SOP 4: Proposal Applications and Decisions

The South African College of Applied Psychology Review Ethics Committee (SACAP REC)	
Title	SOP 4: Proposal Applications and Decisions
SOP No.	SOP 4_ SACAP REC _4.1
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Pages	28

1. COMPILATION AND AUTHORIZATION

Action	Designated person	Date	Signature
Compiled for SACAP by:	Dr Malesa Kgashane	6 August 2021	
Amended for SACAP by:	REC Office	26 October 2021	K. J. Young
Checked by:	Academic Manager	10 November 2021	C.E. Ford
Authorised by:	Academic Dean	18 January 2022	J.O. Lotter

2. DOCUMENT HISTORY

Date	Version no	Reason for revision
July 2021	1	Development of the document

3. ABBREVIATIONS AND DEFINITIONS

Abbreviation	Definition
SOP	Standard Operating Procedure/s
SACAP REC	The South African College of Applied Psychology Research Ethics Committee
SRC	Scientific Review Committee

4. PURPOSE OF THE SOP

The purpose of this SOP is to provide a framework for SACAP REC applications, decisions, appeals, and monitoring.

5. SCOPE

The scope of this document covers the procedure(s) to be followed, possible outcomes and appeals procedures for SACAP REC applications.

6. PROCEDURE

All applications for ethics approval should be submitted to the REC Administrator and must be accompanied by the following documents:

6.1. Fully completed SACAP REC Application Form (*Annexure A of SOP 4: Proposal Applications and Decisions*).

6.1.1. Information leaflet for participants in lay terms.

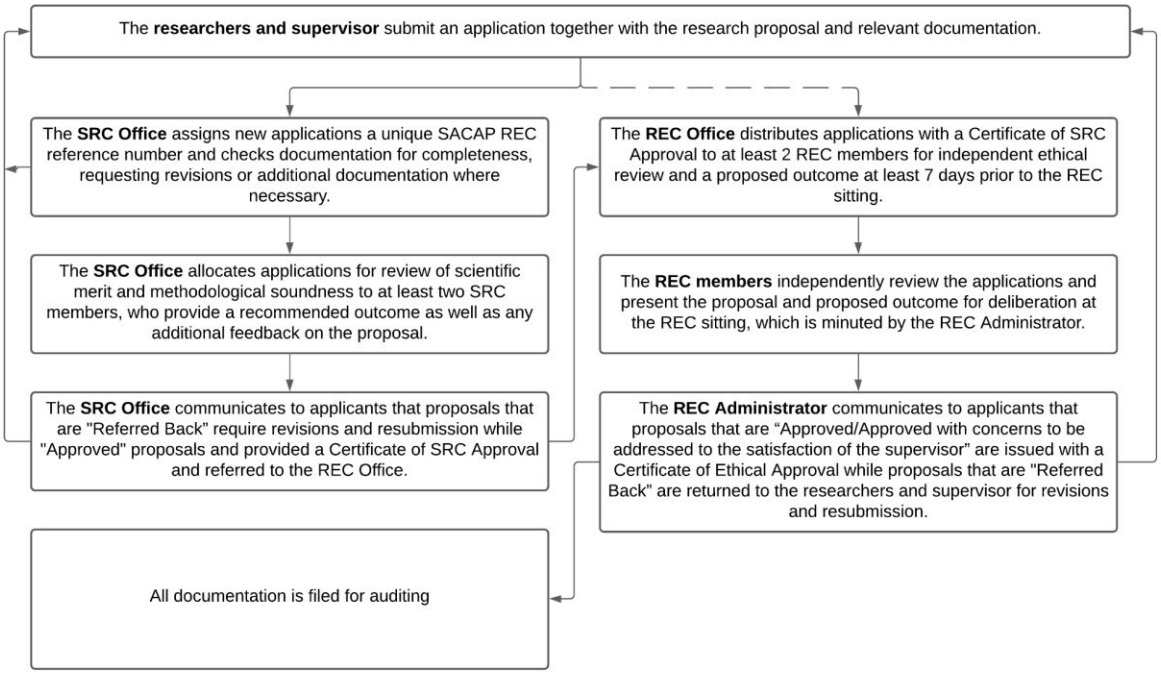
6.1.2. Informed consent/assent (in the case of the research involving children) letter for participants.

6.1.3. Letter seeking approval to conduct the study at the study site, where applicable.

6.1.4. Final data collection instrument(s), including translated versions where necessary.

6.1.5. Scientific report or letter signed by the chairperson of the Scientific Review Committee (SRC) (*Annexure B of SOP: 4 Proposal Applications and Decisions*).

6.2. Figure 1 demonstrates the ethics approval process.



6.3. The researchers submit SACAP's Application Form for Scientific Review of Research Proposals together with the research proposal to the SRC Office.

6.4. The SRC Office assigns the students application a unique SACAP REC reference number and assesses the documents for completeness, requesting additional information, and revisions from applicants and supervisors where necessary.

6.5. The SRC Office allocates the research proposal applications for review to at least two SRC members.

6.6. The SRC reviews the scientific merit and methodological soundness of the proposal and provides a recommended outcome as well as any additional feedback on the proposal.

6.7. The SRC Chair communicates the outcome and feedback with the REC Administrator and the applicants.

6.7.1. Applications that are "Referred Back" by the SRC require additional revisions, in accordance with the feedback provided, to the research protocol in order to be Approved.

6.7.2. Applications that are "Approved" are given a Certificate of SRC Approval and referred to the REC Administrator for REC review.

6.8. Applications with a Certificate of SRC Approval are distributed to at least two REC members for review, at least seven days prior to the sitting.

6.9. The reviewers independently review the proposal and document a recommended outcome, together with their reasoning and general recommendations.

6.10. The reviewers present the proposal to the committee at the scheduled sitting for deliberation and to have an outcome assigned.

6.11. The outcome is minuted by the REC Administrator and communicated with applicants within ten working days of the decision.

6.11.1. Applicants of proposals that are "Approved" are notified and issued with a Certificate of Ethical Approval which is valid for two years.

6.11.2. Applicants of proposals that are "Approved with concerns to be addressed to the satisfaction of the supervisor" are issued with a Certificate of Ethical Approval together with a list of concerns that must be addressed to the satisfaction of the supervisor, prior to the commencement of data collection.

6.11.3. Applicants of proposals that are "Referred Back" are notified and are invited to resubmit their application pending revisions in accordance with the outcome and feedback provided.

6.12. All documentation is filed for auditing. The SACAP REC Chair of this committee has authority to deal with minor matters related to the applications for ethical clearance submitted. The Chair will consult other members when appropriate. Outcomes should be reported to and be made available to all members at the next sitting of the committee.

7. UNFAVOURABLE DECISIONS

7.1. The committee can ask for revisions and/or amendments before ethics approval can be re-considered.

7.2. If an adverse decision is made the supervisor/researcher is contacted within ten days after the sitting, via e-mail together with a letter of the conditions that need to be met.

7.3. Proof of actions taken by the researcher to address the conditions as specified in SACAP REC outcome letter has to be submitted to the SACAP REC for review.

7.4. Proof of these actions must be submitted as a complete set of documents addressing all the required conditions.

7.5. Resubmissions that have addressed the concerns raised by the REC will be sent to the original reviewers for their opinion. Depending on the comments of the reviewer(s) an approval letter will be issued or otherwise the comments will be forwarded in writing to the researcher.

7.6. In cases where the document has been accepted and approved by the reviewer(s) such documentation and recommendations will be included in the agenda to be ratified at the following REC sitting.

7.7. If additional/outstanding responses to conditions are required or the reviewers are not satisfied with the actions taken by the researcher, the researcher will be informed in writing of the outcome of the review of the actions.

7.8. Amendments to already referred back proposals can, if urgent, be approved by the Chair or Vice Chair of the SACAP REC and ratified during a subsequent sitting of the SACAP REC.

7.9. All the protocols/documentation that was referred back will be included in the agenda for the next SACAP REC sitting.

7.10. In cases where no response to conditions is received, these cases will be placed under the heading "Referred back – response outstanding".

7.11. Only one email will be mailed to remind the researcher of the outstanding response to conditions. If no response is received from the researcher, the matter will be removed from the agenda for the next sitting and will be placed on a separate record system.

7.12. If the researcher responds, the matter will be replaced on the agenda and procedures will be followed as stipulated in paragraph 7.5.

7.13. At the end of the calendar year, a reminder will be sent to the researcher and supervisor informing them that the response to conditions is still outstanding.

7.14. All correspondence will be filed accordingly. When all the conditions have been met, the protocol/study/project is once again placed on the agenda of the next sitting for final approval by the Committee.

8. EXPEDITED APPROVAL

The SACAP REC reviews research applications in exceptional circumstances for ratification at the next SACAP REC sitting. The SACAP REC can only ratify expedited decisions from another registered HREC or in low or negligible risk cases. The Chair and one additional REC member will review the application. Expedited reviews or approvals are only done in:

- Clearly justified and motivated cases;
- In cases of urgency;
- A time factor;
- Administrative changes;
- Additional researchers/personnel that need to be included in the study;
- Amended certificates;
- Amendments that would not harm the patient/participant; and
- Amendments to the research protocol that should not alter the original research

methodology. This would include any documentation necessary to explain the processes.

If the Chair or Vice Chair grants expedited approval, the researcher is informed thereof within seven working days after submission and research may continue as stipulated as soon as the expedited approval letter has been received.

The document is included in the agenda of the next SACAP REC sitting for ratification, after which a confirmation letter is once again issued and sent to the researcher within seven work days after the sitting.

9. REFERENCE DOCUMENTS

- Department of Health. (2015). *Ethics in health research: Principles, processes and structures.*
- UNISA. (2015). *Terms of reference: UNISA Research and innovation ethics review committee (URIERC).*

ANNEXURE A:

APPLICATION TO THE SACAP RESEARCH ETHICS COMMITTEE

FOR ETHICAL APPROVAL OF RESEARCH INVOLVING HUMAN PARTICIPANTS:

All research proposals submitted to the SACAP REC are first reviewed by the Scientific Review Committee (SRC) who will focus on the scientific relevance and elements of good scientific study design. The SRC's recommendations are reviewed by the SACAP REC. The SACAP REC reviews the research proposal as well as accompanying annexures to assess the safety of the procedures or confidentiality of information for research on human participants. The SACAP REC provides the final decision to provide ethical clearance of research involving human participants.

In order to expedite the processing of this application, please ensure that all the required supporting documentation, as specified below, is attached to the submitted research proposal.	
Annexure 1	Research proposal
Annexure 2	Permission letter requesting to conduct the research study at a research site (if applicable)
Annexure 3	Abridged CVs of supervisors and researchers (only applicable to Masters students and/or high risk research)
Annexure 4	Participant information sheet and consent form
Annexure 5	Data collection tool(s) e.g. questionnaire, survey, interview guide
Annexure 6	Letter granting permission to use data collection tool(s) (if applicable)
Annexure 7	Research recruitment advert
Annexure 8	Confidentiality/non-disclosure agreement for interpreter/translator to participate in research project (if applicable)
Annexure 9	Confidentiality/non-disclosure agreement for transcription of interviews/focus group discussion (if applicable)
Annexure 10	Permission letter from mental health professional/organisation/institution to be used as a referral source (only applicable to Masters students and/or high risk research)
Annexure 11	Plagiarism Report

RESEARCH PROPOSAL SUBMISSION TO SACAP RESEARCH ETHICS COMMITTEE

SECTION A:

(COMPLETED BY RESEARCHERS AND SUPERVISORS)

1. GENERAL STUDY INFORMATION		
Title of proposed study		
Type of project (group or individual)		
Type of funding (if applicable)		
Are there any restrictions or conditions attached to publication and/or presentation of the study results? If YES, elaborate. Any restrictions or conditions contained in contracts must be made available to the REC).		
Date of commencement of data collection		
Anticipated date of completion of study		
State the research question(s) and/or major objective(s) of the study		
Briefly (300 words or less) provide a rationale and/or background for this study i.e. why are you doing this particular piece of work?		
Briefly (300 words or less) outline the methodology, specifically the procedure in which human participants will be participating		
2. RESEARCHER(S) DETAILS		
1.	**Initials and surname**	
	Faculty	

	Degree	
	Full-time or part-time	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
2.	**Initials and surname**	
	Faculty	
	Degree	
	Full-time or part-time	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
3.	**Initials and surname**	
	Faculty	
	Degree	
	Full-time or part-time	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
4.	**Initials and surname**	
	Faculty	
	Degree	
	Full-time or part-time	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
5	**Initials and surname**	

	Faculty	
	Degree	
	Full-time or part-time	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	

3. RESEARCH SUPERVISOR(S) DETAILS		
1.	**Initials and surname**	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
	Faculty	
2.	**Initials and surname**	
	Highest academic and/or professional qualifications	
	Email	
	Telephone number(s)	
	Faculty	

4. RISK LEVEL OF STUDY	
Refer to Appendix A of this application form and utilise the risk assessment tool to ascertain the risk level of the proposed research. Research with no medium or high risk aspects (total for Category 3: Medium risk is 0 and the total for Category 4: High risk is 0) qualifies for an expedited review and may be approved by the REC based on the recommendations made to it by the SRC. All other research will undergo full review by both the SRC and REC.	
Total for Category 1: Negligible Risk	
Total for Category 2: Low risk	
Total for Category 3: Medium risk	
Total for Category 4: High risk	

Final risk level	
1. Provide a brief outline of the potential benefits of the study for the research participant group and/or society as well as the potential risks for those participating.	
2. Describe what steps will be taken to mitigate the risks outlined above.	
3. Provide a brief outline of the support or counselling services that will be provided for participants and/or for the researcher(s) should they experience harm as a result of participating in the proposed study.	
4. Briefly describe the process that will be followed to obtain informed consent from participants.	
5. Outline any plans to avoid out-of-pocket expenses and costs to participants, i.e. amount or type of compensation or reimbursement to participants.	

4. RESEARCH SUPERVISOR(S) AND RESEARCHER(S) DECLARATION:

COMPLIANCE WITH ETHICAL PRINCIPLES SET OUT IN SACAP'S RESEARCH ETHICS POLICY

- I/We declare that all information on this form is correct and that we will strive to maintain the highest ethical standards in this research at all times, recognising that ethical practice in research is always a continuing process.
- I/We have read, understood, and will comply with the *SACAP Research Ethics Policy,* have taken cognisance of maintaining the privacy and confidentiality of all research data obtained from research participants, and shall adhere to the secure storage of data as per *SACAP's Research Ethics Policy*.
- I/We undertake to ensure that all participants are aware of any potential physical health hazards and/or psychological risks associated with the study.
- I/We will notify the SACAP REC (rec@sacap.edu.za) should any unanticipated occurrences arise with research participants or researcher(s) during the course of the research that might have negative consequences for the physical health and/or psychological well-being, privacy and safety of those involved.
- I/We shall carry out the study in strict accordance with the research proposal and procedures as approved by the SACAP REC.
- Should any changes to the approved methods or procedures be required, I/we will notify the SACAP REC (rec@sacap.edu.za) using the amendment form below.
- I/We have discussed the study with our research supervisor and the final proposal has been signed off by the supervisor as signed below.

By signing this form, the researcher(s) and supervisor of this project undertake to ensure that any amendments to this project that are required by the SACAP REC are made before the project commences.

SIGNATURES OF RESEARCHER(S)			
Signature of Researcher		**Date**	
Signature of Researcher		**Date**	
Signature of Researcher		**Date**	
Signature of Researcher		**Date**	
Signature of Researcher		**Date**	
SIGNATURES OF SUPERVISOR(S)			

Signature of Supervisor		**Date**	
Signature of Supervisor		**Date**	

SECTION B: FOR OFFICE USE ONLY

APPLICATION PROCESSING DETAILS

SACAP REC REFERENCE NUMBER:	
DATE OF FIRST APPLICATION:	
DATE OF COMPLETED SCIENTIFIC REVIEW:	
DATE OF COMPLETED ETHICAL REVIEW:	
DATE OF APPROVAL:	

SECTION C: FOR OFFICE USE ONLY

SCIENTIFIC REVIEW

TITLE, INTRODUCTION, LITERATURE REVIEW, AND THEORETICAL FRAMEWORK *(Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The title is brief, clear, meaningful, informative, and appropriate.	☐	☐	☐
The context/background of the research problem in the literature review is described and situated within the broader body of existing research.	☐	☐	☐
Key concepts and terminology are appropriately and adequately defined in the literature review.	☐	☐	☐
Empirical research has been appropriately and adequately engaged and demonstrates the importance and relevance of the proposed study.	☐	☐	☐

The significance and relevance of the proposed research is clear.	☐	☐	☐
COMMENTS:			

RESEARCH AIMS, QUESTIONS, OBJECTIVES, AND RESEARCH DESIGN *(Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The research aims and objectives are clearly specified.	☐	☐	☐
The research aims and objectives are achievable in the given time frame.	☐	☐	☐
The research question(s) or research hypothesis(es) being investigated are clear.	☐	☐	☐
The theoretical framework and/or lens is appropriate and aligned with the aims and objectives of the research.	☐	☐	☐
The theoretical framework and/or lens is appropriate and aligned with the design of the research.	☐	☐	☐
The key factors (e.g., variables) implicated in the research question(s) or hypothesis(es) being investigated are clearly indicated.	☐	☐	☐
The research method (e.g., quantitative, qualitative, mixed-methods, etc.) is indicated and clearly described and justified.	☐	☐	☐
The research design (e.g., cross-sectional, longitudinal, case study, ethnographic, phenomenological, etc.) is indicated and clearly described and justified.	☐	☐	☐
The research paradigm (e.g., positivist, interpretivist, social constructionist, etc.) is indicated and clearly described and justified.	☐	☐	☐
The research method, paradigm, and design are appropriate to answer the question(s) or test the research hypothesis(es).	☐	☐	☐
COMMENTS:			

RECRUITMENT STRATEGY AND DATA COLLECTION *(Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The data collection methods and procedures are appropriate, clearly described, and justified.	☐	☐	☐
The data source(s) (e.g. participants) are clearly described in terms of their characteristics.	☐	☐	☐
The proposed number of data source(s) is appropriate and sufficient for answering the research question(s) or research hypothesis(es).	☐	☐	☐
Inclusion and exclusion criteria for data sources are clearly described, justified, and appropriate for answering the research question(s) or research hypothesis(es).	☐	☐	☐
The selection of data source(s) is equitable.	☐	☐	☐
If vulnerable groups are included, this is justified and necessary for answering the research question(s) or research hypothesis(es).	☐	☐	☐
The data source(s) are sufficient and appropriate for answering the research question(s) or research hypothesis(es).	☐	☐	☐
The sample size has been adequately described and is appropriate for the proposed research.	☐	☐	☐
The sampling strategy (e.g., how participants will be recruited) is clearly defined and described.	☐	☐	☐
The sampling strategy is appropriate for answering the research question(s) or research hypothesis(es).	☐	☐	☐
The timeframe for recruiting data sources is appropriate and acceptable.	☐	☐	☐
Recruitment adverts (e.g., posters, social media posts, etc.) are appropriate in terms of the language and nature of the proposed study.	☐	☐	☐
There is no evidence of a conflict of interest between the researcher(s) and potential participants.	☐	☐	☐
There is no evidence of a pre-existing dependent relationship between the researcher(s) and potential participants (e.g., student and educator, employer and employee, etc.).	☐	☐	☐
How data will be collected is clearly described and appropriate.	☐	☐	☐

The researcher(s) have access to the proposed research tools required for the data collection of the project.	☐	☐	☐
The researcher(s) are trained to use the proposed research tools (e.g., questionnaires, interview schedules, surveys, assessment tools etc.).	☐	☐	☐
The proposed research tools are valid and reliable tools for meeting the research aims and objectives as well as answering the research question(s) or testing the research hypothesis(es).	☐	☐	☐
The research tools required for the data collection are appropriate and sufficient for answering the research question(s) or research hypothesis(es).	☐	☐	☐
COMMENTS:			

DATA PROCESSING AND ANALYSIS (*Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The procedure(s) for data and/or statistical analysis is clearly defined and justified.	☐	☐	☐
The method of data analysis is described in sufficient detail.	☐	☐	☐
The method of data analysis is an established method of analysis.	☐	☐	☐
The analytic process is appropriate for answering the research question(s) or research hypothesis(es).	☐	☐	☐
The description of the analytic approach indicates how this approach will allow the researcher(s) to meet the proposed research aims and objectives.	☐	☐	☐
Consideration is given to how validity and reliability (quantitative) OR trustworthiness and rigour (qualitative) will be ensured throughout the research process.	☐	☐	☐
COMMENTS:			

ETHICAL CONSIDERATIONS *(Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The research question(s) or research hypothesis(es) is social and ethically acceptable.	☐	☐	☐
The risk of harm, embarrassment, or offence, however slight or temporary, to the participant, third parties or to the community at large, in conducting this research is minimal and/or justified. For each risk consider i) whether the risk is reversible, ii) whether there are alternative procedures available and iii) whether there are remedial measures available.	☐	☐	☐
The benefits of the research are clearly described and in line with the research aims and objectives.	☐	☐	☐
Steps for minimising or mitigating any potential for harm (i.e., psychological, physical, etc.) are clearly described and appropriate.	☐	☐	☐
The benefits of the research outweigh the risk of harm.	☐	☐	☐
The process of obtaining informed consent and/or assent has been adequately described.	☐	☐	☐
Adequate provision has been made to protect the privacy and confidentiality of the participants.	☐	☐	☐
How data will be stored and protected has been clearly described and is appropriate.	☐	☐	☐
Potential risk to third parties (e.g., organisation, etc.) has been described and justified.	☐	☐	☐
The amount and/or type of compensation provided is reasonable, appropriate, and well-justified.	☐	☐	☐
There is no conflict of interest evident in the application. Where conflict of interest exists, it has been acknowledged and procedures have been put in place to mitigate the resultant risks.	☐	☐	☐
How the findings from the research will be disseminated have been described and are appropriate.	☐	☐	☐

COMMENTS:

GENERAL (*Place an 'x' in the appropriate box)*	**YES**	**NO**	**N/A**
The application is written clearly and coherently.	☐	☐	☐
The application is structured correctly and logically.	☐	☐	☐
The application is appropriately referenced (in-text and references list) according to APA 7 guidelines.	☐	☐	☐
All sources cited in-text are included in the references list.	☐	☐	☐
The application is free of spelling, grammar, and typos.	☐	☐	☐
The language used throughout the application is appropriate for this level.	☐	☐	☐
There is no evidence of plagiarism in the application.	☐	☐	☐
COMMENTS:			

THE PROPOSED RESEARCH PRESENTS AS: *(Place an 'x' in the appropriate box)*	
Category 1: Research involving negligible risk	☐
Category 2: Research involving low risk	☐
Category 3: Research involving medium risk	☐
Category 4: Research involving high-risk	☐

BRIEF OUTLINE OF REASONS FOR THE ABOVE CLASSIFICATION

REVIEWER RECOMMENDATION: *(Place an 'x' in the appropriate box)*	
The application that was submitted may be approved.	☐
The application that was submitted may be approved with revisions to be addressed to the satisfaction of the supervisor.	☐
The application that was submitted should be referred back for the following revisions/ modifications.	☐
OVERALL COMMENTS AND RECOMMENDATIONS PERTAINING TO THE SCIENTIFIC RIGOUR OF THE PROPOSED RESEARCH	

I, a member of SACAP's Scientific Review Committee (SRC), have reviewed this application and am satisfied that the review is in compliance with the SACAP policy on research ethics.

DATED BY FIRST REVIEWER	
DATED BY SECOND REVIEWER	

SECTION D: FOR OFFICE USE ONLY

ETHICS REVIEW

RISK-BENEFIT ASSESSMENT (*Please review the proposal with regard to the following criteria and raise any concerns in the space provided below*)

Are risks and benefits (to individuals and/or community) adequately identified, evaluated and described? (Physical, psychological, social, and economic)
Do risks and benefits stated in the protocol match those described in the informed consent form?
Are potential risks minimised?
Are potential benefits maximised?
Will counselling or support services be available, if required?
Are risks reasonable in relation to the importance of anticipated knowledge gained?
Is the risk/benefit ratio acceptable for proceeding with the research?
Is the population from which study participants are drawn from likely to benefit from the research?
COMMENTS:

COMPENSATION AND COSTS FOR PARTICIPANTS (*Please review the proposal with regard to the following criteria and raise any concerns in the space provided below*)
Are there adequate plans to avoid out-of-pocket expenses and costs to participants?
Is the amount or type of compensation or reimbursement reasonable and well justified? Is it stated on what basis the remuneration is calculated?
If children or adolescents are involved who receives compensation and is this appropriate?
COMMENTS:

PRIVACY, ANONYMITY AND CONFIDENTIALITY OF DATA (*Please review the proposal with regard to the following criteria and raise any concerns in the space provided below*)
Are there adequate measures to protect the privacy, anonymity and to preserve the confidentiality of the data collected from research participants?

Does the research proposal describe how written records, audio or videotapes, and digital recordings will be secured, for how long, and whose responsibility?
For focus groups, are participants informed that confidentiality cannot be guaranteed as group members may disclose what we discussed outside the research setting?
Are activities that could potentially result in notification/duty to warn (e.g. abuse, neglect, the potential for harming self or others) addressed in the research proposal and in the participant information sheet and the informed consent form?
Will any part of the project be conducted on private property (including shopping centres)? If YES, does the research proposal specify and state how consent of property owner will be obtained?
COMMENTS:

PROCESS OF OBTAINING CONSENT (*Please review the proposal with regard to the following criteria and raise any concerns in the space provided below*)
Is the process adequately described? Or has a waiver of informed consent or waiver of documentation of informed consent been requested and adequately justified?
Is consent to be given in writing? If no, are reasons why written consent is not appropriate in this study
Are all required elements of informed consent contained in the participant information sheet and informed consent form?
Is child assent required?
Is the language level appropriate for the target population?
Do any participant(s) operate in an institutional environment, which may cast doubt on the voluntary aspect of consent? If YES, does the researcher (s) state what special precautions will be taken to obtain a legally effective informed consent.
Will a gatekeeper (e.g. principal, nursing manager, chairperson of school governing body) need to be approached for initial permission to gain access to the target group?
Does the research require consent of an institutional authority (e.g. Department of Education, Department of Health) for this study?
The process for obtaining consent minimises the potential for undue influence.

The process for obtaining consent provides sufficient time, privacy, and an adequate setting for participants to decide whether to participate or not.
Will the participant information sheet and the informed consent form be translated into all required languages?
Is the process of informing communities and/or participants of significant findings adequately and clearly described? Does the research proposal specify whether feedback will be written, oral or by other means and describe how this is to be given (e.g. to each individual immediately after participation, to each participant after the entire project is completed, to all participants in a group setting, etc.):
If the research is conducted in a school or other institutional setting, will the researcher(s) be providing teachers, school authorities a copy of the results?
Is the process for dissemination of findings e.g. publishing, presenting adequately and clearly described, and has participants consent been obtained for this purpose?
COMMENTS:

OVERALL COMMENTS AND RECOMMENDATIONS PERTAINING TO REASONABLE GUARANTEES AND SAFEGUARDS FOR THE ETHICS OF THE STUDY

IF MONITORING IS NECESSARY, WHEN SHOULD A PROGRESS REPORT BE SUBMITTED?

I hereby confirm that this application has been independently reviewed in compliance with the *SACAP's Research Ethics Policy* and the policies and procedures outlined by the National Health Research Ethics Committee.

DATED BY REC ADMINISTRATOR	

APPENDIX A:

RISK ASSESSMENT TOOL

Tick the box next to any statement that is relevant to your study to determine the risk level of the proposed research.

QUESTION	NEGLIGIBLE RISK	LOW RISK	MEDIUM RISK	HIGH RISK
Are the participants of the study…	O no contact with human participants.	O persons 18 years older and above with the capacity to provide informed consent?	O SACAP academic and/or support staff/students? O in a dependency relationship with the principal researcher and/or research team? O to be compensated in any way (e.g., incentive, reimbursement for travel, etc.) for participating in the study?	O children or young people under the age of 18? O children who are in the custody of the State? O women? O people with little or no formal education? O persons with a cognitive disability or mental impairment of any kind? O persons who are physically disabled? O offenders or people on parole? O persons who are highly dependent on medical care, i.e., a sample from a hospital/clinic? O military personnel? O socially and/or economically disadvantaged communities? O persons who are not usually considered to be vulnerable but would be considered vulnerable in the context of this research project O persons who are unable to give consent themselves (e.g. consent

				through a gatekeeper/ legal representative)? O persons aged 65 and above? O persons with diminished physical and/or educational capacity (e.g., traumatised)? O persons who are not competent to give participation consent (e.g. due to language challenges)?
Is the researcher administering any process and/or intervention that…		O is expected to result in no foreseeable risk, harm or discomfort to the mental and/or the physical well-being of the participants? O is expected to result in the only foreseeable discomfort being that of inconvenience (e.g. time and effort required by participants to complete questionnaire/form, participate in a street survey)?	O could be hazardous to social well-being (e.g., possibly results in damage to social networks/relationships with others, discrimination, social stigmatisation, the discovery of previously unknown paternity status) and/or result in discomfort associated with the social well-being of the participants and/or researcher?) O could be hazardous to economic well-being (e.g., possibly results in the imposition of direct and/or indirect financial commitments on participants) and/or result in discomfort associated with the economic well-being of the participants and/or researcher? O collects any articles/documents of the property, personal or cultural from participants? (e.g. medical records, student records, staff records?	O involves participants undergoing psychological, physiological or medical testing and/ or treatment? O involves the collection and use of human biological samples (e.g., skin, blood, urine, saliva, hair, bones, tumour and other biopsy specimens) or their exhaled breath? O could be hazardous to the physical health (e.g., possibly results in illness, injury, pain) of the participants and/or researcher? O seeking disclosure of information that could be hazardous to the psychological well-being (e.g., possibly results in feelings of worthlessness, guilt, anger, fear) of the participants and/or researcher? O seeking disclosure of information that could be hazardous to the legal well-being (e.g., possibly results in the discovery and

			O may result in a traumatic experience for the participants and/or researcher? O may result in the disclosure of personal sensitive and/or embarrassing information about the participants and/or researcher? O involves covert observation of behaviour that is not normally in the public domain? O could result in the participants feeling humiliated, manipulated and/or in other ways treated disrespectfully and/or unjustly? O uses specialised equipment on the participants? O could result in discomfort associated with the physical health (e.g., the act of measuring blood pressure, minor side effects of taking medication) of the participants and/or researcher? O could result in discomfort associated with the psychological well-being (e.g. feelings of anxiety due to being interviewed) of the participants and/or researcher? O could result in discomfort associated with the legal well-being of the participants and/or researcher?	prosecution of criminal activity or civil liability or be damaging to the financial standing, employability, personal or professional relationships) of the participants and/or researcher? O could result in the participant learning about a genetic possibility of developing an untreatable disease? O innovative therapy or intervention?

			O could result in the identification and/or re-identification of a participant from a resulting report? O could result in risks to non-participants (e.g., distress to relatives upon discovering that a participant suffers from a serious genetic disorder, infectious disease risks to a community, social/economic discrimination of subgroup populations)?	
Is the researcher administering a questionnaire/survey/ interview/focus group/observation practice that…		O occurs in public spaces and natural environments where the researcher does NOT interact directly with participants? O occurs in public spaces and natural environments where the researcher does NOT stage any intervention? O occurs in public spaces and natural environments where the participants do NOT have a reasonable expectation of privacy? O occurs in public spaces and natural environments and dissemination of research findings does NOT identify individuals or groups of participants?	O collects sensitive data from the participants (e.g., personal data that is not normally in the public domain)? O does not guarantee the anonymity of the participant? O occurs in public spaces and natural environments and dissemination of research findings does identify individuals or groups of participants? O occurs in public spaces and natural environments where the researcher interacts directly with participants? O occurs in public spaces and natural environments where the researcher stages an intervention? O occurs in public spaces and natural environments where the participants have a reasonable expectation of privacy? O does not guarantee the	

			confidentiality of data collected from the participants?	
Is the researcher intending to access participant data from an existing stored repository (e.g., school, institutional, university records or data collected from another previously completed or ongoing research study) that…	O relies exclusively on publicly available information or is accessible through legislation or regulation, (where permission from previous participants has been explicitly granted, and where a permission letter from the principal investigator of the previous study has been obtained)? O relies exclusively on secondary use of anonymous information? (i.e. no identifiable information is generated or inferred, e.g. anonymised aggregated datasets such as census data.	O requires access to participant information (in a non-identifiable form, e.g. summarised form) as part of an existing published or unpublished source or database?	O requires access to participant information (in individually identifiable or re-identifiable form) as part of an existing published or unpublished source or database?	
Do the researchers intend to publish the findings of the study in a publication that..	O requires no evidence of human ethics approval/acknowledgement?	O requires evidence of human ethics approval/acknowledgement?	O requires evidence of human ethics approval/acknowledgement?	O requires evidence of human ethics approval/acknowledgement?
Does any sponsor of the study/the researcher have a vested interest in any possible findings of the study?	O No		O Yes	
Are there any restrictions/conditions attached to the publication and/or presentation of the study results?	O No		O Yes	
	Number of ticks in this column: _____	**Number of ticks in this column: _____**	**Number of ticks in this column: _____**	**Number of ticks in this column: _____**

APPENDIX B:

AMENDMENTS TO RESEARCH PROPOSAL APPLICATION FORM FOR THE ATTENTION OF THE SRC

Dear Scientific Review Committee,

We, the applicants, confirm that the following amendments and/or revisions as required by the Scientific Review Committee have been made:

AMENDMENTS REQUIRED	HOW AMENDMENTS WERE ADDRESSED	PAGE NO.

AMENDMENTS REQUIRED	RATIONALE FOR AMENDMENTS NOT BEING MADE

APPLICANT NAME AND SURNAME	SIGNATURE

I/We, the supervisor(s), have checked that the required amendments to the application have been made and I/we confirm that the amendments are in compliance with *SACAP's Research Ethics Policy.*

SUPERVISOR(S) NAME AND SURNAME	**SIGNATURE**

I, a member of *SACAP SRC*, have reviewed the amendments and/or revisions made and I am satisfied that these are in compliance with *SACAP's Research Ethics Policy.*

DATED BY SRC REVIEWER	

APPENDIX C:

AMENDMENTS TO RESEARCH PROPOSAL APPLICATION FORM FOR THE ATTENTION OF THE SACAP REC

Dear SACAP REC,

We, the applicants, confirm that the following amendments or revisions as required by the SACAP REC have been:

AMENDMENTS REQUIRED	HOW AMENDMENTS WERE ADDRESSED	PAGE NO.

AMENDMENTS REQUIRED	RATIONALE FOR AMENDMENTS NOT BEING MADE

APPLICANT NAME AND SURNAME	SIGNATURE

I/We, the supervisor(s), have checked that the required amendments to the application have been made and I/we confirm that the amendments are in compliance with *SACAP's Research Ethics Policy.*

SUPERVISOR NAME AND SURNAME	**SIGNATURE**

I, a member of the *SACAP REC,* have reviewed the amendments and revisions made and am satisfied that these are in compliance with *SACAP's Research Ethics Policy.*

DATED BY REC REVIEWER	

ANNEXURE 2:

PERMISSION LETTER TO CONDUCT RESEARCH FROM RESEARCH SITE

Guidance for permission letters

A permission letter from an organisation allows you (the researcher) to establish communication and cooperation between you (the researcher) and a particular organisation. Obtaining permission to conduct a study can be a time-consuming process; some organisations require applications for permission to be reviewed by a research ethics committee. Also, organisations are not obliged to give you permission to conduct research. Permission can be retracted by the organisation at any time.

Many organisations may require an ethics clearance certificate prior to providing permission. In such instances, you need to apply FIRST for ethical clearance, then apply to the organisation for permission, and finally supply a copy of the signed permission letter to the SACAP REC in order to receive final ethical clearance. In this instance, the ethics committee will provide 'conditional clearance'.

A permission letter must: (1) be on a company/organisation letterhead, (2) be signed/stamped and dated by a named person in the organisation, (3) refer to you (the researcher) by name and refer to the title of your project, and (4) give you permission to do something specific (e.g. interview staff, make observations, send out a questionnaire, access contact details of organisation members) and within a specific timeframe. A general "we give you permission to do research in our organisation" is not sufficient. An informal email correspondence with an organisation will not be accepted by the SACAP research ethics committee.

When a permission letter must be supplied:

- When the researcher needs access to a restricted space (e.g. a company's or organisation's building, private land, library/archive, shopping mall). Obtaining access to a building to interview a single person does not require a permission letter, but obtaining access to that building for a longer period of time (if you want to interview several people or more than once, or if you are doing an ethnographic or longitudinal study) does require permission;
- When the researcher needs access to a restricted database (e.g. list of members, email list, contact details) or access to restricted information (e.g. company records or archives);
- When the researcher needs direct access to a particular population for sampling purposes (e.g. employees within a company, residents of a closed community, e.g. a retirement home);
- When the researcher will be working on school premises. Please note that for government schools, provincial Department of Education permission is also needed as well as a permission letter from the principal of each school concerned. For private schools, only a permission letter from the principal of each school is needed;
- Within the SACAP context, access to student body's is must be granted by the relevant Head of Campus;
- Individuals, publishers, or organisations who own the copyright to an instrument you intend to use for data collection must provide permission for you to use the existing survey or data collection tool;

- An organisation that owns 'closed access' data you would like to use for your research must give you permission to use their data. Even if you work for the organisation, when conducting research, you are not acting as a member of the organisation; therefore, you need to request permission to use data outside of your daily activities as an employee;
- If you are accessing and using data from a 'closed' social media online forum;
- If you are referring participants to certain professional services (e.g. counselling) that may require appointments or where payment is usually needed. In this instance, participants should not pay, and thus you as the researcher must make private arrangements with these service providers for them to offer a free service to participants if needed. The service provider concerned must supply a permission letter agreeing to assist participants in your project. The terms and conditions agreed upon by you and the service provider must be made clear in their permission letters (which must be on letterhead). **You will not be able to start data collection in these places/populations until a permission letter has been supplied to the SACAP REC. This is a requirement of ethics clearance.**
- A permission letter is not needed where you are referring participants to free helplines. However, if you are using a free centre, like a drop-in clinic or similar free facility, then a permission letter is required. **You will not be able to start data collection in these places/populations until a permission letter has been supplied to the SACAP REC. This is a requirement of ethics clearance.**
- When a permission letter will assist you as the researcher to obtain access to a specific group of people/individuals or location, e.g., e.g. permission from a traditional leader to help you get access to a community. Similarly, a permission letter when working with local organisations/NGOs/key informants to introduce you to the community; Permission letters in these instances help the research to obtain access to people to facilitate data collection but also act as a safeguard for your safety. This is because people will know who you are and what you are doing there. **You will not be able to start data collection in these places/populations until a permission letter has been supplied to the SACAP REC. This is a requirement of ethics clearance.**
- When you are seeking indirect permission through an organisation to recruit participants (e.g. you want them to put up a poster, forward an email); **You will not be able to start data collection in these places/populations until a permission letter has been supplied to the SACAP REC. This is a requirement of ethics clearance.**
- If you want to interview several people in an organisation, but if this activity will make use working hours, then a permission letter is needed. **You will not be able to start data collection in these places/populations until a permission letter has been supplied to the SACAP REC. This is a requirement of ethics clearance.**

In some instances, a permission letter may help you get access to the specific person you are looking for, rather than just a 'spokesperson'. Please be aware of the potential for power and coercion if the head of the company/organisation directs you to interview certain people.

PERMISSION LETTER TO CONDUCT RESEARCH

Date: DD-MM-YY

Dear <insert contact person's title and name>,

RE: Request for Permission to Conduct Research

I, <insert student researcher or staff researcher's name>, am conducting research for the purpose of obtaining a <insert degree title, e.g. BSocSciHons, MSocSci, etc.> at SACAP. My research focuses on <brief description of study purpose/aim of research and research objective>. The title of my research project is "<insert title of research proposal as it appears on the SACAP REC form>" and my supervisor is <insert supervisors' title, name and surname>. Briefly describe the intended outcomes of the project (including plans for publication).

Your company/organisation/institution has been selected because <briefly describe reasons for requiring participation of the particular organisation>. I would be grateful for your permission to conduct research at your company/organisation/institution which entails <briefly describe request for permission>.

Participation in this research is voluntary, including the right to withdraw at any time. Participation will entail <briefly describe study procedures, including research data collection method and procedures, e.g. a focus group/interview/questionnaire, number of participants that will be asked to participate and time commitment related to duration of data collection>. The steps taken to ensure confidentiality and privacy will include (state steps ensuring confidentiality). There will/will not be compensation for participation in the form of (even if there is none, this should be stated).

The potential risks of participating in the study <briefly describe any risk involved>. Provide a list of all expenses the participant will incur as a result of participation in this study or indicate no cost. The possible benefits of the study <briefly describe any benefits>. The feedback procedures will entail <briefly describe>.

Should you require any additional information, have questions or concerns, please do not hesitate to me telephonically at <provide contact number> or via email at <provide email address>.

If you agree to participate in the study, please sign and date this form below and return it to (include information).

_____ _____

Participant's signature Date

Yours sincerely,

_____

<insert signature of researcher>

<insert name of researcher>

ANNEXURE 3:

ABRIDGED CVS OF ALL THE RESEARCHERS

(Please submit one form for each researcher and supervisor)

Biographical Summary

Personal and Current Employment Information			
Name		**Surname**	
Title		**Nationality**	
Department/Division		**Position**	
Email address		**Web address**	
Short overview of research and scientific background/experience/training			

Recent Employment History

Employer	Position	Period

Highest Academic Qualification(s)

Qualification	Field of study	Higher Education Institution	Year received

Postgraduate Supervision

Qualification	Research method/s	Completed number of students
Honours		
Masters		
PhD		

Memberships to Professional Councils and/or Registrations

Tick where applicable	Name of council / type of registration	Number of years registered	Membership/ registration number
	The Health Professions Council of South Africa (HPCSA)		
	South African Council for Social Services Profession (SACSSP)		
	South African Board for People Practices (SABPP)		
	South African Council for Educators (SACE)		
Other: Please specify below			

Research Publication Outputs

Please provide any references of peer-reviewed articles, book chapters, conference presentations or any other research/research related outputs in the last five years

ANNEXURE 4:

PARTICIPANT INFORMATION SHEET AND CONSENT FORM

Guidance on the use of participant information sheet

1. Use simple lay language explaining psychological terms and jargon. Use non-scientific terminology and avoid emotive terms.
2. Type size should be a minimum 11-point font.
3. Use headings (bold font), small paragraphs and spaces between the paragraphs. Use bullets to outline tasks required in the study procedures section.
4. Write out all acronyms the first time they appear in the participant information sheet.
5. Number the pages in the following manner: "1 of 3", "2 of 3", "3 of 3" etc. in the footer of each page
6. Insert full research proposal title on each page as either a header or footer. This can be a small font.
7. All information required by the participant must be included in the participant information sheet.
8. Use second person pronouns for the participant information sheet (you/your). Use the first person pronoun ("I") for only the final "consent form".
9. Use "participant" throughout the consent form rather than "patient"" subject" or "volunteer".
10. Directions for the editing of the form are given in grey font in brackets. Complete all these sections and remove any grey font/brackets prior to submitting to the SACAP REC.
11. Spelling, grammar and formatting must be corrected before it is submitted for review.

A consent form is still needed even if you are doing informal or verbal consent. The consent form should be used as the script to be read to potential participants in order for them to verbally agree to each point. Therefore, please design and supply the consent form with your application to the SACAP REC for research on human participants for clearance of research involving human participants, even if you are using verbal consent. If you have multiple participant groups and/or different research activities, you may need to draft separate Consent Forms for each group and/or activity. Please label your documentation very clearly, using the nomenclature provided, according to your participant groups and/or different research activities. Consider your audience when preparing the consent form. Use everyday language appropriate to the level of the participants.

PARTICIPANT INFORMATION SHEET

Research Title	
Researcher(s) Name and Surname	
Supervisor Title, Name and Surname	
Ethics Clearance Reference Number	
Funder (if applicable)	
Research Permission Reference Number (if applicable)	
Research Title	
Date	

Dear Prospective Participant,

RE: Request for participation in a research study

My name is (name of researcher), and I am conducting research under the supervision of (name of supervisor> for the purposes of obtaining a (name of degree) at the South African College of Applied Psychology (SACAP).

Purpose of Study

This research study is being conducted to (describe the study purpose and objectives, in simple, non-technical terms).

Participants Selection

You are being asked to participate in this study because as (briefly describe the participant population and if appropriate, why they are being selected). A total of (insert number) of participants will be asked to participate.

Study procedures

(Describe the study procedures in detail in plain language. Sample text for some methodologies is provided below.)

FOR INTERVIEWS & FOCUS GROUPS

The method of data collection for this study will be (focus groups/individual interviews). Participation in the study will be to (indicate how many sessions and the length of each session/activity, the frequency of activities, the location where activities will be done, etc.).

(For focus groups) Focus groups are group discussions with people who know something about the topic of interest. Focus groups are ways of finding out people's thoughts and ideas about a specific topic. You will be in a group of approximately (number of focus group participants). There will be a facilitator who will ask questions and facilitate the discussion. At the start of the session everyone will be asked to respect the privacy of the other group members. All participants will be asked not to disclose anything said within the context of the discussion, but it is important to understand that other people in the group with you may not keep all information private and confidential.

The (focus groups/interviews) will be conducted by (describe and name facilitators).

(If sessions will be audio-taped and transcribed) The sessions will be audio-taped and the audio-tapes will be transcribed by (state who will transcribe the recordings).

(If persons other than the researchers will be transcribing the recordings) Transcribers will sign a confidentiality/non-disclosure agreement form stating that they will not discuss any information revealed to them during the course of transcription with anyone other than the researchers.

FOR QUESTIONNAIRES/SURVEY-BASED RESEARCH

Participating in this research will entail completing a (questionnaire/online questionnaire/survey). The (questionnaire/online questionnaire/survey) will take approximately (state length of time for completion) to complete and we aim to collect approximately (state desired sample size) responses. While questions are asked about (state focus of questions), no identifying information, such as your name, will be asked for, and as such you will remain anonymous. Your completed (questionnaire/online questionnaire/survey) will not be seen by any person other than the researchers at any time, and will only be processed by me, and as such your responses will remain confidential. Participant responses will only appear in aggregate or together with all other responses in the final report.

Possible Risks and Discomfort

(Describe any foreseeable risks, discomfort, inconveniences, including health, legal, economic and psychological risks, as well as indicate the likelihood and seriousness of the potential risks involved. Discuss how you will address or manage these risks to protect the participant, e.g. referral for counselling or therapy, etc. If the study involves the potential to elicit stressful responses, embarrassing responses or the intent to harm oneself you must describe these potential risks and how this would be managed to mitigate the risk by research staff. Review the following sample text for appropriateness to your study. Sample text provided below.)

There are some potential risks to you by participating in this research. It is possible that talking about (area of study) might be emotional, embarrassing or stressful for you. You do not have to answer any question that makes you feel uncomfortable or that you find too upsetting. Should you experience distress as a result of participating in this study referral sources will be made available to you by the researchers. Alternatively, you may make use of one of the freely accessible services listed below:

Referral Source 1:

Referral Source 2:

Benefits to Participants and/or Society

(Explain any direct benefits to participants that could be expected from their participation in the study. If the participants will not benefit directly, clearly state this fact. Also, realistically mention the potential benefits, if any, to society expected from this study. Sample text provided below. Review sample text to determine appropriateness to your study.

Participating in this research may not help you directly, but the information gained may help (others related or what is being studied) in the future.

Costs and Payment for Participation

(Provide a list of all expenses the participant will incur as a result of participation in this study [i.e. transport or data costs] or indicate no cost. Describe any method of payment or reimbursement for participation. e.g. compensated for transport costs, entry into lucky draws. If not, state so clearly. If participants will receive payment, state the amount, state when payment can be expected. If the payment is prorated, describe this in this section, should the participant decide to withdraw. Financial remuneration should never be used as an inducement to participants to assume risks.)

EXAMPLES

You will be given (amount or payment or type of payment per completed study visit) to a maximum of (amount) upon termination of your participation in this research study.

You will receive no payment or reimbursement for expenses related to taking part in this study.

Confidentiality

(Describe the measures of steps you will take to ensure privacy, confidentiality and/or anonymity, where and how data will be stored, who will have access to it, etc. If the information will be released to or shared with any other party/agency for any reason, state this here and identify the person/agency to whom the information will be furnished, the nature of the information, and the

purpose of thereof. State whether the participant has the option to opt-out of their information being shared. State whether the information collected for this study will be used for future publications and/or used for other purposes in the future. If research activities will be audio-recorded, photographed or video-recorded, mention this here and state whether the participants will have the opportunity to review/edit the tapes, who will have access to these recordings, if they will be used for educational purposes, and when they will be erased. If you plan on publishing the results of the study describe how confidentiality and/or anonymity will be maintained in the publication.

EXAMPLES

I/We will do everything possible to keep your personal information confidential. Your name will not be used at all in the study records. If the results of this study are presented in a meeting, or published, nobody will be able to tell that you were in the study. Please note that although you will not be identified as the speaker, your words may be used to highlight a specific point. The collection and access to personal information (and if applicable health related information) will be in compliance with local privacy legislation, e.g., POPIA.

Audiotapes of the group discussion will be typed and used to prepare a report. The audiotapes and typed notes will be kept for time frame in years or months in a secure locked file cabinet and office. Only the research staff (if applicable) and {add any other members who would have access] will have access to them and know your name.

All records will be kept in a locked secure area and only those persons identified will have access to these records. If any of your research records need to be copied to any of the above, your name and all identifying information will be removed. No information revealing any personal information such as your name, address, or telephone number will leave (name of institution).

PERMISSION TO QUOTE (if applicable)

Depending on the nature of your study and how you choose to conduct your focus groups, you may have an interest in quoting people or in referring generally or specifically to individuals (by the organisation they represent, for example), in your reports and publications. If it is your intention to NOT use any names and to NOT refer to individuals, then you should say something about your intention to keep the information they share **private** and that you will not refer to individual people at all. Please keep in mind that individuals such as public officials who could be identified by the nature of their position, or individuals who could be identified by their unique characteristics within a small population, cannot necessarily be guaranteed **anonymit**y. If you think you might want to quote or refer to individuals specifically, you can skip saying anything about **anonymity** but be sure to obtain their permission to quote, as below.]

Sample Text:

We may wish to quote your words directly in reports and publications resulting from this. With regards to being quoted, please check yes or no for each of the following statements:

Researchers may publish documents that contain quotations by me under the following conditions: (Please circle the relevant options below)	
O Yes O No	I agree to be quoted directly (my name is used).
O Yes O No	I agree to be quoted directly if my name is not published (I remain anonymous).

O Yes O No	I agree to be quoted directly if a made-up name (pseudonym) is used.

Voluntary Participation/Withdrawal from the Study

(Describe the anticipated circumstances under which participation may be terminated without regard to the participant's consent)

Your decision to take part in this study is voluntary. You may refuse to participate or you may withdraw from the study at any time without any consequences. You may also refuse to answer any questions you don't want to answer and still remain in the study. If you decide to participate in the study, you are free to withdraw your consent from participating in the study, and to discontinue participation at any time without penalty to yourself.

OTHER CONSIDERATIONS

(Include a statement of the consequences of a participant's decision to withdraw from the research and procedures, in order to help ensure the orderly termination of participation by the participant concerned, if appropriate.)

(Include details of the anticipated circumstances under which the participant's participation may be terminated by the investigator without regard to the participant's consent, if appropriate, and the procedures to be followed for the orderly termination of the participation by the participant.)

(Include a statement that the participant will be informed if significant new findings develop during the course of the research, which may influence the participant's willingness to continue participation in the study.)

(If participants are beneficiaries, patients, employees or clients of an institution/organisation from which the researcher is recruiting, consider adding one of the following statements.

EXAMPLES

(For beneficiaries/clients) Your decision not to participate or to withdraw from the study will not affect your care (or services received) at (name of the institution/organisation).

(For students) Your participation or discontinuation in this study will not constitute an element of your academic performance nor will it be part of your academic record at (name of the institution).

(For employees) If you are an employee of (name of an institution) your participation or discontinuance in the study will not constitute an element of your job performance or evaluation nor will it be part of your personnel record at any of these Institutions.

Questions for Researcher

Before you sign this form, please ask any questions regarding any aspect of this study that is unclear to you. If any questions come up during or after the study you may contact the researcher using the following contact details:

(Provide researcher(s) name and surname at phone numbers or email addresses as well as supervisor's name and surname at supervisor's contact information phone numbers.)

Rights of research participants

If you have questions regarding your rights as a research participant, you may contact the SACAP REC Office on rec@sacap.edu.za.

AUTHORISATION

I, _____, agree to participate in this research project. I understand I will be provided with a copy of this consent form for my records.

For qualitative studies:

I consent to be a focus group member/ be interviewed by _____ for their study.

I consent to the focus group discussion/interview being audio-recorded, video-recorded or photographed.

For quantitative studies:

I, _____, agree to participate in this research project. I consent to completing the questionnaire/survey as carefully and as honestly as possible.

I confirm that I agree to the following: (Please circle the relevant options below)

I have read the above information and it is written in a language that I am comfortable with.	O Yes	O No
The research study explained to me, including the aim of the study, procedures, potential benefits and anticipated inconveniences of participation.	O Yes	O No
I understand what this study is about as explained in the participant information sheet.	O Yes	O No
I agree that I had sufficient opportunity to ask questions and have received satisfactory answers to all of my questions.	O Yes	O No
All issues related to privacy, and the confidentiality and use of the information have been explained.	O Yes	O No
I understand that I can volunteer to take part in the study, that I am free to withdraw at any time without consequence, and my data may be withdrawn prior to publication in a research report/manuscript/book chapter/conference proceedings.	O Yes	O No
I understand that I may refuse to answer any questions I would prefer not to.	O Yes	O No
I understand that the audio and transcripts/completed questionnaire/survey will not be seen or heard by any person at any time and will only be processed by the researcher.	O Yes	O No

I understand that my responses on the questionnaire/survey will be only looked at in relation to all other responses, and that feedback given to the organisation/company/institution will be in the form of group responses and not individual perceptions.	O Yes	O No
I agree that direct quotations from my interview/focus group/other activity may be used by the researcher in their research report/ manuscript/book chapter.	O Yes	O No
I agree that my participation will remain anonymous and my responses will remain confidential (my name and any personal information will not be used by the researcher) in their research report/manuscript/book chapter/conference proceedings), unless authorised by myself.	O Yes	O No
I understand that all audio-recordings/video-recordings/photographs will be destroyed after the research is complete.	O Yes	O No

Participant's Name and Surname (please print)	
Participant Signature	
Date	
I, the undersigned, attest that the information in the Consent Form was accurately explained to and understood by the participant named above or their legally acceptable representative and that consent to participate in this study was freely given by the participant named above or their legally acceptable representative.	
Researcher's Name and Surname (please print)	
Researcher's signature (confirming that participant has agreed to participate)	
Date	

DECLARATION BY THE RESEARCHER

- I/We the undersigned hereby declare that the information contained in the Participant Information Sheet was accurately explained to and apparently understood by the participant or the participant's legally acceptable representative and that consent to participate in this study was freely given by the participant or the participant's legally acceptable representative.

- I/We also declare that the participant has been encouraged to refuse to answer any questions the participant prefers not to answer,
- I/We also attest that the participant was given ample time to ask any questions, and
- I /We would like to select the following option:

	The information in the Participant Information Sheet was accurately explained and understood by the participant named above in a language in which the participant is fluent in.
	The information in the Participant Information Sheet was accurately explained to the participant named above with the assistance of an interpreter/ translator (who has signed a confidentiality/ non-disclosure agreement).

Full Name of Researcher	
Signature	
Date	

DECLARATION BY THE INTERPRETER/TRANSLATOR

- I, the undersigned, declare that the participant named above has been given ample time to ask any questions and have their questions answered about the study in a language in which the participant is fluent.
- I, the undersigned, also declare that I have fully explained the relevant details of this document to the participant named above, and believe that the participant has understood and has knowingly given their consent.

Full Name of Interpreter/Translator	
Signature	

ANNEXURE C:

LETTER OF APPROVAL

00 Month 2022

To Whom It May Concern:

RE: Research Ethics Approval

I hereby certify that the South African College of Applied Psychology (SACAP) Research Ethics Committee (REC) has approved the methodology and ethics of the following research:

Research Title	
Principle Researcher	
Research Supervisor	
Registration Number	00000000
Decision	Ethics approval for two years beginning 00/00/0000

It is the principal researcher's responsibility to ensure that all researchers associated with the project are aware of the conditions of approval.

The principle researcher is required to urgently notify the SACAP REC office (rec@sacap.edu.za) of:

- Any unforeseen changes or events that might affect the continued ethical acceptability of the study.
- Any adverse circumstances or complaints that arise during the undertaking of this research project.
- Any other unforeseen events or unexpected developments that have adverse effects on participants or merit notification, using the Adverse Event, Serious Adverse Event and Unanticipated Problems Incident Report Form.
- The project is terminated or suspended before the anticipated date of completion.

Ethical approval is given with the condition that:

- The SACAP REC research registration number is clearly indicated on all forms of communication with the intended research participants.
- The research is conducted strictly in accordance with the methods and procedures set out in the approved application.
- Any proposed changes into the approved protocol are communicated to the REC using the SACAP REC application form for amendment to approved study.
- The researcher(s) ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.
- Only de-identified research data is used for secondary research purposes in future, on condition that the research objectives are similar to those of the original research.
- Secondary use of identifiable research data requires additional ethical clearance. In this instance, researcher(s) are required to resubmit an ethics application for ethical clearance.

- Data collection is completed within the outlined ethical approval time-frame. Should the researcher(s) need to collect data after the approved time-frame the REC should be notified.
- Researcher(s) may be required to submit an annual report to the SACAP REC office, on or before the date of approval, for each year of approved study. In this instance, the SACAP REC will inform the student researcher and their supervisor to complete and submit a Research Annual Monitoring Form to the SACAP REC office.

The SACAP REC wishes you all the best with your research.

Sincerely,

_____

Dr Diana De Sousa

Chair of SACAP Research Ethics Committee