# Section 1) Coversheet

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| 1. Name | Click or tap here to enter text. | 1. College / organisation | Click or tap here to enter text. | |
| 1. Email Address | Click or tap here to enter text. | 1. Phone Number | Click or tap here to enter text. | |
| 1. I am | Choose an item. | 1. What type of research? | Choose an item. | |
| 1. Who is responsible for developing and leading the research?   **Appendix 1a**: Researcher’s CV  **Appendix 1b**: Supervisor’s CV (if required)  (upload with submission) | Choose an item. | 1. Contact email for responsible person, same as above? | Yes | No |
| Click or tap here to enter text. | |
| 1. If research is being undertaken by a team, list the team members and their credentials. | | Click or tap here to enter text. | | |
| 1. If research is being undertaken for an organisation other than the University or one of its affiliated colleges, please provide contact details for the person in the organisation sponsoring the research. | | Click or tap here to enter text. | | |
| 1. Proposed start date and end date of human participation research period (not the length of unit of study or candidature time). | | Date from: Click or tap to enter a date.  Date to: Click or tap to enter a date. | | |

#### Research aims

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| 1. State the aims of your research.   (50-100 words) | Click or tap here to enter text. |
| 1. Explain the need for, and value of, your research.   Place the aims in the context of existing research or practice. Give a succinct description in plain language of the background and potential significance of the research project. Include a list of not more than 20 key references at **Appendix 2**.  (100-300 words)  **Appendix 2**: Reference list  (upload with submission) | Click or tap here to enter text. |
| 1. What research methods will you use?   (tick those applicable) | Anonymous or Internet questionnaires  Questionnaires requesting intimate personal, identifying, or sensitive information  Face to face interviews which do not request personal or sensitive information  Face to face interviews which request personal or sensitive information  Observation of participant’s usual activities  Focus groups  Observation of an activity set up for the purposes of the study  Action Research  Other (please specify)  Click or tap here to enter text. |

# Section 2) Ethics Protocol

#### Research Methodology & Method

Use the following outline as a guide to your Ethics Protocol submission. The word lengths are only indicative. Less involved research may require fewer words than suggested. Where you consider a question to be not relevant to your study, simply write N/ A.

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| 1. List your Research questions or hypotheses.   Your protocol should clearly identify the questions which you want your research to answer. Depending on your methodology, these questions may be refined as your study progresses.  (50-100 words) | Click or tap here to enter text. |
| 1. Outline your research design and method(s).   The HREC must be convinced that your research methods can be expected to produce valid results.  Describe your research tools or provide the instrument you propose to use to gather your data at **Appendix 3**.  (250-300 words)  **Appendix 3**: Research tools  (upload with submission) | Click or tap here to enter text. |
| 1. Indicate whether your research is the first stage of a larger project.  If it is, briefly explain your intentions for the development of your study to facilitate further ethics approval if you do extend your research project.   (50-100 words) | Click or tap here to enter text. |

#### Research participants

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| 1. Who will be approached or recruited to be research participants? How many participants will be involved in your study (give upper and lower limits of sample size)?   (50-100 words) | Click or tap here to enter text. |
| 1. List the selection criteria and, if appropriate to your study, the exclusion criteria for participants.   (50-100 words) | Click or tap here to enter text. |
| 1. How will you recruit volunteers for your research?   If you will use advertisements, flyers or other recruitment material please provide a copy of these materials in **Appendix 4**.    (200-300 words)  **Appendix 4**: Recruitment material  (upload with submission) | Click or tap here to enter text. |
| 1. How much time are you asking of each participant and when will the time be required?   (50-100 words) | Click or tap here to enter text. |
| 1. How will you provide detailed information about your study to potential participants?   If you intend to provide information and consent forms in a language other than English, please also include the original language versions and an English translation in **Appendix 5**.  (50-100 words)  **Appendix 5**: Participant Information Sheet. Please ensure that any documents you provide to research participants have been carefully proofread prior to submission to the HREC (upload with submission). | Click or tap here to enter text. |
| 1. Describe how you will obtain consent to participate from those volunteering as participants for your research.   Please note that consent is not required for anonymous questionnaires. Return of the completed questionnaire indicates consent.  (100-200 words)  **Appendix 6**: Consent Form (upload with submission). | Click or tap here to enter text. |
| 1. If you draw your research participants from any dependent group (people who have an unequal power relationship with you or with an organisation which is cooperating in the research), please detail how you will ensure that they do not feel under any obligation to assist you with your research.   (100-200 words) | Click or tap here to enter text. |
| 1. Describe how you will preserve participants’ confidentiality as you collect and analyse the data, and when you report the results.   (50-100 words) | Click or tap here to enter text. |
| 1. How will you address any potential risks (physical, emotional, social or legal) to individual participants' wellbeing (beyond those normally encountered in everyday life) as a result of their involvement in the research? Detail the steps you will take to address these risks including any support facilities such as counselling, debriefings or referrals.   (100-200 words) | Click or tap here to enter text. |
| 1. If there are any potential safety implications for you as the researcher (beyond those normally encountered in everyday life), please indicate how you will address them.   (50-100 words) | Click or tap here to enter text. |
| 1. Identify the locations where you will undertake the research, and any potential risks to the participants at those locations, and how you propose to manage those risks.   (50-100 words) | Click or tap here to enter text. |
| 1. Please detail any payment, reimbursement or other benefit research participants could receive, and provide a justification for it.   (50-100 words) | Click or tap here to enter text. |

#### Recording, reporting, storage and access to the research data and results

Candidates and supervisors are advised to take into account the Australian Code for the Responsible Conduct of Research 2018 and the guidelines on the management of data and information in research, as well as the Research Data Management Policy.

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| 1. Describe briefly how the research data will be recorded, for example, audiotape, videotape, or written notes.   Please note that explicit consent must be obtained from participants if material is to be audio- or videotaped or photographed. Provision for this should be included in the consent form.  (50-100 words) | Click or tap here to enter text. |
| 1. Will you use AI for any purpose in carrying out the project? If so, for what purposes (e.g. transcription, data analysis)? How will you ensure the security and confidentiality of the data? What AI program/s will you be using?   (25-50 words) | Click or tap here to enter text. |
| 1. Describe what you will do with the recorded data once it has been analysed. How long will you retain the data? How will it be secured over that period of time?   (50-100 words) | Click or tap here to enter text. |
| 1. Specify who, apart from yourself and your supervisors, if applicable, will have access to the research data and results. Nominate any conditions you would like placed on that access.   (25-50 words) | Click or tap here to enter text. |
| 1. How will you provide opportunity for research participants to confirm the accuracy of the transcripts and/or notes of their contributions which you plan to use in your reporting of the research?   (50-100 words) | Click or tap here to enter text. |
| 1. How will you communicate to the research participants a summary of your research findings and where to access the full report?   (50-100 words) | Click or tap here to enter text. |
| 1. Describe the procedures you will use to prepare participants for any distress, embarrassment or other harm that might arise when the data is reported.   (50-100 words) | Click or tap here to enter text. |
| 1. Are there any other ethical issues raised in your research proposal not already identified? Detail how you have responded to them? | Click or tap here to enter text. |

#### Ownership of the research

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| 1. Detail who will own the data and the results of your research.   Student researchers normally own the data that they collect, unless a collectivity or institution has approved its collection, and may therefore be entitled to joint ownership of it. See the Intellectual Property Rights Policy. Please note: Specific provisions apply to indigenous research data.  (25-50 words) | Click or tap here to enter text. |

# Section 3) Checklist (Y/N)

**Please note:**

If you answer NO to all questions in the checklist, your protocol qualifies as low risk and can be approved by your college LREC.

If you answer YES to any questions in Section 3A, your protocol does not qualify as Low Risk and must be submitted to the University’s HREC for approval. Alternatively, the contents of the protocol can be modified so that none of the questions in Section A receive a ‘yes’ response. For example, if a protocol requested permission to undertake research with participants aged 16 and over, the protocol could be modified to limit research from participants 18 and over, therefore avoiding research with children or young people (Q 39).

If you answer YES to any questions in Section B, you must contact the University to request guidance on whether the protocol can be submitted to your college LREC or must go to the University’s HREC. Please email a copy of your completed protocol to [ethics@aut.edu.au](mailto:ethics@aut.edu.au).

**Section A**

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| 1. Does the research involve children and/or young people? (NS 4.2)   *If YES, provide evidence that appropriate training and screening to work with children and/or young people has been obtained (upload with submission as* ***Appendix 7****)* | Choose an item. |
| 1. Does the research involve people highly dependent on medical care who may be unable to give consent? (NS 4.4) | Choose an item. |
| 1. Does the research involve people with a cognitive impairment, an intellectual disability, or a mental illness? (NS 4.5) | Choose an item. |
| 1. Does the research involve participation of Aboriginal, Torres Strait Islander or Maori people who have been selected as research participants because they are indigenous Australians/New Zealanders? (NS 4.7) | Choose an item. |
| 1. Does the research involve any artifacts that are of cultural, spiritual or religious significance to Aboriginal, Torres Strait Islander or Maori people? (NS 4.7) | Choose an item. |
| 1. Could the research place the intended or likely participants at risk of experiencing more than discomfort, i.e., harm (including psychological harm, devaluation of personal worth, cultural harm, and social harm)? (NS 2.1) | Choose an item. |
| 1. Is there any potential risk to the researcher’s safety, beyond that normally encountered in everyday life, as a result of their involvement in the research? | Choose an item. |
| 1. Do you plan to vary the usual written consent processes? (NS 2.2.1-2.2.7; NS3.1 Element 3: Consent)   *If YES, provide justification here for your reason for the changes and detail how oral and/or community consent will be obtained and recorded (upload with submission as* ***Appendices 4 and 5****)* | Choose an item. |
| 1. Does the study have potential legal implications for the researcher, the researcher’s college or the University? (NS 4.6) | Choose an item. |
| 1. Is data collection to take place outside Australia/New Zealand? (NS 4.8) | Choose an item. |

**Section B**

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| 1. Does the research involve a dependent or unequal relationship between the researcher and any of the research participants? (For example, minister and parishioners) (NS 4.3; NS 2.2.9)   *If YES to previous question, please indicate your role within the group or organisation (if applicable), and how long you have been in that role. Please indicate how you intend to minimise any potential detrimental effects.* | Choose an item. |
| 1. Does the research involve people in countries other than Australia? (NS 4.8) | Choose an item. |
| 1. Is approval required to access personnel, clients or records from any institution or organisation?   *If YES, have you provided written evidence of the approval in? (upload with submission as* ***Appendix 8****)*  *If NO, please state why not* | Choose an item. |