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| FORM 4: 2017  RESEARCH ETHICS APPLICATION FOR RESEARCH INVOLVING SECONDARY DATA |

**PLEASE STUDY THE FOLLOWING BEFORE COMPLETING THE APPLICATION**

**INFORMATION FOR APPLICANTS**

1. This template [© 2017] is the official application form that must be used by employees and students of the Graduate School of Business Leadership (SBL) to apply for research ethics clearance when using secondary data.
2. Study the Unisa Policy on Research Ethics before completing this application:

http://staffcmsys.unisa.ac.za/cmsys/staff/contents/departments/res\_policies/docs/Policy%20on%20Research%20Ethics%20-%20rev%20appr%20-%20Council%20-%2015.09.2016.pdf

1. Study the Unisa Policy for conducting research involving Unisa employees, students or data (2013) to obtain information about acquiring permission from the Research Permissions Subcommittee of the Senate Research, Innovation, Postgraduate Degrees and Commercialisation Committee (SRIPCC) to do research that involves Unisa employees, students and/or data if applicable. Please note that permission should be obtained from the RPSC of the SRIPCC after ethical clearance has been obtained. The clearance certificate should be appended to the RPSC application.

5.5 **To apply for permission from the RPSC of the SRIPCC to conduct research involving Unisa Employees, Students or Data use RPSC form available at** [**https://staff.unisa.ac.za/secure/index.jsp**](https://staff.unisa.ac.za/secure/index.jsp)(This application form should be submitted to Ms N Motloi, motlonc@unisa.ac.za 10 days prior to the SRIPCC meeting).

1. The Unisa policy on research ethics (2014) does not apply retrospectively. If data collection has already started or is in progress the research ethics review committee (RERC) will not consider the application.
2. **Late submissions to the SBL RERC cannot be accepted.** Late submissions will stand over to the next SBL RERC review meeting.
3. Sometimes the application can be moved to the following meeting if the matter cannot be handled at a set meeting.
4. The SBL RERC will evaluate the ethical soundness of the application. **Ethical soundness relates to scientific quality of the study.**
5. On submission, a research ethics clearance number will be allocated to the research project. This number should be used in all communications about the project with the SBL RERC.
6. The application form and supporting documents will enter a pre-approval phase where the research ethics chairperson or secretary will review the application for technical quality and ensure that all sections are complete where after it is submitted for review according to the Unisa Standard Operating Procedure on Research Ethics Risk Assessment.
7. The applicant will be notified of the outcome of the application within two weeks after the meeting.
8. Decisions reached by the SBL RERC could be (see Annexure A of the policy section 9.8):

* Approved
* Referred back – requires modification, further information or clarification
* Disapproved with reasons.

1. Expedited review is possible for Masters proposals which meet the criteria for negligible or low risk research projects (Category 1 and 2). The chairperson may assist with the expedited review or nominate three or more members to review the application based on the anticipated risk of the study.
2. If the application was referred back, respond to the committee’s feedback within a month of receiving the formal feedback. A memorandum should accompany the revised application. All amendments should be clearly highlighted in the revised application form and supporting documents. The application will be removed from the SBL RERC’s agenda if no feedback is received within 3 months.
3. Doctorate students to submit a scientific assessment report and proof of presenting at a colloquium.
4. The SBL RERC will issue an ethics clearance certificate for use in the final copy of the dissertation or thesis which is submitted for examination. Some journals request a certificate from a RERC as proof of obtaining ethical clearance.
5. The ethics is only valid for the period indicated and once signed by the Chairperson and the CEO of the SBL.

If you have any questions about or require assistance with the completion of this form, please contact your supervisor (master’s or doctoral students).

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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 RERC |  | |
| 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.***

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| 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 RERC (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 Research Ethics Review Ethics 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.

**Contents of this application form**

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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:**

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| --- | --- | --- |
| 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 URERC 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 |

To my knowledge I have addressed all aspects in my application for research ethics approval set forth in the University of South Africa’s Policy for Research Ethics. I confirm that the form is complete. I will ensure that I notify the committee in writing if any changes to the research are proposed that may affect the methodology and any of the study-related risks for the research participants.

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

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

Applicant \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Approved by supervisor (if applicable) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To my knowledge the student has addressed all aspects in his/her application for research ethics approval set forth in the University of South Africa’s Policy for Research Ethics. I confirm that the form is complete. I will ensure that the student notify the committee in writing if any changes to the research are proposed that may affect any of the study-related risks for the research participants. Subsequently, I approve the submission and recommend that approval is granted for the research.

Name in Print Signature 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 & Surname | Staff / student no | Department/  Unit | | Contact number | | Email |
|  |  |  |  | | Mobile:  Work: | |  |
| Abridged CV of main researcher  (Do not attach CV – provide relevant information under headings in 1.1 a) | | 1.1 a)  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 | | | | | |
| **1.2** | **Internal and/or External Co-Researcher(s) \***  **\*** if applicable | | | | | | |
| Title | Full Name & Surname | Affiliation/ Organisation | | Contact numbers | | Email | |
|  |  |  | | Mobile:  Work: | |  | |
| Abridged CV of co-researcher  (Do not attach CV – provide relevant information under headings in 1.2 a) | | 1.2 a)  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.** | | | | |
| Title | Full Name & Surname | Staff / student no | Department/Unit | Contact numbers | Email |
|  |  |  |  | Mobile:  Work: |  |
| Abridged CV of supervisor  (Do not attach CV – provide relevant information under headings in 1.3 a) | | 1.3 a)  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 add the details of other relevant parties (co-supervisors)***

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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)** |
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| 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 contain 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?** |
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| 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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