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# Comparing facility management strategies in public secondary schools in Gauteng: a comparative case study of former Model C schools and previously disadvantaged schools in South Africa

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**PROTOCOL NUMBER (for office use only):** _____

University of the Witwatersrand, Johannesburg

***Ethics Application Form* for *Human Research Ethics Committee (HREC Non-Medical)***

(Revised December 2012)

Use this form in applying for clearance of research involving human participants

Instructions

1. Completed applications must be submitted to the Research Office approximately three weeks before each of the monthly meetings. The deadlines are available on the Wits Research website http://www.wits.ac.za/academic/research/ethics.htm/7075/ethics.html
2. Applications must be submitted as hard copies, one of which must be an original (see checklist below for numbers of copies required). Electronic submissions will not be accepted.
3. All submissions and materials must be typed. Handwritten submissions are **NOT** acceptable.
4. Incomplete applications will **NOT** be considered.
5. Applications will **NOT** be processed if signatures from applicant or supervisor are missing.
6. Photocopying should be done 'back-to-back' to save paper.
7. Glossy and fancy binding is **NOT** necessary.
8. Necessary supporting documents (e.g. *Participant Information Sheet, Consent Form*, copies of instruments), must be stapled to the *Ethics Application Form*.

**Complete this checklist to show what documents you have submitted.**

## Check list

**No. of copies required**

**For all research:**

| ☑ | | |
|---|---|---|
| | Completed *Ethics Application Form* | 15 |
| | Copies of the research proposal | 4 |
| | Copies of proposed research instruments (e.g. questionnaires/interview schedules) | 4 |
| | *Participant Information Sheet* (for each different sample group) | 4 |
| | *Consent Form* [*Assent Form* for under 18s] (for participant's signature) (for each different sample group) | 4 |

**Where applicable (Attach to this form):**

| | | |
|---|---|---|
| | Relevant permissions (from, e.g. company's HR department, National authorities such as Education, Correctional Services, etc.) or other legally required consent | 4 |
| | Any other appropriate consent forms (e.g. consent forms for members of focus groups, consent forms (for video or photography), etc. | 4 |
| | Guardian *Consent Form* (for participants under the age of 18) | 4 |
| | Other (please specify) | 4 |

## *Declaration*

I recognise that it is my responsibility to conduct my research in an ethical manner according to Guidelines of the University of the Witwatersrand, according to any laws and/or legal frameworks that may apply, and according to the norms and expectations of my discipline.

In preparing this Application for Ethics Clearance form, I have consulted the ***Guidelines for Human Research Ethics Clearance Application /non-medical*** (available on this web site http://web.wits.ac.za/Academic/Research/Applications.htm) and have familiarised myself with the ethical guidelines specific to my discipline.

Signature _____

Name of researcher/applicant LUNGILE DUDUZILE NKUTA

## 1. Researcher's personal data

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Surname:NKUTA | | | | | Name:LUNGILE DUDUZILE | | | | | | |
| Title: | [ ] | Prof | [ ] | Dr | [ ] | Mr | [X] | Ms | [ ] | Mrs | [ ] Other: |
| School: | CONSTRUCTION ECONOMICS AND MANAGEMENT | | | | | | | | | | |
| Staff / Student number: | | | | | | | [ ] | Full time | [X] | Part time | [ ] Staff |
| Your telephone(s): | 072 412 0191 | | | | | | | | | | |
| YourEmail:LUNGILE.NKUTA@GMAIL.COM | | | | | | | | | | | |
| Name of Supervisor (if applicable): | DR STEPHEN ALLEN | | | | | | | | | | |
| Supervisor's email address: | STEPHEN.ALLEN@WITS.AC.ZA | | | | | | | | | | |
| Supervisor's tel. number(s): | | | | | | | | | | | |

## 2. Specifics about the research project

**Title of research project**

Comparing facility management strategies in former model c schools and previously disadvantaged schools in South Africa.

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Is this research for degree purposes?** | [X] | **Yes** | [ ] | **No** | | | |
| **If so, for what degree?** | [ ] | **Honours** | [X] | **Masters (dissertation)** | [ ] | **Masters (research report)** | |
| | [ ] | **PhD** | [ ] | **Other (specify):** | | | |
| **Has it been approved by the relevant higher degrees committee or other relevant unit?** | [ ] | **Yes** | [X] | **No** | [ ] | **Submitted & pending** | |

**List the names and affiliations of any *additional* researchers who will be covered by this ethics protocol**

**Where will the research be carried out?**

**In secondary schools in the Gauteng area**

**What are the aims and objectives of the research?** (Please list; be brief)

- **To determine the Department of Basic Education guidelines for maintaining school facilities.**
- **To establish the FM strategies or guidelines which allow schools to operate successfully.**
- **To establish whether there are replicable FM strategies that can be applied to other struggling schools.**

**Do you have any financial or material interest associated with your research participants or with the organisations that you will work with during your research?**

| | | | | | |
|---|---|---|---|---|---|
| [ ] | Yes | [x] | No | [ ] | Potential conflicts of interest may exist |

| Please explain how you will manage any existing or potential conflicts of interest, if applicable. |
| --- |
| |

## INFORMATION RELATING TO ETHICAL MATTERS

*Protocols submitted to the Committee must have sufficient information to enable the committee to judge the ethical implications of the proposed research. Please be brief and concise but also as specific and informative as possible*

### 3. Formal permission

**Has appropriate formal permission been obtained, if required (e.g. employer, government department, land owner, etc.)?**

| | | | | | |
|---|---|---|---|---|---|
| x | Yes (attached) | | Not required | | Pending (must be supplied before permission is granted) |

Obtaining permission is necessary when conducting research *within the premises* of a particular site such as an ethnography of the functioning of a supermarket or a school, or the way staff interact with clients in a clinic, or of how the HIV Unit in the City of Johannesburg functions. Please read the detailed guidelines on the Ethics website http://web.wits.ac.za/Academic/Research/Applications.htm

### 4. How will data on human research participants be collected (instruments, methods, procedures)? (Attach instruments as an appendix)

| | |
|---|---|
| x | In written format (e.g. questionnaires, diagnostic tests, etc.) |
| | Completion of on-line instruments (e.g. questionnaires) |
| x | Individual interviews (e.g. structured, semi-structured, etc.) |
| | Group interviews (e.g. seminar/discussion groups, focus groups, etc.) |
| x | Ethnographic observation, participant observation, other informal descriptive, and/ or interactive methods |
| | Community-based methods or techniques such as drama workshops, community theatre, training workshops, participant rural appraisal (PRA), rapid rural appraisal (RRA), etc. |
| | Research on/in therapeutic or counselling contexts |
| | Observation of public performance, and/or public behaviour observation |
| | Photography, video and/or audio recording (**specific separate consent forms may be required**) |
| | Other research methods or techniques (specify in this line). |

**Brief details of instruments to be used** (attach instrument or draft to this application)

Questionnaires and interviews

### 5. Who will the research participants be?

Brief description of human participants, including age range and sample size, for each sample:

Secondary school principals. Tetelo Secondary, Reasoma Secondary, Sir John Adamson, Mondeor High School

| | | | | |
|---|---|---|---|---|
| Does this research expose either the participant or the researcher to any potential risks or harm that they would not otherwise be exposed to? | | Yes | x | No |

If 'yes', explain:

| | | | | |
|---|---|---|---|---|
| Will research involve vulnerable categories? | | Yes | x | No |

If so, state which ones:
Injustices of the past

How will any existing vulnerabilities among research participants be addressed?
.

NB: The term 'vulnerable categories' includes, among others, children under 18, orphans, prisoners, persons with cognitive or communication disorders, people who are traumatised or currently in traumatic situations.

Where necessary, include details of steps to be taken to facilitate data collection across language barriers (e.g. interpretation or translation).

## 6. How will informed consent be obtained?

How will potential participants be identified / selected / recruited?
Through a stratified sampling method

What will participants be told about the research (including the promises to be made)?
Copy of research report will be submitted to the Gauteng Department of Education

How will informed consent be obtained?

| | | | | | |
|---|---|---|---|---|---|
| [X] | Formal (Signed form) | [ ] | Informal (e.g. verbal) | [ ] | Other |

Briefly explain your strategy for ensuring informed consent
**Letter sent to the Gauteng Department of Education and letters sent to the school principals**

**Attach *Participant Information Sheets* and *Consent Forms* for each sample group, and/or other related materials**

NB: *Consent* in social science and humanities research involving human participants. Where informal ethnographic or participant observation methods are used, or where signed *Consent Forms* are not possible, or for research involving group contexts (focus group, Participant Rapid Assessment, Rapid Rural Appraisal, public performance, workshops) **state how the quality of informed consent will be assured**. It is essential that participants in research be fully informed and agree, on this basis, to participate in the research.

## 7. Protecting participant identities

| | | | | |
|---|---|---|---|---|
| Can **confidentiality** be guaranteed? | [x] | Yes | [ ] | No |
| Can **anonymity** be guaranteed in resulting reports, theses and/or publications? | [ ] | Yes | [x] | No |

**Explain** how this will be done? (What will participants be told in this regard?)
Area of school will be identified as it is crucial for the purposes of this research.

NB: While confidentiality may be desirable, it cannot be guaranteed in, for example, focus groups, or ethnographic observation. Similarly anonymity should be preserved in questionnaires, but cannot be offered in workshop methodologies, focus group research, etc. Participants should have the right to remain anonymous in the final report, and this must be respected in handling of all data relating to them. Participants need to be informed about these issues.

## 8. Protection of data during and after the research

How will the data be protected while the research is in progress? (This includes how the identities of participants will be protected). School names can be hidden from the research report.

What is to be **done with the research data** after completion of the project?

| | | | |
|---|---|---|---|
| [x] | Stored in archives (specify)DOE archives | [ ] | Stored in on-line data base (specify) |
| [ ] | Stored in password protected computer | [X] | Stored in digital form with all identifying feature removed |
| [ ] | Destroyed after … years (insert numbers of years) | | |

Explain how the data will be securely stored during this time

NB: 'Raw' or unprocessed data, especially **where the identity or personal data of research participants is included, must be safeguarded** and preserved from unauthorised access. Data may be destroyed after use, but **preservation in an archive or personal collection** may also be appropriate, desirable or even essential. For instance, data sets that contain **historically important information** or information that relates to **national heritage** must be preserved and should be placed in a public archive where possible and appropriate. All data should be preserved in a way that **respects the nature of the original participants' consent**. If you are unsure about the procedure of data management and storage, please contact Nina Lewin (ninalewin@gmail.com)

| 9. Access to the research results / reports |
|---|
| How will the results be **reported**? Dissertation |
| Who will have access? Gauteng Department of Education and the University of the Witwatersrand |

Note: All Wits Masters and PhDs are stored in the main library as well being made available on the www.

## SIGNATURES (REQUIRED)

**In signing this form, the researcher and supervisor (if any) of this project undertake to ensure that any amendments to this project that are required by the Human Research Ethics Committee are made before the project commences.**

***Declaration:** We, the signatories, declare that all information on this form is correct and that we will strive to maintain the highest ethical standards in this research at all times, according to disciplinary and university expectations, recognising that ethical practice in research is always a continuing process.*

| | Date | Name | Signature |
|---|---|---|---|
| Applicant | 7.11.2013 | LUNGILE NKUTA | |
| Supervisor | 10.11.2013 | STEPHEN ALLEN | |