**University of South Africa**

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| FORM 3: 2021  Research Ethics Application Form for Research NOT involving Human Participants/Animals  Research NOT involving Human Participants is defined as such if:   * there is NO interaction or intervention with living individuals to obtain data, * the data collected cannot be linked in any way to identifiable individuals (living or dead) or animals, and * is mostly in the public domain. |

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| **IF YOU ANSWER YES TO THE QUESTIONS BELOW, PLEASE CONTINUE FILLING IN THIS FORM.**  **IMPORTANT:**  **IF YOU ANSWERED ‘NO’ TO QUESTION (a) STOP COMPLETING THE FORM.**  **IF YOU ANSWER ‘YES’ TO QUESTION (b), HOWEVER, YOU ARE CONVINCED THAT THE STUDY FITS THIS APPLICATION TYPE, JUSTIFY THE REASON IN THE COMMENTS SECTION.**  **IN THE ABSENCE OF A VALID JUSTIFICATION, STOP COMPLETING THIS FORM (see note below).** | | |
| The proposed study entails: | **YES** | **NO** |
| 1. NO interaction or intervention with living individuals; and |  |  |
| 1. the data collected cannot be linked in any way to identifiable individuals (living or dead) AND/*OR is not in the public domain* |  |  |
| **COMMENTS:** | | |

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 indirect human participant involvement through the use of secondary data, complete Form 2.

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| **Previous application number**  *Applicant should indicate a previously allocated application number in case of a resubmission* |  |
| **Date submitted** |  |
| If you have any questions about or require assistance with the completion of this form, please contact your supervisor (master’s or doctoral students), or the Research Ethics Administrator of the UNISA-CAES Health Research Ethics Committee (011-471-2862 or vwykmj@unisa.ac.za) | |

**\**This Section is for Office Use Only:***

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| **APPLICATION NUMBER** |  |
| **DATE RECEIVED** |  |
| **REVIEWED BY (CHAIR OR DESIGNEE) PRINTED NAME** |  |
| **DESIGNATION** |  |
| **RESEARCH MEETS THE DEFINITION FOR RESEARCH NOT INVOLVING HUMAN PARTICIPANTS** | **Yes**  **No** |
| **RISK LEVEL** | **Negligible**  **More that negligible** |
| **DECISION (approved, referred back, disapproved)** |  |
| **REVIEWER COMMENTS IF APPLICABLE** |  |
| **APPROVAL SIGNATURE (CHAIR OR DESIGNEE)** |  |
| **DATE SIGNED** |  |
| **DATE OF ISSUING APPROVAL OR FEEDBACK LETTER** |  |
| **DATE OF ETHICS REVIEW COMMITTEE RATIFICATION** |  |
| **PERIOD FOR WHICH APPROVAL IS VALID**  (Valid only as long as approved procedures are followed) | **From: To:** |

**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) 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. |  | 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 ERC in writing if any changes to the research are proposed that may affect the ethicality of the research. |  | Agree |
| 1. I shall maintain the confidentiality of records pertaining to the research if needed. |  | Agree |
| 1. I shall not use the research and information in a manner that is detrimental to any individual or institution unless it can be scientifically justified. |  | 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 take the necessary steps to warrant that co-researchers, if applicable, familiarise themselves with the Unisa Policy on Research Ethics. |  | N/A  Agree |
| 1. I accept the privacy information statement set out on page 2. |  | Agree |

**Signing of declaration**

**Applicant: Principal Researcher**

**CONSENT IN TERMS OF THE PROTECTION OF PERSONAL INFORMATION ACT NO 4. OF 2013**

1. I declare that all the information furnished by me on this form is true and correct and undertake to inform Unisa of any changes in my personal information.

2. I undertake to comply with all the rules, regulations and decisions of the university and any amendments to it and I have taken note of advice which may be applicable to Unisa researchers, non-Unisa researchers and postgraduate supervisors.

3. I, as a researcher and/or postgraduate supervisor, hereby consent that Unisa may collect, use, distribute, process and communicate my personal information for all required research ethics processes about my participation in Unisa research ethics activities, which may include, but is not limited to:

3.1 assessment of research ethics application;

3.2 internal administrative processing;

3.3 assessment of complaints and investigations of alleged violations of norms and standards for the ethical conduct of research; and

3.4 institutional and scholarly research.

4. I also consent that Unisa may share my personal information with other Universities of South Africa, third parties rendering database management facility on behalf of the university, the Department of Higher Education and Training, the National Health Research Ethics Council, Internal and External Auditors, and for the purpose of legislative requirements.

5. I understand that in terms of the Protection of Personal Information Act (POPIA) and other laws of the country, there are instances where my express consent is not necessary to permit the processing of personal information, which may be related to investigations, litigation or when personal information is publicly available.

6. I will not hold the university responsible for any improper or unauthorised use of personal information that is beyond its reasonable control.

7. I confirm that I have read the notice and understand the contents thereof.

**Note:** The nature of personal information collected can be viewed in the Personal Information Inventory Lists published on the Unisa webpage at [www.unisa.ac.za](http://www.unisa.ac.za)

Full name in Print:

Signature­­­­­­­­­­­­­: Date signed:

**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 according to Appendix A (checklist). I will ensure that the student notifies 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 such as methodology, sampling, questionnaire, interview schedule, etc. Subsequently, I approve the submission and recommend that approval is granted for the research.

Full 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 where you are currently registered or employed | Contact numbers | Email address |
|  |  |  |  | Mobile:  Work:   |  | | --- | |  | |  |
| Abridged CV of main researcher | | Please insert an abridged CV that **explicitly** provides evidence of:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs | | | |

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| **1.2** | **Supervisor if the application is made by a student** | | | | |
| Title | Full Name & Surname | Staff no | Department/Unit where you are employed | Contact numbers | Email address |
|  |  |  |  | Mobile:  Work: |  |
| Abridged CV of supervisor | | Please insert an abridged CV that **explicitly** provides evidence of:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs | | | |

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| **1.3** | **Co-supervisor if the application is made by a student\***  **\*** if applicable | | | | |
| Title | Full Name & Surname | Staff / student no | Department/Unit where you are employed | Contact numbers | Email |
|  |  |  |  | Mobile:  Work: |  |
| Abridged CV of co-supervisor | | Please insert an abridged CV that **explicitly** provides evidence of:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs | | | |

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| **1.4** | **Internal and/or External Co-Researcher(s) \***  **\*** if applicable | | | |
| Title | Full Name & Surname | Affiliation/ Organisation/Department | Contact numbers | Email |
|  |  |  | Mobile:  Work: |  |
| Abridged CV of co-researcher | | Please insert an abridged CV that **explicitly** provides evidence of:   * 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 by inserting additional rows below*

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| 1.5 | Title or provisional title of the research project  *10 - 16 words* | | | |
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| 1.6 | Type of application (more than one option may apply)  *Place an ‘x’ in the box [provide details in the space allocated for comments if applicable]* | | | |
| 1.6.1 Research for non-degree purpose (journal articles; conference presentations, etc.) | | | |  |
| 1.6.2 Research for degree purpose | | | |  |
| 1.6.3 Identify the qualification for the project (in the case of research for degree purpose) | | | | |
|  | | | | |
| 1.6.4 Collaborative research | |  | 1.6.5 Community Engaged Research (CER) |  |
| 1.6.6 Health or Health related research[[1]](#footnote-1)  (If you ticked “yes”, your application should be cleared by one of Unisa’s committees registered to the National Health Research Ethics Council – consult your supervisor or the secretariat of the ERC) | |  | 1.6.7 Other |  |
| 1.6.8 Identify the relevant research niche area(s) *(Unisa researchers and postgraduate students only)*   1. Knowledge generation and human capital development in response to the needs of South Africa and the African continent | | | |  |
| 1. The promotion of democracy, human rights and responsible citizenship | | | |  |
| 1. Innovation and capacity building in science and technology | | | |  |
| 1. Economic and environmental sustainability | | | |  |
| 1. ODL/ODeL | | | |  |
| Comments:  Justify why you deem this a CE research project OR collaborative research project OR identify the primary reason for conducting the research if you ticked “Other”. | | | | |

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| **SECTION 2: DETAILS OF THE PROPOSED RESEARCH** |

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| **2.1** | **Will the research project at any stage involve living human participants?**  *\*Place an ‘x’ in the box provided* |
| **Yes** |  |
| **No** |  |

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| **2.2** | **Will the research project at any stage report on identifiable private information of individuals (living or dead) or institutions that is not in the public domain?** *\*Place an ‘x’ in the box provided* |

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| **Yes** |  |
| **No** |  |
| *If so, please explain the nature of the information:* | |

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| **2.3** | **Identify the data sources that you plan to include in this study.** |
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| **2.4** | **Indicate the anticipated duration of the research project for which the application should be valid.** |

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| **Start Date** |  |
| **End Date** |  |

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| **2.5** | **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\*\*** |
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| **2.6** | **Does your research involve any activity that could potentially place the researcher(s) and/or field workers at risk of harm from a Health and Safety perspective or any other risks? [if yes, provide details in the space allocated for comments][[2]](#footnote-2)** | **YES** | **NO** | |
| **Comments:** | | | | |
| **2.7** | **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 relating to a Health and Safety perspective or any other risks.** | **YES** | **NO** | **N/A** |
| **Comments:** | | | | |

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| **2.8** | **Guided by the information above, classify your research project based on the anticipated degree of risk. *[The researcher completes this section. The ERC critically evaluates this benefit-risk analysis to protect participants’ rights]*** *Place an ‘x’ in the box provided* |

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| **2.8.1 Negligible risk** |  |
| **2.8.2 More than negligible risk** |  |

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| **2.9** | **Briefly justify your choice/classification.** |
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| **2.10** | **Provide any additional information in the block below.** |
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| SECTION 3 – CHECKLIST |

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| The checklist forms part of the application and **MUST** be submitted. | **YES** | **NO** | **N/A** |
| *Place an ‘x’ in the box provided* | | |  |
| a) Has the project been approved by a higher degrees/scientific committee? (Postgraduate students only) |  |  |  |
| b) Did you append proof of proposal acceptance if applicable? |  |  |  |
| c) Did you append the approved proposal if applicable? |  |  |  |
| d) Did you append abridged CV’s of the research team confirming their competence to execute the required procedures? |  |  |  |
| e) Did you append the declaration signed by the principal researcher and supervisor? |  |  |  |

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1. Consult the Policy on Research Ethics for a definition of health research. [↑](#footnote-ref-1)
2. Some studies that do not involve human or animals could potentially pose a risk to researchers and/or fieldworkers, i.e. engineering studies or research conducted in laboratories. [↑](#footnote-ref-2)