

# Human Research Ethics Application | Division of STEM

## Low Risk Application

This is for **low-risk** ethics applications for the Divisions of STEM. Research projects that are not considered low-risk and do not deal with health, must complete the full STEM ethics application. Any research projects that deal with health issues must be complete a full HREC ethics application and submit it to the HREC.

A low-risk ethics application is for projects where the potential harm or discomfort to participants is minimal and not greater than that encountered in daily life.

Check if the application must be submitted to HREC, <https://www.waikato.ac.nz/research/research-enterprise/ethics/human-research-ethics-committee/> :

- 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 utilise 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?

Check if a low-risk application is applicable. If you answer yes to any of the following questions, you must complete the full STEM application. [Link to full STEM ethics application](#)

- Yes  No  Do the researchers have connections, associations, or known views that could lead to a conflict of interest with views held by the participants?
- Yes  No  Will data be collected from a context where cultural sensitivities will be required?
- Yes  No  Are the participants vulnerable?
- Yes  No  Are participants to be selected based on their ethnicity or gender?
- Yes  No  Is it reasonably possible that the participants will be directly or indirectly identifiable, or identifiable to a small group of people?
- Yes  No  Is there a significant requirement on the participant? (level of time or activities involved)
- Yes  No  Are you only making observations in a public setting without any interventions, interactions, contact, or engagement, and without using video or audio recordings or other data where people may be identifiable?
- Yes  No  Are you collecting audio data that you intend to report, show a clip of or use identifying quotes?
- Yes  No  Are you collecting video data?
- Yes  No  Will you be reporting on data that is personal information that you did not collect directly from participants (e.g. student assignments, personal identifying information already on record)?
- Yes  No  Will you keep that data longer than the minimum 5 years required?
- Yes  No  Will your research approach include deceit or not providing all information?
- Yes  No  Will the raw and/or de-identified data be available to people beyond you and your co-researchers/supervisors?
- Yes  No  Will you be making payments to participants?
- Yes  No  Will the study potentially reveal unprofessional or illegal behaviour?

If you answered 'No' to all of the above questions, you can proceed with the STEM low-risk 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](mailto: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 2025/26 are:

Monday 6 October 2025

Monday 3 November 2025

Monday 1 December 2025

## **2026**

Monday 2 February

Monday 2 March

Monday 13 April (delayed a week due to Easter)

Monday 4 May

Monday 8 June (delayed a week 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](mailto:stem-ethics@waikato.ac.nz). You will then be advised if your application has been approved.

# Research Ethics Application – Cover Sheet for Low Risk

Please complete all questions in this application

<b>Principal Investigator:</b>	
<b>Division / School / Faculty / Institute:</b>	
<b>Email address:</b>	@waikato.ac.nz @students.waikato.ac.nz
<b>Preferred phone number:</b> <b>Office phone number</b> (if applicable):	
<b>Student ID</b> (if applicable):	
<b>Proposed start date of data collection/field research:</b> <b>Proposed project end date:</b>	<b>Expected start date:</b> <b>Expected end date:</b>
<b>This is an application for approval of</b> (indicate all that apply):	Staff research project: Yes <input type="checkbox"/> No <input type="checkbox"/> PhD research: Yes <input type="checkbox"/> No <input type="checkbox"/> Masters research: Yes <input type="checkbox"/> No <input type="checkbox"/> Other: Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Name of degree/paper</b> (if applicable):	
<b>Supervisor name:</b>	
<b>Supervisor's approval signature:</b>	
<b>Funding sources</b> (if applicable):	
<b>Project sponsors</b> (if applicable – e.g. equipment):	
<b>Research locations</b> (if outside UoW facilities):	

**Submission Checklist:** The following must be included as part of your submission.

- Yes  No  Research Instruments e.g. surveys, interview guides, questionnaires etc (item 10 below)  
 Yes  No  Participant Information Sheet (PIS) / Research Consent Form (RCF)  
 Yes  No  Signatures (where required)

# Project Overview

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

LASTNAME\_STEM\_HREC(2025)Application.pdf

e.g., Smith\_STEM\_HREC(2025)Application.pdf

**1. Project Name:**

**2. Activity Outline:** *Describe the activity this application is related to, methods to be used, outcomes hoped for, and how it fits with a broader project, if applicable. This should be focused on the human research aspects of your project.*

**3. Purpose and Aims of the Project:** *What are the expected academic benefits/value/contribution to the field?*

**4. What is the planned approach?**

- a. *Field-based usability study*
- b. *Laboratory-based usability study*
- c. *Survey or questionnaire*
- d. *Personal information/data-gathering*

**5. How will data be gathered?** *Provide details on your methods and how data will be gathered.*

- a. *What type of data will be collected (e.g. survey responses, interview transcripts, observational notes, audio recordings).*
- b. *How will the data be gathered? (e.g. in-person interviews, online survey, focus group)*
  - i. *When and where will data collection take place?*
  - ii. *Who will collect the data?*
  - iii. *What digital tools are used? (Qualtrics, Microsoft Forms, audio recorders)*

**6. Participant recruitment** *Provide some information on how participants will be recruited.*

- a. How will participants be recruited?
- b. What is the time commitment of participants?
- c. How will consent be obtained?
- d. Are participants able to withdraw after the activity but prior to data analysis?
  - i. If they can withdraw, how are you ensuring their ability to do so?
  - ii. If unable to withdraw, why are they not able to withdraw?
- e. Is there a possibility of participants incurring or have a greater risk of physical, psychological, social, economic, or cultural harm as a result of being involved in this study (note: if so you will likely need to complete the full ethics application)

**7. Sample Size and Demographics**

- a. What is the estimated number of participants?
- b. Expected demographic
- c. What are the eligibility and exclusion requirements?

**8. Data Storage and Security** *Provide details on how data will be stored and accessed*

- a. Where and how will the data be stored? (e.g. secure university server, encrypted external drive)
- b. How will access be controlled?
- c. How will data be anonymised or pseudonymised?
- d. How long will data be stored? What is the destruction method?
  - i. If less than five years, justify why.

**9. Research Outputs and Data Sharing:** *Provide information on how data may potentially be shared with others (collaborators, funders, public repository)*

- a. With whom will the data be shared?
- b. Possible outputs:

Thesis	Yes <input type="checkbox"/> No <input type="checkbox"/>
Conference papers	Yes <input type="checkbox"/> No <input type="checkbox"/>
Journal articles	Yes <input type="checkbox"/> No <input type="checkbox"/>
Book chapters	Yes <input type="checkbox"/> No <input type="checkbox"/>
Media releases	Yes <input type="checkbox"/> No <input type="checkbox"/>
Teaching and learning materials	Yes <input type="checkbox"/> No <input type="checkbox"/>
Other	Yes <input type="checkbox"/> No <input type="checkbox"/> List:
<b>Sharing outcomes with participants</b>	
<p><b>Outline how you provide participants with this information:</b>            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)</p>	

**10. Research Instruments** *List and attach all tools used, including surveys, interview guides, questionnaires. If adapting existing tools, note the source.*