  *Ensure this information is added to the PIS.* |
| **6.15.** | **Will participants be entered into a prize draw?**  Yes  No |
| **6.15.a.** | **If YES, explain how the prize draw will be managed to protect the identities of participants:** |
| **6.16.**  **6.16.a.** | **Will participants be recognised in kind, e.g., koha?**  Yes  No  **If YES, explain:** |

**Section 7: Participants**

**Tekihana 7: Te hunga whaipānga**

*In general, researchers need to be sensitive to the potential conflicts of interest that arise when including their students as participants, and those who may perceive themselves as in a dependent relationship with the researcher, their family, or their friends.*

*If students in the department of the researcher (or PI) are prospective participants, there must be an explicit statement in the PIS and CF that neither grades nor academic relationships with the department or members of staff will be affected by either refusal or agreement to participate. It should be made clear that participation is voluntary.*

|  |  |
| --- | --- |
|  | ***For studies using secondary data only, complete questions 7.1, 7.3 to 7.6, 7.9 to 7.10*** |
| **7.1.** | **Select the participants in this study:**  Adults Colleagues of researcher(s) Students Persons aged less than 16 years old |
| **7.1.a.** | **If “Adults”, state the age(s) or age group(s) of adult participants**  Age 18 or above, with normal hearing ability |
| **7.1.b.** | **If “Students”, is it possible that the researcher’s own students could be included as participants?**  *Ensure that the appropriate assurance statement is added to the PIS (Refer to the statement below and also the*[*Applicants' Reference Manual, section 5.4.11*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=27)*).*  Yes  No  *If Yes: When it is possible that a researcher’s own students may be participants, e.g., when advertising the study in your Faculty, the following assurance wording can be used in the PIS:*  *If you are a student of the researchers, we give our assurance that your participation or non-participation in this study will have no effect on your grades or relationship with the University and that you may contact your academic head should you feel that this assurance has not been met.* |
| **7.1.c.** | **If “Persons under 16”, state the age(s) or age group(s) for persons aged less than 16 years old:**  *To avoid conflicts of interest, or the appearance of conflicts of interests, researchers may not use their own children aged less than 15 as participants, except in exceptional circumstance that must be explained to UAHPEC.*  *See* [*Applicants’ Reference Manual Section 8.8*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=39) *for participants under 16 years of age and*  [*Applicants’ Reference Manual Section 11.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=57) *for organisational research.* |
|  | **7.1.c.i. If “Persons under 16”, will consent be obtained for participants younger than 16 years old?**  Yes  No |
|  | **7.1.c.i.1. If NO, explain why parental consent will not be obtained and if/how parents will be informed about the research:** |
|  | **7.1.c.i.2. If YES, who will give consent for participants younger than 16 years old?**  *A guardian/caregiver of a child is the person who has legal responsibility for the day-to-day care and decision-making in relation to a child.* |
| **7.2.** | **If “Persons under 16”: Will assent be obtained from participants younger than 16 years old?**  Yes  No |
|  | **7.2.a. If YES, prepare an assent form (in age-appropriate language).** |
|  | **7.2.b. If NO, explain why it is appropriate not to obtain their assent:** |
| **7.2.c.** | **If “Persons under 16”: Will participants turn 16 during the duration of the project?**  Yes  No |
|  | **7.2.c.i. If YES, will consent be obtained from these participants when they turn 16?**  Yes  No |
|  | **7.2.c.ii. Explain:** |
| **7.3.** | **Will the study include persons whose capacity to give informed consent (other than children) is compromised or have difficulty giving informed consent?**  Yes  No  *See*[*Applicants’ Reference Manual Section 11.5*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=58) |
|  | **7.3.a. If YES: If participants are not competent to give or will have difficulty giving fully informed consent, who will consent on their behalf?** |
|  | **7.3.b. Explain why and how this will be handled.** |
| **7.4.** | **Will the study include persons who are in a dependent situation, such as people with a disability, residents of a hospital, nursing home or prison?**  Yes  No |
|  | **7.4.a. If YES, explain:** |
| **7.5.** | **Will the study include other vulnerable groups, such as older persons, persons who have suffered abuse, persons who are not competent in English, or new immigrants?**  Yes  No |
|  | **7.5.a. If YES, explain:** |
| **7.6.** | **Does the research involve processes that are potentially disadvantageous to a person or group (for example, the collection of information which may expose the person/group to discrimination)?**  Yes  No |
|  | **7.6.a. If YES, explain:** |
| **7.7.** | **If a questionnaire is used, will participants have difficulty completing the questionnaire on their own behalf?**  *Consider physical or mental condition, age, language, legal status, or other barriers.*  Yes  No |
|  | **7.7.a. If YES, explain:**  Participants should have average hearing ability. |
| **7.8.** | **State how many participants you intend to recruit for each participant group?**  20 – 40 |
| **7.9.** | **What are the participant inclusion criteria for the study?**  18+ with normal hearing ability |
| **7.10.** | **What are the participant exclusion criteria for the study?**  Medically diagnosed hearing loss. |
| **7.11.** | **Are there any potential participants who fit the inclusion criteria and may express interest in taking part, but could be excluded from participating?**  Yes  No |
|  | **7.11.a. If YES, prepare the email script/wording you plan to use in declining their participation.** |
| **7.12.** | **For Coursework applications only**  **Will there be participants from outside this class?**  Yes  No |
|  | **7.12.a. If YES, explain who they will be and how much time will be required, and also indicate this on the PIS.**  A total of 30 minutes will be required for this survey. |
|  | ***If the research is being conducted overseas, please move to question 7.18*** |
| **7.13.** | **How will Māori participate in this research project?**  Māori governance group  Lead investigators  Co-investigators  Research assistants  As participants  Co-ordinators  Expert advisors  Other |
| **7.13.a.** | **Explain:** Participant call will be general, therefore both Māori and non- Māori participants will be involved. |
| **7.14.** | **How will you ensure that the participants’ whānau will be involved in the study?**  People interested in the survey can participate. The call will be open to all. |
| **7.15.** | **Will participants be able to undertake the study in te reo Māori if desired?**  Yes  No |
|  | **7.15.a. Explain:**  The test wordings and instructions will be in English. |
| **7.16.** | **Will the appropriate tikanga Māori protocols to be carried out when required?**  *For example, pōwhiri*  Yes  No |
|  | **7.16.a. Explain:**  Not needed for this study. |
| **7.17.** | **Describe any other provisions you have made in your study to ensure the cultural preferences of Māori have been considered:**  *Ensure that contact details for cultural support are provide in the PIS*  No additional provisions needed for this study |
|  | **7.17.a. Obtain any support documents required** |
| **7.18.** | **Will any other population groups be specifically targeted for inclusion in the study?**  *See* [*Applicants’ Reference Manual section 8.19.*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=47)  Yes  No |
| **7.18.a.** | **If YES, indicate which groups:** |
| **7.18.b.** | **Briefly describe how these populations have been or will be consulted:** |
| **7.18.c.** | **Briefly describe how the study may benefit these populations:** |
| **7.18.d.** | **Describe any on-going involvement of the groups(s) consulted:** |

**Section 8: Informing Participants, Recruitment & Consent**

**Tekihana 8: Pārongo, Kimi Tangata me te Whakaaetanga**

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| --- | --- |
|  | ***For studies using secondary data only, complete question 8.16 only*** |
| **8.1.** | **Provide details of how participants will be recruited for this study.**  *Te Ara Tika principle: WHAKAPAPA. Research should involve the development and maintenance of respectful relationships, engage Māori in decision-making, and include clear, appropriate communication.*  *Describe in detail how you will identify potential participant and the method by which participants will be invited to take part in the research.*  *For recruitment through private records of names and addresses, student records and family and friends: see* [*Applicants’ Reference Manual Section 8.1*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=36)  *For Snowballing: see* [*Applicants’ Reference Manual Section 8.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=37)  *For research on or about professions: see Applicants’ Reference Manual Sections* [*3.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=16) *and* [*8.9*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=40) |
| The prospective participants for the online survey will know about the survey via advertisements (attached in the application) that will be sent via group email to the University of Auckland staff and students.  The email will be sent to the group services co-ordinator, who has permission to send emails to the UOA staff and students.  The only additional criteria (other than being older than 18 years) for screening the participants is that they have average hearing ability (self-reported, will not be tested during the survey), as the survey involves listening to audio files.  If the participants are interested in knowing more about the survey, they can click the link in the email to be redirected to a PIS and a link to the survey where they can complete the survey anonymously.  The Participants who click on the link to do the survey will be anonymous to the researchers as the results can in no way be traced to the individual participants. |
| **8.2.** | **Provide details of the strategies that will be used to ensure culturally appropriate recruitment of Māori:**  Recruitment will be open to anyone that responds the the email and meets the requirements. |
| **8.3.** | **Explain the process by which potential participants will be provided with information about the study, an opportunity to ask questions, and be asked to give their informed consent :**  If the participants are interested in knowing more about the survey, they can click the link in the email to be redirected to the UOA Speech research website. This will include the PIS and a link to the survey where they can complete the survey anonymously.  Participants can then make an informed decision on if the wish to proceed to the survey via the link to the Google form document. |
| **8.4.** | **Who will make the initial approach to potential participants?**  Researcher  Other  Researcher and/or Other |
| **8.4.a.** | **If “Other” or “Researcher and/or Other”, explain how the approach will be made:** |
| **8.5.** | **Will consent/permission of any organisation be required to access potential participants or their data?**  *If the research is to be conducted in any organisation, such as a business, non-governmental organisation or school, a separate PIS and CF needs to be provided for the Chief Executive Officer, Principal or the owner of the business (i.e. the effective employer) seeking permission to access the employees as participants. See* [*Applicants’ Reference Manual Sections 5.4.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=23)*.*  Yes  No |
| **8.5.a.** | **If Yes, explain:** |
| **8.5.b.** | **Prepare documents that will be used to obtain permission.**  *If you intend to use an advertisement, media release, notices, etc. for recruiting participants, a copy in the format in which it will be presented or displayed to prospective participants must be provided. See*[*Applicants' Reference Manual Section 5.2*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=20) |
| **8.6.** | **Is there any special relationship between the participants and the researchers?**  *It will not be appropriate, usually, for researcher to recruit members of their own family and friends as participants. See* [*Applicants’ Reference Manual Sections 5.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=22)*,* [*8.1*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=36) *and* [*8.13*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=44) *for further explanation.*  Yes  No |
| **8.6.a.** | **If YES, explain:** |
| **8.7.**  **8.7.i**  **8.7.ii**  **8.7.iii** | **Obtaining consent from participants:**  *Typically, participants consent is recorded on consent forms. However, if alternative methods of consent, such as oral consent, are sought, this must be clearly explained and justified in the application. Please also explain in the application how that consent will be documented.*  *Anonymous questionnaires do not require signing of a consent form, as the submission of the questionnaire is taken as consent to participate.*  **The study includes consenting participants only**  **The study includes non-consenting participants only**  **The study includes both consenting and non-consenting participants** |
| **8.7.a.** | **If YES to 8.7.ii or 8.7.iii (i.e., non-consenting participants included), explain why it is appropriate that the study include non-consenting participants:** |
|  | **If YES to 8.7.i or 8.7.iii, (i.e., consenting participants included), complete questions 8.7.b. to 8.7.b.v** |
| **8.7.b.** | **Will participants give consent in writing by signing a paper consent form?**  Yes  No |
| **8.7.b.i** | **Will participants give consent by submitting an anonymous questionnaire?**  Yes  No  *Note: ensure that participants are told on their PIS that submission of the questionnaire will be taken as consent to participate.* |
| **8.7.b.ii** | **Will participants give consent by ticking an electronic checkbox?**  Yes  No  **If YES, explain the consent process and how a record of the consent will be kept:**  The outlines of consent will be provided at the start of the survey. They will only be able to proceed to the rest of the survey until they  have accepted the terms of consent. |
| **8.7.b.iii** | **Will participants give consent by submitting an electronic consent form?**  Yes  No  **If YES, explain the consent process and how a record of the consent will be kept** |
| **8.7.b.iv** | **Will participants give oral consent?**  Yes  No  **If YES, explain why oral consent is appropriate and how a record of the consent will be kept:** |
| **8.7.b.v.** | **Will any other methods be used to obtain consent?**  Yes  No  **If YES, explain the process and how a record of the consent will be kept:** |
| **8.8.** | **Does the research use previously collected information for which there was no explicit consent?**  Yes  No |
| **8.8.a.** | **If YES, explain:** |
| **8.9.** | **Will access to the Consent Forms be restricted to the Principal Investigator and/or the researchers?**  Yes  No Not applicable  *In general, the CF can be only be accessed by the PI and the researcher; the CF must be stored securely on a University managed system or if in hard copy, in a locked cabinet on University premises And the CF has to be stored for six years, and separately from research data.* |
|  | **If YES, indicate this on the PIS** |
| **8.9.a.** | **If NO, explain why not. Ensure this is made clear in the PIS.** |
| **8.9.b.** | **If Not applicable, explain:**  Participants are not able to begin the survey until they have read and accepted the consent form provided at the start of the survey. |
| **8.10.** | **Will Consent Forms be stored by the Principal Investigator in a secure manner, separate from the research data?**  Yes  No  *In general, the CFs should be stored securely on University of Auckland premises, e.g., in a locked cabinet, or if scanned/electronic, on a University-managed storage system. Consent Forms should be stored separately from the research data.* |
|  | **If YES, explain this in the PIS** |
| **8.10.a.** | **If NO, explain why not. Ensure this is made clear in the PIS.** |
| **8.11.** | **How long will the consent forms be stored?**  *If Consent Forms will not be used, reply “Not applicable’.*  6 years  *In general, the CF has to be stored for six years, or as long as identifiable or re-identifiable data is stored, and separately from other data. Consider data that will be kept indefinitely or for set periods more than 6 years.* |
| **8.12.** | **Will you be using invitation or advertisements during the recruitment process?**  *See* [*Applicants’ Reference Manual Sections 5.2*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=20)  Yes  No |
| **8.12.a.** | **If YES, prepare invitation(s) or advertisement(s)** |
| **8.13.** | **Will you be using a Participant Information Sheet(s) or Consent Form(s) during the consent process?**  Yes  No  *See*[*Applicants’ Reference Manual Sections 5.3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=21)*and*[*5.5*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=28)*.  A template for PIS and CF are available from the Help/Templates tab of this application form.  Examples of a PIS and CF are available from the*[*Applicants’ Reference Manual Appendix 2*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=83)*and*[*Appendix 3*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=86)*.* |
| **8.13.a.** | **If YES, prepare the recruitment documents required according to the specific study methodology.** |
| **8.13.b.** | **If NO, explain:** |
| **8.14.** | **Will the public documents be translated once ethics approval has been obtained?**  Yes  No  *UAHPEC approval is based on the documents submitted in English; it is the researcher’s responsibility to ensure that translations are accurate. UAHPEC recommends using the services of a professional translation service.    UAHPEC also recommends that translations be completed after UAHPEC approval, as amendments to the documents may be required during the review process.* |
| **8.15.** | **Are you planning to disseminate (a summary of) the study results to participants?**  *Researchers should be aware that there is an ethical dimension to the formulation and publication of results and loss of copyright. The researcher must remain sensitive to the uses to which the research findings may be put. Wherever possible, the findings should be conveyed in a comprehensible form to those who participated in the research. Explain in the PIS that a summary of the study results could be made available to participants and request contact information on the CF, if participants chose to receive it.*  Yes  No |
| **8.15.a.** | **If YES, detail how (a summary of) the study results will be disseminated to participants:**  Final report sent to participants  *Ensure that you add a space on the Consent form to collect an email or postal address on the consent form.*  Summary of results provided to participants  *Ensure that you add a space on the Consent form to collect an email or postal address on the consent form.*  Hui held with participants and whānau  Other |
| **8.15.a.i.** | **If Other, provide details:** |
| **8.15.b.** | **If YES (8.15), detail how study results will be disseminated to Māori participants and whānau, as well as to key Māori stakeholders:**  Pānui/progress reports sent to participants or whānau  Pānui/progress reports sent to Māori governance groups, expert advisors (tikanga research), lead and co-investigators, co-oordinators and research assistants  Summary of results provided to participants and or whānau  Hui held with participants and whānau  Other |
| **8.15.b.i.** | **If Other, provide details:** |
| **8.15.a.ii.** | **If NO (8.15), explain why the results will not be disseminated to participants:** |
| **8.16.** | **In which of the following forms will the results from the study be published or otherwise disseminated?**  Journal publication   Conference presentation   Thesis/dissertation   Other publications   Hui   Public meetings   Other |
| **8.16.a.** | **If Other, provide details:** |

**Section 9: Risk and Benefits**

**Tekihana 9: Ngā tūraru me ngā huanga**

|  |  |
| --- | --- |
|  | ***For studies using secondary data only, complete questions 9.1 to 9.3 and 9.7*** |
| **9.1.** | **Describe any direct benefits the study may have for participants:**  Although there is no direct benefit to participants they will be helping to improve the quality of synthetic speech for the future of  artificial intelligence and speech. |
| **9.2.** | **Describe any wider/other benefits of the study:**  The study is part of the wider aim to develop speech technology resources for Aotearoa – in New Zealand English and te reo Māori.  We are in the process of developing a tool that would help us annotate and visualise speech emotions(mainly in English) which can be expanded for te reo Māori. |
| **9.3.** | **How does this research impact/benefit Māori?**  *All research in New Zealand is of interest to Māori, and research which includes Māori is of paramount importance to Māori.*  The speech emotion annotation and visualisation tool we are developing as part of the study can be expanded for te reo Māori in the future which will help us analyse emotions in te reo Māori. The results will help to develop better speech technology resources usable for Māori.  *Describe how this research project can contribute to addressing inequities faced by Māori participants and their whānau, for example, the steps you have taken to ensure your public documents are appropriate for Māori.* |
| **9.4.** | **Is the research likely to cause any harm to the participants, such as physical pain beyond mild discomfort, embarrassment, psychological or spiritual harm?**  Yes  No  *Explain if participants are likely to experience discomfort (physical, psychological, social or incapacity) as a result of the procedures.* |
| **9.4.a.** | **If YES, explain what these are and how they will be addressed. Include this information in the PIS.** |
| **9.5.** | **Is it possible the research will involve any risk of harm to the researchers?**  Yes  No  *If interviews will be conducted by one researcher at participants’ homes, consider whether the nature of the discussions might lead to increased risk to the researcher, and provide a safety plan that will be followed when the interviews are conducted.* |
| **9.5.a.** | **If YES, explain these risks and how you propose to address them:** |
| **9.6.** | **Does the research involve collection of information about illegal behaviour(s) which could place the research or participants at risk of criminal or civil liability or be damaging to their financial standing, employability, professional or personal relationships?**  Yes  No |
| **9.6.a.** | **If YES, explain:** |
| **9.7.** | **Is it possible that the research could give rise to incidental findings?**  Yes  No  *Research occasionally gives rise to findings that are unexpected and unrelated to the original purpose of the research but may have significance for research participants' health or wellbeing. These are referred to as incidental findings. Provide information of any incidental findings (See*[*Guiding Principles Section 5.13)*](https://cdn.auckland.ac.nz/assets/HumanEthics/UAHPEC%20Guiding%20Principles%202020.pdf#page=20) *or known side effects which may results from taking part in the research.*  *Make sure that you have clearly identified/explained these risks in the PIS and CF. The PIS should also state that if a participant does not want to be informed of such a finding, they should not participate in the research.* |
| **9.7.a.** | **If YES, explain the possible findings and the likelihood of these occurring. Include information in the PIS about how any incidental findings will be handled.** |
| **9.8.** | **Describe what provisions are in place for the research participants should there be adverse consequences or physical or psychological risks.**  There will be no consequences/risks  *Provide information of plans for subsequent assistance or qualified personnel who will be available to deal with incidental findings, adverse consequences, physical or psychological risks. Explain this in the PIS and CF. Should there be any adverse events in research, UAHPEC needs to be informed immediately. See*[*Applicants' Reference Manual Section 12.3.1*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=72)*.* |
| **9.9.** | **Have the cultural risks of the study been fully explained?**  Yes  No  Not applicable (not part of this study) |
| **9.9.a.** | **If NO, explain:** |
| **9.10.** | **Does the research involve a conflict of interest or the appearance of a conflict of interest for the PI or the research team in relation to the research participants?**  *Examples include but are not limited to the following:*  *- Researches recruiting their own students*  *- Healthcare providers recruiting their own patients/clients*  *- Business owners or managers recruiting their own employees*  *- Researchers recruiting their own family members or friends*  *- Researchers recruiting their own colleagues where there is a power imbalance*  *- Anyone that may be, or perceive themselves to be, dependent on the researcher.*  *See* [*Applicants’ Reference Manual section 8.13*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=44)  Yes  No |
|  | *If YES, include this information in the PIS* |
| **9.10.a.** | **If YES, explain how the conflict of interest has arisen and how it will be managed:** |

**Section 10: Data Management**

**Tekihana 10: Whakahaerenga raraunga**

|  |  |
| --- | --- |
|  | ***For studies using secondary data only, complete questions 10.1 to 10.4*** |
|  | **Data Storage:**  *The University of Auckland Research Code of Conduct requires that research data must be retained for at least six years, but preferably indefinitely. Storage should be on University-managed storage systems. Explain in the PIS and CF in what format the data will be stored, the period that data is to be kept and how security and privacy of data will be maintained. Provide a data management plan if appropriate. See*[*Applicants' Reference Manual Section 10*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=49)*and*[*Section 5.4*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=22) |
| **10.1.** | **Explain how data will be stored during and after data collection:**  Storage and future use of data- The data collected will be stored in the University of  Auckland Faculty of Engineering Research drive (this is a secure and restricted drive  with only to the researchers working on the project having access to it), for the purpose of future research studies. But the stored data does not contain any personal details of the participants that can be linked to individual participants, as such data  is not collected. The researchers cannot link the data collected to individual participants as the design of the survey as such. |
| **10.2.** | **For how long will the data generated in this study be stored?**  *(including audio-recordings, video-recordings, digital voice recordings, and electronic data)*  Indefinitely in the UoA Faculty of Engineering Research drive |
| **10.3.** | **In what form will data from the study be stored after the study has finished?**  Identified  Potentially identifiable  Partially de-identified  De-identified  Anonymous  Other |
| **10.3.a.** | **If Other, provide more information:** |
| **10.4.** | **Explain how data will be deleted or destroyed:**  Can be deleted by deleting it from the Faculty of Engineering Research drive.  *Also explain in the PIS and CF how data will be subsequently deleted or destroyed. See*[*Applicants' Reference Manual Section 10*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=49)*.* |
| **10.5.** | **Will the results of your study be published in a form that identifies (or could reasonably be expected to identify) individual participants?**  Yes  No  *Consider how likely identification will be for a small group of participants known to a wider public, or when there is to be a report back to participants likely to know each other.* |
| **10.5.a.** | **If YES, will you obtain the participants’ consent to be identified?**  Yes  No |
| **10.5.a.i.** | **If YES, explain and make this clear in the PIS and CF.** |
| **10.5.a.ii.** | **If NO, explain:** |
| **10.6.** | **Will the participants be audio-recorded, video-recorded or recorded by any other means?**  *If recording is essential to the research, it should be indicated as such in all relevant PISs. The CF should state, 'I understand that I will be recorded'.  If recording is optional, this should be explained in the PIS. The CF should state "I agree / do not agree to be recorded". It should also state that, 'Even if you agree to being recorded, you may choose to have the recorder turned off at any time'. The PIS to Chief Executive Officers, Principals, and Board of Trustees should state recordings will be made only with the agreement of those recorded.*  Yes  No  **IF NO, move to question 9.11**  **If YES:** |
| **10.6.a.** | **Provide more details and explain if participants will be identifiable from video recordings (if used):** |
| **10.7.** | **Will the recordings be transcribed?**  *The Committee recommends that participants are offered the opportunity to review and edit a transcript of their own recording. Editing of transcripts is not usually appropriate for focus groups.*  *Explain the process of obtaining contact details of participants in the CF so that the transcript can be provide to them, and also state in the application form and PIS the time frame available to participants to edit their transcript.*  *If participants are not being given the opportunity to review and edit their transcripts, this should be explained in the application form.*  Yes  No |
| **10.7.a.** | **If YES, explain who will transcribe the recordings:** |
| **10.8.** | **Will participants be offered the opportunity to edit the transcript of the recording?**  *The Committee prefers that participants are offered an opportunity to review the transcript of recordings (audio, video, or review any photographs) of their data, and considers a two-week timeframe from review of transcripts appropriate. The process for transcript review should be clearly explained in the application form and public documents. See* [*Applicants’ Reference Manual Section 5.4.7*](https://cdn.auckland.ac.nz/assets/HumanEthics/Applicants%20Reference%20Manual%202020%20-%20clean%20draft.pdf#page=26)*.*  Yes  No |
| **10.8.a.** | **If YES, explain the process of providing the transcript and period allowed for editing:** |
| **10.8.b.** | **If NO, explain why participants will not be offered an opportunity to review and edit their own transcripts:**  Not applicable for this study |
| **10.9.** | **Will the transcriptions be translated?**  Yes  No |
| **10.9.a.** | **If YES, explain who will translate the transcriptions:** |
| **10.10.** | **Will participants be offered their recordings or digital files of their recording (or a copy thereof)?**  *The Committee recommends that participants are offered, where possible, a copy of their own recording and also an opportunity to review and edit the recordings where that is feasible. Editing of recordings is not appropriate for focus groups.*  Yes  No |
| **10.10.a.** | **If YES, explain:** |
| **10.11.** | **If any of the research procedures (e.g., transcriptions or translations) will be carried out by a third party other than the named researchers or co-investigators, prepare a confidentiality agreement (unsigned) that will be used in the study.** |
|  |  |

**Section 11: Funding**

**Tekihana 11: Pūtea Moni**

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| --- | --- |
|  | ***For studies using secondary data only, complete questions 11.1 to 11.5 as applicable*** |
| **11.1.** | **Will you receive funding for this project?**  Yes  No  *This includes funding awarded by the University of Auckland, UniServices, Government funding bodies, industry, or non-profit organisations, to undertake this project.* |
| **11.1.a.** | **If YES, who will provide the funding?**  *Indicate the types of funding you are receiving to conduct this research, e.g., Faculty Research Development Fund grant, Health Research Council grant, PBRF grant, or Marsden Fund.* |
| **11.1.b.** | **Provide the funder's contract number:** |
| **11.2.** | **Is this a UniServices project?**  Yes  No |
| **11.2.a.** | **If YES, provide the contract number:** |
|  | **If YES, ensure that the contract is attached to the eform** |
| **11.2.b.** | **Provide the University of Auckland Project Number (PeopleSoft number):** |
| **11.3.** | **Does the Principal Investigator, any Co-investigator, or any direct member of their families have any commercial interest, or any financial relationship to the study sponsor or funder(s)?**  Yes  No  *The sponsorship or funding of a project must not compromise its research adequacy or ethical responsibility.* |
| **11.3.a.** | **If YES, briefly describe the nature of this interest or relationship, and how the risk of a conflict of interest will be minimised and managed. Include this in the PIS.** |
| **11.4.** | **Will the funder have the potential to influence the analysis or any resulting publication?**  Yes  No |
| **11.4.a.** | **If YES, explain:** |
| **11.5.** | **Who will own the intellectual property rights to the study results, and why?**  The Engineering Faculty of the University of Auckland as this research project is based on a requirement of an undergrad degree. |