University of Cape Town

EBE Ethics in Research Handbook*

Revision 3.1

Last updated 02 February 2012

***Adapted in part from the UCT Law Faculty Research Policies Handbook**

1 Research Ethics

1.1 Ethics clearance procedures

All research, including student research, that proposes to do **research that involves the collection of data from or about living people** must undergo ethics review (See Appendix B). The Faculty's **Ethics in Research Committee** (EiRC – see Appendix A) is responsible for assisting researchers, including students, to ensure that their proposed research meets the highest ethical standards.

Some research that utilises human participant data may not require ethics clearance; it may be **exempt** from ethics review. Please see Appendix E - **FAQ** under 'Exempt from review' or consult with the Chair of the EiR Committee.

Sometimes an application for ethics clearance may be **expedited**, i.e. dealt with outside of the usual meeting schedule. Please see Appendix E - **FAQ** under 'Expedited review'.

Undergraduate research: The departmental EiRC representative (as the HOD's nominee) is the final authority for providing ethics clearance for all undergraduate research in a department including Honours or Final Year "capstone" projects. The departmental EiRC representative (as the HOD's nominee) will only consider an application once it has been signed off by the supervisor of the research of that undergraduate student. Supervisors should understand that signing off on an application for ethics clearance indicates taking responsibility for supervising the student in compiling the content of the application. It is critical that a student considers all of the items discussed in Appendix C.

Masters level and PhD students should complete an application for ethics clearance under the supervisor's guidance and submit it directly to the EiRC.

Questions regarding procedures of the application process may be directed to Ms Zulpha Geyer zulpha.geyer@uct.ac.za; tel 650 4791. Questions regarding the substance of applications should be addressed to **supervisors** in the first instance if applicant is a student. Otherwise, such questions may be directed to A/Prof Brandon Collier-Reed (Chair EBE EiRC) from brandon.collier-reed@uct.ac.za or 650 3233.

Researchers who tender for contract research should note that the application for ethics clearance should be submitted at the same time that the tender is submitted. This practice serves to expedite matters so that unnecessary delays can be avoided.

Application forms must be downloaded at http://www.ebe.uct.ac.za/staff/

1.2 Application procedure and time lines

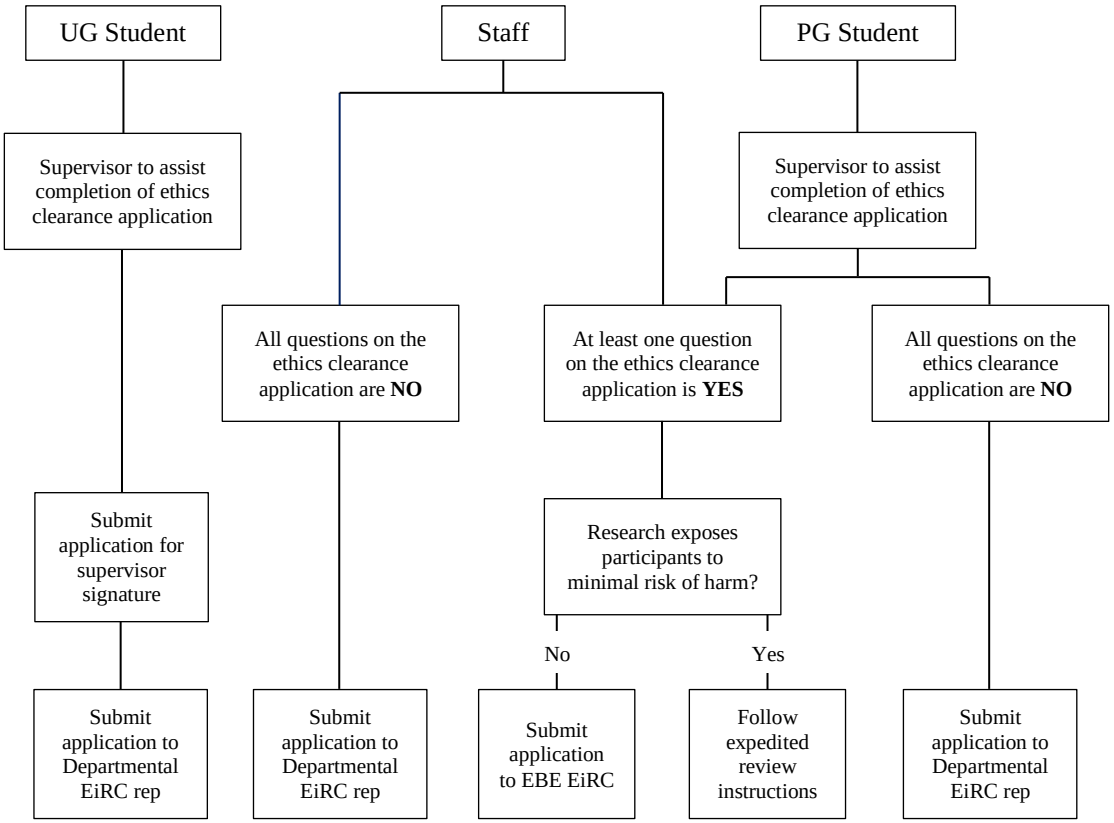
a) Proposals ***(in electronic format)*** to reach the EiRC Administrator by **25th of each month**. The signed paper version to follow after the electronic version has been submitted.
b) Applications will be checked for completeness and distributed to EiRC members electronically. Incomplete applications cannot be distributed.
c) Complete applications will be considered by a working group drawn from members of the EiRC at a meeting on the 12th (or nearest working day) of the following month.

d) At the Committee's discretion, applicants and supervisors will be invited to attend meetings at which proposals will be reviewed. This practice permits an early opportunity to address problems and queries that arise.
e) Applicants will be advised by email of the Committee's decision, usually, within 24 hours of the meeting.
f) Applications that need to be re-worked should be re-submitted, usually, by 25th of the following month. If only minor corrections are required, the Committee may indicate that resubmission may take place sooner.

The general requirements for the ethics clearance process include submission of

- Completed application form
- A research proposal (required as Addendum 1) which must address issues as raised in Appendix C
    - This will include details of methods to be used
    - Statement explaining how data or sensitive information will be safely secured
- Consent form
- Copy of questionnaire to be used
- Permission from relevant authorities (if appropriate)

Application procedure



2 Responsible Research Conduct

Apart from obtaining research ethics clearance where appropriate, researchers should be mindful of the other aspects of responsible research conduct. When collaborating with colleagues or students, matters relating to ethical conduct should be discussed and clarified before the research work begins. This includes issues of authorship, avoiding plagiarism and other research misconduct.

2.1 Authorship guidelines

EBE has adopted the UCT Authorship Guidelines and these are included as Appendix F. Highlights from this policy are included below.

2.1.1 Definition of a publication

A *publication* is any document produced by a member of staff or student in the EBE Faculty, including but not limited to project reports (and interim project reports), monographs, peer-reviewed and non-peer reviewed articles and publication in electronic media.

2.1.2 Authorship and Co-Authorship

The EBE Faculty defines authorship as *substantial* participation in the writing of a publication. Substantial participation includes:

a) writing;
b) analysis *and* interpretation of data;
c) drafting or revising the article critically for important intellectual content; and/or
d) in appropriate instances of empirical research, conception and design.

Where substantial contributions (as defined above) are made by several persons to a common project, they will be *joint authors of the product*. Each author should have participated sufficiently in the work to take responsibility for appropriate portions of the content. One or more authors should take responsibility for the integrity of the work as a whole, from inception to published article.

Authors should be able to provide a description of what each contributed. All others who contributed to the work who are not authors should be named in the Acknowledgements, and what they did should be described.

2.1.2.1 Authorship Agreement

Authorship is a matter that should be discussed between colleagues at an early stage in a project, and reviewed whenever there are changes in participation. The project leader must initiate this discussion. The agreement must deal with the allocation of financial incentives resulting from publication. The agreement may be altered by mutual consent during the course of the project.

2.1.3 Student – Staff-Supervisor Co-Publication

The conditions listed in Section 2.1.2 above apply in the first instance. In the case of a co-authored publication by a student and her/his research supervisor that is substantially based on the student's dissertation or thesis the student will normally be the first author. This condition may be waived if the student plays little or no role in the preparation of the work for publication. In such instance, the student will be the second author.

2.1.4 Exclusions

a) Participation solely in the acquisition of funding for the collection of data does not justify authorship.
b) General supervision or leadership of a research group is not by itself sufficient for authorship.
c) Mere institutional position, such as the Head of Department, does not justify authorship credit. Minor contributions to the research or to the writing for publications are appropriately acknowledged, such as in footnotes or in an introductory statement.

2.1.5 Acknowledgement of contribution to a research product

It is good practice to acknowledge those who contribute to a publication. The Faculty should follow an inclusive principle of acknowledgement as far as is possible. The significance of the contribution of those who are acknowledged should be signalled.

2.1.6 Disputes

Disputes concerning any aspects of authorship described above should in the first instance be resolved between the researchers concerned. Where this is not possible, the head of the department or research centre within which the principal researcher or student is based is responsible for attempting to facilitate a mediated settlement. If this mechanism fails, or where there is a conflict of interest, the matter may be referred to the EBE EiR Committee.

This Committee may:

- recommend the appointment of an independent arbitrator;
- facilitate a mediated settlement; or,
- where there is a conflict of interest, refer the matter to the University's Senate Ethics in Research Committee.

For the UCT **Conflict of Interest Policy** document, see http://www.uct.ac.za/about/policies/

2.2 Plagiarism guidelines

See UCT policies and guidelines regarding avoiding plagiarism at

http://www.uct.ac.za/about/policies/

[Next revision: Issues of "self-plagiarism" inserted here]

2.3 Ethical and Scholarly Misconduct Regarding Research

Ethical and scholarly misconduct regarding research can take several forms, ranging from fraud and dishonesty (including plagiarism) to failing to adhere to protocols as approved. The University and the EBE Faculty expect impeccable ethical and scholarly standards to be adhered to by all researchers at or connected to the University. Misrepresentation of data constitutes a major breach of contract between a staff member and the University (see Staff Manual Ethical standards in research for staff on UCT conditions of service 1.1.2.2). The primary responsibility for the conduct of research for every project lies with the principal investigator or lead researcher.

2.4 Conflict of interest

Committee members have a fiduciary responsibility to serve the interests of the university and of the public generally. All decisions are to be made solely on the basis of a desire to promote the best interests of the university and the public and, in the case of research ethics related matters, the interests of research participants and researchers must be protected.

In the context of the EBE EiR and ethics clearance applications, a conflict of interest or of commitment may arise. A **conflict of interest** involves not only the direct, personal and pecuniary interests of the individual, but also those of members of his or her immediate family circle. A **conflict of commitment** may involve the time and investment expected from a staff member or student in ordinary university business, including teaching and learning, versus the time and investment available for doing the proposed research properly. Too little of the latter has potentially negative implications for the integrity of the research process and, especially when human participants are involved, can risk causing wrongs by wasting their time if the research cannot be completed properly.

See the UCT Conflict of Interest policy at http://www.uct.ac.za/about/policies/

Appendix A

EBE ETHICS IN RESEARCH COMMITTEE

Composition

Chair: Appointed by the Dean

- The Dean of the Faculty (ex officio), or nominee
- The Deputy-Deans of the Faculty (ex officio), or nominees
- One representative elected from each academic department in the Faculty
- One representative from each of the EBE Student Council and the Post-Graduate Student Association, respectively
- An informed lay person.

Terms of Reference

- To take steps to ensure the highest ethical standards in research by members of the Faculty, and to protect human subjects in social and scientific research.
- To raise the consciousness of members of the Faculty regarding ethical standards in research.
- To review, in terms of ethical considerations, research applications (see Appendix 1) submitted by members of the Faculty, namely, student research, contract research and research activities undertaken by individual staff members, and to review compliance with approved research protocols.
- To provide assistance, upon request, to Heads of Department within the Faculty on matters relating to ethics in research, in particular, regarding complaints or concerns.
- To further the aims and objectives of the University Ethics in Research Committee insofar as they are applicable to research undertaken within the Faculty.

Appendix B

RESEARCH ETHICS POLICY AND GUIDELINES

'Policy' is used here to indicate the system of administration of research ethics in the EBE Faculty, while 'Guidelines' means the procedures that should be followed and the matters that require consideration when making application for ethics clearance.

To be read in conjunction with the UCT Research Ethics Policy – Humans[1], the EBE Faculty Ethics in Research Handbook, especially the Frequently Asked Questions[2]

EBE FACULTY ETHICS IN RESEARCH POLICY[3]

- All research to be conducted in or under the auspices of the EBE Faculty that proposes to involve the collection of data from human participants must be submitted for review by the EBE Ethics in Research Committee (EiRC).
- The principal researcher has primary responsibility for ensuring that participants' well-being is considered and safeguarded. In the case of a student researcher, the supervisor is expected to provide guidance. All others involved in the project share this responsibility.
- Applications for ethics clearance should address all the matters stipulated in the application form so that the EiRC is able to understand clearly what is proposed and how it will be achieved.
- The primary role of the Ethics in Research Committee is educative rather than policing, flowing from the EiRC's responsibility for assisting and supporting researchers, including students, to ensure that their proposed research meets the highest ethical standards.
- The EiRC is authorised to review research proposals, to suggest or require amendments, and to decide whether to grant ethics clearance, in accordance with the policy outlined here, the UCT Code for Research involving Human Subjects (see http://www.uct.ac.za/about/policies/) and in accordance with the Ethics Guidelines of the EBE Faculty. In appropriate circumstances, the EiRC may consult with others who are especially qualified to represent the views of a participant population.
- The departmental EiRC representative (as the HOD's nominee) is the final authority for providing ethics clearance for all undergraduate research in a department.
- Members of the EiRC must not participate in the review of projects in which they are involved or have a conflicting interest. Members are expected to provide insight into proposals from their respective Department if they are not directly involved in that research.
- The EiRC meets monthly to consider applications for ethics clearance and to discuss related matters.

[1] Available at http://www.uct.ac.za/about/policies/

[2] Available at http://www.ebe.uct.ac.za/staff/

[3] Based on and borrowed from the Harvard University Statement of Policies and Procedures Governing the Use of Human Subjects in Research http://www.fas.harvard.edu.

EBE ETHICS IN RESEARCH GUIDELINES

- All research conducted in or under the auspices of the EBE Faculty that proposes to involve the collection of data from human participants must be submitted for review by the EiRC, a subcommittee of the Faculty Board. **No research may begin unless clearance has been granted by the EiRC.**
    - Sometimes more than one EiRC must review research proposals. For example, if research is intended with hospital or clinic patients, then the proposal must be submitted to the Health Sciences Faculty EiRC as well as to the EiRC of the EBE Faculty. This is because the Health Sciences Faculty has primary responsibility for hospital and clinic patients (inpatients and outpatients). It must consider, amongst other things, whether particular patients (e.g. HIV positive patients) may be over-researched, i.e. burdened by frequent requests for research participation. Applications may be submitted simultaneously and should so state.
    - Pilot research, i.e. preliminary work done towards establishing the feasibility of a more developed research project may not require ethics clearance. However, prudence dictates that some discussion with a member of the EiRC may take place to ensure that pilot data collection is not jeopardised in the event that such data is to be used later.
    - The final authority for providing ethics clearance for undergraduate students is devolved by the EiRC to the HOD who in turn delegates the responsibility to the departmental EiRC representative.
- **No retrospective ethics clearance may be granted.**
- Some research is **exempt** from ethics clearance, e.g. when review and analysis of information freely available in the public domain is undertaken or when public behaviour is observed and information is recorded so that participants cannot be identified directly or indirectly (through identifiers). See FAQ 'Exempt from review – eligibility?'
- Some research may be approved by **expedited review**. Expedited review means that the full review process may be completed by a shortened process so that the time from submission of the application to decision is shortened, e.g. where the research appears to expose participants to **no more than minimal risk of harm**. The normal application form must be completed and a motivation for expedited review submitted. The decision to expedite ethics clearance is made by the EiRC. See FAQ 'Expedited review – what is?'. Research involving children is not eligible for expedited review.
- The principal researcher has primary responsibility for determining whether the proposed research might expose participants to no more than minimal risk of harm. Possible harm includes foreseeable physical, legal, psychological or social harm, including emotional discomfort and stigmatisation. In making this determination, the researcher may seek advice from the EiRC.
- Sometimes disbursement of funding to support research or the granting of permission by an authority (e.g. government department) is dependent upon ethics clearance for the proposed research. The timing of these various processes can be complicated which means that applications for ethics clearance must be submitted with such time constraints in mind. When tendering for a research contract, it may be advisable that the ethics clearance application is submitted at the same time that the tender is put in to speed things up.
    - In the case where follow-up research is intended i.e. the application is similar to others previously cleared, the expedited review process is likely to be followed.

- Students conduct research under the supervision of a member of the Faculty, who must approve the academic merit of the proposal before it is submitted to the EiRC for ethics clearance. Students and staff must therefore anticipate the amount of time needed for this step to be completed.
- Masters and PhD students should complete an application for ethics clearance under the supervisor's guidance. By signing off on an application for ethics clearance, a supervisor takes responsibility for supervising the student(s) in compiling the content of the application.

APPENDIX C

GUIDELINE FOR APPLICATION FOR ETHICS CLEARANCE

If your research is making use of human subjects, you need to ensure that the proposal you include as part of Addendum 1 includes a discussion of the ethical issues involved in your proposed research and the measures that you will take to deal with any negative implications of these issues. You need to think through each of the points raised below, identify all potential issues, and deal with each in detail. Note that the application needs to deal with all of the points raised below. It is important that you read the UCT Code for Research Involving Human Subjects and the EBE Faculty Ethics Guidelines – you will not be able to properly complete your application if you have not carefully read these documents.

Remember that the application needs to be accompanied by your research proposal. The methodological section of the proposal needs to be complete. It is impossible to discuss ethical issues unless you have worked out in full the methodology (including research design and research methods) that will be used in the research.

1. Outline the proposed research highlighting its aims and objectives.

   Please include a brief summary of the purpose of the research, using non-technical language. Also include a statement of the research problem and how the project will address it.

2. Outline the research methodology including research design and methods that you propose to use (note that point 6 below asks more detailed questions regarding the sample, recruitment and research methods).

3. What prior experience do you have with respect to this kind of research or the topic that will be researched or the area in which the research will be conducted?

   Describe your experience with this kind of research and/or this population. List any assistants who will work with you and cite their experience also.

4. Specify the various types of information that will be collected in the course of the research.

   Personal and social information collected directly from participants? Identifiable information about people to be collected from available records? Anonymous information to be collected from available records? Literature, documents or archival material to be collected on individuals or groups?

5. How will you explain the research to participants and get their informed consent (this includes obtaining the consent from relevant institutions)? Attach copies of information sheet, consent form or script to be used for verbal consent (see exemplar in Appendix D).

   If participants are minors or otherwise lack capacity to consent to participation, from whom will you obtain permission (surrogate consent) for their participation? How will you obtain assent from the minors or other incapacitated participants? How will it be made clear to participants that they will participate in research and that they may withdraw at any time without reason?

6. How will you select and recruit research subjects, what methods will you use to engage with and obtain information from them, and what research tools will you use?

   a) How and where are participants recruited? Will they participate voluntarily or be selected? Explain how they will be selected and/or who will be asked to volunteer. What inducement is offered? (Attach copy of letter, poster or advertisement, if any.) Justify the involvement of vulnerable groups.
   b) Salient characteristics of participants – number who will participate, age range, sex, institutional affiliation, other special criteria. Describe the factors that may increase the vulnerability of participants or increase their susceptibility to harm – e.g. legal or social marginalization, members of hierarchical systems, etc.
   c) Describe how permission has been or will be obtained from co-operating institution(s) – e.g. government department, school, hospital, corporation, prison, or other relevant organization (attach letters). Is approval of another EiRC required?
   d) What do participants do or what is done to them or what information is gathered? (Attach copies of instructions, tests, questionnaires or interview guides to be used. If these are not yet designed, then final approval cannot be granted now.) How many times will observations, interviews, tests, etc be conducted with one participant? How long will participation take? Are interviews tape- or video recorded?

7. How will confidentiality and anonymity be ensured?

   At what stage will identifiers be removed from data? If data must remain linked (ie identifiers retained), please explain why.

9. Will the research participants be deliberately deceived in any way?

   If so, what is the nature of the deception? Is it likely to be significant to the participants? Is there any other way to conduct the research without using deception? If so, why have you elected to use deception? How will you explain to participants – after the research project is completed – that they were deceived?

10. What will be done with the research data on completion of the proposed research?

    Will research data (written or otherwise recorded) be destroyed at the end of the project? If not, where and in what format and for how long will they be stored? To what uses – research, demonstration, public dissemination, archiving – might they be put in future? How will participants' permission for further use of their data be obtained?

11. Explain in detail any potential harm that could befall the participants as a result of their participation in the research. You need to explain in detail how you propose to avoid, counteract or ameliorate this harm.

    Describe details of possible risk of harm to participants. What are the possible harms – physical, psychological, legal, professional, and/or social? Are the risks of harm necessary? What measures will be taken to minimize the risk of harm? In the event that harm materializes, what are your plans for addressing the problem? (e.g. training for assistants, referral for counselling etc). If risk of harm is anticipated to be no more than minimal, please state so here and in consent form.

12. What are the benefits of the proposed research for participants?

How will participation in this research benefit participants? If participants will be 'debriefed' or receive feedback information about the research after the project's conclusion, how do you ensure the educative value of the process? (Include copies of debriefing or educational materials).

APPENDIX D

EXEMPLAR OF INFORMED CONSENT DOCUMENT

[Heading] **INFORMATION SHEET & CONSENT FORM** – [name target group]

[Title of research project]

[greeting/introduction – e.g.: Hello, my name is...and I am conducting research towards a doctoral degree.] I am researching [brief essentials of project] and would like to invite you to participate in the project.

[subheading] What the project is about

[explain briefly in ordinary language what is envisaged] e.g.: I am interested in finding out about..... I want to understand how...I would like to interview people who...

[clarify that participation is voluntary] e.g.: Please understand that you do not have to participate, ie your participation is voluntary. The choice to participate is yours alone. If you choose not to participate, there will be no negative consequence. If you choose to participate, but wish to withdraw at any time, you will be free to do so without negative consequence. However, I would be grateful if you would assist me by allowing me to interview you.

[explain what participant would be asked to do; how much time; whether any costs (e.g. transport) involved; whether any payment/reimbursement available, etc. Note if recording of interview is intended, request permission specifically in document for this]

[explain whether any **direct** benefit to participant] – note there hardly ever is

[explain what risk of harm might ensue – person should have reasonable idea about consequences of participation, e.g. discomfort, emotional upset, stigmatisation etc]

[explain whether/how anonymity will be preserved; how confidentiality will be maintained – note if focus groups intended, there is a built-in weakness re confidentiality]

[explain what will happen with data, whether/how any feedback to participants is possible – note *should* try to do this to make participation meaningful]

Should you want supplemental information of the kinds of issues that could be considered, see http://www.who.int/rpc/research_ethics/informed_consent/en/ , but please note that the exemplar above should be sufficient in most instances.

APPENDIX E

ETHICS in RESEARCH CLEARANCE FAQs

This document is intended as a 'living' document that can be added to or changed as queries or issues arise. If your question does not appear below, please contact Zulpha Geyer at zulpha.geyer@uct.ac.za so that we can assist you.

There are three sections – Administrative matters, Substantive matters, and Ethics matters. In each section, the questions are listed alphabetically.

1 ADMINISTRATIVE MATTERS

1.1 Clearance from more than one EiRC? For example, EBE students propose to use MBChB students as participants to test their understanding of human rights. Is ethics clearance from EBE EiRC sufficient?

Yes, but in addition to ethics clearance, permission to recruit students or staff members as research participants is required. (See below under **Use of UCT students or staff members as participants**.)

1.2 Clearance granted for more than 12 months?

No. Clearance is granted for a maximum of 12 months (from date of approval), depending on the degree of risk of harm. Subsequent continuing review is required appropriate to the degree of risk of harm, but not less than once per 12 month period.

1.3 Do students' academic research projects require EiRC approval?

Yes, if the research involves human participants, ethics clearance is required. Each project must have a supervisor who must oversee the completion of the documentation. Undergraduate students receive final clearance from their Departmental EiRC representative (as the HOD's nominee). For explanation of what defines a research project please see Section 2.10.

1.4 Expedited review – what is?

When a research proposal appears to offer **no more than minimal risk of harm** to human participants, it may be eligible for review and clearance outside of the regular meeting schedule of the EiRC. This kind of review is called 'expedited review'. Researchers who believe their planned research falls into this category should contact Zulpha Geyer at zulpha.geyer@uct.ac.za. **Research involving children is not eligible for expedited review**.

1.5 Exempt from review – eligibility?

When there are no human participants, or when the review and analysis is of information freely available in the public domain (e.g. newspaper reports, meta analysis of published work, etc) or when institutional audits are undertaken (provided anonymity is maintained), then research is exempt from ethics clearance. Researchers who plan to do such research should inform the Chair of EiRC in writing that such research is being planned and that, in the opinion of the lead researcher/PI, it meets the criteria for exemption. A brief outline of

the research should be included with the letter. Papers commissioned for conferences are also exempt unless they involve primary research involving human participants. If necessary, a letter confirming exemption can be issued.

1.6 Ethics review application process is so onerous.

Not really – if the application is complete and properly explained, there is usually no delay in being able to grant approval. The EiRC does its best to turn applications around as fast as possible. Only rarely is a proposal rejected. In general, queries or requests for substantive detail arise when an application is incomplete or when the researcher has not demonstrated that he or she has considered the ethical implications of the chosen methodology or procedures or particular population.

1.7 What is the EiRC's role?

The EiRC is tasked with facilitating the highest ethical standards in research conducted under the auspices of the EBE Faculty. The members are required to have research ethics training and expertise in a variety of research methodologies.

The EiRC's first role is as a research ethics clearing committee that reviews and grants ethics clearance for research that proposes to use human participants as sources of data. The objective is not to delay or prevent research but rather to facilitate high quality research, to ensure adequate protection of participants and researchers, as well as the institution. Engaging with this form of peer review process is part of the enterprise to make us better researchers and to facilitate and sustain excellence in research endeavours.

The EiRC also has an educative role in the Faculty regarding research ethics training and consultations. Researchers are encouraged to consult with a member of the EiRC before submitting a proposal, especially when in doubt about particular aspects. The application process seeks to prompt researchers to consider all the necessary aspects for ethical research when drawing up a research proposal.

1.8 Where do I get the EiR application forms?

They are available from http://www.ebe.uct.ac.za/staff/ and must be submitted electronically with a follow-up hardcopy that contains the necessary signatures.

1.9 Why is ethics clearance necessary?

Ethics clearance is necessary for legal and moral reasons. The Constitution protects bodily and psychological integrity. The National Health Act requires that all research involving human participants undergoes ethics review. This requirement is frequently viewed with suspicion, especially by social science researchers who do qualitative research and believe that this type of research should not require ethics clearance. Consequently, ethics clearance is regarded as unwarranted interference.

For more on this topic, see Wassenaar & Mamotte 'Ethical issues and ethics reviews in social science research' (2008) *Social Science & Medicine* 1-11 and Mamotte & Wassenaar 'Ethics review in a developing country: a survey of South African social scientists' experiences' (2000) *Journal of Empirical Research on Human Research Ethics* 69-78. See also Terre Blanche, Durrheim & Painter (eds) (2006) *Research in Practice: applied methods for the social sciences* 2nd rev ed. UCT Press.

1.10 Human Sciences Research Council website

Additional assistance is available at http://www.hsrc.ac.za in the HSRC Code of Research Ethics which is organized on the basis of four principles: the principle of respect and protection; the principle of transparency; the principle of scientific and academic professionalism; and the principle of accountability.

2 SUBSTANTIVE MATTERS

2.1 What is "minimal harm"?

"Minimal harm" is usually defined as "no more than the risk of harm experienced day to day and routinely". In health care this could be viewed as "routine medical, dental, psychological investigations" and for other contexts, "routine educational activities", etc. The idea is to give the potential participant some indication of whether there is an anticipated risk of harm and if so what sort might be expected – and whether it is unusual, etc.

2.2 Access to government departments or NGOs?

In addition to ethics clearance, access must be negotiated with the department or NGO concerned for permission to access documentation or personnel. Documents that are in the public domain do not require such permission. The department or NGO is entitled to review and approve (or not) the proposed research. To that end, the researcher must supply a clear and explicit explanation of the nature, purpose and intent of the research, including the aims, objectives, methodology, destiny of the findings, etc. In short, the research proposal should be submitted. This process is separate from the ethics clearance process. Usually, it is advantageous to have ethics clearance before submitting the proposal to the department or NGO.

2.3 Can EiR ethics approval be shared with colleagues working on similar projects?

No. Approval is specific to particular researchers.

2.4 Can student research involve collecting personal data from other students?

If the informed consent process is satisfactory, confidentiality is adequately protected and EiRC approval is granted (if necessary), then this can happen. But such research should be discouraged when data are collected from peers or from students in the class of a researcher because of the potential for difficulties inherent in revealing personal information to peers and undue pressure.

2.5 What is "deceptive" research

This occurs when good research outcomes are unlikely if the participants know what is really being investigated because they are highly likely to adapt their behaviour or responses, etc. The research design will therefore include information (also in the informed concent documentation) that is not false but does not tell the whole story. It is usually expected that at the end of the research there should be a debriefing if possible to tell the

participants that there was some deception, explain why and thank for their helpful participation, etc. See also "Covert" research in this FAQ.

2.6 Covert research

Covert research, i.e. research that is conducted without participants' knowledge or informed consent, should be avoided as far as possible because it breaches the rights and interests of human research participants in a blatant and fundamental manner. Nevertheless, in exceptional circumstances, it is possible that gathering particular data is so important and potentially valuable that this consideration outweighs the interests of the participants. In such cases, it is possible that covert methodology may be approved.

The research proposal must justify and explain fully why the design including deception or covert research is desirable. The explanation must put the EiRC in the position to evaluate whether the design is justifiable. For example, it may be thought that obtaining informed consent is practically difficult or nearly impossible. The justification would have to demonstrate that the benefit from the research outweighs the nature and risk of harm to participants caused by the deception. The justification would also have to describe how participants would be harmed if they were to give informed consent; what the risk of harm would be; what risk of harm might exist for the researcher if informed consent is requested. The proposal must also describe how the participants will be debriefed after the period of research and how the researcher will deal with the possibly negative reaction from participants who feel aggrieved at having been deceived.

2.7 Ethnographic research

Many researchers complain that the format of the application form precludes adequate description of planned ethnographic research insofar as the form seems to demand a hypothesis.

On the understanding that the primary data-gathering tool for ethnographers is the relationships forged with the people whose 'life world' is being studied, the description of the research would describe the design and the methods by which their life world is anticipated to be explored and analysed. Thus, it may be that the researcher will observe, tape-record, take notes, take pictures, ask various sorts of questions (many unknown at the start of the research, etc.

From the point of view of the EiRC, the description should include a discussion on how the individual interests of the persons under study would be protected. This discussion should be sufficiently detailed to allow the EiRC to understand what is intended and how ethical obligations will be met. Are systemic harms likely to arise from the findings of the project? How will data be analysed? Is there a theoretical model? Will the community know the research is occurring? Ie, will the researcher 'infiltrate' the community or be there with permission and full co-operation of at least the leadership of the community? Will individuals give permission for tape-recording or photography? Will the researcher explain the destiny of the photographs? If publication is intended, how will the privacy interest of the individual be protected? What measures to protect confidentiality will be in place? Will the findings be made known to the community?

Regarding risks of harm and likelihood of possible direct benefit for individual participants, it may be difficult to anticipate these in detail. However, if the purpose of the study is to understand relationships that involve potentially embarrassing or illegal

activities, especially in relation to children, the researcher has an obligation to anticipate how these might be dealt with in the event of their occurrence. For example, there is a legal obligation to report child and sexual abuse. Consequently, no matter what the methodology, the researcher must have a plan as to how this obligation will be met or dealt with in the course of the research. Note also that harm can include wrongs; ie a person may not be harmed by the research but may nevertheless be wronged. Wrongs should be avoided and harms must be minimised.

2.8 Is ethics clearance required if the research only involves counting students at lunch time on Jammie steps?

If the research involves only observation of public behaviour where the data are recorded so that no identification of the members of the public is possible (directly or via identifiers), then ethics clearance is not required. However, when in doubt, contact the EiRC for confirmation.

2.9 Preliminary work or pilot study

Must preliminary work undergo ethics review prior to being undertaken? In general terms, preliminary work during which a literature review, tentative research plans and contacts with possible participants are made, does not require ethics review. For example, certain disciplines might speak to informants in the preparation phase of putting a proposal together and then use these data to inform the structure of the research project. If in doubt, please consult with a member of the EiRC. A pilot study, on the other hand, may need more careful consideration and review if it could be seen as an independent piece of work that may or not lead to a more extensive research project.

2.10 Publication of research findings

The findings of a research project, including any limitations, should be reported and subjected to peer review and public scrutiny i.e in a journal article or like publication. It is important, therefore, to **ascertain before research is started that there are no obstacles to publication**. For example, where permission to conduct the research is required from a state organ, the permission should include reasonable publication of the findings. If the data or findings are subject to an embargo, this should be made known in the proposal and some effort should be made to try to minimise the embargo.

In reporting findings, adherence to the principles of honest, clarity, comprehensiveness and accountability is required.

2.11 Use of UCT students or staff members as participants?

In addition to ethics clearance for the specific project, permission to access UCT student or staff information is required. For students, permission must be sought from the Executive Director: Student Affairs to access students and from the Executive Director: Human Resource for staff members. Thus, ethics clearance and permission for access are separate but interdependent processes.

2.12 What constitutes 'research'?

A systematic investigation designed to develop or to contribute to generalizable knowledge and conducted by means of surveys, interviews, focus groups, ethnographic observations, record reviews, etc.

2.13 What is risk of harm?

Harm can be physical, social or psychological, amongst others. Harm may flow from leaks in confidentiality, stress to participants, stigmatisation or by a participant making a statement that can upset superiors etc.

3 ETHICAL MATTERS

3.1 Conflict of interest within the EiRC

In accordance with the UCT Conflicts of Interest: Principles, Policy and Rules document (at http://www.uct.ac.za/downloads/uct.ac.za/about/policies/conflictsofinterest.pdf) the following fundamental principles and requirements serve as guidelines in dealing with conflict of interest issues.

Committee members have a fiduciary responsibility to serve the interests of the university and of the public generally. All decisions are to be made solely on the basis of a desire to promote the best interests of the university and the public.

Complete integrity of approach and of fairness in procedures is essential. The principles should not just be observed but should be seen to be observed. In many instances, perceptions play an important role in creating the impression of the existence of a dubious conflict of interest. The university's integrity is to be protected at all times.

Transparency in the form of meticulous disclosure, adherence to prescribed procedures and precise recording of proceedings as well as the reason(s) for arriving at decisions is vital. In defining what constitutes a conflict of interest and in evaluating its significance in particular contexts, a balance should be sought between potentially contradictory considerations.

In the context of the EiRC and ethics clearance applications, a conflict of interest or of commitment may arise. A **conflict of interest** involves not only the direct, personal and pecuniary interests of the individual, but also those of members of his or her immediate family circle. A **conflict of commitment** may involve the time and investment expected from a staff member or student in ordinary university business, including teaching and learning, versus the time and investment available for doing the proposed research properly.

How to know whether a conflict of interest exists? It may be useful to ask yourself the following questions about relationships or interests:

- Would I be willing to have the proposed arrangements generally known?
- What would my research participants think about this arrangement?
- What would the public think?
- How would I feel if the relationship was disclosed through the media?
- What would my colleagues think about the arrangement?

When a member of the EiRC has an interest in research proposals before the EiRC, he or she must disclose this fact and recuse him or herself from participating in discussion and decision-making about those proposals.

When a researcher (staff member or student) has an interest in the research over and above the ordinary expected research interest, he or she must disclose this and indicate how he or she plans to manage the conflict of interest.

In all cases and in line with the educative and facilitative role of the committee, the EiRC may invite those persons who have declared a conflict of interest to attend the meeting to answer questions for clarification but such persons will be requested to leave the meeting for the discussion and decision-making relating to the research proposal in which he or she has the conflict of interest.

3.2 Filming or recording

Consent documents must explain clearly and explicitly that visual or audio recording is desired. Participants must be requested to give permission for this to happen, i.e. not just be told that it will happen. If publication of research data is likely and it can be reasonably foreseen that pictures or other examples of visual media would be included, then this must also be explained and specific permission for such publication should be sought, having explained the possible harms that might flow from such publication.

3.3 How does confidentiality differ from anonymity?

Confidentiality concerns that data that are collected. The privacy interest of the participant must be protected by ensuring that data are kept securely so that persons not involved with the research are not able to find out the participant's identity.

Anonymity is part of research design – nobody can identify the source of the particular data, not even the researcher. **Anonymising**, on the other hand, is the process of removing identifying detail so that data cannot easily be linked to participation. This process is commonly used in research in order to protect the privacy and confidentiality interests of participants. Furthermore, sometimes it may be necessary to retain the means to link data to participants. In instances of anonymising, care must be taken to keep the key to re-linking separately and securely so that 'unauthorised' persons are not able to gain access.

Certain types of data collection methods require good confidentiality measures, including audio recordings, demographic data including descriptions of a small category (e.g. a white female Dean at UCT), qualitative studies of few participants with highly individual information, and the use of random identity numbers on participants' data with a separate name/number list.

Researchers must protect confidentiality of data gathered during research to protect the integrity of the research, the privacy of the research participants and to protect sensitive information obtained in research, teaching, practice and service. Information obtained in the course of research that may reveal the identity of a participant, is confidential unless the participant agrees to its release. Agreement to release of personal information should be sought only when the participant is properly informed about possible harms that may occur.

Confidential information provided by research participants, employees, clients or others must be treated as confidential even if there is no legal protection or privilege. The

obligation to maintain confidentiality extends to members of the research or training teams and collaborating organizations who have access to the information. To ensure that access to confidential information is restricted, the principal researcher is responsible for ensuring that researchers, administrators and other relevant parties adequately trained and instructed to take the steps necessary to protect confidentiality.

When gathering confidential information, long-term uses thereof, including its potential placement in public archives or examination thereof by other researchers or practitioners, must be considered. Some information is permanently embargoed, i.e. it may not be released in public at all; other information is partly embargoed, i.e. the actual data may not be made public but may be indexed or analysed to show trends.

Guarantees of complete confidentiality should not be given lightly. In certain circumstances, statutory obligations to report e.g. child abuse, sexual abuse, etc will override a guarantee of confidentiality. See below.

It cannot be assured that other participants in a focus group will maintain absolute confidentiality. However, confidentiality can be encouraged by requesting focus group participants to sign a pledge of confidentiality as part of the consent process for participation.

Anonymity can be ensured by appropriate design of the project, i.e. data can be collected without identifiers. Research reports can preserve anonymity by properly disguising the identity of participants and their localities.

3.4 Informed consent

Participants must give informed consent prior to participating in research as a matter of ethics. Consent does not have to be in writing but the information given to the prospective participant to help him or her decide whether to participate should be in writing. Exceptions might include an invitation to participate in a simple survey that elicits only a small uncomplicated amount of information.

Prospective participants must be able to choose voluntarily, free from undue influence or subtle pressure, whether to participate. In particular, researchers should recognize the possibility of pressure that may derive from researchers' expertise or authority and should take this into account when designing participant information and consent documentation.

Informed choosing can occur only when researchers explain, in language understandable to the potential participants, the nature of the research and what will be expected of them; that they will participate in research; that they are free to choose to participate or to decline to participate; that if they choose to participate, they are free to withdraw from participation at any time without reason or consequent penalty; what nature and risk of harm are likely to occur, e.g. discomfort, emotional upset or trauma; what limitations on confidentiality might exist, e.g. in focus groups, because of statutory reporting obligations or because of social stigma; what benefit participation is likely to bring to the participants; and any other aspect about which a participant ought to enquire.

The objective is to place the potential participant in a position where he or she can make a responsible choice about whether to participate. The standard for disclosure is one of reasonableness and fairness so that foreseeable consequences of participation can be discussed before the participant is enrolled. The prospective participant should be permitted sufficient time to consider his or her choice, including time for consultation with others e.g. where the proposed research is sensitive or complicated.

See also: http://www.who.int/rpc/research_ethics/informed_consent/en/ for detailed information (including samples) on how to ensure informed consent is achieved for your research.

3.5 Mandatory reporting obligations for researchers

NB this text is incomplete at present – undergoing revision and updating

Researchers who work with children must plan to accommodate the mandatory reporting obligation of sexual abuse of children in terms of the Criminal Law (Sexual Offences and Related Matter) Amendment Act of 2007 (Act No 32 of 2007). This act stipulates that when a child or any other person reports the abuse of a child, the relevant person is legally obliged to report the abuse to the police. This obligation replaces previous legislation where reporting to social workers or the police was possible. A report by a child includes disclosure by the child (specific child/specific offender) in the course of research. In appropriate contexts, thus, potential participants must be informed that confidentiality cannot be assured e.g. that there are statutory reporting obligations. This makes research with children about sexual matters difficult as the likelihood of encountering abuse is probably quite high. Researchers must thus consider how the reporting obligation will be handled and devise a standard operating procedure to guide those involved in the research.

3.6 Minors in research

NB this text is incomplete at present – undergoing revision and updating

In principle, minors cannot give informed consent because they are legally incapacitated. Consequently, parental or guardian permission is required. However, sometimes no parent or guardian exists or is available, but socially relevant and important research is proposed, e.g. with street children or children orphaned by AIDS. Other times, research may be possible only if minors are permitted to agree independently to participate i.e. without the direct and specific permission of a parent or guardian.

If no more than minimal risk of harm is envisaged (i.e. no more than ordinary daily activities might hold out), and some direct benefit to the minor participants can be expected, then it might be possible to grant clearance for the minors to agree independently, especially where survey or questionnaire research is envisaged.

Researchers must explain in the proposal why the research cannot be conducted with adult populations; how the vulnerability of the minors will be protected; what nature and degree of risk of harm might occur; whether the community concerned is sympathetic to the notion that the minors can agree independently. This latter aspect is a question of fact to be established by the researcher in the preparatory phase of research. For example, parents of school-going children, social workers in the community, religious and community leaders can be consulted about whether it would be acceptable to approach minors directly via clinics or schools. Bear in mind that permission from clinic and school authorities would also be required.

3.7 Raising concerns

Anyone who has concerns about research being carried out or planned or who wishes to raise any queries, should communicate with a member of the EiRC. Confidentiality is respected and, where possible, anonymity prevails.

3.8 What happens if unexpected problems arise during the research?

Ethics clearance is granted on the understanding that any unanticipated problems and risks, changes in the research plan, and any harm (social, psychological or physical) are reported immediately to the Departmental EiRC representative (as the HOD's nominee) who should inform both their HOD as well as the Chair of the EBE EiRC.

3.9 Who must report problems in the course of the research?

The Principal investigator (and where appropriate the supervisor or convenor) must report promptly any serious or continuing non-compliance with university policies.

Appendix F

UCT AUTHORSHIP PRACTICES POLICY

Adopted and approved by Senate: see PC 01/2011

1 Introduction

The University of Cape Town is ethically and legally obliged to require of researchers that they publish scholarly and scientific results of research conducted under its auspices. Generally speaking, placing these research results in the public domain is an important facet of being a socially responsive institution. On the one hand, publication of research ensures that the public is informed and can act on such results as appropriate, while, on the other, further research that builds on reported results is made possible. Publication of scholarly and scientific research results means that the results should be made accessible in the manner consistent with the relevant standards of publication.

Publication must give appropriate credit to all authors for their roles in the research. Authorship allocates credit to those involved in the research and also allocates responsibility for the integrity of the research and its publication. Authorship practices should reflect the integrity of the research process by honestly indicating the actual contributions to the publication. The reputation of both the institution and individual researchers is negatively affected by poor authorship practices. When more than one person is involved in research, an ethical judgment must be made as to who should be included as an author and as to the sequence of names of the authors on the publication.

The distinction between disputes regarding authorship credit and allegations of professional or scientific misconduct, including plagiarism and fraud, must be clearly maintained. Many allegations made under the mantle of misconduct actually stem from and involve disputes over authorship.

There are two main methods of allocating authorship credit: the traditional ways of allocating authorship amongst co-authors, with conventions that may, e.g. vary the sequence of names in particular disciplines, on the one hand, and the Contributor-Guarantor Model, on the other.[4]

Which method is used does not seem to be important, so long as core values are adhered to. However, for the sake of consistency and for maintaining an easily accessible benchmark, the recommendation is for the traditional allocation of authorship credit model to be retained at the University of Cape Town, subject to appropriate variations as demanded by particular disciplines.

1.1 Core values

The governing **ethical values** underpinning this guideline are **justice**, made manifest by processes that foster the **principles of fairness, transparency and reasonableness**; and

[4] The latter method has been adopted increasingly especially in the UK by journals like *The Lancet* and the *British Medical Journal*; while the former continues to prevail in USA and elsewhere. Some US journals appear to have adopted a compromise approach, eg *JAMA* and *Annals of Internal Medicine*. The revised Harvard guidelines also take a combined approach.

beneficence, to be understood as the obligation not to harm anyone and to help others further their important and legitimate interests.

1.2 Responsibilities and expectations

This guideline seeks to offer broad guidance on authorship matters across the university. It is accepted that the guideline can provide only general indications of expected standards of professional conduct rather than rigid rules.

Nevertheless, the guideline is **prescriptive** to the extent that

- It requires researchers, especially principal investigators and research team leaders, to set a positive example by their actions and behaviour;
- It requires researchers to comply with the principles of fairness, transparency and reasonableness; and to be sensitive to social, cultural and ethical issues that have a bearing on their research;
- It requires researchers to strive for the highest levels of integrity and professionalism;
- It requires researchers to take responsibility and act in accordance with that responsibility when conducting or supervising research, including deliberating on matters concerning authorship;
- It requires researchers, including trainees, to familiarize themselves with the principles that govern good research conduct including those that pertain to authorship;
- It requires the senior researcher(s) involved with a research project to take responsibility for anticipating possible disagreements concerning authorship credit and to initiate conversations on the matter before students and other participants are permitted to invest substantial time on the project;
- It places a special obligation on senior staff members to avoid co-authorship on papers generated from independent work by their junior colleagues or students; co-authorship should be allocated only accordance with the eligibility principles for authorship;
- It requires the allocation of responsibilities amongst researchers to be commensurate with their skill and training.

1.3 Principles for judging eligibility for authorship

- Each person who makes a meaningful contribution to the research project should be credited appropriately.
- An author is someone who makes a **significant or substantial contribution** to the production of the publication. The precise meaning of 'significant or substantial contribution' may be discipline-specific but is commonly understood as requiring that **1) each author should have participated in formulating the research problem, or analysing and interpreting the data or have made other substantial scholarly effort or a combination of these; <u>and/or</u> 2) have participated in writing the paper; <u>and</u> 3) should have approved the final version for publication and be prepared to defend the publication against criticisms.**

- The weight accorded to each of these components may vary according to the scholarly discipline or scientific field. Various conventions and customs exist and may be discipline-specific.
- A co-author does not have to be a current member of staff or student in order to retain allocation of or to be allocated authorship credit.
- Co-authors must be informed of and understand the conventions regarding sequence of names and agree in advance, ie as early as possible in the research process, to the assignment of names in the sequence.
- In the case of interdisciplinary and inter-institutional research, the senior researcher(s) have a special responsibility to ensure that discussions about authorship matters and possible differences in conventions are initiated early and with all researchers that are involved.
- None of rank, position, patronage, technical assistance, provision of research materials or facilities by itself is a criterion for authorship. Gift authorship, honorary or courtesy authorship is also unacceptable for being inconsistent with the governing values and principles of the guideline.
- Provision of funding alone for a research group is not a criterion for authorship.
- Any person who does not meet the eligibility criteria but who has made other substantial contributions should be acknowledged in the publication. The manner of acknowledgement should occur according to the publication standards of the particular discipline.

1.4 Dispute resolution mechanisms

- Each faculty, department, division, unit or research team (as the case may be) must have a dispute resolution mechanism, described in writing and made easily accessible to all researchers.
- The dispute resolution mechanism must provide for a graduated method of dealing with disputes about authorship; i.e. the first level should be that co-authors are expected to sort the dispute out amongst themselves. Failing resolution at this level, the matter must be referred upwards to the head of the research team, unit, division, department, or faculty (as the case may be) or to the Faculty Research Committee who should use the criteria as outlined in this guideline to attempt to resolve the dispute. Where a disputant is such a head, the matter must be referred upwards. Failing resolution at this level, the matter must be referred upwards to the University Research Committee who likewise should use the criteria as outlined in this guideline to resolve the dispute. Thereafter, if the matter remains unresolved, the University Research Committee must have the power to refer the matter to arbitration. The composition of the arbitration board is to be decided by the University Research Committee in consultation with the Senior Executive Committee of the University. The finding of the arbitration board is final. Any member of the arbitration board involved in attempted resolution of the dispute prior to consideration by the arbitration board will recuse him or herself.

- In addition, each faculty, department, division, unit (as the case may be) must have a complaints process, described in writing and made easily accessible, especially to student and junior staff researchers.
- The complaints process should be used when a student or junior staff member thinks s/he has been unfairly treated insofar as allocation of authorship credit is concerned.
- The complaints process should include protection in the form of utmost confidentiality for the student or junior staff member who lodges a complaint.
- The complaints process should include recourse to someone other than the supervisor of the student, in the event that the complaint concerns conduct of the supervisor.

1.5 Practical and procedural considerations

Clear and careful planning and communication are central to the ethical research process, including the allocation of authorship credit and responsibility.

Most misunderstandings and resultant recriminations can be avoided if clear and fair communication occurs as part of the early stages of the collaborative research process.

It is expected thus that the appropriate practice is to deal with issues of authorship at the earliest practical stage of a research project. This kind of practice allows for early clarification of roles and minimising of (possible) disappointments amongst participants.

Discussion of authorship credit and responsibility should include questions like:

- Who will be named as an author or contributor if the research results are submitted for publication or presentation?
- What sequence of names is envisaged? The decision should be made by the co-authors; if disagreement persists, the senior or lead author must decide.
- What are responsibilities and expectations for each contributor?
- Are there intellectual property (IP) or confidentiality matters that may affect publication?
- When is the next meeting to discuss authorship matters? It is prudent to anticipate that personal circumstances may change eg birth, death, divorce, which may necessitate appropriate changes to authorship arrangements.

It should be noted that the question of determining authorship of a publication is completely separate from that of determining inventorship of an invention described or discussed in the publication. A person named as an author in a publication will not necessarily be an inventor for purposes of determining inventorship. Conversely and inventor will not necessarily be an author on a paper describing the invention.

One author must be designated as corresponding, senior or lead author. This role carries the responsibility of vouching for the integrity of the research process and the publication of the research as a whole. The role includes the responsibility for ensuring that all co-authors who meet the eligibility criteria are included and agree to be included; for communicating with the publisher and the other co-authors about the progress of review and publication; about any changes in co-authorship; about ensuring that all listed authors have approved the submitted version of the manuscript.

It is recommended that a written record of the authorship credit discussion and agreement be maintained.

Discipline-specific conventions, professional association and research journal conventions regarding variations to the usual conventions must be dealt with as early as practicable in the research process. **At no time, however, should the conventions be permitted to override the core values of justice and beneficence.**

It is recommended that each faculty, department, division, unit or research team (as the case may be) draws up a set of **processes**, especially in relation to **collaborative staff/student publications**, that will clarify expectations concerning authorship for each student and staff member.

The **duality of the supervisor/researcher role** for staff members should be explicitly dealt with. For example, on the one hand, the staff member is obliged to assist the student to grow academically which would entail encouragement, mentoring and even possible co-authorship; on the other, the staff member has an obligation to present the student honestly and fairly to the research community, which means that a student's skills and abilities must not be misrepresented.

It is strongly recommended that each faculty, department, division, unit or research group (as the case may be) facilitates **regular discussion of hypothetical or real examples of difficult cases** of authorship credit so that good research practice is fostered and shared understanding of difficult situations is promoted.

It is strongly recommended that each faculty, department, division, unit or research team (as the case may be) undertakes **regular revision of their guidelines and procedures** (at minimum this should happen every three years) to keep them up to date and in line with changing practices.

This document is indebted in part to authorship policies from the following institutions:

British Sociological Association;

Duke University;

Harvard University;

Michigan State University;

Murdoch University, Perth Australia;

Stanford University;

University of Pennsylvania;

University of Pittsburgh;

Yale University,

most of which incorporate authorship principles developed by the International Committee of Medical Journal Editors (ICMJE).

Further assistance was gleaned from:

Fine, Mark A and Lawrence A Kurdek 'Reflections on Determining Authorship Credit and Authorship Order on faculty-student Collaborations' *American Psychologist* (1993) 11, 1141-1147.

Gawrylewski, Andrea 'Bringing Order to Authorship: How to resolve authorship disputes – and avoid them altogether' *The Scientist* Vol 21, 91.

Jones, Anne Hudson 'Can Authorship Policies Help Prevent Scientific Misconduct? What Role for Scientific Societies?' *Science and Engineering Ethics* (2003) **9**, 243-256.

Murray, Bridget 'The Authorship dilemma: who gets credit for what?' *APA Online* (1998) 29 number 12 http://www.apa.org/monitor/dec98/credit.html [2008/07/23].

Appendix H: *Download this form from the EBE Website. Do not use the copy reproduced below for your application.*

ASSESSMENT OF ETHICS IN RESEARCH PROJECTS

Any person planning to undertake research in the Faculty of Engineering and the Built Environment at the University of Cape Town is required to complete this form before collecting or analysing data. When completed it should be submitted to the supervisor (where applicable) and from there to the Head of Department. If any of the questions below have been answered YES, and the applicant is NOT a fourth year student, the Head should forward this form for approval by the Faculty EIR committee: submit to Ms Zulpha Geyer (**Zulpha.Geyer@uct.ac.za**; Chem Eng Building, Ph 021 650 4791).

NB: A copy of this signed form must be included with the thesis/dissertation/report when it is submitted for examination

This form must only be completed once the most recent revision EBE EiR Handbook has been read.

Name of Principal Researcher/Student: Department:

Preferred email address of the applicant:

If a Student: Degree: Supervisor:

If a Research Contract indicate source of funding/sponsorship:

Research Project Title:

Overview of ethics issues in your research project:

Question 1: Is there a possibility that your research could cause harm to a third party (i.e. a person not involved in your project)?	YES	NO
Question 2: Is your research making use of human subjects as sources of data? If your answer is YES, please complete Addendum 2.	YES	NO
Question 3: Does your research involve the participation of or provision of services to communities? If your answer is YES, please complete Addendum 3.	YES	NO
Question 4: If your research is sponsored, is there any potential for conflicts of interest? If your answer is YES, please complete Addendum 4.	YES	NO

If you have answered YES to any of the above questions, please append a copy of your research proposal, as well as any interview schedules or questionnaires (Addendum 1) and please complete further addenda as appropriate.

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 (if applicable):		
HOD (or delegated nominee): Final authority for all assessments with NO to all questions and for all undergraduate research.		
Chair : Faculty EIR Committee For applicants other than undergraduate students who have answered YES to any of the above questions.		

ADDENDUM 1:
Please append a copy of the research proposal here, as well as any interview schedules or questionnaires:

ADDENDUM 2: To be completed if you answered YES to Question 2:
It is assumed that you have 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 addendum.

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 not be able to secure the informed consent of all participants in the research? (In the case of children, will you not 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 below how you plan to address these issues:

ADDENDUM 3: To be completed if you answered YES to Question 3:

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 have answered YES to any of these questions, please describe below how you plan to address these issues:

ADDENDUM 4: To be completed if you answered YES to Question 4

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 below how you plan to address these issues: