UNIVERSITY OF CAPE TOWN

SCIENCE FACULTY RESEARCH ETHICS STATEMENT

Application to the Science Faculty Research Ethics Committee for research involving human subjects

A key function of the Science Faculty Research Ethics Committee is to screen and approve, or otherwise refuse, all research proposals in the Faculty that relate to human subjects (see definition in section 2 overleaf), including questionnaires involving human participants; this includes proposed research involving students or staff, by UCT researchers. Outside visiting researchers seeking to work with UCT staff or students must do so in collaboration with a member of UCT staff. Research that does not involve human subjects or third party data collected from human participants does not need to be submitted to this committee for approval. Research on animals needs to be approved by the Faculty’s Animal Ethics Committee; and research that uses biological materials from humans (e.g. fresh tissues, blood or body fluids) needs also to be approved by the Faculty’s Biological Safety Committee.

This **research ethics statement form** and the appended **informed consent form** should be completed and submitted by the actual person undertaking the research (‘the applicant’). All details must be **typed**. Please read the **UCT Code for Research involving Human Subjects** before completing the form: <http://www.uct.ac.za/downloads/uct.ac.za/about/policies/ethicscode.pdf>

In the case of research that involves a number of researchers, this form should be endorsed and signed by the Principal Investigator (PI). If the applicant is a student, the supervisor must endorse and sign the form and ensure that the student is fully informed of his/her ethical responsibilities. Where the research is part of a project that is being co–ordinated from outside the Science Faculty, the researcher should fill in the form in relation to her or his part of the larger research project. The turnaround time for a reply is approximately 10 working days.

**Computer Science applicants**

Please refer to additional instructions at <http://www.cs.uct.ac.za/ethics>

For any questions, please contact [csethics@cs.uct.ac.za](mailto:csethics@cs.uct.ac.za)

**Environmental and Geographical Science applicants**

If you are applying for **expedited review** only (see below for eligbility criteria), please submit the form (in the original MS Word format) to [egsethics@uct.ac.za](mailto:egsethics@uct.ac.za)

**All other applicants**

Please submit the form to: The Servicing Officer: Ms Shanaaz Smith, Science Faculty Research Ethics Committee, [shanaaz.smith@uct.ac.za](mailto:shanaaz.smith@uct.ac.za)

**Expedited Review**

Researchers from the Departments of Computer Science or Environmental and Geographical Science conducting studies which entail only minimal risk, that do not involve the collection of any privately identifiable or sensitive personal data, are not contentious or are not working with any vulnerable populations (e.g. pregnant women, minors, prisoners, low-income communities) may apply for **expedited review** by ticking ‘Yes’ in section **B2**. Applications for expedited review are not necessarily faster, but only require the approval of one member of the Science Faculty Research Ethics Committee in addition to the Chair. For CS applications this typically entails testing the **usability** of programmes and applications. ‘**Usability**’ in this context is defined to include learnability, efficiency, memorability, accuracy, ease of use and user experience, typically with an artefact or prototype. However, if the research also involves the collection of any privately identifiable or sensitive personal data about participants (e.g. information on disabilities, vulnerabilities, health/medical conditions and/or treatments) then the proposal is **NOT** eligible for expedited review. Projects using human subjects and not judged to be of minimal risk will be submitted for review by the full committee.

*Note 1: This form must be completed electronically (i.e. typed) by students and supervisors, and submitted as a Word document as indicated above. Attachments will not be considered except as specified in the form.*

*Note 2: The fields are expandable (horizontally and vertically). Use Enter, when you get to the end of the page, to prevent the fields from spilling too far on the horizontal access.*

Feel free to give feedback on this process to the Chair of the Science Faculty Research Ethics Committee

Dr Shari Daya ([shari.daya@uct.ac.za](mailto:shari.daya@uct.ac.za))

**A. STUDENT AND SUPERVISOR DETAILS**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **A.1** | | **Applicant personal particulars** (required)**:**  *You may enter more than one name here, if this is a group project.* | | | | | | | |
| Title and name(s): | | Mr. Thabo Kopane | | | | | |
| Email(s): | | Kpntha001@myuct.ac.za | | | | | |
| Telephone: | |  | | | Mobile number: | | 0784441666 |
| Department(s): | | Department of Computer Science | | | | | |
| **A.2** | **Supervisor particulars** (required)**:** | | | | | | | | |
| Staff no: | |  | | | | | | |
| Title and name(s): | | A/Professor. Michelle Kuttel | | | | | | |
| Telephone: | |  | | | | Mobile number: | |  |
| Email: | | mkuttel@gmail.com | | | | | | |
| Department: | | Computer Science | | | | | | |
| **A.3** | **Collaborators** (optional)**:**  This will include any external collaborators or research assistants that are involved in this project. | | | | | | | | |
| Title and name | | | | Institution | | | Role | |
| Mr. Josh Benjamin | | | | University of Cape Town | | | Collaborator | |
| **A.4** | | **Project** (required)**:**  *The title of the project should be suitably descriptive of the work entailed.* | | | | | | | |
| **Title** | | | | **CARPARK - a low cost, implementable Smart parking solution for University campuses** | | | |
| **Project duration (month/year – month/year)** | | | | **June 2019 – October 2019** | | | |
| **Purpose** (tick) | | | | | | | |
| **Honours Project** | | | | **√** | | | |
| **Masters by coursework and dissertation** | | | |  | | | |
| **Masters by dissertation only** | | | |  | | | |
| **PhD thesis** | | | |  | | | |
| **Academic research** | | | |  | | | |
| **Contract-funded research** | | | |  | | | |
| **Other research (please specify)** | | | |  | | | |

**B. PRE-REQUISITES** (all answers required)

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| --- | --- | --- | --- | --- | --- |
| **B.1** | **Have you read the UCT Research Ethics Code for Research Involving Human Participants?**  This code is available for download from the UCT web-site’s listing of policies – scroll down the alphabetical listing to ‘Research’, where you will find this specific code:  <http://www.uct.ac.za/about/policies/> | | | | |
| Yes | √ | No |  |  |
| **B.2** | **Are you applying for expedited review?**  Computer Science: You are only eligible for expedited review if you are conducting a usability study  Environmental & Geographical Science: You are only eligible if your project meets the criteria detailed on p.1 of this form | | | | |
| Yes | √ | No |  |  |
| **B.3** | **Is your research making use of human participants or subjects as sources of data?**  Human subject means a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information, which includes a subject's opinion on a given topic. | | | | |
| Yes | √ | No |  |  |
| **B.4** | **Is your research making use of third party data?**  If yes, please (i) give details in section C1 about the nature of the data, how it was acquired, and any restrictions on its use, (ii) answer section B5 below with respect to the custodian/source of the data, (iii) ensure you address in sections C and D the ethical issues related to your use of the data, including the process by which permission was sought from participants for the anonymised use of their data. If free and prior informed consent was NOT sought by the custodian of the data, please provide an explanation and briefly reflect on the ethical implications of this for your own research.  Please note that a clearance certificate is not required by the FSREC for use of anonymised third party data, although you should still consider ethical implications of your work and seek proper permissions from the custodian of the data for its use. However, if the data custodian or another entity requires ethics clearance, please clearly state the reasons for the requirement in B5. If you are using non-anonymised data, please detail your data storage and protection procedures in C1. | | | | |
| Yes |  | No | √ |  |
| **B.5** | **Does your research require express permission from a third party, such as governments, property owner(s), occupier(s) or manager(s), or other institutions?** | | | | |
| Yes |  | No | √ |  |
| **Please state from whom permission is required:** | | | | |
|  | | | | |
| **Have you received permission to proceed?**  If yes, please attach or append a copy of the permission, or explain the nature of the permission received. If no, please provide an explanation. | | | | |
| Yes |  | No |  |  |
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| **B.6** | **Is your research being conducted within a National Park or Nature Reserve (or similar) or any other area for which a permit is required?** | | | | |
| Yes |  | No | √ |  |
| **Please state from whom permission is required:** | | | | |
|  | | | | |
| **Have you obtained the required permit?**  If yes, please attach or append a copy of the permit. If no, please provide an explanation. | | | | |
| Yes |  | No |  |  |
|  | | | | |
| **B.7** | **Does your research intend to make use of UCT students or staff as participants?**  For research involving UCT students you must send a DSA100 form with your clearance certificate to Dr Moonira Khan, Executive Director: Department of Student Affairs (DSA) for approval to conduct this research. For research involving UCT staff, you must submit the HR194 form with your certificate to Ms Miriam Hoosain, the Executive Director: Human Resources Department for approval to conduct the research. You will need to first receive ethical clearance from the Science Faculty Research Ethics Committee (FSREC). After you receive ethical clearance from the FSERC please write to Shanaaz Smith ([shanaaz.smith@uct.ac.za](mailto:shanaaz.smith@uct.ac.za)) for the appropriate forms. | | | | |
| Yes | √ | No |  |  |

**C. RESEARCH FOCUS** (required, maximum 500 words, may not exceed this page)

|  |  |
| --- | --- |
| **C.1** | In the space below state your research aim and objectives (or questions); briefly outline your plans for data collection, and indicate the nature/type of information you will be seeking from the participants in your research. Please also indicate the number of participants you envisage and how you will recruit them for your research. Do NOT submit additional documents. Your proposal will be evaluated on information in this form alone.  Please note that ethics applications are reviewed by a multi-disciplinary committee and should be written in a manner that does not assume specialist knowledge. For this reason, acronyms/ abbreviations should be written out in full the first time they are used, followed by the shortened version in brackets. |
| We are designing an application that will act as a companion app for our car parking system.  The aim of our research for the app is on the usability and the benefits and problems of using UCD as part of app development and for user-oriented software engineering in general. User centred design is a design philosophy that is focussed on the User’s needs, tasks and what they plan to use the application for. For the design and development of the app, we want to use UCD – this means that we’ll get user feedback for every iteration that we make.  We want users for feedback on our prototypes and improvements that could be made to the proposed app, users will be our co-designers for the app. Initially we want to find out what are our users’ needs through surveys, online surveys will suffice – about 50 individuals.  The survey will also help us with design requirements gatherings.  Through the help of the survey we will design a paper prototype, we want to get users feedback on the paper prototype, a focus group or one-on-one interviews. Here a minimum of 5 individuals will suffice  An interactive prototype continues on adding additional features that users suggested and removing or changing interactions that users were not happy with. The interactive prototype will be built using of the mock-up tools and we will also look to get users’ feedback on the interactive prototype.  After collating the feedback of the interactive prototype, we will code the application and do contextual inquiries after installing the app on users’ phones. The aim of the contextual inquiry is to simulate a user looking for parking and how they interact with the phone, and find out if the phone is distracting the user and fix issues that they may be having  **HOW WILL WE RECRUIT:**   1. For surveys, we will put QR coded posters on the walls on campus, Circulate the links in group chats, and ask the research office to email students on our behalf. 2. For the prototypes, we will utilise posters explaining the project and QR codes to RSVP date for tsting. We will also approach the research office to email students on our behalf with regards to our user testing. |

**D. PARTICIPANT PROCEDURES** (all answers required)

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| **D.1** | | **Information** | | | | | | | | | | |
| **Will research participants have reasonable and sufficient knowledge about you, your background and location, and your research intentions?**  By ticking the ‘Yes’ box, you declare that you have completed and will use the **informed consent form** appended to this statement, and that whether you are seeking written or verbal consent, you will explain the content of the consent form verbally to each participant.  Any other information you want to provide to strengthen your application w.r.t. the provision of information may be included in the box below. If your answer is ‘No’, please provide justification. | | | | | | | | | | |
| Yes | √ | | No | |  | |  | | | |
|  | | | | | | | | | | |
| **D.2** | **Consent** | | | | | | | | | | | |
| **Will you secure the free and prior informed consent of all participants in the research?**  Please ensure that you complete the **informed consent form** at the end of this document with the particulars of your project, or include the form or script you will use.  By ticking the ‘Yes - Written’ or ‘Yes - Oral' box, you declare that you:   * commit to ensuring that each participan**t** understands the informed consent statement, agrees to participate, before any research begins * retain a record of informed consent, either by keeping a copy of the signed form, or in the case of oral consent, recording time and place of consent in writing with the signature of a witness, or on an audio device * will give the participant a copy of the signed form and keep a second copy for yourself (in the case of written consent) | | | | | | | | | | | |
| Yes - Written | | | √ | | Yes - Oral | |  | | No |  |  |
| Please provide your procedure for securing informed consent of all participants.  If you ticked ‘No’, explain why waiver of prior informed consent is required.  Any other information you want to provide with regard to consent may also be included in the box below, including any plans required to translate the form or oral informed consent script into the language of research participants, and a brief motivation for oral consent if applicable | | | | | | | | | | | |
| We plan to state in our invitation to users what the purpose of the app is and that we do not wish to collect personal data, we just want them to use the app andgive us feedback on the app. | | | | | | | | | | | |

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| **D.3** | **Recording** | | | | |
| **Will you take photographs, audio recordings or videos of your participants?**  Photographs, audio, and video recordings contain personally identifiable information, even if the face is not visible, and may also be prohibited by certain individuals and cultures or violate people’s rights to privacy.  By ticking the ‘Yes’ box, you declare that you:   * will commit to asking permission prior to initiating any photograph or recording * will not photograph or record participants who have declined * will seek the free and informed consent of participants prior to using any recordings or photographs in publications, project websites, presentations, social media or other means of dissemination.   If yes, please provide (i) a rationale for using such material in your research, (ii) the procedure for securing consent for recordings (this may entail modifications to the consent form), and (iii) an explanation of how you intend to use the material.  *Please ensure that the content of this section aligns with the informed consent statement at the end of this form.* | | | | |
| Yes | √ | No |  |  |
| In situations where we are doing a focus group, it is reasonable to let users talk amongst each other and thus recording will make things more efficient for transcribing later. | | | | |
| **D.4** | **Confidentiality** | | | | |
| **Are you able to offer privacy and confidentiality to participants, if they wish to remain anonymous?** The default requirements of the Science Faculty Research Ethics Committee are to assure that either:   1. study data are de-identified (identifiers are stripped or separated), or 2. data are collected without identifiers (anonymous).   If you wish to use the names and organisational affiliations of participants in your research:   1. tick ‘No’; 2. provide a reasoned motivation in the box below why you are adopting this approach, indicating why this does not have ethical implications for the participants, and 3. modify the appended prior informed consent form appropriately so that it reflects a participant’s agreement that you may use his or her name and/or affiliation together with the information they provided.   If there are any aspects of your research where there might be difficulties or problems with regard to protecting the confidentiality and rights of participants, and honouring their trust, explain this in detail below. | | | | |
| Yes | √ | No |  |  |
|  | | | | |

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| **D.5** | **Potential harm for participants** | | | | |
| **Outline any foreseeable risks of legal, physical, psychological or social harm or suffering to participants and/or the environment, which might result from, or occur in the course of, this research.**  Please include what these risks might be and what preventative steps you plan to take to avoid or minimise such harm from being suffered, and include a summary of these risks in the appended prior informed consent form. Residual risks are to be balanced by your response to question D.8 below (on the benefits of the research). If there are no foreseeable risks beyond what your participants may encounter in everyday life, state that this is the case. | | | | |
| There are no foreseeable risks beyond what users may encounter in everyday life. | | | | |
| **D.6** | **Potential for harm to UCT or other institutions** | | | | |
| **Are there any foreseeable risks of harm to UCT, or to other institutions, that might result from or occur in the course of the research, for example, legal action resulting from the research; or the image of the university or another institution being adversely affected by association with the research (such as a school being compromised in the eyes of the Department of Education)?**  If your answer is ‘Yes’, give details below (to be balanced by your response to question D.8 below). | | | | |
| Yes |  | No | √ |  |
|  | | | | |
| **D.7** | **Other conceivable ethical issues** | | | | |
| **Are there any other ethical issues that you think might arise during the course of the research (e.g., with regard to conflicts of interest amongst participants and/or institutions)?**  If your answer is ‘Yes’, give details in the box below and say what you plan to do to minimise any adverse consequences (to be balanced by your response to question D.8 below). | | | | |
| Yes |  | No | √ |  |
|  | | | | |
| **D.8** | **Benefits to science, to participants and others** | | | | |
| **Summarize the benefits of your research.**  The core task of research ethics committees is to balance the benefits of research against risks or potential harm that may ensue, as per sections D.5, D.6, and D.7 of this form. In the space below summarise the benefits of your research. If appropriate, please also give some indication as to how you will provide feedback to the participants in your study. | | | | |
| The benefits of our research to participants is that they might get a fully functional parking app by the end of our project. We need them as co-designers so that the app will meet their needs and won’t distract them whilst driving and other novel features that users might be interested in.  For the science community, UCD is an old design philosophy that is not used quite often in industry for a wide variety of reasons, if we succeed, we can show that UCD can be integrated in the agile methodology very efficiently. | | | | |

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| **D.9** | **Publication of results** | | | | |
| **Research projects ideally result in publication of the results. Have you and your supervisor/PI read and agreed to the principles regarding authorship as set out in the UCT Authorship Practices Policy?**  This code is available for download from the UCT web-site’s list of policies – scroll down the alphabetical listing to ‘Research’, where you will find this specific code <http://www.uct.ac.za/about/policies/> | | | | |
| Yes | √ | No |  |  |

**E. SIGNATURES**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **E.1** | **Endorsement by Applicant** | | | | | | |
| Title and Names | Mr. Thabo Kopane | | | | | |
| Signature |  | | | Date | | 14/06/2019 |
| **E.2** | **Endorsement by Supervisor or Principle Investigator**  By signing below, I certify that I have assisted the applicant to identify ethical issues pertaining to his or her research; that I have reviewed this ethics application, including the informed consent form overleaf, and am satisfied that it is accurate and adequately communicates information about the proposed research | | | | | | |
| Comments | | | | | | |
|  | | | | | | |
| Title and Names | | A/Professor. Michelle Kuttel | | | | |
| Signature | |  | Date | |  | |

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| --- | --- | --- | --- |
| **DEPARTMENT OF COMPUTER SCIENCE** | | |  |
| UNIVERSITY OF CAPE TOWN  **PRIVATE BAG X3**  RONDEBOSCH 7701  SOUTH AFRICA | RESEARCHER/S: TELEPHONE:  E-MAIL:  URL: | Thabo Kopane, Joshua Benjamin  +27-78-444 666  Kpntha001@myuct.ac.za  Cs.uct.ac.za |

# Informed Voluntary Consent to Participate in Research Study

**Project Title** [provide suitably descriptive project title here]

**Invitation to participate, and benefits:** You are invited to participate in a research study conducted with *students and lecturers who drive and park on campus daily*. The study aim is to *design an application that will act as a companion app for a parking system, we want the users’ feedback on each iteration, users will be our co-designers*. I believe that your experience would be a valuable source of information, and hope that by participating you may gain useful knowledge.

**Procedures:** During this study, you will be asked to to interact with *a paper prototype, interactive prototype or a real app, and give feedback on how you find the app and critique on where to improve it.*

**Recording:** We may take photographs and/or record audio/video as part of the study. These will be used *write notes later on on the feedback given, the recordings are done for efficiency and will be discarded after notation – they will not be used to identify users*. If you object to this, please indicate below. [Please edit/remove as necessary].

**Risks:** There are no potentially harmful risks related to your participation in this study.

**Feedback**: You will receive feedback about the results of this research in the following manner: *you will be sent a link to where you will be able to view the project, and a link for the app downliad (if available).*

**Disclaimer/Withdrawal:** Your participation is completely voluntary; you may refuse to participate, and you may withdraw at any time without having to state a reason and without any prejudice or penalty against you. Should you choose to withdraw, the researcher commits not to use any of the information you have provided without your signed consent. Note that the researcher may also withdraw you from the study at any time.

**Confidentiality**: All information collected in this study will be kept private in that you will not be identified by name or by affiliation to an institution. Confidentiality and anonymity will be maintained because no data about the user will be collected.

**What signing this form means:** By signing this consent form, you agree to participate in this research study. The aim, procedures to be used, as well as the potential risks and benefits of your participation have been explained verbally to you in detail, using this form. Refusal to participate in or withdrawal from this study at any time will have no effect on you in any way. You are free to contact me, to ask questions or request further information, at any time during this research.

I agree to participate in this research (tick one box)  Yes  No \_\_\_\_\_\_\_\_\_ (Initials)

I agree to be audio-recorded  Yes  No \_\_\_\_\_\_\_\_\_ (Initials)

I agree to the use of properly anonymized audio recordings in the following way – to aid in note-taking for feedback of the prototype/s  Yes  No \_\_\_\_\_\_\_\_\_ (Initials)

|  |  |  |
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| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **\_\_\_\_\_\_\_\_** |
| Name of Participant  Thabo Kopane | Signature of Participant | Date  25/6/19 |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **\_\_\_\_\_\_\_\_** |
| Name of Researcher | Signature of Researcher | Date |