

# Carey Research Ethics Policy & Guidelines

## INTRODUCTION

Research is integral to Carey in its role as a degree awarding institution. Research informs the practice of faculty members, as well as forming a focus for student learning through research-based assessment. Carey wants to promote research excellence, and recognises that so it must also ensure the protection of the privacy, safety, and welfare of human participants

## APPLICATION

The below conduct regulations and their associated policies apply to all students and members of staff.

## PURPOSE

Carey is committed to ensuring a high level of ethical research, and uses the below principles in its decision making in order to enable this to happen.

## POLICY

### KEY PRINCIPLES

- Informed and voluntary consent
- Respect for rights of privacy and confidentiality
- Minimisation of risk
- Truthfulness, including limitation of deception
- Social and cultural sensitivity, including commitment to the principles of the Treaty of Waitangi
- Research adequacy
- Avoidance of conflict of interest

### OTHER RELEVANT PRINCIPLES

- Respect for potential vulnerability of participants
- Respect for property (including Carey property and intellectual property rights)

## INFORMED AND VOLUNTARY CONSENT

The participation of any **human subject** in any research project undertaken must be voluntary, and must be based on a clear understanding of what their participation will involve. All information that is provided to intended participants must be written using clear and appropriate language. In particular, intended participants must be advised of:

- The names of all the people undertaking the research project
- The procedures they will be asked to agree to participate in, (eg interviews, focus groups)
- The purpose of the research project and how the eventual information will be used (eg thesis, publication)

- Their rights to withdraw from the process, and specifying at what point in the research process it is no longer possible to withdraw participation (for example, once data analysis has started)
- Confidentiality, and how confidentiality will be maintained and their anonymity protected
- What will happen to the data once the research is completed

Where research involves Māori participation, the consent of collective groups may also be necessary.

## **RESPECT FOR RIGHTS OF PRIVACY AND CONFIDENTIALITY**

Preservation of the privacy and confidentiality of participants is paramount. Applications for ethics approval must identify:

- Procedures for the protection of the identity of participants where appropriate
- Procedures for keeping information relating to the research confidential
- Procedures for the storage of consent forms from participants
- Procedures for ensuring the confidentiality of private or personal information in respect of participants which is not directly related to the research but which may emerge in the course of the research
- (Where Māori are involved) The collective ownership of information must be acknowledged.

## **MINIMISATION OF RISK**

In order to minimise any risks (eg psychological, physical or social) that may impact participants, researchers must ensure that all such risks are identified and disclosed.

## **TRUTHFULNESS, INCLUDING LIMITATION OF DECEPTION**

The principle of informed consent must prevail; however, in very limited circumstances a researcher may seek to justify a less than full disclosure (where, for example, it is felt that full information about the nature or purpose of the research should be withheld from a participant). In these circumstances, full disclosure must be made in the application for ethics approval.

## **SOCIAL AND CULTURAL SENSITIVITY**

All research must be carried out:

- Ensuring that culturally appropriate consultation and research processes are followed.
- In a way that is sensitive to the participants. Researchers will ensure that they acknowledge and respect all cultural beliefs and practices of participants, in conducting the research.
- Demonstrating commitment to the Treaty of Waitangi as outlined below.

## **TREATY OF WAITANGI**

Researchers must consider carefully their research protocol where Māori are involved as participants, or where the project is relevant to Māori, taking full account of the principles of protection, participation, and partnership embedded in the Treaty of Waitangi, through:

Working together with iwi, hapu, whānau, and Māori communities to ensure Māori individual and collective rights are respected and protected.

Involving Māori in the design, governance, management, implementation, and analysis of research, especially research involving Māori.

Protecting Māori individual and collective rights, Māori data, Māori culture, cultural concepts, values, norms, practices, and language in the research process.

Research participants must be offered the choice of responding in either Māori or English. Where researchers are not fluent in Te reo Māori, appropriate arrangements should be made to enable participants to communicate in Māori.

Researchers must respect Māori cultural concepts, including Māori perspectives of health and well-being (e.g., te taha tinana - the physical element, te taha wairua - the spiritual element, te taha



hinengaro - the emotional and psychological elements, and te taha whanau - the family and community elements).

Consideration will be given in the ethical approval process to whether Māori ethical perspectives need to be taken into account in order to ensure Māori participants, tikanga, and cultural concepts are protected (for example when the proposed research would normally require observance of tikanga Māori).

## **RESEARCH ADEQUACY**

In order to ensure research adequacy, each project must have clearly defined goals, must be designed in such a way that it can meet those goals, and must have the potential to contribute to the advancement of knowledge. In addition, where appropriate, kaupapa Māori and Māori-focused methodologies must be acknowledged.

## **CONFLICT OF INTEREST**

It is the responsibility of the researcher to identify and address any potential conflict of interest that may arise for them in relation to the proposed research and to any participant.

## **GUIDELINES**

All research by faculty and students which will involve gaining non-public information about live human subjects, or which is likely to affect living persons through its findings, must be approved by the Research Ethics Committee before the research is commenced.

Applications for ethical approval must be on the prescribed form, obtained from the Academic Registrar, and be submitted to the Academic Director at least 2 weeks before the proposed date of commencement of the research.

The Research Ethics Committee, a sub-committee of the Academic Committee, will scrutinise the Application for Ethical Approval and reach a decision to grant or decline ethical approval. The Research Ethics Committee may request such further information from the applicant as it deems appropriate to enable a decision to be made. Approval will normally be for a period of three years.

The Research Ethics Committee will comprise three members, including the Director of Carey Graduate School, and at least two other faculty members with research experience selected by the Academic Committee. Where the Application for Ethical Approval is for research involving engagement with Māori, additional members will be co-opted onto the Research Ethics Committee to ensure that all appropriate aspects of the application are addressed.

Where any changes are made to any previously approved research project, which will in any way affect the nature of the information supplied with the original Application for Ethical Approval, an application for variation must be lodged with the Academic Director for approval by the Research Ethics Committee. Until the variation is approved, no further research involving live human subjects is to continue.

## **COURSE RESEARCH PROJECTS**

In any course where a research based assignment is included as part of the assessment, which may involve students in undertaking research activities involving live human subjects, the course lecturer must make Application for Ethical Approval using the appropriate form before the start of the semester in which the course is being offered.

The application must include details of the nature of the proposed research activities, and include copies of the information and guidelines on research and research ethics to be given to students as well as the proposed information sheets and consent forms to be used by the students.

The Research Ethics Committee may approve a course research project for up to three years, provided that the requirements for assessment in that course do not change during that period.

At the end of each semester, the course lecturer will advise the Research Ethics Committee of any issues that arose in relation to the students undertaking the research specified.



Lecturers are responsible for presenting the ethical standards of conducting research on human beings to all their students in any course where a research project is required.

## REPORTING REQUIREMENTS

The Academic Committee will normally require a report on progress at the end of each completed six months of a research project subject to ethical approval, including particular reference to the ethical component of the research.

In any situation where any unanticipated events occur in the course of research being undertaken, especially where that event relates directly to Carey's research principles, the researcher must submit a report to the Academic Committee.

## ETHICAL STANDARDS

The following ethical standards will be applied for all research at Carey:

- No matter how young the subject, a child/person has rights of well-being that supersede the rights of the researcher. In the conduct of their research, researchers must measure each operation they propose against this principle and must be prepared to justify their decision.

In the conduct of research it is unacceptable to expose subjects to unnecessary risks. Risks include such things as pain, stress, emotional distress, fatigue, embarrassment, cultural dissonance, and exploitation. The researcher must make every attempt to identify and minimise any risks - physical, psychological, spiritual, social, or cultural - attendant on participation by individuals or groups in a research project.

- When dealing with a child (for the purposes of this Policy a child is any person aged 15 or under), the informed consent of parents or of those legally designated to act in loco parentis must be obtained in writing. Informed consent requires that the parent be given accurate information on the professional and institutional affiliation of the researcher, and on the purpose and operations of the research, albeit in layperson's terms. The consent of parents is not to be solicited by any claim of benefit to the child. Researchers must not only give parents the opportunity to refuse consent, but must also respect their exercise of the right to refuse such consent.
- The researcher must not coerce any person into participating in a study. All people have the right, and will be given the opportunity, to refuse to participate in a study.

The subjects' identity must be concealed in written and verbal reports of the results, as well as in informal discussions with faculty, students, and colleagues, except in situations where participants are figures of public record (including senior leaders of churches).

- Researchers must not assume the role of diagnostician or counsellor in reporting their observations to parents or those in loco parentis. They also do not report test scores or information given by a child in confidence, although they recognize a duty to report general findings to parents and others.
- Researchers must respect the ethical standards of those who act in loco parentis (e.g. teachers, superintendents of institutions).

Research procedures should be appropriate to the subjects involved in the study. The researchers have a responsibility to inform themselves of, and take steps necessary to respect, the religious, spiritual, social, and cultural sensitivity of all participants. Meeting the language preferences of subjects in the provision of information is especially important.

- While it is not envisaged that payment in money (or kind) will/should ever be part of securing a person(s) involvement in research, payment in money, gifts, or services for a person's participation does not annul any of the above principles.
- Researchers must obtain permission in writing from all subjects before interview research is conducted. This permission and the handling of any information is to be in accordance with the provisions of the Privacy Act, 1993.

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## DEFINITIONS

The following definitions apply to this policy:



*Staff* means Carey staff  
*Student* means Carey students  
*Carey* means Carey Baptist College

## **KEY RELEVANT DOCUMENTS**

Include the following:

Sample Participant Consent Form  
Suggested Course Instructions Relating to Research Ethics

## **DOCUMENT MANAGEMENT AND CONTROL**

**Content manager:** Academic Director

**Owned by:** Principal

**Approved by:** Management Team

**Date approved:** December 2022

**Review Date:**



## **SAMPLE PARTICIPANT CONSENT FORM**

Research Project Title/Class or Course Name:

I have had the project explained to me and I have read and understand the information sheet given to me.

I understand that I don't have to be part of this project if I don't want to and that I may withdraw at any time prior to [Insert Date].

I understand that everything I say is confidential and that none of the information I give will identify me, and that the only persons who will know what I have said will be the researcher and the supervisor.

I have had time to consider everything and I give my consent to be a part of this project.

Participant Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Carey Baptist College**



## **SUGGESTED COURSE INSTRUCTIONS REGARDING RESEARCH ETHICS**

(For inclusion in the Course Outline of any undergraduate course where an assignment may require/involve students undertaking research involving human subjects. Adapt as appropriate for the context of the course.)

As part of one of the assignments for this course you are asked to, or may wish to, interview people within the church or the wider community. Whenever you gather information from people for an assignment or research project through interviews or questionnaires, issues of confidentiality, privacy and informed consent are raised. All of these are important aspects of research ethics.

It is essential that all research carried out while you are a student at Carey Baptist College is carried out in an ethical way. You may like to have a look at Carey's Research Ethics Policy and Guidelines (available on CareyOnline). The Policy and Guidelines address the following key issues in conducting research: the informed and voluntary consent of participants; respect for participants' rights of privacy and confidentiality; the minimisation of risk; truthfulness; social and cultural sensitivity (including commitment to the principles of the Treaty of Waitangi); research adequacy; the avoidance of any conflict of interest.

The assignments for this course have been set up in a way that complies with Carey's Policy and Guidelines and have been approved by Carey's Research Ethics Committee.

For the purposes of your assignment for this course, you must:

- Ensure that each potential participant you approach is given a copy of the Information Sheet that has been prepared by your course lecturer
- Ensure that each participant is also asked to sign the Consent Form (which must also be signed by a parent or guardian of any participant who is aged under 18)
- Retain the signed Consent Forms
- Give consideration to how you will securely store any paper information that you gather, and ensure that all information stored on a computer is password-protected (to avoid breaches of privacy and confidentiality)
- Use the information you gather ONLY for the purposes of the assignment, and maintain all participants' rights to privacy and confidentiality
- Destroy records traceable to any identifiable individual at the conclusion of this course.

