

## Applications for Ethical Approval for Human Research and Related Activities

*6 (1) A staff member, student, or authorised person must not commence research or a related activity until it has been approved by the appropriate authority and in accordance with these regulations [Ethical Conduct in Human Research and Related Activities Regulations].*

The University of Waikato Human Research Ethics Committee is committed to ensuring regulatory compliance through best practice in the conduct of Human Research and Related Activities. The Committee recognises the diverse nature of research activities involving human participants, the potential for research activities to develop in different directions over time, and the reality that there are multiple stakeholders in Human Research.

The Committee accepts applications for three types of ethical approval. The three types of approval are available to staff members, doctoral candidates, and persons affiliated with the University of Waikato. Doctoral students applying for Doctoral Confirmation may use any one of the three types of ethical approval. Students planning to conduct research for any degree at the level of Masters, or below, may only apply for *Full Approval*, as per the following policy.

### 1. Application for Full Ethical Approval

Applications for Full Ethical Approval are available to researchers who are able to engage fully with their project ethics at the outset of their research.

Researchers who submit applications for Full Approval could be:

- researchers undertaking smaller scale or single method research projects;
- researchers intending to engage in extended periods of (multi-method) data collection early in their projects;
- researchers with sufficient experience and/or information to hand to apply for Full Approval for new projects.

Applications for Full Approval are submitted on the appropriate form, to the appropriate Devolved HREC. Full approvals may be given by the Devolved HREC through the normal review processes.

**Once Full Approval has been granted, a researcher must communicate with their relevant HREC if any variations to the approved research are anticipated.**

## **2. NEW: Application for Phased Ethical Approval**

Applications for Phased Ethical Approval are available to researchers who have sufficient detail to apply for approval for one or more (but not all) of their planned research activities.

Researchers who submit applications for Phased Approval could be:

- any researcher who is planning a multi-phased, or multi-year project and for whom the findings of earlier Human Research phases will shape later phases of research.

Applications for Phased Approval are submitted on the appropriate HREC form, to the appropriate Devolved HREC. Applications for Phased Approval should be numbered sequentially as Phase 1, Phase 2, etc. After the first application, reference should be made to earlier application/s and substantial portions of later applications may repeat the Phase 1 application. In particular, the applicant must make it very clear to the committee what, if any, details have changed since the earlier application. Approval for phased research may be given by the Devolved HREC through normal review processes.

**The Applicant must return to the ethics committee with a further application for subsequent research activities not covered by an earlier Phased Approval.**

## **3. NEW: Application for Preliminary Approval**

Applications for Preliminary Approval are available to researchers who are in the planning stages of their research, but who do not yet have sufficient detail to enable them to complete a detailed ethics application. When a project has Preliminary Approval, this means that based on the information provided, no obstacles to gaining Phased or Full Approval have been identified. It should be noted that a Preliminary Approval will not guarantee Phased or Full Approval.

Researchers who submit applications for Preliminary Approval could be:

- doctoral students approaching confirmation, and who are not planning to engage with human participants in the early (Year 1) phases of their doctoral research;
- researchers who are required to engage with the ethical approval process to meet a project reporting milestone or funding requirements, but who are not yet in a position to prepare a full ethics application;
- doctoral students/researchers who are part of multi-institution projects, and who are waiting on key details from partner researchers before completing a full ethics application;
- researchers applying for external funding, who feel that Preliminary Approval would strengthen their funding application;
- researchers investigating the ethical feasibility of their research plans.

Applications for Preliminary Approval are submitted on the Preliminary Approval form, to the appropriate Devolved Human Research Ethics Committee [HREC]. Preliminary Approval may be given by a Devolved HREC Chair or Nominee, and may include feedback on any area/s for consideration in the preparation of a detailed application.

**In accordance with regulation 6(1), human research activities must not be conducted under a Preliminary Approval. A researcher must return to their devolved HREC with an application for either Full Approval or Phased Approval prior to beginning data collection.**

# Application for Preliminary Approval



THE UNIVERSITY OF  
**WAIKATO**  
Te Whare Wānanga o Waikato

1. *Provide project metadata:*
  - *project title*
  - *primary investigator*
  - *other researchers and/or research supervisors, technicians and advisors*
  - *project dates, including anticipated start date for data collection from human participants,*
  - *reason for Application for Preliminary Approval.*
2. *Provide a brief background to the study, and the central research questions.*
3. *List data collection methods involving human participants which are anticipated to address the research questions.*
4. *Briefly describe your anticipated participant selection criteria, and plans to approach potential participants.*
5. *Describe how you anticipate protecting/representing participant identities through the research process and in your research reporting.*
6. *Describe any anticipated risks that may arise through the conduct of your research. Consider your participants as individuals, and as members of relevant communities/organisations. As appropriate, indicate how you intend to manage risk in your project.*
7. *Describe cultural considerations relevant to your research.*
  - *If your project involves a topic of direct relevance to Māori, and/or Māori participants are a core component, please indicate whether you have identified a Māori cultural advisor and begun consultation, or outline your plans for doing so.*
  - *If your project involves an identified minority cultural groups, and/or a vulnerable population, please indicate whether you have identified an appropriate cultural advisor and begun consultation, or outline your plans for doing so.*
  - *As appropriate, position yourself in relation to your research topic (e.g. your prior study, employment and research experiences) and participant community (e.g. your relationships with community members, gender/age/other power dynamics as relevant).*
8. *List the anticipated outputs from this research. Indicate how project outputs will be shared with participants.*