## Project description and context

**Title of project**

Click or tap here to enter text.

**Description of aim/purpose**

Click or tap here to enter text.

**Chief investigator** Click or tap here to enter text.

**ORCiD** Click or tap here to enter text.

**Faculty/school/centre**

Click or tap here to enter text.

**Contact details:**

Click or tap here to enter text.

**Who is the responsible party?**

*Guidance: (researcher/PI/organization who is responsible for determining why and how the personal information is being processed. In most circumstances, if a researcher is contracted to a research institution (e.g. a science council, or university), the research institution will be the ultimate responsible party under POPIA for ensuring that researchers process information lawfully. For a very large research project established under new contractual arrangements, the PI may be the responsible party. Researchers are advised to consult with the Information Officer of their institution if ensure who the responsible party is).*

Click or tap here to enter text.

**What is the lawful basis of the study?**

*Guidance: The lawful basis must be determined at the outset of the processing and it has an effect on the rights of data subjects. The lawful bases outlined in POPIA are:*

*POPIA Section 11 (1)*

*a. the data subject or a competent person where the data subject is a child consents to the processing;*

*b. processing is necessary to carry out actions for the conclusion or performance of a contract to which the data subject is party;*

*c. processing complies with an obligation imposed by law on the responsible party;*

*d. processing protects a legitimate interest of the data subject;*

*e. processing is necessary for the proper performance of a public law duty by a public body; or*

*f. processing is necessary for pursuing the legitimate interests of the responsible party or of a third party to whom the information is supplied.*

*It is important to note that because consent can be withdrawn at any time, it is not an ideal lawful basis for the processing of personal information for research purposes. In addition, there are circumstances where processing for research purposes can take place without the consent of the data subject. Bodies which perform research functions would be advised to determine if their processing of personal information for research complies with a public law duty, such as would be the case with a research council founded through an act of Parliament, and/or whether their processing of personal information for research fulfils their legitimate interests.*

Click or tap here to enter text.

**Who will review this project to ensure compliance with POPIA?**

*Guidance: This will change from institution to institution. The Information Officer of the institution to which the researchers belong is ultimately responsible for ensuring that all employees process personal information lawfully in line with POPIA. Other offices that may play a role in reviewing this project include: RECs and research integrity offices.*

Click or tap here to enter text.

**Does the research project involve collaboration with other institutions?**

Yes ☐ No ☐

**If yes to the above, state the project collaborators & institutions**

Click or tap here to enter text.

**Duration**

**From:** Click or tap to enter a date. **To:** Click or tap to enter a date.

**Specific requirements for data management (Internal institutional policies or grant specific policies)**

Click or tap here to enter text.

**List relevant and applicable policy documents (Please ensure that you have consulted with relevant departments for applicable institutional policies)**

Click or tap here to enter text.

## Ethics and intellectual property

1. **Does your data need to be openly available upon completion of your project?**

Yes [ ]  No [ ]

1. **Are there any issues relating to privacy and/or confidential data which impacts on the openness of your data?**

Yes [ ]  No [ ]

1. **Does your research involve humans?**

Yes [ ]  No [ ]

1. **Have you received ethics approval?**

Yes [ ]  No [ ]

1. **If yes in question 4 above, does the consent form indicate how the research data will be managed? Describe ethical or privacy issues your data may be subject to, discuss how informed consent will be handled and how privacy will be protected**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **If yes in question 5 above, have you archived the consent form template?**

Yes [ ]  No [ ]

1. **Who owns/will own the Intellectual Property Rights of the research data?**

Click or tap here to enter text.

1. **Are any other regulations applicable to your research? If YES, specify**

Yes [ ]  No [ ]

Click or tap here to enter text.

## Data Collection

1. **Will you be processing any personal/confidential information and if yes, what type of personal information will you be processing?**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **If yes to 1. above, how will you ensure confidentiality of the data subject**

Click or tap here to enter text.

1. **What kinds of data will you be collecting? e.g. survey, interview, observation, physical samples**

Click or tap here to enter text.

1. **Who will create/collect the data?**

Click or tap here to enter text.

1. **What formats will the data be in? e.g. paper, digital, image, audio, other**

Click or tap here to enter text.

1. **Will existing or third-party data be used?**

Yes [ ]  No [ ]

## Metadata

## What information is needed for the data to be to be read and interpreted in the future? What metadata is accompanying the data?

Click or tap here to enter text.

1. **Have metadata standards been used. If YES, specify (**[**https://fairsharing.org/**](https://fairsharing.org/)**)**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Who created or contributed to the data**

Click or tap here to enter text.

## Organising and storing working datasets

1. **What is the estimated size of your dataset/s?**

Click or tap here to enter text.

1. **Do you have data dictionaries, version control, code books or other documentation to explain terms, variable names, codes and abbreviations used? If YES, specify.**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Where will the data be stored while it is being collected and analysed?**

Click or tap here to enter text.

1. **Will specialised tools (software/hardware) be required to read, analyse or process data? If YES, specify**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Who is responsible for managing dataset(s)**

Click or tap here to enter text.

1. **Is a backup regime in place? If YES, specify the frequency**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Are commercial, ethical and/or confidentiality restrictions in place with regards to data access and storage, during the project?**

Yes [ ]  No [ ]

1. **Where is the physical data stored during the project?**

Click or tap here to enter text.

1. **Have standard collection methods, standard data formats, and standard file format choices been used? If YES, specify.**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Have you provided documentation describing how the data were collected or created?**

Yes [ ]  No [ ]

1. **Do you have sufficient storage, or will you need to include charges for additional services?**

Yes [ ]  No [ ]

## Data access policies

1. **Does the data need to be de-identified/anonymised? If YES, specify how this will be done.**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **If any personal information has been collected, have you ensured that accompanying metadata is un-identified when sharing this metadata?**

Yes [ ]  No [ ]

1. **Have you established who owns the copyright of your data?**

Yes [ ]  No [ ]

1. **What license will be placed on the data?**

Click or tap here to enter text.

1. **Are your data, records, and files labelled in a logical and consistent manner?**

Yes [ ]  No [ ]

## Data sharing, use and distribution

1. **Will you be receiving data or sharing data with external partners?**

Yes ☐ No ☐

1. **Will you be sharing data with a body outside of South Africa?**

Yes ☐ No ☐

1. **If yes to 2. above, is there a written agreement in place to ensure the confidentiality and security of any personal information that is shared?**

Yes ☐ No ☐

1. **Will you need to share Data Subject information with anyone outside of your organization?**

Yes [ ]  No [ ]

1. **Are there reasons why the data cannot be shared? If YES, specify.**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **Describe plans to create a Data Access Committee**

Click or tap here to enter text.

1. **Are there approved MTAs and/or DTAs?**

Yes [ ]  No [ ]

1. **Are there funder requirements to make data openly available?**

Yes [ ]  No [ ]

1. **Has a data repository been identified? If YES, specify.**

Yes [ ]  No [ ]

Click or tap here to enter text.

1. **How will your data be made available?**

Click or tap here to enter text.

1. **How will you control access to keep the data secure?**

Click or tap here to enter text.

1. **Do you plan to limit re-use or re-distribution of your data? If YES, specify why and for how long?**

Yes [ ]  No [ ]

Click or tap here to enter text.

**From:** Click or tap to enter a date. **To:** Click or tap to enter a date.

1. **Are you planning to enforce an embargo period restricting access to your research outside of your research team? If YES, specify how long the period will be.**

Yes [ ]  No [ ]

 Click or tap here to enter text.

## Long term data preservation and archiving

1. **How long will the data need to be retained after the project has ended?**

Click or tap here to enter text.

1. **Where will the data be stored – faculty storage, discipline data repository?**

Click or tap here to enter text.

1. **Explain why personal information needs to be kept longer that is needed by the project lifespan?**

Click or tap here to enter text.

1. **What preparation of the data is required before it is archived?**

Click or tap here to enter text.

1. **What supporting documentation will be stored with the data? e.g. software, electronic notebook**

Click or tap here to enter text.

1. **Who will manage the long-term storage and metadata creation?**

Click or tap here to enter text.

1. **Are data security plans in place for back-up of archived data?**

Yes [ ]  No [ ]

1. **Are you using data formats and software that enable sharing and ensure long-term validity of data, such as non-proprietary software and software based on open standards?**

Yes [ ]  No [ ]

1. **When converting from one format to another, have you checked that no data are lost or changed in the process?**

Yes [ ]  No [ ]

## Version control

|  |  |  |  |
| --- | --- | --- | --- |
| **Version number** | **Date** | **Changes**  | **Sign** |
| V1.1 | Click or tap to enter a date. | Click or tap here to enter text. |  |
| V1.2  | Click or tap to enter a date. | Click or tap here to enter text. |  |
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