## Introduction

Kia ora and welcome to the Independent Human Research Ethics Committee (IHREC) application form. Here are some notes on how to speed up your review through the committee.

### Top Tips for Completing This Form:

**Be Clear and Concise**: Use plain language wherever possible to explain your research objectives, methodology, and participant engagement.

**Provide Detailed Responses**: Include specific examples and sufficient detail to demonstrate your research's ethical and practical soundness.

**Equity & Responsiveness**: Address how your research aligns with Te Tiriti o Waitangi and ensures equity for Māori and other typically marginalised participant groups.

**Complete All Sections**: Do not leave any section blank. If a section does not apply, provide a brief explanation of why that is

**Attach Supporting Documents**: Ensure all required documents (e.g., Participant Information Sheets, Consent Forms, Recruitment Materials) are included. Please combine all participant information sheets, consent forms, and other materials into *one* document.

**Review Thoroughly**: Check for completeness and accuracy before submission.

**Consult Early**: Engage with stakeholders, especially Māori communities, during the planning stages.

If you need assistance, please contact [info@ihrec.co.nz](mailto:info@ihrec.co.nz)

## INDEMNITYCLAUSE

*Please note, as we have just started this committee, we are waiting on quotes for our indemnity and liability insurance. Given the demand for a fast and effective committee for private and government sector research, rather than waiting, we have forged ahead. In the meantime, we apologise, but do need you to please sign the following waiver of liability. If this is a problem, please don’t hesitate to contact* [*info@ihrec.co.nz*](mailto:info@ihrec.co.nz)

**The Independent Human Research Ethics Committee (****IHREC)** provides research ethics review for non-tertiary human and medical research occurring in New Zealand.

**IHRECs role** is to safeguard the rights, health, and well-being of applicants and research participants, particularly those with diminished autonomy.

**The IHREC reviews research solely from an ethical perspective.** It does not assess regulatory compliance, scientific validity, or legal risks associated with the research. The IHREC makes no representations or warranties regarding the success or legality of the research.

**The researcher acknowledges that the IHREC does not assume liability** for any legal, financial, or ethical consequences arising from the research. The researcher is solely responsible for ensuring compliance with applicable laws, regulations, and ethical guidelines.

Researcher obligations:

**The researcher agrees to** indemnify, defend, and hold harmless the IHREC, its members, employees, and affiliates from and against any claims, demands, damages, liabilities, costs, and expenses (including legal fees) arising directly or indirectly from the research. This extends to any third-party claims, regulatory actions, or legal proceedings initiated against the IHREC due to the researcher's actions or omissions.

**The researcher is responsible for** obtaining and maintaining adequate indemnity insurance, as the IHREC does not provide or carry such insurance.

IHREC Limitation of Liability:

**The IHREC shall not be** liable for any direct, indirect, incidental, or consequential loss or damages arising from the research or the ethics review process. This limitation applies regardless of whether the IHREC has been advised of the possibility of such damages.

**Acknowledgment & Agreement:**  
By signing this document, I acknowledge and agree to indemnify the IHREC against any claim, action, or liability arising from my research.

Signed:

Dated:

## Section 1: Applicant Details

### 1.1 Principal Investigator

Name:

Title:

Organisation (& department):

Contact Information:

Email:

Phone:

### 1.2 Co-Investigators and Students

Please List the names, roles, and affiliations of all researchers involved.

Name:

Title:

Organisation:

### 1.3 Expertise

Please provide a summary of the research team’s expertise relevant to this project, including experience with similar studies or methodologies:

### 1.4 Eligibility Criteria:

Please confirm your application is:

Out of scope for HDEC

Out of scope of Institutional Ethics Committee review (due to having no- researchers at an organisation with an institutional committee)

### 1.5 Funding

Is the research funded by, or carried out on behalf of, another organisation?

No  Yes If yes, please provide details, and if necessary, explain how you will mitigate any conflicts of interest that funding creates.

## Section 2: Project Overview

### 2.1 Project Title and Summary

Title:

Research Questions:

Summary of proposal (500 words max): please describe your research's purpose, key objectives, and significance in plain language.

Summary of method, ie please describe the practical steps of your research, without jargon:

## Section 3: Participants

### 3.1 Recruitment

Please describe how potential participants will be identified :

Recruitment Process (*please remember that* *you cannot receive private contact details of participants without their prior consent, and that any advertisements etc need to be attached to the application*):

Please describe the Inclusion/Exclusion Criteria of the intended participants:

### 3.2 Participant Activities

Briefly, please describe what participants will be asked to do:

Time Commitment:

Location(s) of Activities:

### 3.3 Informed Consent

Describe how consent will be obtained (e.g., written, oral, electronic). *Please attach participant information sheets and consent forms, or scripts if informed consent is to be obtained verbally.*

Will vulnerable populations be included? (*Vulnerable includes participants who are in a dependent situation, such as people with a disability, residents of a hospital, nursing home or prison, patients highly dependent on medical care, or children)*

No  Yes If yes, describe how their needs will be addressed (*including if researchers have necessary checks done to work with children*):

### 3.4 Participant Risks

Please indicate each of the following criteria that apply to this research (either for the participant or the researcher)

|  |  |  |
| --- | --- | --- |
| YES | NO |  |
|  |  | Physical risks (e.g., Invasive physical procedures or potential for physical harm) |
|  |  | Psychological risks (e.g., tasks that might cause emotional stress) |
|  |  | Social risks (e.g., peer group involvement, participants are known to the researcher) |
|  |  | Employment/professional/service user risks (e.g., if an employer can identify who did/did not participate in a study) |
|  |  | Personal or sensitive issues (e.g., that people don’t typically discuss with unfamiliar people) |
|  |  | Cross-cultural issues (e.g., topics focussed on aspects of different cultures or countries) |
|  |  | Moral or religious issues (e.g., participant demographics and/ or topics involved) |
|  |  | Investigation of illegal behaviour(s) |
|  |  | Invasion of privacy |
|  |  | Collection or use of information that might be disadvantageous to participants |
|  |  | Use of information already collected for which agreement of use/confidentiality was not agreed upon at the time data was collected |
|  |  | Conflict of interest (e.g., the researcher is also the lecturer, teacher, treatment provider, colleague or employer of the research participants, or there is any other power relationship between the researcher and the research participants |
|  |  | Participants who are unable to give informed consent (e.g., children under 16 years) |
|  |  | Audio or visual recording without participants’ consent |
|  |  | Withholding benefits from “control” groups |

Where “YES” was selected for any of the above, please describe the potential risk in detail, and explain how this will be mitigated. Please also explain each risk and the steps taken to mitigate these in the Participant Information Sheet:

If “NO” was selected for all of the above but you are aware that reviewers may question that judgement please provide an explanation below as to why the research is low-risk (i.e., no higher risk than a participant might expect to experience in everyday life).

### 3.5 Benefits

**Direct Benefits to Participants**: *Clearly describe any benefits participants may experience directly as a result of their involvement. Often research has no direct benefit for participants. It is good to be honest about this.*

**Wider Benefits**: *Discuss the broader impacts of your research, such as contributions to knowledge or community health.*  
*Example: "This study aims to inform public health policies on smoking cessation."*

### 3.6 Balancing Risks and Benefits

Please, discuss why the potential benefits outweigh the risks.  
*Example: "While participants are likely to receive no direct benefit knowledge from this research will allow better informed policy about …"*

### 3.7 Inducements

Will some form of inducement be used to support recruitment (e.g., vouchers, koha, food, contribution to course assessment, reimbursement of a direct cost)?

If yes, please provide specific details on the type and amount of inducements, and the source of funding for the inducements. *If you are giving a koha, as opposed to a gift, please indicate that you understand local tikanga for koha.*

## Section 4: Methodology

### 4.1 Study Design

Which research methodology/ies will be used to collect data?

Please select all that apply.

☐ Survey/ Questionnaire

☐ Interview

☐ Kaupapa Māori

☐Experiment

☐Observational

☐ Focus group

☐ Other (please specify):

***Please Note:***

***Interviews and focus groups:****for structured or semi-structured interviews or focus groups, please provide a topic guide or proposed list of interview questions.  Please ensure you add an indication in the Participant Information Sheet of the kinds of questions that participants will be asked.*

***Questionnaire:*** *A questionnaire is a written or electronic list of questions to be answered by participants. A questionnaire is a specifically designed set of questions that a participant completes independently and returns to the researcher. Questionnaires should be submitted in the final format in which they will be viewed by participants or, in the case of an online questionnaire, in a format that is as close as possible to the proposed final format.   
For all online questionnaires, researchers must ensure that participants are able to print and/or save the PIS section of the questionnaire for future reference.*

***Observations:****A clear statement of the nature of the observations and a list of the kind of data that will to be collected must be provided.*

### 4.2 Data Collection Tools and Procedures

Outline the steps in data collection and any piloting procedures:

### 4.3 Research phases

Does the research involve multiple phases (e.g., survey and focus groups, or multiple surveys, or a pilot study followed by a main study)?

No. Yes. If yes, please briefly describe each phase (i.e., description, purpose, research methods etc.) Provide a detailed description of the study design, including key elements such as intervention, observation, or analysis approaches:

### 4.4 Sample Size and Justification

How many participants will be recruited?

How was the sample size determined? Was a power calculation performed? If so, provide details.

### 4.5 Fair Participant Selection

How will you ensure a fair selection of participants? *Please discuss how you will ensure that your recruitment methods do not create bias in your sample*.  *For example, what provision has been made to ensure disabled or other typically marginalised people who are possible participants can participate equitably and that you or a team member understand the issues they face and the risks they face in research when they reveal their experiences?*

Are any groups excluded? No  Yes If yes, please justify.

### 4.6 Timeline

Please provide a brief timeline for the project, including recruitment, data collection, and analysis phases:

## Section 5: Other organisations, Community groups or interested parties.

Will the research require permission from, or consultation with, another organisation (e.g., school, government agency, business, community group etc.) to recruit participants or access information? No. Yes. If yes, please provide details

*Note: For example, Parents, guardians, school principals, teachers, boards, responsible authorities including employers, etc. If the response is yes, please explain how this approval has been or will be obtained (and attach copies of relevant correspondence).*

*Note: Consultation with a community is recommended when the research involves participants from an identifiable group (e.g., geographically-bounded, like-minded individuals, specific hobbyists, specific professional group). A useful, though not exhaustive test of whether a community should be consulted, is whether that community has a leadership group that can be contacted. Once support or approval is obtained please forward this to HREC. The HREC understands that in many cases, consultation is informal, and does not produce official approval documents. In such cases, simply note with whom consultation has taken place, why it is those particular communities/individuals, and provide contact information.*

## Section 6: Engagement with Māori

### 6.1 Māori Participation and Partnership

This information informs the committee about aspects of the research that may have implications for Māori and the need for Māori engagement and co-design considerations.

Will the research involve -

|  |  |  |
| --- | --- | --- |
| YES | NO |  |
|  |  | Intentional recruitment of Māori participants? |
|  |  | Recording of ethnicity for reporting of Māori participants’ data? |
|  |  | Implications for iwi Māori stemming from the design, implementation or outcomes? |
|  |  | Significant Māori content, use of culturally sensitive material or knowledge? |
|  |  | Access to Māori sites, or sampling of flora/fauna? |

If the answer is ‘YES’ to any of the criteria above, please provide evidence that the engagement has occurred. Or, if it is underway, please describe it and provide a copy of the letters or emails about the engagement once they are available:

*Suggested resources:*

*Read* [*Te Ara Tika: Guidelines for Māori research ethics*](https://www.auckland.ac.nz/en/research/about-our-research/human-ethics/human-participants-ethics-committee-uahpec/essential-reading.html) *– A framework for researchers and ethics committee members. Te Ara Tika principles are drawn from tikanga Māori (Māori protocols and practices) and its philosophical base of mātauranga Māori (traditional knowledge), and integrate understandings from Te Tiriti o Waitangi, Indigenous values and Western ethical principles.*

*The partnership of Māori and Western ethics principles is also described in section 3 of the* [*National Standards for Health and Disability Research and Quality Improvement*](https://neac.health.govt.nz/national-ethical-standards-health-and-disability-research-and-quality-improvement) *(National Ethics Advisory Committee, 2019).*

## Section 7: Data Management and Privacy

### 7.1 Data Collection and Storage

Describe what data will be collected and how it will be securely stored (and backed up)

Will identifiable data be used? No  Yes  If yes, please explain how confidentiality will be maintained:

How will you abide by the principles of data sovereignty?

### 7.2 Data Retention and Disposal

Duration of storage:

Method of disposal:

### 7.3 Data Sharing

Will data be shared with third parties? No  Yes  If yes, please provide details of sharing agreements:

Consider if attaching a research data management plan is necessary for your project.

Please ensure that data management and future use are explained in your participant information sheet and consent form. Participants will need to explicitly consent to the future use of their data for a secondary research purpose or third party.

## Section 8: **Post-Research Responsibilities**

### 8.1 Dissemination

How will results be shared with participants and relevant communities after the study is completed?  
*Example: "A summary report will be provided to all participants and shared in local hui."*

### 8.2 Follow up with Participants

Will any other follow-up be conducted with participants (e.g., health referrals, ongoing communication)?No  Yes  If yes, If yes, describe the follow-up plan:

Describe how long-term obligations, such as archiving data or community engagement, will be handled:

## Section 9: Attachments Checklist

Ensure the following documents are attached:

Participant

|  |  |
| --- | --- |
|  | Information Sheet (PIS) |
|  | Consent Form (CF) |
|  | Recruitment Materials (e.g., posters, emails) |
|  | Data Collection Tools (e.g., surveys, interview guides) |
|  | Evidence of Consultation with Māori Stakeholders (e.g., letters of support, consultation records) |
|  | Study Protocol |
|  | Risk Mitigation Plan |
|  | Budget Details (if applicable) |
|  | Other (please specify): |

## Section 11: Signatures

Principal Investigator:

Date: