



# Commerce Faculty Ethics in Research Application Form

Any person planning to undertake research in the Faculty of Commerce at the University of Cape Town is required to complete this form **before collecting or analysing data**. If any of the questions below have been answered YES, and the applicant is NOT an Honours student, the form it should be submitted to the supervisor (where applicable) and from there for approval by the Faculty EIR committee: Ms Samantha Alexander ([samantha.alexander@uct.ac.za](mailto:samantha.alexander@uct.ac.za)).

**It is assumed that the researcher has read the UCT Code for Research involving Human Subjects (Available at <http://web.uct.ac.za/depts/educate/download/uctcodeforresearchinvolvinghumansubjects.pdf>)** in order to be able to answer the questions in this form.

Students must include a copy of the completed form with the dissertation/thesis when it is submitted for examination.

## 1. PROJECT DETAILS

**Project title:**

**Principal Researcher/s:**

**Email address(es):**

**Research Supervisor:**

**Email address(es):**

**Co-researcher(s):**

**Email address(es):**

**Department:**

**Brief description of the project:**

**Data collection:** (please select)

Interviews  Questionnaire  Experiment  Secondary data  Observation

Other (please specify): \_\_\_\_\_

Have you attached a research proposal OR a literature review with research methodology? (please select)

Yes

No

## 2. PARTICIPANTS

2.1 Does the research discriminate against participation by individuals, or differentiate between participants, on the grounds of gender, race or ethnic group, age range, religion, income, handicap, illness or any similar classification?	YES	NO
2.2 Does the research require the participation of socially or physically vulnerable people (children, aged, disabled, etc.) or legally restricted groups?	YES	NO
2.3 Will you be able to secure the informed consent of all participants in the research? (In the case of children, will you be able to obtain the consent of their guardians or parents?)	YES	NO
2.4 Will any confidential data be collected or will identifiable records of individuals be kept?	YES	NO
2.5 In reporting on this research is there any possibility that you will not be able to keep the identities of the individuals involved anonymous?	YES	NO
2.6 Are there any foreseeable risks of physical, psychological or social harm to participants that might occur in the course of the research?	YES	NO
2.7 Does the research include making payments or giving gifts to any participants?	YES	NO

If you have answered **YES to any of these questions**, please describe how you plan to address these issues (append to form):

**Affiliations of participants:** (please select)

- Company employees   
  Hospital employees   
  General public   
  Military staff   
  Farm workers   
  Students  
 Other (please specify): \_\_\_\_\_

**Race / Ethnicity:**

Are you asking a question about race/ethnicity in your questionnaire?

- Yes   
  No

Which race categories have been used?

**Have you included the option: "Prefer not to answer" as part of your race/ethnicity question?**

### 3. PROVISION OF SERVICES

**Does your research involve the participation of or provision of services to communities?**

If your answer is YES, please complete below:

3.1 Is the community expected to make decisions for, during or based on the research?	YES	NO
3.2 At the end of the research will any economic or social process be terminated or left unsupported, or equipment or facilities used in the research be recovered from the participants or community?	YES	NO
3.3 Will any service be provided at a level below the generally accepted standards?	YES	NO

**If you answered YES to any of these questions, please describe below how you plan to address these issues.**

### 3. ORGANISATIONAL PERMISSION

If your research is being conducted within a specific organisation, please state how organisational permission has been/will be obtained:

Have you attached the letter from the organisation granting permission? (please select)

Yes       No, but this **will be** obtained before commencing the research       Not applicable

Are you making use of **UCT students** as respondents for your research? (please select)       Yes       No

**If yes**, have you contacted Executive Director: Student Affairs for permission? (please select)       Yes       No

Was approval granted? (please select)       Yes       No       Awaiting a response

Are you making use of **UCT staff** as respondents for your research? (please select)       Yes       No

If yes, have you contacted Executive Director: Human Resources for permission? (please select)       Yes       No

Was approval granted? (please select)       Yes       No       Awaiting a response

Contact Emails: Executive Director: Human Resources ([Miriam.Hoosain@uct.ac.za](mailto:Miriam.Hoosain@uct.ac.za))  
Executive Director: Student Affairs ([Moonira.Khan@uct.ac.za](mailto:Moonira.Khan@uct.ac.za))

#### 4. INFORMED CONSENT

What type of consent will be obtained from study participants?

- Oral Consent
- Written Consent
- Anonymous survey questionnaire (covering letter required, no consent form needed)
- Other (please specify)

How and where will consent/permission be recorded?

Have you attached an informed consent form to your application?  Yes  No

#### 5. SPONSORSHIP OF RESEARCH

**If your research is sponsored, is there any potential for conflicts of interest?**

If your answer is YES, please complete below

4.1 Is there any existing or potential conflict of interest between a research sponsor, academic supervisor, other researchers or participants?	YES	NO
4.2 Will information that reveals the identity of participants be supplied to a research sponsor, other than with the permission of the individuals?	YES	NO
4.3 Does the proposed research potentially conflict with the research of any other individual or group within the University?	YES	NO

If you have answered **YES** to any of these questions, please describe how you plan to address these issues (append to form)

## 6. RISK TO PARTICIPANTS

**Does the proposed research pose any physical, psychological, social, legal, economic, or other risks to study participants you can foresee, both immediate and long range?** (please select)

Yes       No

**If yes, answer the following questions:**

1. Describe in detail the nature and extent of the risk and provide the rationale for the necessity of such risks
2. Outline any alternative approaches that were or will be considered and why alternatives may not be feasible in the study
3. Outline whether and why you feel that the value of information to be gained outweighs the risks

1.

2.

3.

**I certify that I have read the the Commerce Faculty Ethics in Research policy**   
(<http://www.commerce.uct.ac.za/Pages/ComFac-Downloads>)

**I hereby undertake to carry out my research in such a way that**


- there is no apparent legal objection to the nature or the method of research; and
- the research will not compromise staff or students or the other responsibilities of the University;
- the stated objective will be achieved, and the findings will have a high degree of validity;
- limitations and alternative interpretations will be considered;
- the findings could be subject to peer review and publicly available; and
- I will comply with the conventions of copyright and avoid any practice that would constitute plagiarism.

Signed by:

	Full name and signature	Date
Principal Researcher/Student:		

This application is approved by:

Supervisor		
HOD (or delegated nominee – for all Honours Projects):		
Chair: Faculty EIR Committee (only for postgraduate research at Master and PhD level)		

CHECKLIST	SELECT
A full copy of a research proposal or a literature review with methodology is attached in a separate file	<input type="checkbox"/>
Interview schedules / cover letters / questionnaires / forms and other materials used in the study are attached in separate files	<input type="checkbox"/>
Organisational consent letter / UCT student or staff approval letter	<input type="checkbox"/>
<p data-bbox="145 546 1114 577"><b>On your cover letter to your questionnaire have you included the following?</b></p> <p data-bbox="193 607 553 638">1. The following UCT Logo</p> <div data-bbox="598 584 708 680" style="text-align: center;">  </div> <p data-bbox="193 698 828 730">2. A sentence explaining the aim of the research</p> <p data-bbox="193 761 1225 819">3. Sentences of a similar nature to below must be included in the cover letter or consent form:</p> <p data-bbox="240 853 1121 911">This research has been approved by the Commerce Faculty Ethics in Research Committee.</p> <p data-bbox="240 945 1212 1003">Your participation in this research is voluntary. You can choose to withdraw from the research at any time.</p> <p data-bbox="240 1037 1069 1068">The questionnaire will take approximately X minutes to complete</p> <p data-bbox="240 1099 1181 1158">You will not be requested to supply any identifiable information, ensuring anonymity of your responses.</p> <p data-bbox="240 1191 1203 1281">Due to the nature of the study you will need to provide the researchers with some form of identifiable information however, all responses will be confidential and used for the purposes of this research only.</p> <p data-bbox="240 1314 1177 1373">Should you have any questions regarding the research please feel free to contact the researcher (insert contact details).</p> <p data-bbox="193 1435 1112 1467">4. Have you scanned in your signature for the last section of the form?</p>	<p data-bbox="1265 546 1390 577"><b>NA</b> <input type="checkbox"/></p> <p data-bbox="1358 629 1390 660"><input type="checkbox"/></p> <p data-bbox="1358 712 1390 743"><input type="checkbox"/></p> <p data-bbox="1358 853 1390 884"><input type="checkbox"/></p> <p data-bbox="1358 958 1390 990"><input type="checkbox"/></p> <p data-bbox="1358 1041 1390 1072"><input type="checkbox"/></p> <p data-bbox="1358 1124 1390 1155"><input type="checkbox"/></p> <p data-bbox="1353 1182 1390 1214"><b>OR</b></p> <p data-bbox="1358 1234 1390 1265"><input type="checkbox"/></p> <p data-bbox="1358 1317 1390 1348"><input type="checkbox"/></p> <p data-bbox="1358 1429 1390 1460"><input type="checkbox"/></p>