# AIATSIS RESEARCH ETHICS COMMITTEE

# ETHICS APPLICATION FORM

## SECTION A

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| --- | --- | --- |
| Project Title: | <Insert Project Title> | |
| **Contact Person:** | <Title, e.g., Ms, Dr> <Name> | |
| **Organisation(s):** | <E.g. The Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)> | |
| **Funding Source:** | <E.g. ARC, NHMRC, State/Federal Government Grant, etc.> | |
| **Address:** |  | |
| **Telephone:** |  | |
| **Email:** |  | |
| **Proposed commencement date of research activities:**  Note: The AIATSIS Research Ethics Committee does not provide retrospective approval to projects that have already commenced. Research must not start until approval has been provided. | | MM/YYYY |
| **Proposed completion date of project:** | | MM/YYYY |

## SECTION B

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| 1. Project Title: | <Insert Project Title>  <Throughout this section, please indicate which (if any) of the project team are Indigenous.> |
| <Chief Investigator> | <Title, e.g., Ms, Dr> <Name>  <Position>  <Qualifications>  <Address>  <Telephone>  <Email> |
| <Co-Investigator 1> | <Title, e.g., Ms, Dr> <Name>  <Position>  <Qualifications>  <Address>  <Telephone>  <Email> |
| <Co-Investigator 2> | <Title, e.g., Ms, Dr> <Name>  <Position>  <Qualifications>  <Address>  <Telephone>  <Email> |
| <Co-Investigator 3> | <Title, e.g., Ms, Dr> <Name>  <Position>  <Qualifications>  <Address>  <Telephone>  <Email> |
| <Co-Investigator 4> |  |
| <Co-Investigator 5> |  |

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| 2. Description of project: |
| <Describe what the research project is about, including any relevant background.>  <In this and subsequent sections, please ensure that any acronyms are written out in full in the first instance, and briefly clarify any technical or academic terminology.>  <Please ensure that any and all attachments are labelled, e.g., "Attachment A: PIS and ICF", and explicitly referred to an appropriate places in the application form (e.g., "see Attachment A: PIS and ICF").> |
| **3. Aims of the research:** |
| <Outline the aims of the research. Please use dot points if possible.> |

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| 4. Research design, methods and techniques: |
| <Describe the research methods and techniques, target participant group, interview/focus groups/workshop process, use of digital recordings/photographs, etc.>  <Include details of when the research will take place, where, how long for, who will be present, if the participants will be paid, etc. If participants are not paid, please provide a justification.> |
| **5. Benefits of the research:** |
| <Outline the benefits of the research to the participants.> |
| **6. Outline the inclusion and exclusion criteria for this project:** |
| <Outline details of the inclusion and exclusion criteria, i.e. people under the age of 16 won't take part in the interviews/focus groups/workshops.> |
| **7. List the Aboriginal and Torres Strait Islander peak bodies, community organisations and/or individuals with whom you wish to work and from whom you have obtained support and informed consent.**  NB:Where possible, the Committee requires proof of support in the form of a signed letter from the participating organisations/Indigenous communities or an acceptable statement outlining why these have not been supplied. |
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| 8. If you do not plan to obtain the explicit informed consent of the participants/groups with whom you wish to conduct your research, please indicate the steps you are taking to ensure the participants are aware that their consent is assumed by their completion of the survey tool/interview etc. Or, state why you think that explicit informed consent is not required:  NB: In the case of genuinely anonymous surveys, and provided that the researcher has conveyed sufficient explanation of the project to facilitate provision of informed consent by the participants, the survey instrument generally includes a statement that the return of the survey form will be taken as implied consent to participate. In such cases, signed participant consent would not be required.  NB: A copy of all Participant Information Sheet/s and Informed Consent Form/s must be submitted as attachments for REC review at the time of submission. |
|  |
| **9. How do you intend to protect the confidentiality of the participant(s)? What data will be collected during the project?**  NB: A copy of all planned data collection tools must be submitted as attachments for REC review at the time of submission. |
| <Include details around whether the information will be non-identifiable, identifiable or re-identifiable and the procedures for protecting the confidentiality of participants. |
| **10. Have any potential or actual risks to the participants/community or others been identified, including potential harms, discomforts and/or inconveniences?**  NB: A copy of any distress protocol must be submitted as an attachment for REC review at the time of submission. |
| <Outline any potential risks to the participant(s) and researcher(s) involved in the project. Include a detailed strategy for dealing with any associated risks.> |
| **11. How will materials be stored and reused? Will they be stored at AIATSIS? How will access to this information be managed, both during and at the conclusion of the project?**  NB: A separate data management plan that confirms to the requirements of section 3.1.45 of the [National Statement](https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018) must be submitted as an attachment for REC review at the time of submission. |
| <Provide details of where the data will be stored, i.e. password-protected computers/USBs/hard drives, locked filing cabinets, etc.>  <In order to produce a data management plan, the research team could use the free tool at https://dmptool.org/> |
| **12. Provide details around the publication of results and the ownership of data:** |
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| **13. Have you considered the potential impact of your research on culturally-restricted information?** |
| <Please detail how the researcher/s understand what culturally-restricted information is and how it will be identified throughout the life of the project.> |
| **14. Are there any known conflicts of interest?** |
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| **15. Has this project been rejected or approved or being considered by another HREC previously? If so, provide details, including a copy of approval letters and other relevant correspondence (where applicable):** |
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| **16. Provide a bibliography of referenced work:** |
| <Provide a bibliography that demonstrates the context, relevance and timeliness of the research. Ensure that any references throughout the application are listed in the bibliography.> |

## SECTION C

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| In the table below, demonstrate how the proposed research adheres to the ***4 Principles*** and ***12 Responsibilities*** outlined in the *AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research*: |
| **Indigenous Self-Determination** |
| **Indigenous Leadership** |
| **Impact and Value** |
| **Sustainability and Accountability** |

## DECLARATION

We/I, the undersigned researcher(s) have read the [***AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research***](https://aiatsis.gov.au/research/ethical-research/code-ethics#:~:text=In%20October%202020%20AIATSIS%20will,Research%20(the%20AIATSIS%20Code).&text=All%20references%20to%20GERAIS%20in,a%2012%2Dmonth%20implementation%20period.)and the [***National Statement on Ethical Conduct in Human Research***](https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018), and agree that the research will be conducted in accordance with these guidelines. It is understood that this includes the reporting and monitoring roles associated with the approval of this research by the AIATSIS Research Ethics Committee.

**Signature of Principal Researcher:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date: / /**

## APPLICATION CHECKLIST

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| **PARTICIPANT INFORMATION SHEET** | | | | | | | | |
|  | | YES | | NO | | | | IF NO, WHY? |
| **Principal Project Details** | | | | | | | | |
| Clearance Number | |  | |  | | | |  |
| Project Title | |  | |  | | | |  |
| Name of Lead (Principal) Researcher(s) | |  | |  | | | |  |
| Organisation(s) | |  | |  | | | |  |
| Timeframe | |  | |  | | | |  |
| **What is the project about?** | | | | | | | | |
| Aims of the research project | |  | | |  | | |  |
| **Who is involved in the project?** | | | | | | | | |
| Details of other researcher(s) | |  | |  | | | |  |
| Organisation(s) they work for | |  | |  | | | |  |
| Organisation(s)/community group(s) supporting research including funding details | |  | |  | | | |  |
| **Why have I been invited to participate?** | | | | | | | | |
| Justification for choice of study population | |  | |  | | | |  |
| Information about the right to withdraw from the project at any time (or designated timeframes) | |  | |  | | | |  |
| Potential benefits of the research to participants | |  | |  | | | |  |
| **What will the researcher(s) do and when?** | | | | | | | | |
| Details of research methods & techniques including what participant will be asked to do (including details re frequency). | |  | |  | | | |  |
| When will the research happen? | |  | |  | | | |  |
| Where will the research be conducted? | |  | |  | | | |  |
| Time commitment required from participants | |  | |  | | | |  |
| Will participants be paid for their time or recompensed in some other way? | |  | |  | | | |  |
| **What will happen to my information?** | | | | | | | | |
| What will the participant’s information be used for? | |  | |  | | | |  |
| How will the information be collected? | |  | |  | | | |  |
| How will the participant’s confidentiality be protected? | |  | |  | | | |  |
| Intellectual Property | |  | |  | | | |  |
| Copyright | |  | |  | | | |  |
| Dissemination of research results | |  | |  | | | |  |
| **What are the potential risks?** | | | | | | | | |
| Describe any potential risks to the participant and how these will be managed/minimised. | |  | |  | | | |  |
| **Data storage and giving materials to AIATSIS** | | | | | | | | |
| Where will the data be stored and how will access be limited? | |  | |  | | | |  |
| How long will the data be stored for? | |  | |  | | | |  |
| Giving materials to AIATSIS | |  | |  | | | |  |
| **Culturally restricted information** | | | | | | | | |
| Will culturally restricted information be collected? How will this information be managed? | |  | |  | | | |  |
| **Inclusion and exclusion criteria** | | | | | | | | |
| Details of inclusion and exclusion criteria | |  | |  | | | |  |
| **Contact details** | | | | | | | | |
| Contact details for researcher(s) | |  | |  | | | |  |
| **Complaints** | | | | | | | | |
| Contact details for complaints | |  | |  | | | |  |
| **Ethics Committee Clearance** | | | | | | | | |
| Approval has been obtained by the Committee | |  | |  | | | |  |
| **INFORMED CONSENT FORM** | | | | | | | | |
|  | | YES | | | NO | | IF NO, WHY? | |
| **Principal Project Details** | | | | | | | | |
| Project Title | |  | | |  | |  | |
| Name of Researcher(s) | |  | | |  | |  | |
| Organisation(s) | |  | | |  | |  | |
| 1. **I understand what this project is about** | | | | | | | | |
| This section should state that the research participant has read the Participant Information Sheet, understands what the project is about, the timeframe of the project, and has had an opportunity to ask questions and is satisfied (comfortable is a word that ethicists do not like) with the answers given. | |  | | |  | |  | |
| 1. **I voluntarily agree to my participation in this study** | | | | | | | | |
| This section should outline the research participant’s agreement to participate in the project. | |  | | |  | |  | |
| 1. **I understand that I can withdraw from the project at any time** | | | | | | | | |
| This section should outline the conditions of the participant’s withdrawal from the project, including a timeframe and cut-off date as well as what will happen to the participant’s information upon their withdrawal. | |  | | |  | |  | |
| 1. **I understand what will happen to me during the research project as explained to me** | | | | | | | | |
| This section should describe what the participant agrees to do, when the research will take place, where it will take place and how long for. | |  | | |  | |  | |
| 1. **Having my picture taken, voice recorded or being filmed** | | | | | | | | |
| This section should outline whether the participant agrees to be recorded or photographed during interviews/focus groups/workshops and whether they would like their information lodged with AIATSIS. | |  | | |  | |  | |
| 1. **I understand that I will be paid/will not be paid for my participation as explained to me** | | | | | | | | |
| This section should state whether the participant will be paid for participating in the research or recompensed in some other way. | |  | | |  | |  | |
| 1. **I understand the potential risks and possible benefits of participating in this research as explained to me** | | | | | | | | |
| This section should outline the risks and benefits of the research to the participant, the risk mitigation strategies as well as any details for support services for the participant if necessary. | |  | | |  | |  | |
| 1. **I understand that the results of this research may be published in a public or other forum** | | | | | | | | |
| This section should state who the authors of the research will be and what will be produced | |  | | |  | |  | |
| 1. **Will people find out personal things about me from the research?** | | | | | | | | |
| This section should outline the handling of the research participant’s information including where it will be stored, how long for, if they want their information stored at AIATSIS and the conditions by which it is stored. | |  | | |  | |  | |
| 1. **What about culturally-restricted information?** | | | | | | | | |
| This section should outline whether the researcher(s) will be collecting culturally-restricted information and the associated conditions upon which it is being collected. | |  | | |  | |  | |
| 1. **Who will have access to the research results?** | | | | | | | | |
| This section should outline who will have access to the research results. | |  | | |  | |  | |
| 1. **Intellectual Property and Copyright** | | | | | | | | |
| This section should outline the participant’s right to retain any Intellectual Property from their own interview recordings and any copyright information. | |  | | |  | |  | |
| 1. **Complaints** | | | | | | | | |
| This section should include contact details for the researcher(s), the governing body of their organisation, AIATSIS, the Ethics Committee as well as the Office of the Australian Information Commissioner. | |  | | |  | |  | |
| 1. **Signatures** | | | | | | | | |
| Participant’s name, signature and date | |  | | |  | |  | |
| Researcher’s name, signature and date | |  | | |  | |  | |
| **ATTACHMENTS**  NB: Please ensure that any and all attachments are labelled, e.g., "Attachment A: PIS and ICF", “Attachment B: Letter of support from [body]”, and explicitly referred to an appropriate places in the application form (e.g., "see Attachment A: PIS and ICF").  NB: If attachments are very long (e.g., a 50-page document), it is helpful to refer to specific page numbers (e.g., “for more information on the dissemination strategy, see pp. 30-31 of Attachment B”). | | | | | | | | |
|  | YES | | NO | | | IF NO, WHY? | | |
| Participant Information Sheet and Informed Consent Form |  | |  | | |  | | |
| Letter(s) of Support |  | |  | | |  | | |
| Data collection tools/questionnaires |  | |  | | |  | | |
| Advertising/recruitment materials |  | |  | | |  | | |