Human Research Ethics Application | Division of STEM

Full Ethics Application

Application Instructions

Before applying for approval applicants must familiarise themselves with the Ethical Conduct in Human Research and Related Activities Regulations in the University Calendar:

https://calendar.waikato.ac.nz/research-assessment-graduation

This form should be used by students or staff in STEM to request approval to collect any data from human subjects in their research. Complete this form by deleting any instructions under each heading and inserting your information.

Note: You should read the Human Ethics Research Guidelines prior to completing the application (see https://www.waikato.ac.nz/research/research-enterprise/ethics/human-research-ethics-committee/human-ethics-research-guidelines-for-researchers/). Ensure that your research supervisor has read through your application and approved its submission to the Ethics Committee before submitting it.

When complete, submit a signed electronic copy of the application to stem-ethics@waikato.ac.nz. Please note that all documents should be in one PDF file, including any appendices. The deadline for STEM ethics applications is the first Monday of each month. Dates for 2026 are:

Monday 2 February
Monday 2 March
Wednesday 8 April (delayed due to Easter)
Monday 4 May
Tuesday 2 June (delayed due to Kings birthday)
Monday 6 July
Monday 3 August
Monday 7 September
Monday 5 October
Monday 2 November
Monday 7 December

You will receive feedback on your application within 10 working days of the batch processing date. You will then be advised of any changes that may be required, and these should be addressed. Once amendments have been made, submit an electronic copy and a cover letter addressing changes to stem-ethics@waikato.ac.nz. You will then be advised if your application has been approved.

Applicant Checklist

Yes ☐ No ☐ Are you investigating a topic related to one or more of health, disability or well-being?

Yes ☐ No ☐ Are you using an instrument intended to assess health, disability or well-being?

Yes ☐ No ☐ Is referral to a health service provider anticipated as a potential outcome of participation?

Yes ☐ No ☐ Are participants being recruited in their capacity as DHB employees?

Yes ☐ No ☐ Are you intending to collect tissue samples (e.g. bloods, saliva, urine) from healthy individuals?

Yes ☐ No ☐ Are you intending to utilize exercise and/or nutrition interventions for health-related outcomes?

Yes ☐ No ☐ Are you intending to only use publicly available data sets?

Yes ☐ No ☐ Are you intending to work with participants under the age of 16?

A positive answer to one or more of the questions above means that your application is Human *Health* research and must be reviewed by the University of Waikato Human Research Ethics Committee (Health) (HREHC), a Health Council-accredited committee.

- If you have answered 'yes' to any question above, please submit to humanethics@waikato.ac.nz
- If you have answered 'no' to all questions above, please submit to stem-ethics@waikato.ac.nz

Submit this application form when the Checklist and the Application Cover Sheet is complete and has been signed. Review and complete the following checklist:

Yes ☐ No ☐ Personal details (on Cover Sheet)

Yes ☐ No ☐ Academic Details (on Cover Sheet)

Yes ☐ No ☐ Participant Information Sheet (PIS) / Research Consent from (RCF)

Yes ☐ No ☐ Signatures (where required)

Yes ☐ No ☐ Research Instruments such as interview schedules, questionnaire/survey items (see question 18 below)

Any staff and students doing research must gain approval for any such research **prior to** the collection of any data from human participants.

NB: Before submitting your applications to HREC, use the file naming convention as follows:

LASTNAME_STEM_HREC(2025)Application.pdf

e.g., Smith_STEM_HREC(2025)Application.pdf

Ensure that all documents are collated as one pdf file before submitting. Ensure that all pages are in the correct order.

Information provided to participants includes the approval of the HREC, noting the application number and the Committee details for any contact, concerns, or questions of an ethical nature.

Research Ethics– Cover Sheet for Full Applications

Principal Investigator:	
Division / School / Faculty / Institute:	
Email address:	@waikato.ac.nz @students.waikato.ac.nz
Preferred phone number: **Office phone number** (if applicable)**:**	
Student ID (if applicable)**:**	
Proposed start date of data collection/field research: **Proposed project end date:**	**Expected start date:** **Expected end date:**
This is an application for approval of (indicate all that apply)**:**	Staff research project: Yes ☐ No ☐ PhD research: Yes ☐ No ☐ Masters research: Yes ☐ No ☐ Other: Yes ☐ No ☐
Name of degree/paper (if applicable)**:**	
Supervisor name:	
Supervisor's approval signature:	
Funding sources (if applicable)**:**	
Project sponsors (if applicable – e.g. equipment)**:**	
Research locations (if outside UoW facilities)**:**	
Associated/linked applications (provide other applications' approval code and title)**:**	**1.** **2.** **3.**
Has the application received approval from other institutions? If so, please talk to the HREC Chair before proceeding, as this Committee may only need to ratify the already approved application**.**	

I request approval for this research or related activity, and attach all relevant documentation necessary for evaluation under the Ethical Conduct in Human Research and Related Activities Regulations: https://calendar.waikato.ac.nz/research-assessment-graduation/ethical-conduct

I have read and complied with the University's Ethical Conduct in Human Research and Related Activities Regulations.

Principal Investigator's signature: _____Date: _____

Project Overview

Please provide information about your project

The committee needs some details of the overall research focus, purpose, and methods, but please keep in mind that it is only the methods related to the collection of human data that the committee will be approving. Please ensure the application primarily focuses on the human research aspects of your project.

1. **Project Title:**

2. **Briefly outline the research topic, research questions and/or research objectives** (boxes will expand as you write).

Research topic (20-50 words)	
Research questions (bullet point)	
Research objectives (bullet point)	

3. **What specific research activities are you planning to undertake?** *Briefly* respond to this question by LISTING research activities. Please note: this application should focus primarily on the Human data collection for this research. You will be asked to provide further details under Q.18.

   NB: delete example text in boxes below.

Research activity	**Brief comment (10-30 words per item)**
Eg semi-structured interviews	12 DHB staff 12 about their experiences of xxx
Eg anonymous online survey	All relevant staff in XXX field in these designated DHBs XXX, XXX, XXX.

4. **Justify your project.** Provide a summary of the research, its methods, anticipated academic benefits, value and/or contribution to the field.

(a) Research summary (under 300 words)	*Please provide some overall understanding of your research purpose, and then this description needs to focus on the data collection from humans.*
(b) Methods summary (under 300 words)	*Please focus on the methods related to collecting data from humans.*
(c) Anticipated academic benefits/value/ contribution to the field summary (max 200 words)	

The Researcher(s)

Please tell us about you and/or your research team

5. LIST all members of the research team and briefly describe their roles within your research project.

Name	Role

6. OUTLINE relevant qualifications to undertake this research (250 words max).

Qualifications and Prior experience	
Training/expertise in relevant research methods	
Personal knowledge of topic/area of interest	
Other…	

7. **What, if any, discipline-specific codes of ethics or professional standards will guide your research?** Outline here:

Your intended participants

Please provide the following information about your intended participants

8. **Broadly, who will your participants be?** Indicate the broad target population (e.g. approx. 30 young adults (20-25 years old) men and women from Waikato rural communities). Offer estimates if exact numbers are uncertain. Do not include individuals' names.

9 (a). **How will you recruit participants?** Summarise your process as a list of actions, in chronological order (no more than 200 words).

9 (b). **Do you need permission from any person or organisation to recruit participants prior to recruiting participants?** (e.g., site manager/supervisor, access to a contact database, etc.). If so, please describe this process.

10. **How will you inform them about the project and their involvement in it?** Summarise your process. Link to relevant attached appendices (e.g. recruitment emails, posts, posters, information sheets).

11. **Are the participants vulnerable?** Yes ☐ No ☐ (e.g., in a position of lesser power, disabilities, marginalised groups, minority groups, etc.)

If yes, then:

(a) In what ways are they vulnerable? Outline:

(b) Why do you need to involve them in your research? (i.e., why can they not be excluded from the research?) Outline:

(c) How will you protect them from harm? Outline – please give this careful thought.

12. Will you select participants on the basis of:

Ethnicity:	Yes ☐ No ☐	**Iwi:**	Yes ☐ No ☐
Culture:	Yes ☐ No ☐	**Disability:**	Yes ☐ No ☐
Gender	Yes ☐ No ☐	**Ethical belief:**	Yes ☐ No ☐
Religion	Yes ☐ No ☐	**Sexuality**:	Yes ☐ No ☐

If yes to any of the above:

(a) State how you will inform participants about the selection criteria.

(b) Are your participants likely to come from a particular ethnic group or other distinct population even if you are not selecting them on that basis? If so, please discuss the implication of this for your research.

(c) What cultural and other competencies do you have to work with your selected participant group (e.g. language, membership, professional training)? Consider adding a relevant advisor if needed.

13. Do you have any type of relationship with your participants already (e.g. employer/employee, supervisor/worker, personal relationship)?

Yes ☐ No ☐

If yes, then you will have a dual role in the research, both as researcher and, for example, as friend or family member. Therefore, how will your pre-existing relationship affect your role as a researcher? Outline and address potential ethical issues associated with your pre-existing relationship in relation to your project.

14. Will participants receive any form of compensation or incentive for participation? (See guidelines on compensation and note that reimbursement for travel expenses may be stated, but

does not need justification) Yes ☐ No ☐

If yes, what will they receive? (e.g., vouchers, prizes, shared refreshments, course credits, etc.) Outline.

Consent

Please provide the following information about consent processes

15. **How will you gain informed consent from your participants?** Outline methods for this consent process.

    (a) Who will gain consent from participants? Note that where dual roles exist (Q.13 above), coercion to participate may be avoided by asking a third party to undertake the informed consent process. The main investigator will gain consent from the participants' parents and gain participant assent.

    (b) At what point do participants give their consent? NB: Ensure you attach a copy of participant consent forms. If you intend to seek oral consent, include a procedure sheet to describe the process by which consent will be negotiated.

    (c) If vulnerable, are your participants able to give informed consent? Yes ☐ No ☐
    If no, then how will you obtain consent from their proxy?

16. **With the exception of participants who are anonymous to the researcher, participants have the right to withdraw entirely or in part from the research. Please explain how and when participants are able to withdraw** (e.g. three weeks after data collection, or receipt of a transcript) and ensure that this is consistent with what is included in the Participant Information Sheet and Participant Consent Form.

17. **Data collection activities may be planned for off-campus locations.** Please list all non UOW locations where you will engage in data collection.

    (a) If you need consent or permission from any organisation, community representative, and/or anyone other than the individual participants, please list the required permissions, consents, and/or approvals in chronological/process order.

    (b) How and when will you gain these permissions, consents and/or approvals? Ensure that you attach any statements, letters, or emails of permission or approval that have been secured in advance of your application to the Human Research Ethics Committee.

Research design

18 (a) Please outline what you intend your participants to do (e.g. semi-structured interviews of 12 STEM academic staff members about their experiences of xxx; e.g. anonymous online survey of all University of Waikato staff members about xxx...)

NB: Attach to the end of the application (as part of a single pdf), all research instruments that you intend to use to collect data (e.g. interview schedules, questionnaire/survey items). Indicate whether the research instruments are drafts or final versions. Later final versions of research instrument versions must be lodged with the committee prior to data collection.

(b) How will participants benefit from their involvement in the research?

19 (a) Could participants be harmed in your research? Yes ☐ No ☐

If yes, please outline all potential harms to your participants with brief commentary. Use the table to help you be succinct. Examples of harm include significant commitment of time, a risk of being identified through the reporting of the research, controversial topics and views, etc.

FORESEEN HARMS	LIKELIHOOD OF HARM OCCURRING	HOW YOU INTEND TO MINIMISE THE RISKS	DESCRIBE IN SOME DETAIL WHAT YOU WILL DO IF A PARTICIPANT IS HARMED
1.			
2.			
3.			
4.			
5.			
6.			

(b) Could concerns arise regarding the health and wellbeing of anyone participating in your project?

Yes ☐ No ☐

If yes, briefly explain how this will this be managed:

20. How will you analyse participant data?

Will your research involve comparing one group to another? Yes ☐ No ☐

(a) If yes, then explain the process for this comparison, addressing:

(i) How the participants are categorized into specific groups

(ii) What is being compared across the groups

(iii) Why is it important to do this?

21. Does your research involve any deception of participants? (e.g., participants not being told the true purpose or data collection of the research) Yes ☐ No ☐

(a) If yes, then describe the deception.

(b) Justify why is it necessary to deceive participants.

(c) How and when will participants be told of the deception?

22. Will the true identity of the researcher(s) be concealed from participants at any time during the research? (Such research is called 'covert research'). Yes ☐ No ☐

(a) If yes, then describe the concealment and explain/justify why it is necessary.

(b) How and when will participants be told of the concealment? If never, then explain/justify why the concealment will not be disclosed to participants.

Cultural safety

Te Whare Wānanga o Waikato, the University of Waikato, through its official *Charter,* has an explicit commitment to partnership with Māori, to kaupapa and tikanga Māori, and to the interests of New Zealand-born and Island-born Pacific people.

The *Ethical Conduct and Human Research and Related Activities Regulations* stipulates that researchers are required to respect the **cultural, social** and **language preferences** and **sensitivities** of participants. Therefore, when applying for ethical approval, you should demonstrate an awareness of social and cultural difference, consult advisors regarding the appropriate conduct of your research, and present the outcome of any consultation in your ethics application.

Two resources important to refer to when undertaking research at the University of Waikato are:

- *Te Ara Tika – Guidelines for Māori Research Ethics*
- *Pacific Health Research Guidelines*

23. Does the research project have particular relevance or potential implications for Māori, and/or other social and/or cultural groups? Yes ☐ No ☐

If yes, then please provide the following information about your consultation processes, using the table to outline relevant information:

ITEMS TO ADDRESS	DETAILS
1. List the relevant stakeholders (i.e. groups to consult):	
2. Identify outcomes of your consultation to date (e.g. describe advice taken on appropriate procedures and approaches to research, decisions made about appropriate ways to return research findings):	
3. Do you have at least one cultural advisor for this project? 4. Provide their name(s) and specific role(s):	Yes ☐ No ☐

24. Outline how you will show respect and sensitivity towards participants (such as inviting their support persons to be present during interviews; using interpreters if you are not fluent in the participant's language; being vouched for by elders; using appropriate gestures and greetings; dressing appropriately; participating in cultural ceremonies or rituals).

25. How will participants' identities (and their communities and/or organisations where relevant) be represented in the research?

Is it important to maintain the confidentiality of participants (and their communities/organisations where relevant) in the research reporting?	Yes ☐ No ☐
If yes, outline how you intend to preserve confidentiality:	

26. In addition to the researcher(s) listed on this application, who else will see information that participants provide?

Will anyone else see participants' data? (data analysed, transcriber, etc.)	Yes ☐ No ☐ **If yes, add names here:**
Outline why they need to see it:	
Will any shared information be linked to participants' names? (it is strongly encouraged to use de-identified data with codes for participants names)	Yes ☐ No ☐ **If yes, justify the reason here:**

Will data/names be anonymised before sharing? It may be appropriate to ask additional parties (e.g. student researchers, transcribers) to sign a confidentiality agreement. **Attach** the confidentiality agreement that you intend to use.	**Explain here:**

27. Transcription of interviews

(a) If the interviews are being transcribed, who will be undertaking this work and are there implications for confidentiality?

(b) Will participants have the opportunity to view their transcripts? If so, describe this process.

How and where will the data be stored and protected <u>during</u> the research project?

How:	
Where:	*Please include mention of security of access*

Research Reporting

28. Identify all the anticipated research outputs for the project.

Thesis	Yes ☐ No ☐
Conference papers	Yes ☐ No ☐
Journal articles	Yes ☐ No ☐
Book chapters	Yes ☐ No ☐
Media releases	Yes ☐ No ☐
Teaching and learning materials	Yes ☐ No ☐
Other	Yes ☐ No ☐ List:
Sharing outcomes with participants	
Outline how you provide participants with this information: If participants' identities are known, consider sending them a copy. If participant identities are not known – e.g. data collected through anonymous survey – indicate in the information section that the types of outputs will be all that is possible)	

29. Research data must be stored for a minimum of 5 years after the completion of a research project. Where and how will you store your data after the project has been completed?

NB: *Supervisors are responsible for storing research data on behalf of their students*.

Where you will store it?	
How you will store it?	
Archiving after 5 years: Where? Under what conditions?	
If choosing to destroy data after 5 years, outline how this will be done safely	

Legal Issues

30. Ownership of Human Research Data

It is usual to state that participants own the raw data that they provide, that the researcher will use the data for the specified purposes, with the consent of participants, and that the researcher owns the analysed data. Please explain any variation from this arrangement.

31. Copyright

The researcher's ownership of scholarly publications and other forms of research outputs is governed by the University of Waikato's Intellectual Property Rights Policy. Crucially, the policy states in Clause 8 that, "*the University recognises and endorses the traditional academic freedom of staff to publish research and scholarly documents and to produce creative and artistic works without restriction; the University does not assert ownership of copyright of such works (e.g. books, journal articles, conference papers, art works and musical recordings) unless specified in clauses 12- 18 of [the] policy.*" Please explain any variation from this policy.

Clause 9 states: "*When dealing with intellectual property that includes Mātauranga Māori, and in the context of the WAI262 claim report, the principles of Te Tiriti o Waitangi will be applied by the University*".

(a) Is any intellectual property related to this project subject to the principles of Te Tiriti o Waitangi?

Yes ☐ No ☐

32. Other legal or ethical issues. Describe any other legal or ethical issues related to this project. Consider particularly relationships between members of the research team, and project funders, sponsors, or other stakeholders, or the possibility that the research may uncover illegal activity, etc.

List any references here (there should be no more than 5):

Appendices

List all appendices. Ensure each has a heading identifying its purpose and/or audience/participant group. Different audiences require different levels of language. These appendices should feature:

(a) Accessible, inclusive and straightforward language

(b) A focus on potential participant's needs, covering:

- (i) What your project is about and why is it important (100 words)
- (ii) Who you are (100 words max)
- (iii) What you want them to do (in order, as a simply stated list)
- (iv) How long these tasks will take (ideally indicated beside each task)
- (v) What, if any, risk the participant is taking
- (vi) Their rights (consent, withdraw, decline to answer, their right to ask questions, etc.)
- (vii) Who and how to contact if there are issues/concerns (usually the Chair of the Ethics Committee)
- (viii) What to do next (either to participate or decline)

(c) A logical order (e.g. the chain of access)

(d) Brevity and clarity

FINALLY: COMPLETE THE CHECKLIST ON PAGE 2 OF THIS DOCUMENT BEFORE SUBMITTING AS A COLLATED, SINGLE PDF TO: stem-ethics@waikato.ac.nz