

COLLEGE OF AGRICULTURE AND ENVIRONMENTAL SCIENCES

HEALTH RESEARCH ETHICS COMMITTEE

|  |
| --- |
| CAES RESEARCH ETHICS NON-COMPLIANCE REPORT |

*This document refers to any incident of non-compliance by the researcher that may have occurred during the execution of the research or part thereof. The incident should be reported to the CAES HREC as a self-report by the researcher or any other party such as a participant, fellow researcher, sponsor or member of CAES HREC.*

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 Ethics Administrator of the College of Agriculture and Environmental Sciences (Ms Marthie van Wyk) at [vwykmj@unisa.ac.za](mailto:vwykmj@unisa.ac.za)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ETHICS APPLICATION NUMBER *(if known)* | |  | | **Date of this report** |  |
| **Report submitted by** | | | | | |
| **Title of the research project: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | | | | | |
| Non-compliance | | Refers to action(s) of the researcher which is not in accordance with the Ethics policy of Unisa, the protocol submitted to and approved by the Ethics committee and any relevant SOPs related to the action in question. These are mostly technical deviations that do not have any significant impact on the safety of participants or the integrity of the study. It may include but not limited to:   * Any action specifically prohibited by the protocol or relevant documents such as permits, permission granting letters and other stipulations * Any additional action not specified in the protocol or relevant documents as previously mentioned * Any omission of an action specifically stipulated in the protocol or relevant document as previously mentioned | | | |
| Major non-compliance or Serious breach | | Serious and/or persistent contravention of the stipulations and requirements set out in procedures, SOPs, policies and protocols, that have an impact on participant safety, may substantially alter risks to participants (in terms of mental or physical integrity) , may have an effect on the integrity of the research data, and/or the ethics of the study. | | | |
| Minor non-compliance | | A contravention of the stipulations and requirements set out in procedures, SOPs, policies and protocols that do not have an impact on participant safety or in terms of mental or physical integrity, compromise the integrity of the research data, and/or ethics of the study. Several minor observations may collectively be considered as equal to a major non-compliance. | | | |

**REPORT ON THE FOLLOWING:**

1. **Explain the nature of the incident of non-compliance**
2. **Explain effect of the incident non-compliance on the status/safety of participants if used in this study or on the sampling environment in which the data was collected.**
3. **Explain the effect of the incident of non-compliance on the scientific integrity and/or validity of the data**
4. **Explain the risk(s) resulting from the incident of non-compliance**
5. **Classify the incident of non-compliance by indicating one of the following based on the definitions of minor and major non-compliance.**

|  |  |
| --- | --- |
| Minor non-compliance |  |
| Major non-compliance |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature Date

(student researcher or person reporting the incidence)

If student is report the incidence of non-compliance the supervisor should also sign the report

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of supervisor Date