

APPLICATION FOR EXEMPTION (REC 11) FROM ETHICAL REVIEW

Permohonan Pengecualian Daripada Semakan Etika

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Research Management Centre
Universiti Teknologi MARA
40450 Shah Alam

Introduction

The National Statement on Ethical Conduct in Human Research (paragraphs 5.1.22 and 5.1.23) defines research that can be exempted from ethics review as:

Negligible risk research that involves the **use of existing collections of data or records** that contain only non-identifiable data about human beings.

Source: <https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018>

Standard Practices

Most university practices does not normally require formal ethical review for these activities provided the following criteria are met:

1. The data is completely anonymous with no personal information being collected
2. The data is not considered to be sensitive or confidential in nature
3. The issues being researched are not likely to upset or disturb participants
4. Vulnerable or dependent groups are not included
5. There is no risk of possible disclosures or reporting obligations

Full board Ethical Review application basis

1. Collection or use of person-identifiable or special category data
2. Collection or use of data which is classed as sensitive or confidential
3. Involving vulnerable groups, including children or adults with special needs
4. Ingestion (by whatever means of delivery) of any substance by participants
5. Invasive/semi-invasive procedure or the administration of drugs
6. Physical testing of participants
7. Psychological tests or interventions
8. May cause physical risk, distress, embarrassment, anxiety, stress, fatigue or inconvenience to the participant
9. May cause adverse effect on the personal, social or economic well-being of the participant
10. Socially sensitive topics
11. Research likely to uncover illegal or potentially harmful activities

When can I apply for EXEMPTION?

My research does not involve human participants, human tissues and/or biological samples.

My research does not collect sensitive* and identifiable secondary data of an individual.

My research involves content analysis / textual analysis / meta-analysis.

(E.g.: non-identifiable data lawfully collected, public/private records, published/unpublished reports, and documents available in libraries, repositories, archives, websites)

Case study / doctrinal study / policy study that utilizes a qualitative approach that does not involve human participants / sensitive* / identifiable data of an individual.

Concept paper which synthesizes knowledge from the previous study on a particular topic and presents it in a new context with the aims to fill knowledge gaps.

This research does not involve human participants and does not collect sensitive* and identifiable data of an individual.

Market survey, opinion poll / online vote, and consumer acceptability tests that do not collect sensitive* and identifiable data of an individual.

Observational studies based on video recording obtained from public domains that do not collect sensitive* and identifiable data of an individual.

Filming of documentary / documentation of cultural / traditional practices that have obtained prior approval from the relevant parties / authorities and does not collect sensitive* and identifiable data of an individual.

Activities for quality assurance purposes (e.g., clinical audit, communication audit, compliance audit) related to the evaluation of public service programs, public health surveillance, educational evaluation.

Sensitive issues



Corruption



Vulnerable groups



Identifiable entity

REC 11: EXEMPTION FORM

THE EXEMPTION FORM

Exemption (REC 11) form is a manual form, available from <https://www.recuitm.org/other-rec-forms>.

The form has four parts:

- Part A: Details of researchers
- Part B: Research details
- Part C: Justifications from ethical review
- Part D: Agreement to conduct research
- Part E: Verification from department / Postgraduate Committee

Research Ethics Committee
Research Management Centre
Universiti Teknologi MARA
40450 SHAH ALAM

Tel: 03 – 5544-8069, Faks: 03 – 5544-2096/2767



Application for Exemption from Ethical Review
Permohonan Pengecualian daripada Semakan Etika

Please attach a copy of the Research Proposal.
Sila lampirkan salinan kertas cadangan penyelidikan.

Part A : Details of Researcher

Bahagian A: Maklumat Penyelidik

Title of Research Project :
Tajuk Penyelidikan

Name of Researcher :
Nama Penyelidik

Name of Supervisor :
Nama Penyelia

Address of Department/ Hospital/
Institute :
*Alamat Jabatan/ Hospital/
Institut:*

Te. No/ Email :
No. Telefon/ Emel:

- *Sarjana Muda / Undergraduate
 *Pasca Siswazah / Postgraduate
 *Staf/Pensyarah / Staff/Lecturer
 *Pihak Luar / External

Part B : Research Details

Bahagian B: Maklumat Penyelidikan

Executive summary

(Please include research justification, objectives, research methodology, significance, risks)

Ringkasan eksekutif

(Sila masukkan justifikasi, objektif, metodologi, kepentingan dan risiko penyelidikan)

1. Research Justification

Justifikasi Penyelidikan

2. Research Objectives

Objektif Penyelidikan

3. Research Methodology (including sample size, if applicable)

Metodologi Penyelidikan (termasuk saiz sampel, sekiranya ada)

4. Research Significance

Kepentingan Penyelidikan

5. Research Risks

Risiko Penyelidikan

Part C : Justification for Exemption from Ethical Review (tick where applicable, can be more than one)

Bahagian C: Justifikasi Pengecualian daripada Semakan Etika (tandakan yang berkenaan, boleh melebihi daripada satu)

- This research does not involve human participants, human tissues and/or biological samples.
Penyelidikan ini tidak melibatkan peserta manusia, tisu manusia dan/atau sampel biologi.
- This research does not collect sensitive* and identifiable secondary data of an individual.
*Penyelidikan ini tidak mengumpul data sekunder yang sensitif * dan yang dapat dikenal pasti identiti individu.*
- This research involves content analysis / textual analysis / meta-analysis. (E.g.: non-identifiable data lawfully collected, public/private records, published/unpublished reports, and documents available in libraries, repositories, archives, websites.
Penyelidikan ini melibatkan analisa kandungan / teks / meta-analisis. (Contoh: pengumpulan data yang tidak akan dapat dikenal pasti identiti diperolehi secara sah daripada rekod awam / swasta, laporan yang diterbitkan / tidak diterbitkan, dan dokumen yang terdapat di perpustakaan, repositori, arkib, laman web.
- Case study / doctrinal study / policy study that utilizes a qualitative approach that does not involve human participants / sensitive* / identifiable data of an individual.
*Kajian kes / kajian doktrin / kajian dasar yang menggunakan pendekatan kualitatif serta tidak melibatkan peserta manusia / data sensitif * / data yang dapat dikenal pasti identiti individu.*
- Concept paper which synthesizes knowledge from the previous study on a particular topic and presents it in a new context with the aims to fill knowledge gaps. This research does not involve human participants and does not collect sensitive* and / identifiable data of an individual.
*Kertas konsep yang mensintesis pengetahuan dari hasil kajian lampau mengenai topik tertentu dan membentangkannya dalam konteks baru dengan tujuan merapatkan jurang pengetahuan. Penyelidikan ini tidak melibatkan peserta manusia dan tidak mengumpul data sensitif * dan / data yang dapat dikenal pasti identiti individu.*
- Market survey, opinion poll / online vote, and consumer acceptability tests that do not collect sensitive* and / identifiable data of an individual.
*Tinjauan pasaran, persepsi / undian dalam talian, dan ujian penerimaan pengguna yang tidak mengumpul data sensitif * dan / data yang dapat dikenal pasti identiti individu.*
- Observational studies based on video recording obtained from public domains that do not collect sensitive* and / identifiable data of an individual.
*Kajian pemerhatian berdasarkan rakaman video yang diperolehi daripada domain awam yang tidak mengumpul data sensitif * dan / data yang dapat dikenal pasti identiti individu.*

- Filming of documentary / documentation of cultural / traditional practices that have obtained prior approval from the relevant parties / authorities and does not collect sensitive* and / identifiable data of an individual. (*random video/photo)
*Penggambaran dokumentari / dokumentasi amalan budaya / tradisi yang telah mendapat persetujuan daripada pihak berkenaan / berkuasa dan tidak mengumpul data sensitif * dan / data yang dapat dikenal pasti identiti individu.*
- Activities for quality assurance purposes (e.g. clinical audit, communication audit, compliance audit) related to the evaluation of public service programs, public health surveillance, educational evaluation.
Aktiviti untuk tujuan jaminan kualiti (contoh: audit klinikal, komunikasi, pematuhan) yang berkaitan dengan penilaian program perkhidmatan awam, surveilans kesihatan awam, penilaian pendidikan.
- Others (provide details):
Lain-lain (nyatakan butiran):

* Sensitive refers to the following (but not limited to):
* *Sensitif merujuk kepada yang berikut (tidak terhad kepada):*

- i. Corruption
Rasuah
- ii. Fraud or cyber fraud
Penipuan atau penipuan siber
- iii. Specific-entity review
Ulasan entiti khusus
- iv. Vulnerable group
Kumpulan rentan

Part D: Agreement to Conduct the Research Project
Bahagian C: Pengesahan Persetujuan Menjalankan Penyelidikan

Must be completed and signed by all members of the research group.
Mesti dilengkapkan dan ditandatangani oleh semua ahli kumpulan penyelidikan.

1. Penyelidik utama (untuk dilengkapkan oleh Staf Akademik/Pelajar sahaja)
Principal Researcher (to be filled by Academic Staff/Post-graduate Student only)

Nama: <i>Name:</i>	
No. Staf/No. Pelajar: <i>Staff ID/Student ID:</i>	
Jawatan/Kepekaran: <i>Position/Specialisation:</i>	
Jabatan: <i>Affiliation:</i>	
Telefon pejabat: <i>Office:</i>	
Telefon bimbit: <i>Mobile phone:</i>	
Emel: <i>Email:</i>	
Tandatangan: <i>Signature:</i>	Tarikh: <i>Date:</i>

2. Penyelia (sekiranya ada)
Supervisor (If any)

Nama: <i>Name:</i>	
No. Staf: <i>Staff ID:</i>	
Jawatan/Kepekaran: <i>Position/Specialisation:</i>	
Jabatan: <i>Affiliation:</i>	
Telefon pejabat: <i>Office:</i>	
Telefon bimbit: <i>Mobile phone:</i>	
Emel: <i>Email:</i>	
Tandatangan: <i>Signature:</i>	Tarikh: <i>Date:</i>

3. Penyelidik Bersama
Co-Researcher

Nama: <i>Name:</i>	
No. Staf/No. Pelajar: <i>Staff ID/Student ID:</i>	
Jawatan/Kepekaran: <i>Position/Specialisation:</i>	
Jabatan: <i>Affiliation:</i>	
Telefon pejabat: <i>Office:</i>	
Telefon bimbit: <i>Mobile phone:</i>	
Emel: <i>Email:</i>	
Tandatangan: <i>Signature:</i>	Tarikh: <i>Date:</i>

(Tambah sekiranya perlu. *Add if necessary*)

Part E: Verification from Faculty/State Research Committee
Bahagian D: Pengesahan Jawatankuasa Penyelidikan Fakulti/Negeri

The Faculty/State Research Committee has reviewed the study protocol and recommends for exemption from ethical review.
Jawatankuasa Penyelidikan Fakulti/Negeri telah mengkaji protokol kajian dan mengesyorkan untuk pengecualian daripada semakan etika.

Signature Tandatangan: Chairman/Alternate Chair of Faculty/State Research Committee <i>Pengerusi/Pengerusi Ganti JK Penyelidikan Fakulti/Negeri</i>	Official stamp: <i>Cop rasmi:</i>	Date: <i>Tarikh:</i>

Please submit the completed forms and the relevant attachment to:
recsecretariat@uitm.edu.my

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- Part C: Justifications from ethical review
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PART A: DETAILS OF RESEARCHERS

PART B: RESEARCH DETAILS

FERC/BERC 4

Faculty/Branch Ethics Review Committee
Universiti Teknologi MARA



Application for Exemption from Ethical Review
Permohonan Pengecualian daripada Penilaian Etika

Please attach a copy of the Research Proposal.
Sila lampirkan salinan kertas cadangan penyelidikan.

Part A : Details of Researcher

Bahagian A: Maklumat Penyelidik

Title of Research Project :
Tajuk Penyelidikan

Name of Student :
Nama Pelajar

Name of Supervisor :
Nama Penyelia

Address of Department/ Institute :
Alamat Jabatan/ Institut

Te. No/ Email :
No. Telefon/ Emel

- Undergraduate / *Sarjana Muda*
 Masters by Coursework/ *Sarjana Kerja Kursus*

Part B : Research Details

Bahagian B: Maklumat Penyelidikan

Executive summary

(Please include research justification, objectives, research methodology, significance, risks)

Ringkasan eksekutif

(Sila masukkan justifikasi, objektif, metodologi, kepentingan dan risiko penyelidikan)

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3. Research Methodology (including sample size, if applicable)

Metodologi Penyelidikan (termasuk saiz sampel, sekiranya ada)

4. Research Significance

Kepentingan Penyelidikan

5. Research Risks

Risiko Penyelidikan

PART C: JUSTIFICATION OF EXEMPTION

Part C : Justification for Exemption from Ethical Review (tick where applicable, can be more than one)

Bahagian C: Justifikasi Pengecualian daripada Semakan Etika (tandaan yang berkenaan, boleh melebihi daripada satu)

C1	This research involve: <i>Penyelidikan ini melibatkan:</i>	YES Ya	NO Tidak
1.	Human participants, human tissues and/or biological samples. <i>Peserta manusia, tisu manusia dan/atau sampel biologi.</i>		
2.	Collecting sensitive* and identifiable secondary data of an individual. <i>Mengumpul data sekunder yang sensitif* dan yang dapat dikenal pasti identiti individu.</i>		
3.	Collecting sensitive* data of an individual or organization that reflects these attributes: <ul style="list-style-type: none"> • Corruption - <i>Rasuah</i> • Fraud or cyber fraud - <i>Penipuan atau penipuan siber</i> • Specific-entity review - <i>Ulasan entiti khusus</i> • Vulnerable group - <i>Kumpulan rentan</i> 		

C2	This research involves: <i>Penyelidikan ini melibatkan:</i>	Tick where applies <i>Tandaan yang berkenaan</i>
1.	Content analysis / textual analysis / meta-analysis. (E.g.: non-identifiable data lawfully collected, public/private records, published/unpublished reports, and documents available in libraries, repositories, archives, websites. <i>Penyelidikan ini melibatkan analisa kandungan / teks / meta-analisis. (Contoh, pengumpulan data yang tidak akan dapat dikenal pasti identiti diperolehi secara sah daripada rekod awam / swasta, laporan yang diterbitkan / tidak diterbitkan, dan dokumen yang terdapat di perpustakaan, repositori, arkib, laman web.</i>	

2.	Case study / doctrinal study / policy study that utilizes a qualitative approach that does not involve human participants / sensitive* / identifiable data of an individual. <i>Kajian kes / kajian doktrin / kajian dasar yang menggunakan pendekatan kualitatif serta tidak melibatkan peserta manusia / data sensitif* / data yang dapat dikenal pasti identiti individu.</i>	
3.	Concept Paper which synthesizes knowledge from a previous study on a particular topic and presents it in a new context with the aim of fulfilling knowledge gaps. This research does not involve human participants and does not collect sensitive* and / identifiable data of an individual. <i>Kertas konsep yang mensintesis pengetahuan dari hasil kajian lampau mengenai topik tertentu dan membentangkannya dalam konteks baru dengan tujuan merapatkan jurang pengetahuan. Penyelidikan ini tidak melibatkan peserta manusia dan tidak mengumpul data sensitif* dan / data yang dapat dikenal pasti identiti individu.</i>	
4.	Market survey, opinion poll / online vote, and consumer acceptability tests that do not collect sensitive* and / identifiable data of an individual. <i>Tinjauan pasaran, persepsi / undian dalam talian, dan ujian penerimaan pengguna yang tidak mengumpul data sensitif* dan / data yang dapat dikenal pasti identiti individu.</i>	
5.	Observational studies based on video recording obtained from public domains that do not collect sensitive* and / identifiable data of an individual. <i>Kajian pemerhatian berdasarkan rakaman video yang diperolehi daripada domain awam yang tidak mengumpul data sensitif* dan / data yang dapat dikenal pasti identiti individu.</i>	
6.	Filming of documentary / documentation of cultural / traditional practices that have obtained prior approval from the relevant parties / authorities and does not collect sensitive* and / identifiable data of an individual. (*random video/photo) <i>Pengggambaran dokumentari / dokumentasi amalan budaya / tradisi yang telah mendapat persetujuan daripada pihak berkenaan / berkuasa dan tidak mengumpul data sensitif* dan / data yang dapat dikenal pasti identiti individu.</i>	
7.	Quality assurance purposes (e.g., clinical audit, communication audit, compliance audit) related to the evaluation of public service programs, public health surveillance, educational evaluation. <i>Aktiviti untuk tujuan jaminan kualiti (contoh: audit klinikal, komunikasi, pematuhan) yang berkaitan dengan penilaian program perkhidmatan awam, surveilans kesihatan awam, penilaian pendidikan.</i>	
8.	Others (provide details): <i>Lain-lain (nyatakan butiran):</i>	

PARD D: AGREEMENT TO CONDUCT RESEARCH PART E: VERIFICATION FROM DEPARTMENT/ PG COMMITTEE

F/BREC 4 (2021)

Part D: Agreement to Conduct the Research Project

Bahagian C: Pengesahan Persetujuan Menjalankan Penyelidikan

Must be completed and signed by all members of the research group.
Mesti dilengkapkan dan ditandatangani oleh semua ahli kumpulan penyelidikan.

1. Student (to be filled by Undergraduate/Masters by Coursework Student only)
Pemohon (untuk dilengkapkan oleh Pelajar Siswazah / Sarjana Kerja Kursus sahaja)

Staff ID/Student ID: <i>No. Staf/No. Pelajar:</i>	
Mobile phone: Telefon <i>bimbit:</i>	
Email: <i>Emel:</i>	
Signature: <i>Tandatangan:</i>	Date: <i>Tarikh:</i>

2. Supervisor
Penyelia

Staff ID/Student ID: <i>No. Staf/No. Pelajar:</i>	
Mobile phone: Telefon <i>bimbit:</i>	
Email: <i>Emel:</i>	
Signature: <i>Tandatangan:</i>	Date: <i>Tarikh:</i>

Part E: Verification from Department or Postgraduate Research Committee

Bahagian D: Pengesahan Jawatankuasa Penyelidikan Jabatan atau Pascasiswazah

The Department or Postgraduate Research Committee has reviewed the study protocol and recommends for exemption from ethical review.

Jawatankuasa Penyelidikan Jabatan atau Pascasiswazah telah mengkaji protokol kajian dan mengesyorkan untuk pengecualian daripada semakan etika.

Signature Tandatangan: Undergraduate / Postgraduate / Research Coordinator <i>Koordinator Peringkat Pra-siswazah/Pasca-siswazah/Penyelidikan</i>	Official stamp: <i>Cop rasmi:</i>	Date: <i>Tarikh:</i>

Thank you