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#### Research Proposal and Ethics Checklist

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| --- | --- | --- | --- | --- |
| Faculty |  | | | |
| Department |  | | | |
| **Qualification for which student is registered** | |  | | |
| **Offering type** | **Full time registration** |  | **Part time registration** |  |
| **Prior qualification** | |  | | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Student Surname |  | | | | | **Student No.** | | | |  | | |
| First Names |  | | | | | Title (Mr, Ms) | | | |  | | |
| Postal Address |  | | | | | | | | | | | |
| **Tel (W)** | **Tel (H)** | | Cell | | **Fax** | | | | e-Mail | | | |
|  |  | |  | |  | | | |  | | | |
| **Provisional title of Dissertation/Thesis** | |  | | | | | | | **Full** | | |  |
| **Partial** | | |  |
| **Dissertation/Thesis** | | | |
| **Ethics Category** | **1** | | | **2** | | | | **3** | | | | |
|  | | |  | | | |  | | | | |
| **Research will result in a patent** | | | Yes |  | No | |  | | Unsure | |  | |

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| **Summary of the study (150-200 words)** |
| *[Please include a brief account of the nature and scope of the study, its purpose, and the research approach and methodology to be used.]* |

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| Supervisor | | | |  | | | | | | | |
| Position | | | |  | | | **Present Qualifications** | | |  | |
| **Tel (W)** | | | **Tel (H)** | | | Cell | | **Fax** | | e-Mail | |
|  | | |  | | |  | |  | |  | |
| Co-Supervisor | | | |  | | | | | | | |
| Position | | | |  | | | **Present Qualifications** | | |  | |
| **Tel (W)** | | | **Tel (H)** | | | Cell | | **Fax** | | e-Mail | |
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| ***N.B. Any subsequent change of supervisor/s needs to be approved by the FRC and noted at HDC.*** | | | | | | | | | | | |
| **Section A: Budget (Motivate below)** | | | | | | | | | | |
| **1.** | **Consumable Details**  (Motivate) | | | |  | | | | **R** | |
| **2.** | **Outside Specialist Services** (Motivate) | | | |  | | | | **R** | |
| **3.** | **Books/Journal/Documents** | | | |  | | | | **R** | |
| **4.** | **Library Charges** | | | |  | | | | **R** | |
| **5.** | **Equipment**  (Motivate) | | | |  | | | | **R** | |
| **6.** | | **Travel Costs**  (Motivate) | | |  | | | | **R** | |
| **7.** | | **Other**  (Motivate) | | |  | | | | **R** | |
|  | | **TOTAL** | | |  | | | | **R** | |

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| **Section B: To be typed in Arial 10-point font in single line spacing (expand sections to fit contents, but keep within the specified maximum lengths.)** |
| **1. Field of Research and Provisional Title** |
| Provide the field of research and the provisional title of the research project, with a brief description, if the title is not self-explanatory. |
| **2. Context of the Research** |
| This section provides the general information regarding the research that will be undertaken and should make it clear why the problem is worth addressing. It sketches the background and, where appropriate, should provide a brief theoretical framework within which the problem is to be addressed. (Maximum length: 250 words) |
| **3. Research Problem and Aims** |
| This section should either set out the specific question(s) to which the student hopes to find an answer, or the research problems which are to be solved or state any hypotheses to be tested. In the case of open-ended topics in the Humanities, outline the subject/area/field to be critically investigated. It should indicate clearly what the research intends to achieve and the intended products of the research. |
| **4. Literature Review** |
| This section includes a brief review of the main, seminal literature sources (mainly scholarly journals, but text books, media articles, Internet and other sources can be used). Use the Harvard Method of referencing**.** Show clearly how the literature is linked to your topic, the problem statement and the research objectives. (Maximum length: 500 words) |
| **5. Research Methodology** |
| In this section the student is advised to state the research paradigm; qualitative/quantitative or both. The research approach/strategy will also need to be stated.  e.g. Qualitative: Action research, developmental research, case study research, ethnographic research, grounded theory research, etc.  Quantitative: Mathematical, modelling and simulation, experimenting, testing, etc.  (Maximum length: 500 words) |
| **6. Plan of Research Activities** |
| Provide a summarised work plan for each year of the project giving information for each research activity per year, under the following headings:  Activity  Timeframes (target dates for the duration of the project) |
| **7. Structure of Dissertation / Thesis Chapters** |
| Briefly state the proposed content of each chapter in one clear sentence per chapter. |
| **8. Potential Outputs** |
| * Provide details on envisaged measurable outputs (e.g. publications, patents, students, etc.); * Expected national and/or international acclaim for the research and contribution of research outputs to building the knowledge base; * Exploitability of outputs, e.g. applicability to community development, improved products, processes, services in SA, region and/or continent; * Expected effects of research results. |
| **9. Key References** |
| List at least 20 key references which you have cited in the above sections using the Harvard referencing style (IEEE for Engineering students). |

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| **Section C: Ethics**  **Note:** Ethics requirements are project specific. Kindly ensure that you are aware of and have complied with all relevant ethics requirements. | | | | | | | | |
| **Please mark with an ‘X’ as appropriate in all 4 options.** | | | | | | | | |
| **Humans** | | | **Organisations** | | **Animals** | | **Environment** | |
| **Yes** | | **No** | **Yes** | **No** | **Yes** | **No** | **Yes** | **No** |
|  | | | | | | | | |
| **1.** | **Exempt from Ethics and Biosafety Research Committee Review (straightforward research without ethical problems)** | | | | | | |  |
| **2.** | **Expedited review (minimal risk to humans, animals or environment)** | | | | | | |  |
| **3.** | **Full Ethics and Biosafety Research Committee review recommended (possible risk to humans, animals, environment, or a sensitive research area)** | | | | | | |  |
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| **Please initial alongside if the project is to be registered as secret** |  |

**ETHICAL ISSUES CHECKLIST FOR RESEARCH APPROVAL**

To be completed by all researchers wishing to conduct research projects under the auspices of Durban University of Technology.

1. Use the Durban University of Technology’s Research Ethics Policy and Guidelines to ensure that ethical issues have been identified and addressed in the most appropriate manner, before finalising and submitting your research proposal.

2. Answer all questions by indicating your response in the relevant cell by means of an ‘X’.

3. Type the motivations/further explanations where required in the cell headed COMMENTS.

4. Attach Addendums/Annexures (if any) and label them clearly and in a logical order.

| **NO.** | **QUESTION** | **YES** | **NO** | | | **N/A** |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***DECEPTION*** |  |  | | |  |
| 1. | Is deception of any kind to be used? If so provide a motivation for acceptability. |  |  | | |  |
|  | **COMMENTS** |  |  | | |  |
|  | ***CONFIDENTIALITY*** |  |  | | |  |
| 2. | Does the data collection process involve access to confidential personal data (including access to data for purposes other than this particular research project) without prior consent of participants? If yes, motivate the necessity. |  |  | | |  |
|  | **COMMENTS** |  |  | | |  |
| 3. | Will the data be collected and disseminated in a manner that will ensure confidentiality of the data and the identity of the participants? Explain your answer. |  |  | | |  |
|  | **COMMENTS** |  |  | | |  |
| 4. | Will the materials obtained be stored and ultimately disposed of in a manner that will ensure confidentiality of the participants? If no, explain. If yes specify how long the confidential data will be retained after the study and how it will be disposed of. |  |  | | |  |
|  | **COMMENTS** |  |  | | |  |
| 5. | Will the research involve access to data banks that are subject to privacy legislation? If yes, specify and explain the necessity. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
|  | ***RECRUITMENT*** |  |  | |  | |
| 6. | Does recruitment involve direct personal approach from the researchers to the potential participants? Explain the recruitment process. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 7. | Are participants linked to the researcher in a particular relationship, for example employees, students, family? If yes, specify how. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 8. | If yes to 7, is there any pressure from researchers or others that might influence the potential participants to enrol? Elaborate. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 9. | Does recruitment involve the circulation/publication of an advertisement, circular, letter etc.? Specify. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 10. | Will participants receive any financial or other benefits as a result of participation? If yes, explain the nature of the reward, and safeguards. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 11. | Is the research targeting any particular ethnic or community group? If yes, motivate why it is necessary/acceptable. If you have not consulted a representative of this group, give a reason. In addition, explain any consultative processes, identifying participants. Should consultation not take place, provide a motivation. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
|  | ***INFORMED CONSENT*** |  |  | |  | |
| 12. | Does the research fulfil the criteria for informed consent? [See guidelines]. If yes, no further answer is needed. If no, specify how and why. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 13. | Does consent need to be obtained from special and vulnerable groups (see guidelines). If yes, describe the nature of the group and the procedures used to obtain permission. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 14. | Will a Letter of Information be provided to the participants and written consent be obtained? If no, explain. If yes, attach copies to proposal. In the case of participants for whom English is not the preferred language, explain what arrangements will be made to ensure comprehension of the Letter of Information, Informed Consent Form and other questionnaires/documents. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 15. | Will results of the study be made available to those interested? If no, explain why. If yes, explain how. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
|  | ***RISKS TO PARTICIPANTS*** |  |  | |  | |
| 16. | Will participants be asked to perform any acts or make statements which might be expected to cause discomfort, compromise them, diminish self-esteem or cause them to experience embarrassment or regret? If yes, explain. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 17. | Might any aspect of your study reasonably be expected to place the participant at risk of criminal or civil liability? If yes, explain. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 18. | Might any aspect of your study reasonably be expected to place the participant at risk of damage to their financial standing or social standing or employability? If yes, explain. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 19. | Does the research involve any questions, stimuli, tasks, investigations or procedures which may be experienced by participants as stressful, anxiety producing, noxious, aversive or unpleasant during or after the research procedures? If yes, explain. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
|  | ***BENEFITS*** |  |  | |  | |
| 20. | Is this research expected to benefit the participants directly or indirectly? Explain any such benefits. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 21. | Does the researcher expect to obtain any direct or indirect financial or other benefits (not including a qualification) from conducting the research? If yes, explain. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
|  | ***SPONSORS: INTERESTS AND INDEMNITY*** |  |  |  | | |
| 22. | Will this research be undertaken on the behalf of or at the request of a pharmaceutical company, or other commercial entity or any other sponsor? If yes, identify the entity. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 23. | If yes to 22, will that entity undertake in writing to abide by Durban University of Technology’s Research Committee’s Research Ethics Policy and Guidelines? If yes, no further explanation is required. If no, explain. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 24. | If yes to 23, will that entity undertake in writing to indemnify the institution and the researchers? If yes, no further explanation is required. If no, explain. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 25. | Does permission need to be obtained in terms of the location of the study? If yes, indicate how permission is to be obtained. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 26. | Does the researcher have indemnity cover relating to research activities? If yes, specify. If no, explain why not. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 27. | Does the researcher have any affiliation with, or financial involvement in, any organisation or entity with direct or indirect interests in the subject matter or materials of this research? If yes, specify. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |

Please note: Questions 28-34 deal with research in clinical settings. If your proposed project does not involve clinical research, please answer these items with ‘No’.

| **NO.** | **QUESTION** | **YES** | **NO** | | | **N/A** |
| --- | --- | --- | --- | --- | --- | --- |
| 28. | Will the research involve the use of no-treatment or placebo control conditions? If yes, explain how the participant’s interests will be protected. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 29. | Does the protocol require any physically invasive, or potentially harmful procedures [e.g. drug administration, needle insertion, rectal probe, pharyngeal foreign body, electrical or electromagnetic stimulation, etc.?] If yes, outline below the procedures and what safety precautions will be used. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 30. | Will any treatment be used with potentially unpleasant or harmful side effects? If yes, explain the nature of the side-effects and how they will be minimised. |  |  | |  | |
|  | **COMMENTS** |  |  | |  | |
| 31. | Will any samples of body fluid or body tissues be required specifically for the research which would not be required in the case of ordinary treatment? If yes, explain and list such procedures and techniques. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 32. | Are any drugs/devices to be administered? If yes, list any drugs/devices to be used and their approved status. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
|  | ***GENETIC CONSIDERATIONS*** |  |  |  | | |
| 33. | Will participants be fingerprinted or DNA "fingerprinted"? If yes, motivate why necessary and state how such is to be managed and controlled. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 34. | Does the project involve genetic research e.g. somatic cell gene therapy, DNA techniques, etc.? If yes, list the procedures involved |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |
| 35. | Are there any project-specific ethical issues not covered by the above questions? If yes, please explain. |  |  |  | | |
|  | **COMMENTS** |  |  |  | | |

*N.B. For ethical clearance for categories 2 and 3, kindly refer to the IREC web page:* <http://www.dut.ac.za/research/institutional_research_ethics>.

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| Please ensure that you have completed, in every respect, all of the following prior to submission of your Research Proposal. Students are advised to use the electronic version of the PG 2a form which is available from the DUT website or from the Faculty Officer.  Please complete **ALL SECTIONS**, using Arial 10-point font, single line spacing in MS Word. Where sections are not applicable please adapt the form accordingly.   1. Proof-read your hard copy, ensure correct referencing, edit rigorously and then submit to your Supervisor(s). 2. Number all pages and show correct author source references both in the text proper and in the References at the end using the Harvard referencing method (IEEE for Engineering students). 3. Complete the Ethics Section, the Work Plan and the Budget correctly in every respect and again engage in a thorough spell check prior to submission to your Supervisor/Co- Supervisor(s). 4. Please note carefully the closing dates, as outlined in the Academic Calendar, contained in the Rule Book for Students, the registration dates as well the expected duration for the completion of the project. 5. It is imperative that you adhere to your specified guidelines for completion of your research and institutional/faculty deadlines as published on the DUT website. |

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| D**eclarations** |
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| **Student Declaration** |
| **I, the undersigned, certify that:**   * I am familiar with the rules regulating higher qualifications at Durban University of Technology, and understand the seriousness with which DUT will deal with violations of ethical practice in my research. * Where I have used the work of others this has been correctly referenced in the proposal and again referenced in the bibliography. Any research of a similar nature that has been used in the development of my research project is also referenced. * This project has not been submitted to any other educational institution for the purpose of a qualification. * All subsidy-earning outputs (artefacts and publications) from postgraduate studies will be in accordance with the Intellectual Property Policy of the Durban University of Technology. * Where patents are developed under the supervision of the Durban University of Technology involving institutional expenditure, such patents will be regarded as joint property entitling the Durban University of Technology to its share, subject to the Durban University of Technology’s policy on the Management and Commercialisation of Intellectual Property. * I understand that I am expected to publish an article based on my research results. * I understand that plagiarism is wrong, and incurs severe penalties.   I HEREBY DECLARE THAT THE ABOVE FACTS ARE CORRECT.  **Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  (Student) |

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| **Supervisor Declaration** |
| 1. I approve the student’s provisional title of research project. 2. I acknowledge that the topic is researchable and the student has the potential to complete the dissertation in the suggested time frame allowed. 3. I am satisfied with and approve the research proposal; 4. \*I approve of the Co-Supervisor(s) proposed by the HoD and student. 5. I have checked that the student has complied with all the instructions outlined in the Postgraduate Student Guidelines and those appended to the Research Proposal,and confirm that the Research Proposal is ready for submission to the FRC. 6. I accept responsibility to advise and guide the student. 7. I accept the appointment of Supervisor.   *\*delete and sign alongside if not applicable*  **Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  (Supervisor)  **Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  (Co-Supervisor) |

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| **Head of Department Declaration** |
| I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Full name of Head of Department), have read the research proposal and I hereby submit it to the FRC for approval.  **Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  (HoD) |
| The abovementioned proposal (including the ethical considerations) has been considered and approved by the Faculty Research Committee.  **Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  (Chairperson: Faculty Research Committee) |

***N.B. The attached checklist (Checklist and Evaluation of Research Proposal) must be completed and signed by the departmental reviewer(s) and HoD before the proposal is approved by the FRC.***

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Checklist and Evaluation of Research Proposal | | | | | | | |
| Reviewer / Review Panel Chair | | |  | | | Title |  |
| **Tel (W)** | | **Tel (H)** | Cell | **Fax** | | | e-Mail |
|  | |  |  |  | | |  |
|  | | | | **Yes** | **No** | Unclear | **Comment** |
| **1.** | **Research Topic** | | |  |  |  |  |
| 1.1 | Is the research problem/question clearly stated? | | |  |  |  |  |
| 1.2 | Is the problem/question researchable? | | |  |  |  |  |
| 1.3 | Is the topic relevant? | | |  |  |  |  |
| 1.4 | Is the scope appropriate for the qualification? | | |  |  |  |  |
| 1.5 | Is the research appropriately delimited? | | |  |  |  |  |
| 1.6 | Are the research aims clear? | | |  |  |  |  |
| 1.7 | Are the assumptions stated (if any)? | | |  |  |  |  |
| 1.8 | Is the terminology adequately defined? | | |  |  |  |  |
| **2.** | **Literature** | | |  |  |  |  |
| 2.1 | Is the literature relevant to the problem? | | |  |  |  |  |
| 2.2 | Has an adequate conceptual framework been developed? | | |  |  |  |  |
| 2.3 | Is the literature current, apart from seminal works in the field? | | |  |  |  |  |
| 2.4 | Has the relationship between the research topic and previous research been outlined? | | |  |  |  |  |
| 2.5 | Are textual referencing and bibliographic citation correct and consistent? | | |  |  |  |  |
| **3.** | **Methodology** | | |  |  |  |  |
| 3.1 | Does the research design address the research problems/questions? | | |  |  |  |  |
| 3.2 | Are the data collection/production methods appropriate? | | |  |  |  |  |
| 3.3 | Are the data analysis methods appropriate? | | |  |  |  |  |
| 3.4 | Have ethical considerations been addressed? 1 | | |  |  |  |  |
| **4.** | **General** | | |  |  |  |  |
| 4.1 | Is the proposal generally free of language/typographical errors? | | |  |  |  |  |
| 4.2 | Is the proposal free of plagiarism? 2 | | |  |  |  |  |
| 4.3 | Is the research manageable in terms of timeframe? | | |  |  |  |  |
| 4.4 | Is the budget allocated realistic? | | |  |  |  |  |
| **5.** | **Funding** | | |  |  |  |  |
| 5.1 | Is the proposal financially viable? | | |  |  |  |  |

1 Indicate whether ethical clearance through a research ethics committee is required.

2 In the case of plagiarism, the proposal should be returned to the candidate with a warning. The candidate will need to re-submit (see Policy on Plagiarism).

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| **Recommendations** |  |

**Signed (Reviewer):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signed (HoD):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Date of Approval by FRC** | | | | | |  | | | |
|  | | | | | | | | | |
| **Routing** | **Student** |  | **Supervisor/s** |  | **HoD** | |  | **FRC** |  |