

**FACULTY OF EDUCATION  
RESEARCH ETHICS APPLICATION PROCEDURES 2009:**

**For Faculty Staff, RHD Students and Honours Students**

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**1. Initial application**

Applicants need to:

- Complete HREC Scopechecker at:[http://www.research.utas.edu.au/human\\_ethics/scope.htm](http://www.research.utas.edu.au/human_ethics/scope.htm) and print out advice (as to Minimal Risk or Full application etc);

*Notes for completing the Scopechecker.*

- *Please ensure that you complete all questions;*
  - *Please pay particular attention to Question 7, where the wording may be ambiguous to researchers in Education:  
Question 7 – this item asks whether the study is for ‘teaching and learning’ purposes; most educators would be tempted to answer ‘yes’ to this question!; however, in this context the correct answer is ‘No’ ( Explanation: while the purpose of the study might be broadly/ ultimately for teaching and learning, in this context it is classified as being for research)*
  - *If you receive an ‘Exemption certificate’ on the basis of your scopechecker response, please check your answers. If you are working with/collecting data from people as participants in your study, it cannot be exempt.*
  - *Any questions related to the Scopechecker should be directed to the HREC Executive Officer, Ms Jennifer Bruyn-Schmidt – ph: 6226 7479.*
- Complete appropriate HREC application form (Full or Minimal Risk) according to Scopechecker advice; and
  - Submit application form together with: Scopechecker printout, and all other required documents (eg Information sheet, consent form, interview schedules, questionnaires etc) to the Faculty Research Administrator electronically at [Education.Research@utas.edu.au](mailto:Education.Research@utas.edu.au) *at any time.*

**2. Receipt of applications**

Applications will be recorded as received by the Faculty Research Administrator and recorded on the database.

**3. Distribution for review**

As soon as possible after receipt the application will be sent to two reviewers, one of whom will be the Dean of Education, Professor Ian Hay.

**4. Review process**

- The two reviewers will respond separately to the application.
- They will each submit their review to the Faculty Research Administrator electronically on the review form.
- These reviews will then be collated by the Faculty Research Administrator (who will also keep a copy) and send the reviews back to the applicant.
- The applicants are then responsible for making appropriate changes and submitting a final application to the Faculty Research Office.
- The Faculty Research Office will arrange sign off and submit to the Human Research Ethics Committee (HREC).
- Applicants will be advised of submission to the HREC.

**5. Review Turnaround**

- It will be expected that reviews will normally be completed in 2 weeks.
- Review times will be monitored by the Faculty Research Administrator.

- **NOTE: On submission, you are required to provide a hard copy of your application, complete with signatures of the applicant and Chief Investigator/Supervisor) to the Faculty Research Administrator. The Faculty Research Administrator will obtain the Head of School signature and forward to HREC.**

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- The Faculty Research Administrator will maintain a record of the application, the feedback via reviews and the relevant submission and review dates, as well as keep a copy of the HREC outcome on a database.
- Minimal Risk applications are processed by the Chair of the HREC and do not need to meet advertised meeting dates; they are processed on submission.
- Full applications will need to be submitted in time for HREC meetings, as these applications are processed by the Committee.
- HREC meeting and application submission dates can be found at:  
[http://www.research.utas.edu.au/human\\_ethics/social\\_science\\_meeting\\_submission.htm](http://www.research.utas.edu.au/human_ethics/social_science_meeting_submission.htm).

**NOTES:**

**This guidance outlines the step-by-step process for developing and submitting ethics applications to the Faculty and subsequently, HREC. Please read the guidance carefully and if you have any queries, please contact the Faculty Research Administrator, Ashleigh Merriel. E-mail: [Education.Research@utas.edu.au](mailto:Education.Research@utas.edu.au)**

**APPLICANTS:**

**Student applicants**

Student applicants will be assumed to have completed their application under the supervision of their supervisor/s who is/are the named Chief Investigator/s on the application.

Honours students are also assumed to have had support within their honours program and will have been provided with step-by-step guidance on the completion of applications in the appropriate unit. Honours students need to work directly with their supervisors in completing the application.

**Staff applicants**

Staff applications should be submitted when completed to the Faculty Research Administrator. It is recommended that it would be useful to gain feedback from colleagues prior to formal submission of applications.

**Support for applicants**

- National Statement (revised) – available from <http://www.nhmrc.gov.au/publications/synopses/files/e72.pdf>.
- PD seminars for supervisors – *dates to be advised*
- Annotated application forms and exemplars to be made available – *currently in preparation*
- Updated information on key ethical issues (eg, third party recruitment, risk factors, consent, and voluntary participation) – *to be developed in conjunction with HREC.*

**Use of Letterhead:**

- The Chief Investigator/Supervisor is responsible for ensuring that the information sheets and consent forms are placed on the appropriate letterhead. HREC policy does not require information sheets and consent forms to be put on letterhead *until* they have received the final approval and ready for dissemination. Please note documents should be printed onto *hard copy* of the Faculty letterhead sheet, and the electronic version should not be used.

**REVIEWERS:**

In all cases, one of the reviewers will be the Dean (Prof I Hay).

The other reviewer will be drawn, on a rotational basis, from a list of registered research supervisors who are suitably qualified, experienced, and available.

**Review purpose**

The purpose of the review will be to provide feedback to applicants; applicants will not be required to make any changes recommended by the reviewers and there will be no requirement for applicants to resubmit to the Faculty Research Administrator a revised application for sign-off prior to submission to the HREC.

These changes are effective as of 27<sup>th</sup> October, 2008.

Dr Marion Myhill

*As updated at 27th October, 2008*

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Ms Ashleigh Merriel  
Faculty Research Administrator, Research Committee

**USEFUL FURTHER INFORMATION**

**HREC requirements – following approval**

- Amendments to the application – once formal HREC approval has been gained, *any later changes* to the study (eg, changes to the supervisor/chief investigator or research personnel; changes to data collection methods) will need to be approved formally by the HREC. These changes should be submitted on the appropriate Amendment Form directly to the HREC Ethics Officer at:  
[http://www.research.utas.edu.au/human\\_ethics/social\\_science\\_forms.htm](http://www.research.utas.edu.au/human_ethics/social_science_forms.htm).
- Annual reports - HREC will also request annual reports on your study, and these will need to be completed by the Chief Investigator on the Progress Report Form found at the following address:  
[http://www.research.utas.edu.au/human\\_ethics/social\\_science\\_forms.htm](http://www.research.utas.edu.au/human_ethics/social_science_forms.htm). Please return the Progress Report Form directly to the HREC Ethics Officer, as indicated.
- HREC meetings – a schedule of the HREC meeting dates can be found at:  
[http://www.research.utas.edu.au/human\\_ethics/docs/2008\\_tas\\_ss\\_hrec\\_meeting\\_dates.doc](http://www.research.utas.edu.au/human_ethics/docs/2008_tas_ss_hrec_meeting_dates.doc).

**Research in Government Schools**

If you are intending to conduct research in state government schools, you will need to seek formal permission by submitting an application to the Department of Education (DoE). The appropriate guidelines and form can be found at the following link: <http://www.education.tas.gov.au/dept/reports/research>.

Please note any specific additional DoE requirements (eg security check) and leave sufficient time to meet these.

If you have any queries, please contact Ms Patricia Lloyd directly at the Department of Education, on [Patricia.lloyd@education.tas.gov.au](mailto:Patricia.lloyd@education.tas.gov.au).

Notes:

1. *An appropriate time to submit a DoE application is when your ethics application has been reviewed by the Research Committee and you are about to submit the final version of your application to the HREC for formal review and approval.*
2. *You can submit your DoE application for processing 'with HREC approval pending' (ie before you can give an HREC project number); but DoE permission will not be granted until formal HREC approval has been notified. As applicants, you will need to ensure that this information is forwarded to the DoE.*