African Leadership Centre

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KING'S College LONDON

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| ALREC Protocol No: **ALCREC-03-2021** |
| Date: rec'd |

# African Leadership Centre Research Ethics Committee (ALCREC)

## APPLICATION FOR RESEARCH PROJECT

***The application and all accompanying documents will have to be printed out, authorised, and copies sent to the following ALCREC address: African Leadership Centre, P.O Box 25742 (00603) Nairobi, Kenya. The application form and appendices must also be sent to alcrec@africanleadershipcentre.org in one electronic file.***

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| a. Low Risk | ☒ |
| b. High Risk | ☐ |

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| a. | Name of applicant | Shuvai Nyoni (Principal Investigator) |
| b. | Email address | shuvai.nyoni@africanleadershipcentre.org |
| c. | Contact address | P.O. Box 25742-00603 Nairobi |
| d. | Telephone number | +254 020 3870225 |
| e. | Status | ☐ Undergraduate<br>☐ Taught Postgraduate<br>☐ MPhil/ PhD/ Specialist Doctorate<br>☒ Project Staff |

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| a. | Project Title | **Universities, the ramifications of science systems and women's leadership of higher education institutions in Africa** |
| b. | Start date of the project (this should be when you intend to start working with participants) | **July, 2021** |
| c. | Expected completion date of the project | **30 November 2021** |
| d. | Sponsoring Organisation | **The African Leadership Centre Trust (ALC)** |
| e. | Funding Organisation | **The International Development Research Centre (IDRC)** |
| f. | Will the study place the researcher(s) at any risk greater than that encountered in his/her daily life? (e.g., interviewing alone in dangerous circumstances). If yes, please confirm that you have completed a risk assessment. | ☐ **Yes**<br>☒ **No** |
| g. | Does the project involve human subjects and require ethical approval? Please note it may be the case that research does not involve human participants yet raises other ethical issues with potential social or environmental implications. In this case you should still apply. Please consult with the Research Ethics Committee-if in doubt. | ☒ **Yes**<br>☐ **No** |

| | | **Yes** | **No** |
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| a. | Does the study involve participants who are particularly vulnerable or unable to give informed consent or in a dependent position (e.g., vulnerable children, people with learning difficulties, your own students, over-researched groups, or people in care facilities)?<br>Please note: Important social considerations may relate to research projects involving children. | ☐ | ☒ |
| b. | Will the participants be asked to take part in the study without their consent or knowledge at the time or will deception of any part be involved (this might, for example, be the covert observation of people in non-public places)? | ☐ | ☒ |

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| c. | Is there a risk that the nature of the research project might lead to disclosures from the participant concerning his or her own involvement in this (e.g., sexual activity, drug use, death or illegal activity)? | ☐ | ☒ |
| d. | Could the study induce psychological stress or anxiety, or produce humiliation, or cause harm or negative consequences beyond the risks encountered in normal life? | ☐ | ☒ |
| e. | Will financial inducements (other than expenses) be offered to participants? If so, please state the amount of financial inducement being offered. | ☐ | ☒ |

Please give a brief outline of the principal project aims and objectives of your project.

**Project overall goal:**

To build new knowledge that leads to a significant increase in women's leadership with a vision of transforming African university systems; with an institutionalized framework for inclusive leadership development; and a recognizable cohort of aspiring women leaders in the select African universities.

**Specific project objectives:**

i. To generate context-specific knowledge that contributes to a more robust understanding of existing leadership capacity building and learning opportunities for women leaders in universities with a view of strengthening science systems in Africa.

ii. To institutionalize a leadership development program for women on administrative and academic pipelines in select African universities.

iii. To facilitate the development of a visible network (cohort) of women leaders engaged in collaborative visioning and problem-solving in African universities.

**5.1 PARTICIPANTS (including how many you envisage will participate, who they are and how they will be selected)**

This research project will work with university leaders (authorities), oversight commissions of higher education, Ministries of Education, and other stakeholders to promote evidence-based analysis and interventions that promote women leadership development in science systems in Africa. This project will work with different categories and generations of aspiring women leaders in African universities, including early, mid-career, and senior women scientists, innovators, and researchers. The target women will be supported through training, mentoring, and networking opportunities.

**5.2 RECRUITMENT (how will participants be (i) identified, (ii)approached and (iii) recruited?**

**5.3 METHOD (e.g., interview, questionnaire, field observation, audio/audio-visual recording)**

**5.4 LOCATION (where the work will be carried out e.g., public place, in researcher's office, in private office at organisation)**

**6.1 INFORMED CONSENT** (Please describe the process that will be used to ensure that participants are freely giving fully informed consent to participate. This will always include the provision of an information sheet and will normally require a consent form unless it is a purely questionnaire-based study or there is a justification for not doing so (this must clearly stated).

**The participants of the study will be provided with an information sheet describing the project as well as the nature and scope of their participation. Further, participants will also be provided with a consent form on which to sign and confirm their voluntary participation and/or will be asked for verbal consent during interviews and focus group discussions, which will also be captured in the audio recording and the transcribed material.**

**6.2 RIGHT OF WITHDRAWAL** (Participants should be able to withdraw from the research at any time. Participants should also be able to withdraw their data if it is linked to them and should be notified when withdrawal is no longer possible e.g., once it is included in the final report. Please describe the exact arrangements for withdrawal from participation and withdrawal of data depending on your study design)

**Participants are free to withdraw from the study at any point should they feel so. They also have a right to withdraw any data associated personally with them. However, the right of withdrawal is not possible once the final project (containing the data/information they wish to withdraw) has already been prepared.**

**6.3 STORAGE OF RESEARCH DATA**

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| I confirm that research records will be held securely and in accordance to the relevant data protection laws | ☒ Yes ☐ No |

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| I confirm that I will authorize the clean up of any project recordings upon completion of the research project or will make use of the Copyright and Custody Form (see section 9) | ☒ Yes ☐ No |

If you answered No, to any of the above please indicate why and outline the alternative arrangements you will put in place.

**6.4 CONFIDENTIALITY AND ANONIMITY OF PARTICIPANTS**

**The research team shall endeavour to maintain utmost confidentiality of data collected and anonymity of all the participants. Names and other identifiable information will be removed upon during analysis, interpretation and reporting. Information related to institutional affiliations, where it is evident that the respondent's anonymity is not guaranteed will also be kept off the project outputs.**

**6.5 SENSITIVE NATURE OF DATA** (Where data to be accessed is deemed to be sensitive, please outline why you believe this to be the case, and any associated ethical issues you feel this might raise. Provide details as to the procedures and protocols in place to address these issues if your data is security sensitive. If you answered YES to anything in section 3, you must address this here, if you answered NO, carefully consider whether there are any other ethical issues you should be covering here.

[redacted]

☒ Yes ☐ No

If yes, please give further details including the name and address of the organisation. If other ethical approval has already been received, please attach evidence of approval, otherwise you will need to supply it when ready.

1. National Commission of Science Technology & Innovation (NACOSTI) permit (Kenya)

[redacted]

I confirm that I will be making the no-fault compensation scheme available to all participants.

☐ Yes ☒ No

If yes, please remember to add this clause to the information sheet to participants: "If this study has harmed you in any way, you can contact the African Leadership Centre Trust using the details below for further advice and information." If No, please remember not to include or to remove the above clause from the information sheet.

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| 9.1 Will travelling expenses be provided? If yes, this should be included in the information sheet. |
| ☐ Yes ☒ No |
| 9.2 Is any reward, apart from travelling expenses to be given to participants? If yes, please provide details and a justification for this. It is recommended that participants are informed of the compensation on the information sheet. |
| ☐ Yes ☒ No |

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| 10.1 Confirm that all processing of personal information related to the study will be in full compliance with data protection principles. |
| ☒ Yes ☐ No |
| 10.2 What steps will be taken to ensure the confidentiality of the information (Give details of anonymisation procedures and of physical technical and security measures. Please note, to make data truly anonymous, **all information** that could potentially identify a participant needs to be removed including names). |
| **To anonymise information, personal identification information will be replaced with codes that only the project team can decipher. For instance, when conducting focus group discussions, respondent names will be replaced with codes such us Respondent 1, Respondent 2, etc., which the moderator will use to call out the participants through out the session. Personal information collected through interviews will also be coded during the data entry stage. In addition, any soft copy data collected during the project life cycle will be stored in the ALC Datalab, in password protected files accessible only to relevant project team members. Any hard copy research data or information will be kept in a safe at the ALC Nairobi Office.** |
| 10.3 Who will have access to personal information related to this study? (confirm that any necessary wider disclosures of personal information, for instance, to colleagues beyond the study team, translators, transcribers etc., have been properly explained to participants. Further guidance on the above issue can be found on the following link. |
| **Personal information will be accessible to selected project staff members, and will be made available on need-basis, through written authorization from the project coordinator. Any third parties beyond the project team requesting access to personal information will have to write to the Principal Investigator to authorize the project coordinator to grant access. Moreover, third parties such as transcribers who will have access to project data will be required to sign a non-disclosure agreement as part of the ethics clause included in their contracts.** |

10.4 Data and records management responsibilities during the study. The Principal Investigator is the named researcher for staff projects and supervisor for student projects.

☒ Yes ☐ No

Further provide a **specific physical location** at which research data will be **stored** during the study.

**Hard copy research data and information will be stored at the ALC Office (Lavington, Naiorobi).**

10.5 Data management and responsibilities after the study.

**State for how long study information (including research data, consent forms and administrative records) will be retained for:**

**Soft copy research information will be stored indefinitely in the ALC DataLab, which is a virtual platform for purposes of institutional memory. Hard copy information will be stored for a period of 10 years upon project completion, after which it will be destroyed.**

State in **what format(s)** the information will be retained (for example, as physical and/or electronic copies).

**Research data will be held in physical or electronic formats or both, depending on the type of information at hand.**

State the **specific location** where the data will be stored (for example, within the ALC)

**The physical data and study material will be stored at the ALC Nairobi office.**

See the information management pages of the website for further guidance on how research data should be managed and during and after your project.[1]

**NB: Any personally identifiable data that is held on any mobile device should be encrypted. This includes data that is stored in USB keys, laptops/notebooks, desktop computers, smart phones, tablets, workgroup servers and relevant emails:**

In addition, confirm whether the storage arrangements comply with relevant data protection laws and the ALC guidelines.

☒ Yes ☐ No

Will data be archived for use by other researchers?

**No** ☐

**Yes (in anonymised form)** ☒ If you intend to retain or share anonymised data with other researchers, you must make this clear in the information sheet.

[1] *The data will be hosted in electronic format on the ALC Datalab. The stored data needs to conform to the relevant data protection laws. For purposes of this policy, the ALC has adopted its core partner, King's College London.*

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| **Yes (in identifiable form)** ☐ If you intend to retain identifiable data with other researchers, you must ensure that these arrangements are detailed in the information sheet and that explicit participant consent to do so will be obtained. |
| 10.6 Dissemination (please explain in detail the dissemination plans) |
| **Dissemination of research project information will be done mainly through project outputs which include: the mapping exercise report, a women's leadership training (capacity building) curriculum, policy briefs, journal articles, op-eds, and the final project reports. The project findings will also be shared in a workshop bring together key stakeholders in the higher education pace in Africa during the final year of the project.**<br><br>Other ethical issues related to dissemination: **None.** |

I undertake to abide by the accepted ethical principles and appropriate code(s) of practice in carrying out this study and I understand that research with human participation must not commence without full approval from the ethics committee. I confirm that personal data will be treated in the strictest confidence and not passed on to others without the written consent of the participant. The nature of the investigation and any possible risks will be fully explained to intending participants and they will be informed that:

(a) They are in no way obliged to volunteer
(b) They may withdraw from the study at any time, without disadvantage to themselves and without feeling obliged to give any reason

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| Applicant Signature | Date: |
| Supervisor Signature | Date: |

**Please tick which supporting documents accompany your application**.

☐ All applications should be accompanied by an information sheet.
☐ All applications should be accompanied by a consent form.
☐ Recruitment materials (e.g., poster, letter, recruitment email).
☐ Questionnaire/Topic Guide/Interview Questions
☐ Letter of ethical committee approval or other approvals