hugenote kollege
Waar Christenwees grondvat in opleiding

## KWALITEITSBESTUURSTELSEL / QUALITY MANAGEMENT SYSTEM

**D.13**

| | |
|---|---|
| **TITEL / TITLE:** | **BELEID: NAVORSINGETIEKBELEID**<br>**POLICY: RESEARCH ETHICS POLICY** |

| COMPILED / REVIEWED BY | AUTHORISED BY |
|---|---|
| DR AF DU TOIT | PROF CJP NIEMANDT |
| **Title:** Chairperson Academic Committee | **Title:** RECTOR |
| **Date:** 28 April 2021 | **Date:** 14 October 2023 |
| AFduToit | JP Niemandt |
| **Handtekeninge / Signatures** | |

**Hersieningsrekord / Revision Record**

| | | | **Datum / Date** |
|---|---|---|---|
| **Vorige Weergawe No.**<br>**Previous Version Nr.** | 1 | **Vorige Hersiening**<br>**Last Review** | |
| **Nuwe No.**<br>**New Nr.** | 2 | **Goedgekeur vir uitreiking**<br>**Approved for issue** | October 2023 |

## Index of Contents

**Description** **Page Nr**

# 1 RATIONALE

Research is at the most basic level a human activity. This implies that research is never value-neutral or mechanistic. Researchers have preconceptions determined by social, political, cultural and gender influences. These preconceptions influence both their theories and findings.

Research is a communal activity. Researchers work as part of a national and international community of scholars. This community influences the paradigms within which research is undertaken in and across certain disciplines and/or subjects.

Acceptable research may be interdisciplinary, discipline-, field- and subject-specific.

Research is theory-dependent. Research is informed by the dominant theories within certain fields and theories which, in turn, are influenced by the paradigms referred to above.

Research involves creative, innovative, systematic and original work that explains phenomena. In addition, research embraces the critical evaluation of such phenomena in both the natural and social sciences.

Research includes basic, applied, strategic and reflexive research.

# 2 SCOPE

This policy directs the research of all students and academic staff attached to the Hugenote Kollege. All research proposals are subject to review and approval by the Research Ethics Subcommittee of the Academic Committee.

# 3 PURPOSE

The purpose of research is the study of natural, social and metaphysical phenomena in order to improve our understanding of how the world functions as well as to addressing its needs. The Policy on Research Ethics is intended to:

- inform the researcher of his/her responsibilities in conducting ethical research
- understand and promote adherence to all applicable procedures
- protect the rights of all stakeholders.

# 4 PRINCIPLES

## 4.1 Moral principles

Hugenote Kollege promotes the following four internationally recognised moral principles of ethics as bases for research:

- autonomy (research should respect the autonomy, rights and dignity of research participants)
- beneficence (research should make a positive contribution towards the welfare of people)
- non-maleficence (research should not cause harm to the research participant(s) in particular or to people in general)
- justice (the benefits and risks of research should be fairly distributed among people)

These principles are not ranked in any order of preference. In disputes a balance between the four principles should be pursued.

## 4.2 General ethics principles

In addition to, and expanding on, the above moral principles, the following ten general ethics principles should be adhered to by researchers. Again, the ethics principles may not, by themselves, resolve all ethical problems and dilemmas which confront researchers. Researchers may be required to balance the demands made by moral principles of research and to privilege one principle over another, depending on the context and circumstances of the research involved.

### 4.2.1 Essentiality and relevance

Before undertaking research adequate consideration should be given to existing literature on the subject or to the issue under study, and to all available alternatives. In view of the scarcity of resources in South Africa, it should be clearly demonstrated that the research is in pursuit of knowledge and/or the public good.

### 4.2.2 Maximization of public interest and of social justice

Research should be carried out for the benefit of society, and with the motive of maximizing public interest and social justice. All efforts should be made to make public in an appropriate manner and form, and at an appropriate time, information on the research undertaken, as well as the results and implications of the completed research.

### 4.2.3 Competence, ability and commitment to research

Researchers should be both personally and/or professionally qualified for the research that they undertake. A commitment to research in general and to the relevant subject in particular is an essential prerequisite for good and ethical research.

### 4.2.4 Respect for and protection of the rights and interests of participants and institutions

Researchers should respect and protect the dignity, privacy and confidentiality of participants and where relevant, institutions. Researchers should ensure that the personal information of participants used for research purposes is adequately protected to prevent possible loss, damage and/or unauthorized access as required by Protection of Personal Information (POPI) Act, No. 4 of 2013. They should never expose such participants and institutions to procedures or risks not directly attached to the research project or its methodology. Research and the pursuit of knowledge should not, in themselves, be regarded as the supreme goal at the expense of the rights of participants and institutions.

### 4.2.5 Informed and non-coerced consent

Autonomy requires that individuals' participation should be freely given, based on informed consent and for a specific purpose, as required by the POPI Act. Direct or indirect coercion, as well as undue inducement of people in the name of research should be avoided. These act as barriers to autonomous decision making and may result in people consenting against their better judgment to participate in studies that may involve risks.

### 4.2.6 Respect for cultural differences

Researchers should treat research participants as unique human beings within the context of their community systems, and should respect what could be traditionally sacred and secret. Research should preferably be undertaken with, the members of an identified community or communities rather than merely about such community(ies). In some situations the consent of "gatekeepers" may have to be obtained in addition to that of research participants.

### 4.2.7 Justice, fairness and objectivity

Criteria for the selection of research participants should be fair, as well as being scientific. Easily accessible individuals or groups should not be inordinately burdened with repeated demands on their time and knowledge by the researcher.

### 4.2.8 Integrity, transparency and accountability

The conduct of research should be honest, fair and transparent. Researchers should be honest about their own limitations, competence, belief systems, values and needs.

The contribution of other researchers or members of the research team should be properly acknowledged. Researchers should not abuse their positions or knowledge for personal power or gain.

### 4.2.9 Risk minimization

Researchers should ensure that the actual benefits to be derived by the participants or society generally from the research clearly outweigh any possible risks, and that participants are subjected only to those risks that are clearly necessary for the conduct of the research. Researchers should ensure that these risks are assessed and that adequate precautions are taken to minimize and mitigate risk in line with the Hugenote Kollege Research Ethics Risk Assessment Standard Operating Procedure.

### 4.2.10 Non-exploitation

There should be no exploitation of research participants, researchers (including students and junior members), communities, institutions or vulnerable people. The researchers should ensure that the use of the participants' personal information is done in line with the requirements of the POPI Act (4 of 2013) and should ensure that the information is not used for unlawful and secondary purposes incompatible with the original purpose consented by participants. There should be benefits to the community in which research is conducted. As far as possible, feedback should be given to participants and other relevant stakeholders. When research is carried out with communities they must receive feedback on the results of the research.

## 4.3 Relationship between researchers and participants

- Participants should be seen as indispensable and worthy partners in research. Researchers should respect and protect the rights and interests of participants at every stage and level of research and acknowledge their contribution.
- The risks and benefits of the research to the prospective participants should be fully weighed and the participants must be informed of them. Research that could lead to unnecessary physical, social and/or psychological harm should not be undertaken.
- Researchers should identify potential risks to participants and make provision for avoiding them. When risks form part of the conduct of the study, efforts should be made to mitigate the risks and protect the participants.
- All steps should be taken to prevent harm (physical, psychological and/or spiritual) injury or loss of opportunity to participants. In the event of that harm, injury or loss of opportunity should occur, It should be dealt with in accordance with the relevant policy and/or legislative frameworks.
- If during the course of the research it becomes evident that a participant has suffered harm in a way not foreseen by the researcher, this should immediately be reported to the university ERC and the relevant unit ERC for immediate investigation and action. Such action may, for example, include the need to refer the participant for counselling.
- The criteria for selecting research participants should be fair.

- A mutually beneficial agreement should be in place if a community or research setting is used as a continuous and long-term resource for collecting data to be used for curricular research or training.
- The relevant social, cultural and historical background of participants should be taken into consideration in the planning and conduct of research.
- Researchers should not infringe the autonomy of participants by resorting to coercion, undue influence or the promise of unrealistic benefits. Coercion may include taking undue advantage of individuals or abusing their participation in the research. Inducement may include a promise of material or financial gain, services or opportunities. No financial or other inducement should be offered to research participants, whether children or adults, parents or guardians of children. Reimbursement of expenses (e.g. transport costs, meals) or compensation for the time or effort expended or any opportunity that may be lost is allowed, on condition that all participants are offered similar reimbursement and that such reimbursement is only aimed at recompensing the participants.
- Participants should be informed of the existence of the Hugenote Kollege Policy on Research Ethics and given details of the Ethics Review Committee. The policy should be made available to them if it can help them make an informed decision regarding their participation. Participants may not be instructed by researchers to participate in research under conditions that can be burdensome, abusive or threatening or that have the potential to risk or abuse the researcher's position. Unfairness or anything that prevents the participant from freely terminating his/her participation is not permissible nor should there be any negative implications should the participant choose to do so.

## 4.4 Informed consent

- Personal information should be collected in adherence to the Protection of Personal Information Act 4 of 2013.
- The participation of individuals should be based on their freely given, specific and informed consent. Researchers should respect their right at any stage to refuse to participate in particular aspects of the research or to decide to withdraw their previous given consent without demanding reasons or imposing penalties.
- Participants should give their consent in writing and preferably accompanied by their signature. They, in turn, should be given written information containing adequate details of the research, including any risks associated with the study. If participants refuse to provide their consent in writing, consent may be recorded verbally, provided that verbal consent can be linked to the individual providing such verbal consent. For example, where a participant is illiterate, consent should be obtained in the presence of a literate witness who should verify and sign a document stating that informed consent had been given. Where the research is done on-line or electronically, informed consent can be obtained electronically but in a format separate from the on-line research in order to protect the identity of the participant.
- Consent for participation in research is freely given and informed if
    - it is given without any direct/indirect coercion or inducement.
    - prospective participants have been informed on the processing and purpose of the intended research.

- the researcher has answered any question(s) about the research and their participation.
- it is given before research commences.

## 4.5 Non-disclosure of all information

• In some situations the methodology or practicalities of a research project may necessitate the concealment of information. This may be due to the possibility that behavior changes may result or responses be affected when such details are revealed to participants. In such a case the researcher should determine beforehand:
• whether the use of such a methodology is justified by its potential scientific, educational or applied benefits
• whether alternative procedures which do not require the concealment of information should rather be used
• If the use of such methodology is deemed justified by the researcher, there are steps which he/she should take:

(a) When obtaining informed consent a detailed justification for not revealing all necessary information should be provided in the research proposal and methodology. This justification should be subject to scientific and ethical review by the relevant Ethics Review Committee. Only after the committee has given its approval should such research be undertaken.

(b) The participants' right to privacy, anonymity and confidentiality gains additional importance in such cases as they do not know the real purpose or objectives for which they are providing information.

(c) Even should both scientific and ethical reviews allow that some of the information about the study need not be revealed, participants should be provided with all other information. In no case, however, should researchers withhold information regarding risks, discomfort, unpleasant emotional experiences, or any such aspect that would be material in making the decision to participate.

(d) Participants should be given the reasons for not providing full information as soon as is possible after completion of the research. Where needed, services such as counselling and referral should be offered.

## 4.6 Vulnerable participants

- Researchers should be take particular care of the rights and interests of vulnerable participants.
- Research results that can be obtained if carried out on adults should never be carried out on children. Children should participate only when their participation is indispensable to the research. The protection and best interests of children are of prime importance.
- Therapeutic research or experimentation on a child under the age of 18 years may be conducted only if it is in the best interests of the child, and if the assent

of the child (if he or she is capable of understanding) and the consent of his or her parent or guardian, has been obtained.

- Non-therapeutic research or experimentation may only be conducted on a child under the age of 18 years with the consent of the following persons: the Minister responsible for social development, the parent or guardian of the child, and the child if he or she is capable of understanding.
- Where research involves the participation of persons unfamiliar with the language in which the research is to be conducted, the principle researcher must ensure that:

    1. the participant's information statement has been translated into the participant's language
    2. it is his/her responsibility to ensure that the participant understands the information statement he/she has been given
    3. an interpreter is present during discussions with the participants about the project. As a rule the interpreter should be independent, but when the research proposal is of minimal risk, a relevant language-speaking relative or friend of the participant may be acceptable.

## 4.7 Privacy, anonymity and confidentiality

- All research participants have the right to privacy to the extent permitted by law or as directed by legal frameworks.

- Privacy includes autonomy over personal information, anonymity and confidentiality, especially if the research deals with stigmatizing, sensitive or potentially damaging issues or information. When deciding on what information should be regarded as private and confidential, the perspective of the participant(s) on the matter should be respected.

- All personal information and records provided by participants should remain confidential. It should be made clear during data collection that confidentiality and anonymity will be safeguarded unless waived by the research participant. Whenever it is methodologically feasible, participants should be allowed to respond anonymously or under a pseudonym to protect their identity and privacy.

- All personal information obtained directly or indirectly on or about the participants (e.g. names obtained by researchers from hospital and school records), as well as information obtained in the course of research which may reveal the identity of participants, should remain confidential and anonymous. This guarantee should also be given when researchers ask consent to use data which is not already available within the public domain (e.g. classified data on prisoners held by the Department of Correctional Services).

- In the case of observation (e.g. of a public scene) steps should be taken to ensure that the information will not be used or published in a form in which the individuals could be identified.

- Researchers should maintain privacy, anonymity, and confidentiality of information in collecting, creating, storing, accessing, transferring and disposing of personal records and data under their control, whether these are written, automated or recorded in any other medium, including computer equipment, graphs, drawings, photographs, films or other devices in which visual images are embodied.

- Researchers should preserve research records for a minimum of five years (or as required by policy or legal frameworks) after the submission of the report or the results.

- Researchers should take reasonable technical and operational steps to ensure that research records are stored in such a manner as to protect confidentiality of records and the anonymity of participants.

- Codes or other identifiers should, where possible, be used to break obvious connections between data and individuals/organisations/institutions. Where there is a mixture of information obtained from the public domain and that obtained with the participants' informed consent, there should be no traceable link between the two sets of information.

- Confidentiality and anonymity of participants and their localities should be maintained when reporting to clients/sponsors/funders. Participants should not be identified or made identifiable in the report unless there are clear reasons for doing so. If the researcher or institution needs to identify participants or communities in the report, their informed consent allowing such disclosure should be obtained, preferably in writing.

- Research findings published in the public domain (e.g. theses and articles) which relate to specific participants (e.g. organisations or communities) should protect their privacy. Identifiers which could be traced back to the participants in the study should not be included. However, public interest may outweigh the right to privacy, and may require that participants be named in reports (e.g. when child labor is used by a firm).

- Participants' consent should be sought where data identifying them are to be shared with individuals or organisations who are not part of the research team.

- The obligation to maintain privacy, anonymity and confidentiality extends to the entire research team, other researchers at Hugenote Kollege, administrative employees, and all persons not directly associated with the research who may possibly have access to the information.

### 4.8 Collaborative research involving human participants

- Research involving human participants must not commence without ethics approval by the Ethics Review Committees of all collaborating institutions. This requirement may be waivered under certain conditions by an Ethics Review Committee.
- Research cannot commence without informed consent from participants and/or communities.
- There may be no exploitation of institutions, researchers, research participants or communities.
- Institutions and researchers should assist indigenous communities and traditional societies to protect their knowledge and resources, and should respect that which is traditionally sacred and secret.
- Researchers involved in international collaborative research should have some understanding of, and be sensitive to, the social, economic and political conditions in which the research is carried out. This will alert them to the need to protect research participants who are, for example, subject to deprivations through poverty.

## 5 RIGHTS AND RESPONSIBILITIES OF HUGENOTE KOLLEGE IN ENABLING ETHICAL RESEARCH

- Hugenote Kollege should respect the autonomy and academic freedom of researchers.
- Hugenote Kollege should create and maintain an enabling environment in which researchers are able to conduct ethical research.
- Hugenote Kollege should promote the compliance with the Policy on Research Ethics and take appropriate steps when this policy is breached.
- Hugenote Kollege has the right to monitor research that has been approved by any of its Ethics Review Committees and to require submission of regular reports or other information regarding the research. The college may impose disciplinary measures or stop research when ethical principles are violated or the integrity of the college is jeopardized.
- Ethics clearance will not be granted retrospectively.
- Human, animal, plant, molecular and cell research conducted by Hugenote Kollege employees and students must have ethics clearance from the relevant Ethics Review Committee before it may commence.
- Health, health-related and animal research conducted by Hugenote Kollege employees and students should receive ethics clearance from an Ethics Review Committee which is registered with the National Health Research Ethics Council to comply with section 73 of the National Health Act 61 of 2003
- Class approval for student research projects should be obtained in certain circumstances.

- Hugenote Kollege is accountable only for research which has been approved by any of its Ethics Review Committees.
- This policy should be read in conjunction with other relevant Hugenote Kollege guidelines, procedures, policies and relevant legislative frameworks.
- A register is maintained of all research that has been given ethics clearance.

# 6 RIGHTS AND RESPONSIBILITIES OF RESEARCHERS AT HUGENOTE KOLLEGE

Researchers have the fundamental right to academic freedom and freedom of scientific research.

## 6.1 Integrity in research

- It is the responsibility of the researcher to ensure that he/she does not undertake research without ethical clearance. Researchers may only undertake research that has been approved by an appropriate Ethics Review Committee.

- Researchers should be competent and accountable. They should act in a responsible manner and strive to achieve the highest possible level of excellence, integrity and scientific quality in their research.

- Researchers have a right, as well as an obligation, to refrain from undertaking or continuing any research that contravenes the Policy on Research Ethics, violates the integrity and/or validity of research and/or compromises their autonomy in research. If they feel that the policy or ethical principles are being violated, or that the study is unethical, they must make all possible efforts either to correct or to terminate the research. These would include reporting to the relevant Ethics Review Committee. In the event of failure of remedial measures they must terminate the study or end their involvement in it.

- Researchers should only undertake research that will contribute to knowledge on the subject. They should use resources judiciously and to avoid the unnecessary duplication of research.

- Researchers have a right and a duty to make all necessary efforts to bring the research and its findings or results to the public domain in an appropriate manner and at an appropriate time. The publishing of research findings should be done in a manner that will not harm research participants or their communities.

- Researchers who undertake secret or classified research must comply with all Hugenote Kollege policies, other relevant policies and legislative frameworks.

- Researchers have a responsibility towards those involved in or affected by their work. They should make reasonable efforts to anticipate and to guard against the possibility of their research having undesirable or harmful consequences. They should take reasonable corrective steps when they come across misuse or misrepresentation of their research. They must be prepared to take responsibility and to be held accountable for all aspects and consequences of their research activities.

- Researchers should be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research, including generating and analysing data, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators and others.

- Researchers may not commit plagiarism, piracy, falsification or the fabrication of results at any stage of the research. The research findings should be reported accurately and truthfully, and historical records and study material should be preserved and protected.

- Plagiarism, falsification, the fabrication of results, and scientific misconduct in general are regarded as serious offences. These will be investigated by the relevant Ethics Review Committee and relevant actions taken.

- Researchers may be required to report regularly to the relevant Ethics Review Committee. Any researcher who experiences unexpected adverse events or changes in the research design should inform this committee.

- Researchers should adhere to relevant requirements arising in respect of data curatorship and data management. Whereas the first-mentioned refers to the collection, validation and preservation of data for various purposes, the last-mentioned refers to a broad range of data applications such as data design, re-use, storage and security.

## 6.2 Reporting and publication of research

- Reporting of research findings advances scientific knowledge. Researchers who conduct the study have the right and the duty to publish research findings in scientific journals, books and/or other media. When they agree to delegate this responsibility to other individual(s) or organization(s) they should do so only if they have received a mutually agreed commitment to publish or disseminate the results within an agreed period, with an agreed content and in an agreed manner and with due recognition of the relevant researchers and Hugenote Kollege as institution.

- Where there is a conflict between the advancement of scientific knowledge and the protection of intellectual property (e.g. by way of patents) researchers should endeavor to explain the importance of publishing research to the inventor once the provisional application has been filed.

- If a client/sponsor/funder requires non-publication of research results or requires giving prior approval for the manner and content of reporting, such research proposal may be rejected by the relevant Ethics Review Committee. If the request not to publish is based on strategic or other reasonable grounds, the committee may consider non-publication of results for no more than one year following the completion of research. Input from the relevant college/institute/centre should be sought where there is a request not to publish.
- Research results should be reported irrespective of whether they support or contradict the expected outcome(s).
- Researchers should disclose in their publications the source(s) of funding and sponsors, if any, unless there is a compelling reason not to do so.
- Researchers should in their publications explain the methodology used, and explain how any ethical dilemmas they encountered were resolved.
- The following guidelines should be followed for giving authorship credit while reporting the research in any form:
    - a) Authorship, and its sequence in case of more than one author, should be based on the quantum of contribution made in terms of ideas, conceptualization, and actual performance of the research, analysis and writing of the report or any publication based on the research. Authorship and its sequence should not be based on the status of the individual in the institution or elsewhere.
    - b) All other individuals not satisfying the criteria for authorship, such as communities or community members in the case of community engaged research, but whose contribution made the conduct and completion of research or publication possible should be properly acknowledged.
    - c) A student should be listed as principal or first author on any multiple- authored publication that substantially derives from the student's dissertation or thesis.
    - d) When data or information from other studies or publications is quoted or included, appropriate credit should be given.
- When results are disseminated through the popular media, researchers should endeavor to ensure that media people comprehend the limitations and

implications of research results, and that distortions and misrepresentations in media reporting are minimized.

## 6.2 Peer review

- Sound methodology and scientific validity are the entry points of ethical research. Engaging in research that has fundamental flaws in design and methodology is a waste of human, monetary and other resources. Apart from ethical review, peer (scientific) review is thus an essential part of research. The purpose of peer review is to improve and advance research, and to facilitate observance of ethics. Researchers should be encouraged to subject their own work to such a process.
- Researchers should be encouraged to make themselves available as peer reviewers for research in the fields in which they have adequate knowledge and expertise.
- Peer reviewers should be aware of the ethical aspects of research and publication. They have to act objectively, impartially and constructively.
- If peer reviewers have any actual or potential conflicts of personal or professional interest with the research under review that could jeopardize their ability to undertake the review in a scientific and ethical manner, they should either disclose the same or decline to review the work concerned. In such situations, their decision should be based on the type and severity of the conflict of interest.
- When scientific misconduct or violation of ethics is discovered, the peer reviewer should take appropriate steps to report it to the relevant Ethics Review Committee.

# 7 GUIDELINES FOR COMMUNITY ENGAGED RESEARCH

## 7.1 What is Community Engaged Research

- Community engagement within academia is understood as the scholarly activity of partnering and engaging with communities to exchange mutually beneficial knowledge and resources to the benefit of all. It recognizes that academics will share the privileged domain of "knowledge production" with community members. It blends more traditional forms of knowledge production with "lived experience".

- It is recognised that community engaged research such as community-based participatory research (CBPR) and participatory action research (PAR) are not methods of conducting research but are rather an orientation to research. Community engaged research can involve quantitative, qualitative, or combined data gathering methods depending on the issues under investigation. This orientation emphasizes ownership, participation, access, control and possession by non- academic researchers/communities as values in the process of creating knowledge and change.

- Community engaged research combines knowledge with action and social change.

- Decisions arise from community context and the research foci of the research collaborations and partnerships. Often the collaborative enquiry is a precursor to an intervention or planned activity.

- Although most of the scientific research methods used in PAR are not dissimilar from those used in other approaches, researchers may not be aware of the methods they will need to use until the research begins. Community-engaged researchers can often not anticipate the specific questions they will need to ask and methods they will use before becoming involved with the community of interest as these questions and methods may only be formulated after their entry into the community.

## 7.2 Participatory Action Research

- Researchers need to demonstrate how they foresee the community participating in the identification of the specific issues to be researched.

- Researchers must demonstrate how they will enable community members to contribute their resources to the research, such as local and indigenous knowledges and other pragmatic contributions. In this regard intellectual property rights will have to be negotiated and safeguarded.

- Training community members needs to be considered with the aim of empowering them too.

- The cyclical nature of PAR might require researchers to seek ethical approval for each cycle of the research process if the enterprise is rated as being of moderate or high risk. In low risk interventions, the researcher must undertake in the initial application to ensure that all methods that are chosen will adhere to ethical standards and guidelines. It is understood that the committee cannot evaluate the scientific validity and ethical merit of a protocol that has not yet described its methods.

- Integrity in CER expressed in the researchers' commitment to adhere to the recognised principles of community-engaged research and in honest and ethical conduct and dissemination of findings in the generation of knowledge.

### 7.2.1 Fair subject selection

- Researchers must consider how the selection of certain research participants will aid them in achieving their research goals. It is recognised in community research that some stakeholders may drop out and others may join the project. The same ethical considerations must apply to all participants who form part of the collaborative research enterprise.

- A concerted effort must be made by researchers to consider how the research participants will benefit from the research. They could also consider how the outcomes of the research could have wider applicability.

- Beneficiaries should be directly involved in the research. Researchers need to carefully consider how and at what stages in the cycle the beneficiaries should be involved.

- Barriers must be removed to enable participation by community members. Researchers should consider aspects such as flexibility in scheduling; the need by some participants for childcare; the cost of transport to research sites; etc.

- A researcher must not discriminate in the selection and recruitment of actual or prospective participants by including or excluding them on the grounds of race, age, sex, disability or religious or spiritual beliefs except where these criteria is essential to the purpose of the research.

### 7.2.2 Favourable risk-benefit ratio

- Community-based research is specifically value driven in that in the process of doing research, it can focus on the emancipation of a wide range of exploited or oppressed groups.

- The risks to the participants need to be proportionate to the possible benefits to individual participants or to the community in general.

- The researcher needs to demonstrate how he/she will go about sensitising themselves to the culture and politics of the community.

- Power plays itself out in community politics and research might have political consequences which will have to be mitigated by the researcher. The researcher needs to consider these risks.

### 7.2.3 Informed consent

- Informed consent in community-based research must include the provision of complete information about objectives, risks, and adverse effects on participants.

- Informed consent must indicate the roles and responsibilities of participants and community stakeholders in the project.

- Researchers must provide a fair and just representation of the research. They must caution against the overestimation of the benefits for the community and participants and should caution against formulation being biased to induce a positive answer.

- Agreements must be made regarding the interpretation and ownership of data, authorship and the dissemination of findings and financial accountability.

- The blurring of participant and researcher roles will necessitate special precautions for the protection of confidentiality.

- Procedures should be put in place to ensure that the information provided is understood by participants, communities and stakeholders.

- Researchers should place more emphasis on the information exchange and negotiation process between researchers and potential participants and these should be formalized in an informed consent form.

- Potential research participants should be given the opportunity to discuss their decision with their families or peers.

- Alternative ways to record consent if individuals do not want to sign a consent form but are willing to participate in the proposed research, should be sought. These can include using digital recordings of oral consent or signing a register.

- In cases where the participants refuse or are afraid to sign a consent form or to be recorded, the researcher must keep a written record that participants have been informed, understood and accepted participation in the research but that they declined to sign.

- In some cases, it might be important to obtain consent from respected, traditional or elected community leaders.

### 7.2.4 Community involvement in the research

- Permission for research must be obtained from state authorities where needed but should not be confused with involvement of community bodies.
- A 'functional' community body such as a community advisory board or a community committee should be involved in each research project. This can be an existing body or one created for the specific purpose of the project. At the minimum, the community should be consulted during the planning stage of the research, should be consulted on an *ad hoc* basis while the research is being done, and should be informed in a structured manner at the end of the research about the results.
- Researchers must negotiate the method and particulars (i.e. authorship and co-authorship) of the release/dissemination of data (i.e. scientific journals or popular publications) with the community researchers. Researchers must consider the potential repercussions to the community if data (sensitive or not) is released prematurely or in an insensitive or any other manner.
- Community participation needs to be ensured and it is important to be realistic about time and resource constraints.
- Hugenote Kollege should be careful not to "overuse" a well-engaged community by doing research in that community too frequently. The Community Engagement and Outreach Directorate (DCEO) will keep track of the communities where research and other projects are being conducted.
- Where Hugenote Kollege is providing an intervention as an outcome of any cycle of the research process as sole provider, it should be aware that the community may not feel able to refuse or criticize the results of the research and must guard against this risk.

## 8 RELEVANT LEGISLATION AND POLICY DOCUMENTS

This Policy must be read in conjunction with the following policies of Hugenote Kollege:

Admission Policy
Assessment Policy
Re-assessment Policy

## Acknowledgements and works consulted

Belmont Report (1978) (http://www.hhs.gpv/ohrp/humansubjects/guidance/belmont.htm)
Intellectual Property Amendments Bill of 2010
Protection of Personal Information Act 4 of 2013
Flicker, S., Travers, R, Guta, A., McDonald, S and Meagher, A. 2007. Ethical Dilemmas in Community- Based Participatory Research: Recommendations for Institutional Review Boards. Journal of Urban Health: Bulletin of the New York Academy of Medicine. Vol 84(4): 478-492.
Maiter, S. Simich, L., Jacobson, N. and Wiese, J. 2008. Reciprocity: An ethic for community- based participatory action research. Action Research. Vol 6(3): 305-325.
Schopper, D., Upshur, R, Matthys, F., Sing, J.A., Bandwar, A.A. and Van Dongen, E. 2009. Research Ethics Review in Humanitarian Contexts: The Experience of the Independent Ethics Review Board of Medecins Sans Frontieres. Health in Action. Vol 6(7): 1-6.
South African Human Sciences Research Council Draft Code of Research Ethics http://www.hsrc.ac.za/about/researchEthics/draftCode.html)
Stellenbosch University Framework Policy for the Assurance and Promotion of Ethically Accountable Research (http://www0.sun.ac.za/research/assets/files/Policy_Documents/Framework%20Policy_for_the_Assurance_and_promotion_of_Ethically_Accountable_Research_at_SU.doc)