UNISA PRFOESSIONAL RESEARCH COMMITTEE RESEARCH ETHICS WORKGROUP (PRC\_REW)

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| FORM 2: 2017  RESEARCH ETHICS APPLICATION FOR RESEARCH INVOLVING SECONDARY DATA |

If you have any questions about or require assistance with the completion of this form, please contact the Research Ethics Administrator of the PRC\_REW (PARC@unisa.ac.za), or the Chair, Dr Angelo Fynn (fynna@unisa.ac.za)

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| --- | --- | --- |
| **IMPORTANT:**  **IF YOU ANSWERED ‘YES’ PLEASE STOP COMPLETING THIS FORM AND REFER TO APPLICATION FORM 1.** | | |
| The proposed study will involve human participants directly through | **YES** | **NO** |
| * Interaction or intervention with living individuals |  |  |

NOTE: For research that involves direct human participant involvement or a combination of direct human participant involvement and the collection of secondary information, complete Form 1.

For research that involves NO human participant involvement, complete Form 3.

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| --- | --- | --- |
| For applicant use  *\*This section is needed for record keeping.* |  | |
| DATE SUBMITTED TO URERC |  | |
| PREVIOUS APPLICATION NUMBER  *(Applicant to indicate a previously allocated application number in case of a resubmission if applicable)* | **Previous Application Number** | **Not applicable** |
|  |  |

***\*This section is for office use only.***

|  |  |
| --- | --- |
| APPLICATION NUMBER |  |
| DATE PROCESSED (submitted to reviewers) |  |
| RISK LEVEL *(low, medium or high)* |  |
| TYPE OF REVIEW (expedited or full committee review) |  |
| AGENDA DATE  *(For expedited transactions, the agenda date is the date the expedited approval gets reported or ratified at the convened ERC)* |  |
| DECISION OF PRC\_REW (approved, referred back, disapproved) |  |
| DATE OF ISSUING APPROVAL CERTIFICATE OR FEEDBACK LETTER |  |
| **Period for which approval is valid**  **(Valid only as long as approved procedures are followed)** |  |

**PRIVACY INFORMATION:**

The information you provide on this form is collected for the primary purpose of assessing your research ethics application. This information will also be entered into a database to assist with administration, correspondence, and statistical analyses. These records are accessed by the Unisa Professional Research Committee Research Ethics Workgroup office bearers and members of committee. Records will be made available to authorised third parties should the need arise. All records are kept in a manner that will ensure confidentiality and secure indefinite storage after the expiry of the term of approval. Although this information is not usually disclosed to other individuals, there may be some circumstances that require the information to be disclosed.

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| **RESEARCHER’S DECLARATION TO ADHERE TO THE UNISA CODE OF CONDUCT REGARDING THE ETHICS OF THE PROPOSED RESEARCH** |

**By signing below, I**        **(full name of the main researcher) I declare as follows:**

|  |  |  |
| --- | --- | --- |
| 1. I completed all the sections of this form that are relevant to the proposed research study. |  | Agree |
| 1. I have acquainted myself with UNISA’s code on research ethics expressed in the UNISA Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment. I shall fully comply with it. |  | Agree |
| 1. I shall conduct the research in strict accordance with the approved proposal. I acknowledge that the approval is valid as long as approved procedures are followed. |  | Agree |
| 1. I shall notify the PRC\_REW in writing if any changes to the research are proposed that may affect any of the study-related risks for the research. |  | Agree |
| 1. I shall maintain privacy and the confidentiality of records pertaining to the research. |  | Agree |
| 1. I shall not use the research and information in a manner that is detrimental to individuals or institutions unless it can be scientifically justified. |  | Agree |
| 1. I shall store research data securely and in accordance with the data management measures indicated in my application/proposal. |  | Agree |
| 1. I shall uphold research integrity and refrain from conduct that may taint the integrity of science, including, but not limited to plagiarism, fabrication and falsification of data. |  | Agree |
| 1. I shall refrain from the use of human participant data that was collected without a valid research ethics approval for the purpose of this research (retrospective use of participant data). |  | Agree |
| 1. I shall take the necessary steps to warrant that co-researchers, if applicable, familiarise themselves with the Unisa Policy on Research Ethics. |  | N/A  Agree |

Signing of declaration \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name in Print \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date signed \_\_\_\_\_\_\_\_\_\_\_\_

**Please complete the rest of the form below.**

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| **SECTION 1: RESEARCHER’S DETAILS** |

***\*This section should be fully completed to aid with the issuing of the clearance certificate and for sound administrative procedures\****

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| --- | --- |
| **1.1** | **Details of main researcher (referred to as the applicant).** |
| Title |  |
| Full Name |  |
| Staff No |  |
| Department/Unit |  |
| Contact number | Work no Mobile no |
| Email address |  |
| Abridged CV of main researcher  (Attach an abridged CV relevant to the proposed research here) | Please insert an abridged CV with the following information:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs |

***\*Please provide information of additional researchers if applicable***

|  |  |
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| **1.2** | **Internal and/or External Co-Researcher(s) \***  **\*** if applicable |
| Title |  |
| Full Name |  |
| Staff no |  |
| Department/Unit |  |
| Contact numbers | Work no Mobile no |
| Email address |  |
| Abridged CV of co-supervisor  (Attach an abridged CV relevant to the proposed research here) | Please insert an abridged CV with the following information:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs |

***\*Please provide information of additional researchers if applicable***

|  |  |
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| **1.3** | **Supervisor\* if the application is made by a student.**  **\*** if applicable |
| Title |  |
| Full Name |  |
| Staff no |  |
| Department/Unit |  |
| Contact numbers | Work no Mobile no |
| Email address |  |
| Abridged CV of co-supervisor  (Attach an abridged CV relevant to the proposed research here) | Please insert an abridged CV with the following information:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs |

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| **SECTION 2 – DETAILS OF PROPOSED RESEARCH** |

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| 2.1 | Type of application (more than one option may apply)  *Place x in box [if other, provide details in the space allowed for comments]* | | | |
| Postgraduate student research | |  | Collaborative research |  |
| Staff application for non-degree purpose (journal articles; conference presentations etc.) | |  | Community Engaged Research |  |
| Research and Development (R&D) Leave | |  | Other |  |
| **Justify why you deem this a CE research project OR collaborative research project:** | | | | |
| **Please indicate the qualification for which ethical clearance is requested for postgraduate student research:** | | | | |

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| **2.2** | **Title of the Research Project** |
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| **2.3** | **Provide a proposal summary in approximately 500 words. [This requirement should be met by all applicants]**  **[Research problem, aim, anticipated outcomes and research design in nontechnical language]**  **\*\*Please note that postgraduate student must append a proposal that has received prior approval from a relevant Higher Degrees/Scientific Review Committee to this application\*\*** | |
|  | | |
| **2.4** | | **Append the letter of proposal acceptance to this application if applicable (this is relevant to all postgraduate degree students)** |
|  | | |  |  | | --- | --- | | **YES** |  | | **NO** |  | | **Not applicable** |  | |

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| **SECTION 3 – DETAILS OF THE DATA** |

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| 3.1. | **Identify the nature of the data (Archival sources, statistical data, reports, prior collected research data)** |
|  | |
| 3.2 | **What is the origin/source of the research data? For what purpose was the data originally collected?** *This assists an ethical reviewer in determining whether the sources can raise ethical concerns.* |
|  | |
| 3.3 | **Are the sources of the research data in the public domain?**  *Some public sources are obvious, e.g. the internet, World Bank, IMF, stock exchanges, national statistical offices databases, etc. However, for those which are not well-known the researcher must provide evidence.*   |  |  | | --- | --- | | **YES** |  | | **NO** |  |   **Provide evidence if applicable (i.e. link to website)** |

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| --- | --- |
| 3.4 | **If the data are not in the public domain, what are the conditions for access?**  *Access to data could be restricted, e.g. sharing of data with other researchers, where permission should be obtained. Some data could be purchased or subscribed to by paying a fee.* |
| **Details of obtaining data:** | |
| 3.5 | **Does the database or secondary data set contains any personal information/identifiers? [This information relates to the anonymity of data/ confidentiality of the data]**  *Databases such as credit bureaux, utility companies’ databases, etc. contain personal information which might be an ethical concern.*   |  |  | | --- | --- | | **YES** |  | | **NO** |  | |
| If yes, identify the type of personal information/identifiers (first and second names, age, gender, occupation, identity number, student or employee number) | |
| 3.6 | **If the database or secondary data set does contain personal information, do you have evidence that the data to be provided to you have been anonymised?**  *This question is critical in determining as to whether elaborate ethical clearance procedures are warranted.*   |  |  | | --- | --- | | **YES** |  | | **NO** |  | | **Not applicable** |  | |
| **Comment / justification:** | |
| 3.7 | **In the case of a private database or data set, does it contain information on private firms/organisations for which permission is required?**  *Generally, public and listed firms’ information is in the public domain. Private firms normally want to keep their data confidential, the very reason they chose to remain private. Hence, it would be unethical to use their data without permission.* |
| **Please provide evidence of permission:** | |
| 3.8 | **Will the shortcomings/incompleteness of the data be reported?**   |  |  | | --- | --- | | **YES** |  | | **NO** |  | |
| 3.9 | **How are the limitations of the data going to be reported?** |
|  | |
| 3.10 | **Are the research methodology and the research design in line with the answers of the preceding questions?**  *Researchers may articulate that they will use secondary data analysis but a closer look to their research proposals will point to mixed methods where collection of data involving humans is partly envisaged.* |
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| 3.11 | **How are the original owners of the data going to be recognised/referenced/ acknowledged/cited?** |
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| SECTION 4: ETHICAL CONSIDERATIONS |

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| 4.1 | **Was ethical clearance granted for the original data gathering phase by this/other research ethics committee?**  *This question is critical in determining as to whether the original data were gathered in an ethical manner.*   |  |  | | --- | --- | | **YES** |  | | **NO** |  | | **UNKNOWN** |  | | **NOT APPLICABLE** |  | |
| **Comment / justification:** | |
| 4.2 | **Did the participants in the original study grant permission for future use of the data?**   |  |  | | --- | --- | | **YES** |  | | **NO** |  | | **UNKNOWN** |  | | **NOT APPLICABLE** |  | |
| **Comment / justification:** | |
| 4.3 | **Please provide details of the safekeeping, de-identification and preservation of data, including the duration of preservation. If the data will not be preserved, indicate how it will be destroyed and after how long.** |
| **Comment / justification:** | |

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| SECTION 5 – RISK ASSESSMENT |

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| * 1. **The study presents:** |

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| --- | --- |
| **5.,1.1 Negligible risk** |  |
| **5.1.2 Low risk** |  |
| **5.1.3 Medium risk** |  |
| **5.1.4 High risk** |  |

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| --- | --- |
| **5.2 Briefly justify your choice/classification**   |  | | --- | |  | |
| * 1. **In medium and high risk research, indicate the potential benefits of the study for the research participants and/or other entities.** |
| * 1. **In medium and high risk research, indicate how the potential risks of harm will be mitigated by explaining the steps that will be taken to minimise the likelihood of the event occurring (e.g. referral for counselling, debriefing, etc.).** |

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| SECTION 6 – CHECKLIST |

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|  | **Checklist of Documents** | **YES** | **NO** |
| |  |  | | --- | --- | | *Not applicable* |  |   *Place an ‘x’ in the box provided* | | | |
| a) Proof of registration | |  |  |
| b) Proposal | |  |  |

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