

Dear Researcher

We kindly request that you take a moment to review the following four important points:

1. Please find below a template created by the Faculty Ethics Screening Committee (FESC). This template will be used to generate the "changes requested" email that you will receive after your initial ethics application submission.
2. Please note that, after the first submission, 99% of ethics applications are typically returned for minor changes. However, in some cases, more significant changes may be required, which could result in delays.
3. To help ensure a smooth process and minimise the need for major changes, we encourage you to carefully review and apply the information provided below. This will support you in submitting a thorough and complete ethics application.
4. The "changes requested" list below is designed to cover a broad range of research areas, so some points may not apply to your specific project. We trust you will use your best judgement to determine which changes requested are applicable to your research.

Thank you for taking the time to submit your application for ethics clearance. The Faculty Ethics Screening Committee (FESC) has been appointed by the Research Ethics Committee: Social, Behavioural, and Education Research (REC: SBE) to ensure that your application meets all the necessary requirements.

To help us process your application efficiently, we kindly ask that you:

- Copy the requested changes listed below into a Microsoft Word document and mark "Done" next to each change you've completed. Please avoid using the "comment box" feature, as these comments are not visible in the PDF version that we download from the Infonetica system.
- For any changes that are not fully addressed, please mark them as "Not done" or "Partially done," and provide a brief explanation of why the change could not be made or was only partially completed. Providing this context helps us understand your situation and ensures that your application can move forward smoothly.
- Highlight the words "Done" or "Not done" in yellow, and upload this document under Question 9.2 of the application form before resubmitting your application.
- Once you and your supervisor have resubmitted the application, it will take approximately five working days for one of our academic FESC members to review it.

HOW TO EDIT YOUR APPLICATION

- **Steps to follow:**

- To begin, please click [HERE](#) to download the REC manual on how to revise and edit your online application form. You may also find the [instructional video](#) available under the Podcasts section on the REC webpage helpful.
- Please make all the necessary changes to your online application form and update any supporting documents, such as your research proposal, recruitment materials, consent forms, and data collection documents.
- Kindly remove any outdated supporting documents affected by these changes and replace them with the updated versions.
- You should now be able to make the required changes to your application form. If you encounter any issues, you may need to [unlock your application form](#) first. Once unlocked, please proceed with making the requested changes and then [sign your application form](#) (refer to number 6 for more details).
- After you've submitted your application form, your supervisor will be notified and will need to sign it as well. We kindly suggest following up with your supervisor to ensure they've signed the form. If you experience any technical difficulties accessing or editing your form, please don't hesitate to reach out to Ms Jennifer de Beer at jad@sun.ac.za.

- Once your supervisor has signed the form, I will receive it and will send you a confirmation email within 48 hours. If you do not receive this confirmation, please [contact](#) me as soon as possible.
- It will then take up to **five working days** for me to review your resubmitted application. If all necessary changes have been made, I will be able to submit your application to one of the academic FESC members.
- It will then take up to **five working days** for the academic FESC member to review your resubmitted application. If the academic FESC member does not request any additional changes, I will be able to submit your application to the REC.
- After I've submitted your application to the REC, you will soon receive an email confirming that you may start your data collection. Please note that this *applies only to low-risk applications*. If your application is submitted to the REC as *medium-risk*, you will need to wait for the REC to confirm via email you can start with your data collection.

GRAMMAR, SPELLING & PUNCTUATION

- Please be aware that our FESC members are likely to reject an ethics application if it hasn't been carefully proofread for grammar, punctuation, abbreviations/acronyms, sentence construction, and spelling. This review should be applied to your application form, as well as all supporting documents – i.e. your research proposal, consent form, application letter, and data collection materials. To help ensure your documents are polished and professional, we recommend using the free application "Grammarly". Here's how you can use it:
 - 1) Download and install [Grammarly](#) on your desktop or laptop.
 - 2) Sign up for a free account.
 - 3) Start a new document by either clicking "New" or "Upload".
 - 4) If you click "New," you can copy and paste your text directly into Grammarly.
 - 5) If you click "Upload," you can upload any MS Word document from your device.
 - 6) Grammarly will automatically check your text and suggest improvements.
 - 7) If your document is in PDF format, you can use the "Save As" option to convert it to an MS Word document, then follow step 3. We hope you find this tool helpful in preparing your application for resubmission.

SECTION 2 [Project information]

- **Question 2.2:**
 - Please provide a summary of the background and rationale for your research project. In particular, include details about your research design and methodology (i.e. a brief summary of your responses to Questions 5.2 and 5.3).
- **Question 2.3:**
 - The REC: SBE understands an "interview" to be a one-on-one discussion between a researcher and a participant, typically guided by a list of semi-structured, unstructured, or structured questions, with responses often recorded verbally. Interviews allow for a more interactive and in-depth exploration of topics. In contrast, a "survey" or "questionnaire" refers to a set of written questions administered to individuals to gather information, which can be done in person, by mail, over the phone, or online. Surveys or questionnaires are more standardised, requesting the same data from a larger group. Please ensure the correct terminology is used throughout your application form, research proposal, and supporting documents. Additionally, select the appropriate option in response to Question 7.2.
 - The Research Ethics Committee (REC) requires the main body of your research proposal to be at least 3 full A4 pages in length, excluding the cover page, table of contents, and bibliography. To meet this requirement, please ensure you include comprehensive details such as the problem statement, research aims and objectives, scope and limitations, proposed study approach and methodology, project timeline, and report structure.
 - **NB - Applicable to all researchers:** The REC requires that research proposals not exceed 7,500 words, excluding the table of contents and references/bibliography. Proposals exceeding this limit will unfortunately be returned by the REC to the researcher. When deciding which parts to include or omit, kindly ensure that your research methodology is described in detail.
 - **NB - Applicable to all researchers:** Please address [these seven questions](#) by including your responses to each question in both the methodology section of your research proposal, and in response to Question 5.3 of the application form.

- **NB - Applicable to all researchers:** Please include a detailed section or chapter in your research proposal dedicated to the ethical considerations of your project, referencing the information provided in [THIS](#) example.
- Kindly add a "Table of Contents" at the beginning of your research proposal.
- In the methodology section, please include details regarding the expected or minimum sample size, as the participating company will need to know how many employees may be approached.
- Please incorporate all the information in your amended consent form (refer to Questions 5.16 and/or 5.17), and in your amended responses to Questions 5.2 and 5.3 of the application form, into the methodology section of your research proposal.
- Kindly review and, if necessary, update the information in your research proposal and supporting documents to ensure consistency with your amended responses in the application form.
- Please state here, as well as in response to Question 9.2, that this application is considered a "phased" application, as the project will be executed in various phases, with data collected in the first phase influencing subsequent phases.
- **Question 2.4:**
 - **Question 2.4.1:** Please indicate whether the funder has any specific requirements regarding the ethics review and approval of your project. If there are any special requirements, kindly list them.
- **Question 2.6:** Based on your feedback in response to Question 5.2, it appears that you may have had preliminary discussions with prospective participants (which is perfectly acceptable). If so, please select the "yes" option for this question.
 - **Question 2.6.1:** To clarify, please also state that no formal recruitment has taken place and that no data has been collected for this research project as of yet.

SECTION 3 [SU Principal Investigator (PI/applicant details)]

- **Question 3.4:**
 - The Infonetica system usually auto-populates this section with information from the SU database. However, it seems this didn't happen with your application. To resolve this, please click [HERE](#) and follow the steps to update your personal details.
 - If you would like to change your email address, as displayed under Question 3.4, please click [HERE](#) and follow the steps to update your email address.
- **Question 3.6:** If your SU-affiliated supervisor would like to change their email address, as displayed under Question 3.6, please request them to click [HERE](#) and follow the steps to update their email address.

SECTION 3 [Research assistants / Field workers]

- **Question 3.8:** The FESC members strongly advise that you select the "YES" option for this question, and that you make use of [Template 9](#) as a base for creating a confidentiality/non-disclosure agreement to be signed by the field workers. Kindly complete all the relevant sections in [Template 9](#), and then upload the document under this section of the application form.

SECTION 3 [Conflict of interest statement]

- **Question 3.9:**
 - An NDA is *not* necessary unless the *participating institution* initiates such a request (i.e. if the institution does *not* initiate such a request, then the onus is not on you to do so). However, if the participating institution requires you to sign a non-disclosure agreement, I would strongly advise you to contact the [Division for Research Development \(DRD\)](#) via email (contracts@sun.ac.za) to ensure that the correct legal processes are followed.

SECTION 4 [Does this project require ethics review?]

- **Question 4.1 - Option 1:** Please select the tick box for this option [*I will collect data from (or interact with) one or more individuals through interviews, surveys, focus groups, observations, video recording, etc.*].

- **Question 4.1 - Option 2:** Seeing as the data you'll be collecting from the ___ is with regards to ___, i.e. the data is related to human beings, as opposed to (for example) soil samples or finances, please select the tick box for this option [*I need access to confidential data or information (or archival data, contact lists or reports), of an organisation (or institution or company) where the data is not available in the public domain (i.e. not available to the general public). The data can be linked to individuals (or clients or employees, etc.)*].
- **Question 4.1 - Option 2:** You've selected Option 2. An NDA is *not* necessary unless the *participating institution* initiates such a request (i.e. if the institution does *not* initiate such a request, then the onus is not on you to do so). However, if the participating institution requires you to sign a non-disclosure agreement, I would strongly advise you to contact the [Division for Research Development \(DRD\)](#) via email (contracts@sun.ac.za) to ensure that the correct legal processes are followed.
- **Question 4.1 - Option 3:** Seeing as the data you'll be collecting from the ___ is indeed linked to individuals (even though it doesn't include any personal identifiers), please de-select (or unselect) the tick box for this option [*I am collaborating with an institution (or organisation or company) that is giving me access to physical data (or financial data) that is NOT linked to individuals or any personal accounts (or information). I have been granted access to this data by an authorised representative of the organisation (or institution or company)*].
- **Question 4.1 - Option 3:** You've selected Option 3. An NDA is *not* necessary unless the *participating institution* initiates such a request (i.e. if the institution does *not* initiate such a request, then the onus is not on you to do so). However, if the participating institution requires you to sign a non-disclosure agreement, I would strongly advise you to contact the [Division for Research Development \(DRD\)](#) via email (contracts@sun.ac.za) to ensure that the correct legal processes are followed.
- **Question 4.1 - Option 4:** Please select the tick box for this option [*I will have access to a database/archive that holds information linked to personal identifiers (e.g. names, ID numbers, account numbers, student numbers); AND/OR the database contains coded information but I have access to the codes that link the information to personal identifiers*].
- **Question 4.1 - Option 4:** You've selected Option 4. An NDA is *not* necessary unless the *participating institution* initiates such a request (i.e. if the institution does *not* initiate such a request, then the onus is not on you to do so). However, if the participating institution requires you to sign a non-disclosure agreement, I would strongly advise you to contact the [Division for Research Development \(DRD\)](#) via email (contracts@sun.ac.za) to ensure that the correct legal processes are followed.
- **Question 4.1 - Option 5:** Please select the tick box for this option [*I will gather information/data that is available in the public domain, but that could be regarded as sensitive or potentially sensitive information (e.g. you will collect data via social media networks or public profiles such as Twitter, LinkedIn, Facebook)*].
- **Question 4.2:** Please incorporate your response to this question in your research proposal.

SECTION 5 [*Participants requiring special/careful consideration by the REC*]

- **Question 5.1:**
 - Please select the tick box for the following category: *Stellenbosch University staff, students, or alumni*
 - Please select the tick box for the following category: *Persons functioning or operating in dependent or unequal relationships that could influence their voluntary participation in this study*
 - **Obtaining Institutional Permission from Stellenbosch University:** If you plan on inviting students/staff/alumni from Stellenbosch University to participate in your research, it is vital that you apply as soon as possible for institutional permission (click [HERE](#)) at Stellenbosch University's [Division for Information Governance](#) (IG), seeing as **the approval process takes approximately 12 weeks during peak times.**
NB: This is the case merely as a result of the fact that the prospective participants are staff/students at SU – so even if your data collection (i.e. surveys/interviews etc) has nothing whatsoever to do with SU, or its processes, you will unfortunately still need to submit a separate application for institutional permission. Submitting an ethics application is *not* a simultaneous application for institutional permission – you will need to apply *separately* for SU institutional permission via the IG Service Desk: <http://www.sun.ac.za/permission>. It is important to note that a letter of institutional permission will need to be obtained from the IG *before* you can start with your data collection (i.e. before you invite students and/or staff to participate in your research). You can direct urgent queries about *institutional permission* to permission@sun.ac.za, and urgent queries about *privacy* to privacy@sun.ac.za. For more information about institutional permission, or to access general information in this regard, please visit www.sun.ac.za/paia and/or www.sun.ac.za/privacy.

NB: The ethics application form will require you to submit proof of institutional permission clearance and, in turn, the institutional permission application form will require you to submit proof of ethics clearance. When completing your ethics application form, you can upload a screenshot of the email that you've received from the Division for Information Governance, to prove that you have indeed applied for institutional permission. Alternatively, when completing your institutional permission application form, you can include your ethics application reference number (e.g. ING-2023-29040), to prove that you have indeed applied for ethics clearance. By doing it this way, it will not affect the outcome of one application process if, for some reason, the other application process is delayed.

- **Question 5.1.3:** Once you have applied to the IG Service Desk, you'll receive an email from them confirming that you have started the application process. Please upload a copy of the email that you have received from the IG Service Desk. The email should look similar to [THIS](#) document.

SECTION 5 [Participant recruitment and selection]

• **Question 5.2:**

- Please describe in detail what the specific inclusion/exclusion criteria for prospective participants are – e.g. what would the screening questions be to ascertain whether or not a prospective participant qualifies to participate in your research (perhaps they need to have a certain level of education, or a certain number of years of experience in a certain industry)?
- Kindly include a brief summary (one or two sentences) of the inclusion/exclusion criteria:
 - in section 2 ("why do we invite you to participate") of [Template 1](#) (written consent form for *in-person* interviews)
 - in section 2 ("why do we invite you to participate") of [Template 2](#) (electronic consent form for *online* interviews)
 - incorporate the inclusion/exclusion criteria in [Template 3](#) (electronic consent form for surveys/questionnaires)
- Kindly include all your qualifiers (or screening questions) at the top/start of your data collection (interview/survey) documents, so that only qualified individuals participate in your research.
- Kindly include your full response to this question in the methodology section of your research proposal.
- Please do not interview any participants under the age of 18, and please state this in both your ethics application form, as well as in your research proposal.

• **Question 5.3:**

- Thank you for including valuable information in your response to this question. I see that you have already responded to most of the questions, but kindly refer to [THESE](#) seven questions and please include a response to *all seven questions* in your response to Question 5.3. As such, your response to Question 5.3 will most likely be quite lengthy.
- Kindly include your full response to this question in the methodology section of your research proposal.

• **Question 5.4:**

- Seeing as you will be inviting participants to participate in your research by means of an email, advertisement, social media post or flyer/poster, please select the "yes" option in response to this question.
- Kindly write the recruitment letter in the 1st person, e.g. "I am a Masters student at the Stellenbosch University, and I am currently conducting research for my Masters project..." etc.
- Kindly cap the length of your recruitment letter to fit one A4 page.
- Kindly add the following sentence to your recruitment letter: "The Research Ethics Committee: Social, Behavioural and Education Research at Stellenbosch University has approved this study (project ID: ING-2024-____)."
- Kindly include the following information in your recruitment email:
 - a brief summary of your research.
 - a brief summary (one or two sentences) of why the participants are being invited to participate in your research (i.e. what inclusion/exclusion criteria do they need to adhere to).

- a brief summary (one or two sentences) of how you intend to collect the data, e.g. in-person interviews, online interviews, surveys, etc.
- a brief summary (one or two sentences) of what type of information the participants will be requested to share with you (e.g. personal opinions, information related to their company/employer, etc).
- a sentence or two about the consent form that the participants will need to complete before they may participate in your research (specify if they will have an option between completing a written and/or electronic consent form).
- If your recruitment material is in the form of a letter (to be sent as an attachment), please include the latest [Stellenbosch University logo](#) at the top of the recruitment letter (you are welcome to download the [Snipping Tool application](#) if you wish to capture an image of the logo for inclusion at the top of your recruitment letter).
- You've mentioned that participants are cautioned to not "reply all" on the email sent to request participation in the research, and that this is to ensure that the participants' identity is not revealed to other participants. Please rather make use of the Blind Carbon Copy (BCC) field in the email invitation you'll send to the prospective participants.

SECTION 5 [*Informed consent process*]

- **Question 5.11:** Even though no personal or organizational information will be gathered, and even though the data will be anonymous and no opinion could be linked to personal or organizational information, obtaining consent from the prospective participants is vital *before* you can conduct any interviews/surveys/questionnaires/focus groups, etc. A consent form needs to be signed between the researcher and the prospective participants for the researcher to obtain their voluntary consent to take part in the research study, *before* data is collected from them. As such, please select the tick box for the appropriate category:
 - Please select the tick box for the 1st option: *I will obtain written consent from prospective participants/respondents (e.g. my participants will be asked to sign the informed consent form before data collection commences)*
 - Please select the tick box for the 2nd option: *I will obtain consent from participants/respondents by means of an electronic consent process (e.g. for electronic surveys – participants will click a tick box or link to confirm consent)*
 - Please select the tick box for the 3rd option: *I will use a verbal informed consent process (Note that a verbal consent process can only be approved with sufficient justification as to why a written or electronic consent process is not appropriate)*
 - **Question 5.11a:** Even though your research is completely anonymous, it would (under normal circumstances) be a requirement for you to ask prospective participants to complete a written or electronic consent form. In this case, seeing as you're inviting commuters to participate in your research and you're not sure of their level of literacy, it will indeed be acceptable to make use of verbal consent, as opposed to written consent.
- **Question 5.13:** Please select the "YES" option for this question (*will participants be allowed to refuse to answer questions during the data collection process*).
- **Question 5.14:** Please select the "YES" option for this question (*will participants be given the right to withdraw from participating in the study at any given time during the project*).
 - **Question 5.14.1:**
 - Please state that participants will have the right to withdraw from the interview or survey *at any time, either before or during the process*, without any obligation or pressure to continue.
 - Please state that you will disregard/destroy any responses (e.g. written notes or electronic copies related to their responses) if a participant decides to withdraw from the interview or survey at any time, either before or during the process.
 - This is entirely up to you, but what works quite well is if you include an option at the top/start of your survey/questionnaire, where participants can insert their own six-digit ID code (they can decide which numbers to use). If they decide to withdraw from the study after having completed/submitted the survey (of course within a reasonable time frame), they will have to

option to contact you and provide their own ID code, with a request that you remove all data linked to their own ID code.

- Kindly include your full response to this question in 1) your research proposal, and 2) your consent form.

SECTION 5 [*Informed consent form(s)*]

• Question 5.16 (written consent):

- You will need to complete a *written* consent form if you are going to 1) conduct *face-to-face or in-person* interviews, or if you are going to 2) administer *face-to-face or in-person* surveys/questionnaires.
- Thank you for uploading your written consent form, but please make use of one of the updated [REC-approved templates](#) to complete your written consent form.
- Kindly follow the instructions in the block at the top of the written consent form template:
 - please include the latest [Stellenbosch University logo](#) at the top of your consent form (you are welcome to download the [Snipping Tool application](#) if you wish to capture an image of the logo for inclusion at the top of your consent form).
 - add detailed information below each of the sub-section headings before uploading your written consent form to Question 5.16 of your application,
 - do not delete or remove any of the sub-headings (i.e. who is conducting this study, why do we invite you to participate, what is this research project about, etc) before uploading your written consent form,
 - delete the instruction box, at the top, once you've completed your written consent form.

• Question 5.17 (electronic consent):

- You will need to complete an *electronic* consent form if you are going to 1) conduct *online* interviews, or if you are going to 2) administer *online* surveys/questionnaires.
- Please complete two separate electronic consent forms if your data collection methods include both online interviews *and* online surveys/questionnaires. Upload one electronic consent form under Question 5.17, and submit the second electronic consent form under Question 9.2 ("*additional information and documents*").
- Thank you for uploading your electronic consent form, but please make use of one of the updated [REC-approved templates](#) to complete your electronic consent form. You'll notice that there are two different electronic consent forms – one form for online interviews (Template 2) and another form for online surveys/questionnaires (Template 3).
- Kindly follow the instructions in the block at the top of the electronic consent form template:
 - please include the latest [Stellenbosch University logo](#) at the top of your consent form (you are welcome to download the [Snipping Tool application](#) if you wish to capture an image of the logo for inclusion at the top of your consent form).
 - add detailed information below each of the sub-section headings before uploading the electronic consent form to Question 5.17 of your application,
 - do not delete or remove any of the sub-headings (i.e. this study aims to, you are being asked to participate because, if you agree to participate you will be requested to, etc) before uploading your electronic consent form,
 - delete the instruction box, at the top, once you've completed your electronic consent form.
- I would suggest that (it is entirely up to you, though) you copy and paste your questionnaire/survey questions directly after (or just below) your electronic consent form, so that your electronic consent form and your questionnaire/survey questions become one combined document. If you do it this way, the prospective participant can view the electronic consent form, "sign" it with an X, and then start with the questionnaire/survey questions.

- **Question 5.16 / 5.17:** You have already included some of the following information, but kindly provide a bit more detail regarding the confidentiality of prospective participants – below are a few examples of the type of information required, but please include only the applicable examples (or variations thereof) in your consent form:

- The information gathered during this interview/questionnaire will only be used for research purposes, specifically related to my thesis.
 - You will not be requested to provide any personal information during the interview/questionnaire, which can identify you as an individual.
 - Your identity will not be disclosed or published. The only form of personal data required is your ____ (e.g. their job title and area of expertise – however, to protect the prospective participant's privacy, their names and the name of their employer or the company they work for will not be disclosed).
 - Your name will be replaced by ID codes in my research report.
 - My research report will contain no direct quotes or links to any personal identifiers.
 - Any form of correspondence between you and the investigators will be kept confidential, and only my supervisor and I will have access to this information.
 - The responses obtained during this interview/questionnaire will be assigned a unique reference number, which will be used to identify data in the thesis itself.
- **Question 5.20:** Seeing as English might be the second or third language for some of your prospective participants, it might be worthwhile to also complete [Template 7 or Template 8](#) and to hand over a copy of both the English and the Xhosa consent forms to the prospective participants so that they have a choice regarding which one they'd like to sign. You can add information underneath each of the sub-sections in Template 7 or 8, but it is important that you please do *not* delete any of the sub-sections in Template 7 or 8. Once all the missing sections (marked in yellow) in Template 7 or 8 have been completed (in English), please upload your amended consent form under Question 5 of this section of the application form. PS: If you're planning to give the consent form to prospective participants during a *face-to-face interview*, then [Template 7](#) would be more suitable. If you're planning to *email* the consent form to prospective participants, or if you want to incorporate your consent form as part of your questionnaire/survey, then [Template 8](#) would be more suitable.

SECTION 5 [Assessment of the potential risks and benefits]

- **Question 5.21:** If you have selected Option 1 in response to Question 4.1, please select the "minimal inconvenience of time commitment or travel" option in response to this question.
- **Question 5.22:**
 - **Question 5.22.1:**
 - Please specify in *as much* detail as possible the steps you'll put in place to ensure 1) the safety of the participants you'll be interviewing, and 2) your own safety.
 - State if the incidence of crime in the ____ community or area (*stipulate the community or area where you'll be collecting the data from*) is negligible and, if not, what exact steps you plan to put into place to ensure the safety of both yourself and the prospective participants.
 - State if you will be working in an area that you are unfamiliar with, or where there might be challenges based on cultural or language differences, and what exact steps you plan to put into place to ensure the safety of both yourself and the prospective participants.

SECTION 6 [Collecting personal information]

- **Question 6.2:**
 - **Question 6.2.1:** Please select the "Add Another" option (marked in green) and then also select *all* of the other applicable options in response to the type of personal information will you have access to during your study:
 - Background information (*this option is often selected by researchers*)
 - Biometric information
 - Contact details (*this option is often selected by researchers*)
 - Correspondance
 - Demographic information
 - Financial information
 - Identifiers (*this option is often selected by researchers*)

- Personal opinions (*this option is often selected by researchers*)
- **Question 6.2.2:**
 - Please list the specific information you will have access to, and kindly respond separately for each of the options listed in response to Question 6.2.1.
 - For example, if you've selected the "background information" option, please specify what *exact* type of background information you will obtain, and why this is necessary. Please also include any questions about a prospective participant's background information at the top of your data collection (interview/survey) document/s, seeing as these questions can serve as qualifiers, or screening questions. This will allow only qualified individuals to participate in your research.
 - For example, if you've selected the "identifiers" option, please specify in as much detail as possible the exact steps that will be taken to ensure that prospective participants remain anonymous. As such, either copy and paste the information that you've already included in the confidentiality section of your written and online consent forms, or you can include information such as this: 1) the names of prospective participants will be replaced by ID codes in my research report, or 2) my research report will contain no direct quotes or links to any personal identifiers. Kindly also include all of the above information in the confidentiality section of your written and/or online consent forms. Once this information has been added to your consent form/s, kindly upload your amended consent form/s to Questions 5.16 and/or 5.17.
- **Question 6.2.3:** Please explain why access to this information is necessary for the aims and objectives of your study, and kindly respond separately for each of the options listed in response to Question 6.2.1.
- **Question 6.3:** Please select the "yes" option to confirm that steps will be taken to protect the identity of participants.
 - **Question 6.3.1:** Please rather select the "De-identification" option.

SECTION 6 [Data security and storage]

- **Question 6.5:** Kindly only make use of one of the following tools to securely store your data. If you select the "another storage space approved by Stellenbosch University Research ICT Services" option, please upload the relevant proof of approval from ICT Services.
- **Question 6.6:** Seeing as you will have access to signed written consent forms, please select the "yes" option in response to this question.

SECTION 6 [Data sharing and preservation for future use]

- **NB:** If the participating institution requires you to sign a non-disclosure agreement, then I would strongly recommend that you first contact the [Division for Research Development \(DRD\)](#) via email (contracts@sun.ac.za) to ensure that the correct legal processes are followed. An NDA is not necessary unless the *participating institution* initiates such a request (i.e. if the institution requires you to sign an NDA). If the institution does *not* initiate such a request, then the onus is not on you to do so.
- **Question 6.7:**
 - Please select the "Add Another" option (marked in green) and then also select *all* of the other applicable options in response to who else will have access to the data: Academic supervisor / Co-investigator(s) / Data manager(s) / Fieldworker(s) / Funding agency / International Research Collaborator(s) / National Research Collaborator(s) / Only the researcher will have access to the data / Postgraduate student(s) / Principal investigator (if not the applicant) / Research Assistant(s) / Sponsoring institution / Undergraduate student(s)
 - Please also specify in as much detail as possible how paper data will be stored. For example: 1) paper data will be securely locked away in the researcher's office (or home residence); 2) hard copies of consent forms will only be kept until the results of the study have been published – afterwards, hard copies of consent forms will be shredded.
- **Question 6.8:** Seeing as you will most likely share your research data with the funder of this project, please select the "yes" option. The REC: SBE advises that you consult with [Mr Samuel Simango](#) (Manager: Research Data Management Services) about the best platforms on which to share your data. The SU Library has a useful guide on data management and storage (<https://libguides.sun.ac.za/SUNScholarData>), and they also have a specific section on preparing your data for publication (<https://libguides.sun.ac.za/c.php?g=950632&p=6856497>).

- **Question 6.8.1:** The conditions for sharing, and use through a transfer of data to other institutions, must be stipulated in a data transfer agreement (officially signed by authorised representatives of the relevant parties), to ensure that all the appropriate legislative and regulatory considerations, as well as the requirement of informed consent from research participants for data sharing, are correctly addressed. As such, kindly refer to the [Data Transfer Agreement \(guidance to researchers\)](#), as well as the [Data Transfer Agreement \(processes and requirements\)](#), in preparation for completing and uploading the [Data Transfer Agreement \(term sheet\)](#) in response to Question 6.8.1.
- **Question 6.9:** Please select the “yes” option if data will be stored for future use beyond this project (e.g. if the data will be used for follow-up research at a later stage).

SECTION 7 [*Identification of research methods*]

- **Question 7.2:**
 - The Research Ethics Committee (REC) understands an interview to be a one-on-one discussion between a researcher and a participant. This is usually done by way of a semi-structured, unstructured or structured list of questions and the responses are often verbally recorded. Interviews are usually more interactive and allow for a deeper exploration of topics in an open-ended way. A survey or questionnaire refers to a set of written questions given to individuals to gather information – these are administered either in person, by mail, over the phone, or online. Surveys or questionnaires are more standardised in that the same data is requested from a larger group of people. As such, kindly ensure that the correct terminology is used in your application form, research proposal and supporting documents to reflect the correct definition of the words “survey/questionnaire” and “interview”. Please also select the correct option in response to this question.
 - Please create and upload a separate document for each of your methods of data collection (i.e. interviews, questionnaires/surveys, observations, focus groups, the collection of institutional data, etc). This document should include the various interview questions (as detailed as possible) that you’ll ask whilst collecting data/information from prospective participants or institutions. It’s important to note that a separate document needs to be uploaded for each of your methods of data collection.
 - Whenever you include words such as “your employer”, “at your place of employment”, “your organization”, “your company”, or “your institution”, you are asking questions that will require you to obtain institutional permission before being able to start with your data collection (please refer to the section marked in green in Section 8 below). As such, if you would like to avoid having to apply for institutional permission, kindly remove or rephrase these questions so that the participant only provides you with information that is not in any way related to the company they are currently working for. What you could also do, is to replace these words with the word “your industry”. Obtaining information pertaining to the industry will not require you to obtain institutional permission.
 - If you are collecting data from subject matter experts, and if you would like to avoid having to apply for institutional permission, kindly add the following tick box option at the top/start of your data collection document (i.e. your survey/questionnaire): “I confirm that I will not disclose the name of (or any of the processes followed by) my current employer, or any of my previous employers, in response to any of the questions included in this survey/questionnaire.” Prospective participants will need to select this tick box for them to continue with the survey/questionnaire. Alternatively, kindly add the following sentence at the top/start of your data collection document (i.e. your interview sheet/guide) and request the participants to verbally confirm the following: “I confirm that I will not disclose the name of (or any of the processes followed by) my current employer, or any of my previous employers, in response to any of the questions included in this interview.” If the participant is unable to confirm this, then you will need to [apply for institutional permission](#) before you may continue with your interview/survey/questionnaire.
 - The REC: SBE strongly prefers that you do not make use of third-party applications, such as Google Forms or SurveyMonkey, to administer online surveys. According to the REC, if you are collecting or storing data on Google Drive or Google Forms, you might as well be sharing it internationally, seeing as it is not clear where those servers are based and whether the information is protected by information protection laws. As such, kindly approach the Research ICT service desk at SU for guidance on using MS Forms or [REDCap](#) or [SUNsurveys](#) (you can register as a new user by completing [THIS](#) form) to administer online surveys. You can log a request for assistance via the [Research ICT Helpdesk](#). If, however, there are technical reasons why you need to make use of other software, or another platform not vetted by IT, then please first consult with the [REC](#) and their [IT services](#) to ensure that the software you are going to use is indeed secure and meets the required standards.

- Open-ended questions can lead prospective participants to provide information that might make it easy for them (or the organisations they work for) to be identified. As such, in order to help protect their identity (as well as the name of their employer), please rather create a drop-down menu for the ____ question in your Data Collection document and include the various options in your drop-down menu. That way, the prospective participants will be able to select one appropriate option, as opposed to accidentally providing too much information.
- Please elaborate as much as possible on the types of questions you'll be asking prospective participants, including all the sub-sections you've selected in response to Question 6.1 of your application form. Your data collection document/s (i.e. interview, survey, etc) needs to be as detailed as possible, seeing as we use this as a base for determining whether or not institutional permission is required.
- Please include all your screening questions (if applicable, refer to your amended response to Question 5.2) at the top of your data collection document (interview/survey). Taken one at a time, the screening (or "eligibility") questions might not pose any risk, but if you put the answers to all these screening questions together, then it might be easy to identify either the individual, and/or the company/institution that they work for. As such, the combination of questions should not allow a participant (or the organisation they work for) to be accidentally identified.
- Sensitive information includes the participant's gender, age, profession, position and job description (i.e. the combination of screening questions should not allow a participant, or the organisation they work for, to be accidentally identified). As such, rather remove any open-ended screening questions and rather replace it with the following questions, which are more restrictive i.t.o. their background information:
 - Please add the following screening question, or something to this effect, at the top/start of your *interview sheet/guide*: "I confirm that I currently occupy a middle or senior management position in my organisation, and I have at least ten years experience working in the construction industry."
 - Please add the following screening question, or something to this effect, at the top/start of your *interview sheet/guide*: "The highest academic qualification I have obtained is:"
 - Please create tick box options for the various options, i.e. Bachelor's degree, Master's degree, etc.
 - Please add the following screening question, or something to this effect, at the top/start of your *interview sheet/guide*: "My current role in the construction industry is:"
 - Please create tick box options for the various roles in the industry.
- Please do not ask participants to provide their name and surname during the data collection process – this question can negatively affect the risk level of your application, and it can also result in prospective participants becoming a bit hesitant to participate in your research (seeing as their identity might be leaked, and their responses might not be kept confidential). Sensitive information includes a prospective participant's gender, age, profession, position and job description (i.e. the combination of screening questions should not allow a participant, or the organisation they work for, to be accidentally identified). If you want to include their age as a screening question, rather make use of options where an age bracket can be selected, i.e. 18 – 23, 24 – 29, etc.
- If you've selected the "demographics" or "background information" options in response to Question 6.1, please include the exact type of demographic or background information you require, as either an open-ended or tick-box question at the top of your data collection document ((interview/survey).
- To ensure that the "personal opinions" option in your response to Question 6.1 is accurate, kindly rephrase some of your questions to include the fact that this is merely the personal opinion of prospective participants – i.e. "In your opinion...", "Do you think that...", "Would you say that...", "Based on your opinion...", etc.
- If you'll need to apply for institutional permission (kindly refer to Section 8 below), please add a copy of your data collection (interview/survey) document directly below your Application Letter for Institutional Permission. This means that your Application Letter will become quite lengthy, but it is much safer to do it this way, seeing as the institution can then be sure of what type of company-related questions are included in the interview/survey with its employees. Please also amend your Application Letter for Institutional Permission so that it includes the following sentence (or something to this effect): "For your information, kindly refer to the company-related questions below, which will form part of the interview/questionnaire."

- You might want to copy all of the information that you've included in your online consent form and paste this information right at the top (on the first page) of your survey/questionnaire. By doing so, you'll be able to combine your online consent form and your survey/questionnaire into one document. Prospective participants can then read through the online consent form, and give their consent before they start answering the questions that will follow in your survey/questionnaire. If you choose to follow this route, please upload your amended data collection (interview/survey) document (i.e. the survey/questionnaire) to this section of the application form.
- You've mentioned that your research will take place in three phases, and that the interview questions for the 2nd and 3rd phases will be based on the feedback you receive from the interviews in the 1st and 2nd phases respectively. Based on your current data collection (interview/survey) document, it seems as though you've already included all the questions for all three phases, so it seems as though your main interview questions for the 2nd and 3rd phases have been finalised, and that it will not change significantly based on the feedback you receive in a previous phase. If this is indeed the case, please state this in both your research proposal, as well as in response to Question 5.2 of the application form.
- The Research Ethics Committee (REC) requires an amendment form to be completed (which can cause significant delays) if follow-up interview questions are newly created and if they differ significantly from the interview questions in previous phases, seeing as the risk-level will need to be re-evaluated based on the new set of questions. An [amendment form](#) is *only* required, though, if the interview questions for a follow-up phase will be *newly created*, but based on your current data collection (interview/survey) document, it seems as though the interview questions for your follow-up phases are already fixed/finalised. *If at all possible, I would strongly suggest avoiding the need for an amendment form, due to the excessive delays, so please feel free to call me if you require any additional information in this regard.*

SECTION 8 *[Gatekeeper permission]*

- **Obtaining Institutional Permission from Stellenbosch University:** If you plan on inviting students/staff/alumni from Stellenbosch University to participate in your research, it is vital that you apply as soon as possible for institutional permission (click [HERE](#)) at Stellenbosch University's [Division for Information Governance](#) (IG), seeing as **the approval process takes approximately 12 weeks during peak times.**
NB: This is the case merely as a result of the fact that the prospective participants are staff/students at SU – so even if your data collection (i.e. surveys/interviews etc) has nothing whatsoever to do with SU, or its processes, you will unfortunately still need to submit a separate application for institutional permission. Submitting an ethics application is *not* a simultaneous application for institutional permission – you will need to apply *separately* for SU institutional permission via the IG Service Desk: <http://www.sun.ac.za/permission>. It is important to note that a letter of institutional permission will need to be obtained from the IG *before* you can start with your data collection (i.e. before you invite students and/or staff to participate in your research). You can direct urgent queries about *institutional permission* to permission@sun.ac.za, and urgent queries about *privacy* to privacy@sun.ac.za. For more information about institutional permission, or to access general information in this regard, please visit www.sun.ac.za/paia and/or www.sun.ac.za/privacy.
NB: The ethics application form will require you to submit proof of institutional permission clearance and, in turn, the institutional permission application form will require you to submit proof of ethics clearance. When completing your ethics application form, you can upload a screenshot of the email that you've received from the Division for Information Governance, to prove that you have indeed applied for institutional permission. Alternatively, when completing your institutional permission application form, you can include your ethics application reference number (e.g. ING-2023-29040), to prove that you have indeed applied for ethics clearance. By doing it this way, it will not affect the outcome of one application process if, for some reason, the other application process is delayed.
- **Obtaining Institutional Permission from the Western Cape Education Department (WCED):** If you intend to invite *public* schools in the Western Cape to participate in your research, you'll need to apply for institutional permission at the Western Cape Education Department (WCED) before you can start with your data collection (this does not apply to private schools, though). You will need to submit a *separate* online application to obtain institutional permission from the WCED (please click on [THIS](#) link to complete the online application form). **The approval process takes approximately 2 - 4 weeks,** and you can send an email to Mr Meshack Kanzi (Meshack.Kanzi@westerncape.gov.za) or contact him at 021 021 467 9272 if you have any queries.
- **Obtaining Institutional Permission from the National Department of Health (NDoH):** If you intend to invite *provincial/public/state* hospitals or clinics to participate in your research, you'll need to apply for institutional permission at the National Department of Health (NDoH) before you can start with your data collection (this does *not* apply to private hospitals or clinics). You will need to submit a *separate* application to

obtain institutional permission from the NDoH (please click on [THIS](#) link to complete the application form via the National Health Research Database (NHRD) website). This website requires an ethics approval number (e.g. ING-2023-11011) before the application can be submitted, which means that you will first need to submit your ethics application via [Infonetica](#), then wait for ethics clearance to be granted by the FESC or the REC, and only then will you be able to apply for institutional permission via the NHRD website. **The approval process takes approximately 4 – 6 weeks**, and you can click on [THIS](#) link to access the Researcher Manual, and on [THIS](#) link to access the FAQ section.

- Once the NDoH has provided you with a written letter of permission (on company letterhead), the signed Permission Letter needs to be uploaded to your ethics application form. However, you will *only* be able to upload this letter to your application form *after* you've received a formal letter of ethics clearance from the Research Ethics Committee (REC). To upload the permission letter, you'll need to create a "Documentation Form" (follow the steps in [THIS](#) manual, but please select the "Documentation Form" as opposed to the "Amendment Form" as depicted in this manual). Once you have created the "Documentation Form", you'll be able to upload the signed institutional permission letter, and thereafter both you and your supervisor will need to sign your ethics application form, so that the system can automatically submit your application to the REC.
- You will need to wait until you receive a written Permission Letter from the NDoH *before being able to start with your data collection* (i.e. the conducting of interviews, the distribution of online questionnaires, the collection of company data, etc) at any clinic and/or hospital. However, if the clinic and/or hospital is privately owned, then the procedure is slightly different – as such, kindly let me know ASAP if you intend to invite a private clinic and/or hospital to participate in your research.
- **Obtaining Institutional Permission from various *outside* institutions:** It is necessary for written and signed gatekeeper (institutional) permission to be obtained (on official letterhead) from an institution -
 - if you plan to obtain quantitative data from the institution (i.e. financial data, consumer demographics, statistical data, etc.) that is not in the public domain;
 - if the type of questions included in your data collection document (interview/survey/questionnaire) requires a prospective participant to share any of the following information related to the company/institution they work for:
 - the name of the institution, how many employees work at that institution, any information related to the processes or procedures or policies followed by that institution (i.e. how the institution goes about doing specific things), any information that is relevant only to that specific institution, or any information that a prospective participant wouldn't have access to unless they were employed by that institution.
 - if you have targeted a specific institution and would like to conduct research via interviews/surveys/observations, etc, with that specific institution's employees/members/customers/staff/students (even if, for example, all the questions are geared towards the prospective participant's personal opinion about things that aren't in any way related to the institution itself).
 - In light of the above three points, kindly also note that there are only two instances where institutional permission is not required. In both instances below, it is important to note that an informed consent form would still need to be signed by each participant before you start with your data collection. Kindly also stipulate in your research proposal, in your application form, as well as in your informed consent form, that the prospective participants (as well as the institutions they represent) will not be identifiable in your research results. If perhaps it does become necessary to identify the institutions, then institutional permission must be sought from these institutions before you report on, or publish, your research findings. Institutional permission is not required:
 - if you plan to collect data from either the owner or the CEO of a particular institution (i.e. this does not apply to managers or any other employees employed by that institution); and/or
 - if you plan on interviewing 1) individuals as experts in their own right (i.e. not as representatives of the institution they work for), and 2) you are not going to obtain any information about the institution they work for (i.e. info regarding the institutional processes/procedures/policies, or how the institution does specific things, or information that is relevant to that particular institution, or any information that the prospective participant wouldn't have access to unless they were employed by that institution).

NB: Based on the section **marked in green** above, please follow these step-by-step instructions:

- **Question 8.1:** Please select the “yes” option in response to this question.
 - **Question 8.1.1:** Please list the names of all the institutions/organisations you would need to obtain permission from. **NB:** Your application can unfortunately not be accepted unless your “Application Letter for Institutional Permission” (see below) contains *all* the relevant contact details (i.e. name, telephone number, email address) of the person in charge of granting you the necessary permission at that particular institution. If you are unsure at this stage, as to which institutions will participate in your research, then you will need to fully complete and upload *at least one* “Application Letter for Institutional Permission” before you can sign your application form. **NB:** Where applicable, please also stipulate here that you’re not exactly sure at this stage which other institutions will participate in your research, but that you’ll definitely obtain written institutional (gatekeeper) permission from the relevant institution **BEFORE** you start with your data collection at that particular institution.
 - **Question 8.1.2:** Please select the “NO” option for this question (*would seeking permission from gatekeepers jeopardise access to data/participants*).
 - **Question 8.1.3:** Please select the “NO” option for this question (*have you obtained permission from the relevant organisations/authorities*).
 - **Question 8.1.6:** Please upload the “Application Letter for Institutional Permission”. To help you save time in this regard, we’ve created [Template 5](#) (Application Letter for Institutional Permission) and [Template 6](#) (Permission Letter), which you can use to create the necessary documents required for obtaining institutional permission.
 - **Template 5 (Application Letter for Institutional Permission):**
 - [Template 5](#) should be customised before emailing it to the relevant institution. As such, please complete all the sections marked in **yellow** in Template 5, including the specific name, telephone number and email address of the person in charge of granting you the necessary institutional permission. Please also let them know that you’ve included a copy of the survey/interview questions at the end of the document, or that you’ll include these interview questions as an attachment to your email. **NB:** Please attach all of your data collection (interview/survey) documents, detailing the type of questions you’ll be asking, before sending the completed “Application Letter” to the relevant institution – alternatively, you can copy and paste all your interview questions at the end of your document, so that it forms one long combined document.
 - Once you’ve completed all the sections marked in yellow, you’ll then need to email the completed version of [Template 5](#) (i.e. the “Application Letter”) as soon as possible to the person in charge of granting you institutional permission – preferably either the MD, CEO or owner of the company.
 - Once you’ve emailed the Application Letter to the responsible person at the relevant institution, you’ll need to upload the Application Letter to this section of your application form. **Please note that, at this stage, you *only* need to upload the “Application Letter” to this section of your application form, i.e. you don’t need to upload the signed “Permission Letter” (unless, of course, you’ve already received it).**
 - Please create and upload a *separate* Application Letter for each of the participating institutions.
 - Please also add a copy of your data collection (interview/survey) document/s directly below your Application Letter for Institutional Permission. This means that your Application Letter will become quite lengthy, but it is much safer to do it this way, seeing as the institution can then be sure of what type of company-related questions are included in the interview/survey with its employees. Please also include the following sentence (or something to this effect) in your Application Letter for Institutional Permission: “For your information, kindly refer to the company-related questions below, which will form part of the interview/questionnaire.”
 - **Template 6 (Permission Letter):**
 - The relevant institution then needs to provide you with a *signed* Permission Letter, on official *company letterhead*, to indicate that they have read your Application Letter, and that they have given you permission to go ahead and start with your data collection at their institution.
 - [Template 6](#) should be customised before emailing it to the relevant institution. As such, please complete all the sections marked in **yellow** in Template 6, including the specific name, telephone number and email address of the person in charge of granting you the necessary institutional permission.

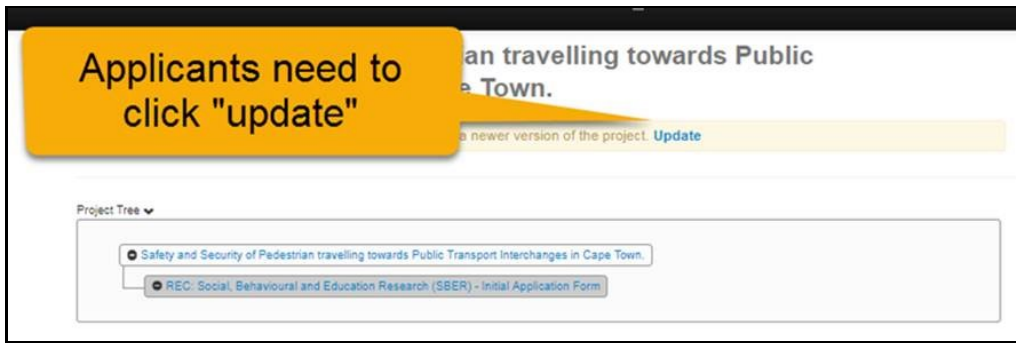
- Once you've completed all the sections marked in yellow, you will need to email the customised version of [Template 6](#) (i.e. the "Permission Letter") as soon as possible to the person in charge of granting you institutional permission.
- Send an email to the designated person, the one authorised to grant you institutional permission, and ask them to complete all the sections marked in green in the customised version of Template 6 (i.e. the "Permission Letter").
- It may take some time for the institution to provide you with their signed Permission Letter (which you'll need *before* you can start with your data collection at their institution), so you do *not* need to upload the customised version of Template 6 (or the unsigned Permission Letter) to this section of the application form unless, of course, you have already received the signed version thereof. You *only* need to upload the completed version of [Template 5](#) (i.e. the "Application Letter") to this section of the application form for now. If you're lucky, and the relevant institution has *already* provided you with their *signed* Permission Letter by the time you're ready to resubmit your application, then by all means – go ahead and upload the final Permission Letter to this section of your application form. **NB:** It is very important to note, however, that you *don't* have to wait for the institution to provide you with a signed Permission Letter before you can resubmit your ethics application. You can go ahead and resubmit your ethics application whilst you're still waiting for the institution to prepare the Permission Letter. You *will*, however, need to wait for the signed Permission Letter *before* you can start with your data collection at that specific institution (i.e. before you start conducting interviews, distributing online questionnaires, collecting company data, etc).
- The person at the relevant institution, who is in charge of granting you institutional permission, will need to complete all the sections marked in green in the completed version of [Template 6](#), and thereafter he/she will need to send you an electronic copy of the completed and *signed* Permission Letter *on a company letterhead*.
- If you haven't yet received the signed Permission Letter by the time you'd like to resubmit your ethics application, then you'll need to upload the signed Permission Letter to your application form at a later stage, after your application has been submitted to the REC: SBE for final review and ratification (further details in this regard will follow a bit later).

SECTION 9 *[Additional information and documents]*

- **Question 9.2:**
 - To prevent your application from being returned to you, causing unnecessary delays, may I ask that you double-check to ensure that all the changes requested above have been made. Thereafter, kindly upload your "Response to FESC feedback" document (refer to the four points at the start of this email) in response to Question 9.2.

Important Information

- Kindly remove all the older/outdated versions of your supporting documents before resubmitting your application.
- Once both you and your supervisor have resubmitted your application form, I will send you a confirmation email within 48 hours of receiving your application. As such, if you do *not* receive such a confirmation email from me within 48 hours, kindly follow up with me via email as a matter of urgency.
- **Update your Application Form:** It does happen a few times per year that the developers need to update the Infonetica system, and/or the back end of the ethics application form. Subsequently, if your initial application was submitted before the update took place, then the Infonetica system will prompt you to "[Update](#)" (see screenshot below) your application form *before* you [sign your application form](#) (refer to number 6). **NB:** It is thus very important to note that, even if both you and your supervisor sign your application form, I won't receive your ethics application form unless you update your application when the system prompts you to do so.



Thank you for your time and effort in making these changes, and I look forward to receiving your resubmitted application.

Kind regards,
Tanya

Tanya Ficker | BBA

Projek Koördineerder (Dekaansafdeling) | Project Coordinator (Dean's Division)

Fakulteit Ingenieurswese | Faculty of Engineering

Room S4028 (Civil Engineering)

+27 21 808 9403 | tanya@sun.ac.za | [Ethics Applications](#) | [Open Day 2024](#)

