

Human Ethics Risk Assessment (research by staff)

1. Staff Name (lead researcher, in the case of more than one author)

Surname	Given Name(s)

2. Campus

3. Project Title

4. Purpose

This form is intended for use by APIC academic and administrative staff in the identification and assessment of risk associated with proposed research involving human participants or data pertaining to human participants.

5. National Statement on Ethical Conduct in Human Research

The [National Statement on Ethical Conduct in Human Research 2007 \(Updated May 2015\)](#) (National Statement) recognises that human research involves a wide range of studies that have different levels of risks and potential benefits. The National Statement states that higher education institutions are responsible for establishing procedures for the ethical review of human research and that dependent on the level of risk involved in a project, the institution can develop different mechanisms for assessing and approving research ethics applications.

The National Statement identifies three levels of risk at or below which research involving human participants can be approved other than by a Human Research Ethics Committee. These three levels, outlined below, are 'Exempt', 'Negligible', and 'Low'.

- i. Exempt Research** [National Statement 5.1.22, page 70]
Institutions may choose to exempt from ethical review research that: (a) is negligible risk research (as defined in paragraph 2.1.7); and (b) involves the use of existing collections of data or records that contain only non-identifiable data about human beings.

- ii. Negligible Risk Research** [National Statement 2.1.7, page 15]
Research is 'negligible risk' where there is no foreseeable risk of harm or discomfort; and any foreseeable risk is no more than inconvenience. Where the risk, even if unlikely, is more than inconvenience, the research is not negligible risk.

- iii. Low Risk Research** [National Statement 2.1.6, page 15]
Research is 'low risk' where the only foreseeable risk is one of discomfort. Where the risk, even if unlikely, is more serious than discomfort, the research is not low risk.

Examples of Negligible Risk Research include and are not limited to research based on or involving:

- information from existing de-identified datasets;
- historical archives and public records;
- data collected from internet sites;
- questionnaires and surveys on non-controversial, non-personal issues that only include basic and de-identified demographic data; and
- unobtrusive observational studies (i.e. with no form of intervention) of people undertaking non-sensitive or benign activities in a public space.

Examples of Low Risk Research include and are not limited to research based on or involving:

- personal interviews or focus groups with participants containing non-controversial, impersonal, and non-sensitive questions; and
- questionnaires or surveys containing questions about participants' experiences, thoughts, opinions and beliefs;

Applications for human risk assessment that do not fulfill any of the three risk definitions outlined above will not be approved for research proposed to be conducted towards the requirements of the units SBM1300 and SBM1302.

6. Project Risk Assessment

Please answer all of the questions below:

a. Research topics

Please indicate whether any of the following topics will be covered in part or in whole?

	Yes	No
• research about parenting	<input type="checkbox"/>	<input type="checkbox"/>
• research investigating sensitive personal issues	<input type="checkbox"/>	<input type="checkbox"/>
• research investigating sensitive cultural issues	<input type="checkbox"/>	<input type="checkbox"/>
• explorations of grief, death or serious/traumatic loss	<input type="checkbox"/>	<input type="checkbox"/>
• depression, mood states, anxiety	<input type="checkbox"/>	<input type="checkbox"/>
• gambling	<input type="checkbox"/>	<input type="checkbox"/>
• eating disorders	<input type="checkbox"/>	<input type="checkbox"/>
• illicit drug taking	<input type="checkbox"/>	<input type="checkbox"/>
• substance abuse	<input type="checkbox"/>	<input type="checkbox"/>
• self-report of criminal behaviour	<input type="checkbox"/>	<input type="checkbox"/>
• any other psychological disorder	<input type="checkbox"/>	<input type="checkbox"/>
• suicide	<input type="checkbox"/>	<input type="checkbox"/>
• gender identity	<input type="checkbox"/>	<input type="checkbox"/>
• sexuality	<input type="checkbox"/>	<input type="checkbox"/>
• race or ethnic identity	<input type="checkbox"/>	<input type="checkbox"/>
• any disease or health problem	<input type="checkbox"/>	<input type="checkbox"/>
• fertility	<input type="checkbox"/>	<input type="checkbox"/>
• termination of pregnancy	<input type="checkbox"/>	<input type="checkbox"/>

b. Procedures

Are the following procedures to be employed?

	Yes	No
• deception of participants	<input type="checkbox"/>	<input type="checkbox"/>
• use of data or records from which individuals can be identified	<input type="checkbox"/>	<input type="checkbox"/>
• covert observation	<input type="checkbox"/>	<input type="checkbox"/>
• audio or visual recording without consent	<input type="checkbox"/>	<input type="checkbox"/>
• recruitment via a third party or agency	<input type="checkbox"/>	<input type="checkbox"/>
• any psychological interventions or treatments	<input type="checkbox"/>	<input type="checkbox"/>

Conflict of Interest

• a conflict of interest may exist (e.g., financial or other relationship)	<input type="checkbox"/>	<input type="checkbox"/>
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c. Participant Vulnerability Assessment

Do any of the participants fall within the following categories?

	Yes	No
• persons suffering a psychological disorder	<input type="checkbox"/>	<input type="checkbox"/>
• persons suffering a physical vulnerability	<input type="checkbox"/>	<input type="checkbox"/>
• persons highly dependent on medical care	<input type="checkbox"/>	<input type="checkbox"/>
• minors (0 – 18 years)	<input type="checkbox"/>	<input type="checkbox"/>
• persons whose ability to give consent is impaired	<input type="checkbox"/>	<input type="checkbox"/>
• residents of a custodial institution	<input type="checkbox"/>	<input type="checkbox"/>
• persons with English language difficulties	<input type="checkbox"/>	<input type="checkbox"/>
• members of a socially identifiable group with special cultural or religious needs or political vulnerabilities	<input type="checkbox"/>	<input type="checkbox"/>
• persons in a dependent relationship with the researcher	<input type="checkbox"/>	<input type="checkbox"/>
• participants able to be identified in any final report or publication when consent has not been given	<input type="checkbox"/>	<input type="checkbox"/>
• Indigenous Australians	<input type="checkbox"/>	<input type="checkbox"/>

Answering “Yes” to any of the above questions may mean that your proposal does not fulfill any of the three risk definitions outlined above and that your application will not be approved.

7. Description of Project and Methodology

8. Staff Declaration

I confirm that the information provided in this application is true and correct.

Signature:

Date:

9. Acknowledgements

This application form has been adapted from the Flinders University Social and Behavioural Research Ethics Committee Low or Negligible Risk Assessment application form.

Office Use Only	
Approved / Declined	
Date:	
Signed:	