

## **College Research Ethics Committee for Non-Clinical Research involving Human Participants/Data**

## **Staff and Postgraduate Research Students: Application Form for ethical approval**

Before completing this form, refer to the guidance notes available at [College ethics information](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/#d.en.473063) and [Ethics Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/).

Completed, typed forms (with supporting documents) should be submitted electronically via the [Research Ethics System](https://frontdoor.spa.gla.ac.uk/login/).

Submit applications **at least 6 weeks in advance** of the intended data collection start date. Initial reviews should take 2 to 3 weeks. Note that most applications require changes to be made and resubmitted. It may then take a **further** 2 to 3 weeks for the review to be completed.

Applications requiring PVG Clearance/permissions to access participants will not be approved until evidence of this is received by Ethics Administrator. Guidance is available at [PVG Guidance](https://www.gla.ac.uk/myglasgow/humanresources/mgrs-admin/mgr-guidance/pvgscheme/).

### **Applicant Details**

**Staff Research Project  Staff Scholarship of Teaching and Learning Project**

**Postgraduate Student Research Project**

**Name of Applicant** Enter text here

**Student ID/Staff Number** Enter text here

**School & Subject (Cluster/RKT group)** Enter text here

**PGR Programme Title**  (Where applicable)Enter text here

### **Application Details**

**Project Title** Enter text here

**Data Collection Start Date** At least 6 weeks after application submission Click here to enter a date.

**Proposed Project End Date** e.g. date of PhD award, article submission, end of funding Click here to enter a date.

**Is this application being submitted to another ethics committee,** or has it been previously submitted to another ethics committee?  **Yes  No**

**If Yes provide details** Enter text here

**Is the research subject to external funding**? (i.e. a sponsor or funding body) **Yes  No**

**If Yes provide details** Enter text here

**Does the research involve using networked or electronic data** such as internet platforms, apps, social media, secondary data, Big Data? **Yes  No**

**If YES you must complete and submit the ‘Protocol for research dealing with non-standard human data’** This can be downloaded from the [College ethics website](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/#d.en.473063).

**1 Description of project** Give a brief description of the project.

Enter text here

**! Application will be returned if Ethical Risks section is incomplete !**

**PGR** Applications – **Supervisors** must complete and sign this section, approving submission for ethical review.

**Staff** Applications – **Applicant** must complete and sign this section, confirming submission for ethical review.

**2 Ethical Risks** Comment on any potential research ethics risks involved in the project, and any steps taken to mitigate these risks. Risk Guidance Document is available at [Ethics Forms](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/) on the College ethics website.

Enter text here

X Enter text here

X Click here to enter a date.

**3** **Names of Researchers/Supervisors**

3.1 All Researchers including research assistants and transcribers where appropriate

|  |  |  |  |
| --- | --- | --- | --- |
| Title | First and Surname | Telephone | Email (usually UofG) |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |

3.2 All Supervisors Principal Supervisor first where applicable

|  |  |  |  |
| --- | --- | --- | --- |
| Title | First and Surname | Telephone | Email (usually UofG) |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |
| Enter text here | Enter text here | Enter text here | Enter text here |

**4** **Justification for the research**

Why is this research **significant** to the wider community? What might be the **impact** on your practice or on the practice of others? How will the possible **benefits** to researchers, participants, and others, realised from the project justify any risks or discomfort involved?

Enter text here

**5** **Research Methodology and Data Collection**

**5.1 Method of data collection** You are **required to provide** indicative themes/questions in separate documents, in sufficient detail to present a clear view of the project and its ethical implications.

Select all that apply

|  |  |
| --- | --- |
| **Method** | **Selected** |
| **5.1a Face to face or telephone interview** |  |
| **5.1b Online interview, for example using Teams or Zoom** |  |
| **5.1c Focus group** |  |
| **5.1d Questionnaire** |  |
| **5.1e Online questionnaire** Provide indicative electronic copy with application pending online version |  |
| **5.1f Participant observation** Provide an observation proforma |  |
| **5.1g Audio or video-recording** **interviewees, focus groups or events** Provide evidence of permission on the consent form. Details should be provided, either in theme/question information or separately. |  |
| **5.1h Other methodology** |  |
| If **Other** selected above, provide details here:  Enter text here | |

**5.2 Research Methods**

**Explain the reasons for the chosen method/s, the estimated time commitment required of participants and how the data will be analysed**. Include reference to methods of providing confidentiality as indicated below.

Enter text here

**6 Confidentiality and Data Handling**

**6.1 Will the research involve:** (Click to right of **Select method** at top of column to indicate method and **select all that apply**)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Select method | Select method | Select method | Select method | Select method |
| **Degree of Anonymity** |  |  |  |  |  |
| **6.1a De-identified samples or data** (i.e. a **reversible** process whereby identifiers are replaced by a code, to which the researcher retains the key, in a secure location? |  |  |  |  |  |
| **6.1b Anonymised samples or data** (i.e. an **irreversible** process whereby identifiers are removed from data and replaced by a code, with no record retained of how the code relates to the identifiers. It is then impossible to identify the individual to whom the sample of information relates)? |  |  |  |  |  |
| **6.1c Complete anonymity of participants** (i.e. researchers will not meet, or know the identity of participants, as participants are part of a random sample and are required to return responses with no form of personal identification)? |  |  |  |  |  |
| **Use of Names** |  |  |  |  |  |
| **6.1d Subject being referred to by pseudonym** in any publication arising from the research? |  |  |  |  |  |
| **6.1e Participants consent to being named?** |  |  |  |  |  |
| **6.1f Participants being made aware that confidentiality may be impossible to guarantee;** for example, in the event of **disclosure of harm or danger** to participants or others |  |  |  |  |  |
| **6.1g Participants being made aware that confidentiality may be impossible to guarantee;** for example, due to **size of sample, particular locations** etc.? |  |  |  |  |  |
| **6.1h Participants being made aware that data may be shared/archived or re-used** in accordance with Data Sharing Guidance provided on Participant Information Sheet? |  |  |  |  |  |
| **6.1i Any other methods of protecting the privacy of participants?** (e.g. use of direct quotes with specific, written permission only; use of real name with specific, written permission only): |  |  |  |  |  |
| If you have selected **Other** above provide details here  Enter text here | | | | | |

**6.2 The following methods of assuring confidentiality of data will be implemented:**

# Select all that apply

|  |  |
| --- | --- |
| **6.2a Data will be stored at University of Glasgow**  **\* Paper** (kept secure in locked facility/cabinet)  **\* Electronic** (files to be available by password only **and** data encrypted; see [UofG/IT/InformationSecurity](https://www.gla.ac.uk/myglasgow/it/informationsecurity/confidentialdata/)/ConfidentialData for guidance) |  |
| **6.2b Data will be stored at another site** provide details/address below  **\* Paper** (kept secure in locked facility/cabinet)  **\* Electronic** (files to be available by password only **and** data encrypted; see [UofG/IT/InformationSecurity](https://www.gla.ac.uk/myglasgow/it/informationsecurity/confidentialdata/)/ConfidentialData for guidance)  **(Provide details/address below)**  Enter text here |  |
| **6.2c Other** (other methods of securing confidentiality of data in transmission, access and storage) (e.g. data to be encrypted for transmission/security measures if data sent outside UK; cloud storage and access)  See [UofG Data management support](https://www.gla.ac.uk/myglasgow/datamanagement/lookingafteryourdata/datasharing/) and link given above. |  |
| If you have selected **Other** above provide details here:  Enter text here | |

**7 Access to data**

**7.1 Will anyone other than those named above** (researchers, supervisors, examiners, research assistants, Heads of Department, transcribers) **access the research data? Yes**   **No**

**If YES please provide details below.** If e.g. transcribers or research assistants are not known at this time, please forward details to Ethics Administrator when available.

Enter text here

**7.2 Retention and disposal of PERSONAL data**

**Explain/justify your proposals for retention and disposal of any PERSONAL data to be collected.** The definition of personal data is available at [UofG GDPR Changes](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/changes/). Further information on GDPR is available at [UofG GDPR Guidance](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/))

Enter text here

**7.3 Retention and disposal of RESEARCH data**

**Explain/justify your proposals for retention and disposal of RESEARCH data to be collected.** PGR/Staff research data is expected to be retained for 10 years. Further guidance is available in [Code of Good Practice in Research](https://www.gla.ac.uk/media/media_490311_en.pdf). For Data Management Support, visit [Data Management](https://www.gla.ac.uk/myglasgow/datamanagement/)

Enter text here

**8 Dissemination of results:** (select all that apply)

|  |  |  |
| --- | --- | --- |
| **Method** | **To Participants** | **To Peers/Colleagues** |
| **8.1a Dissertation** |  |  |
| **8.1b Thesis (e.g. PhD)** |  |  |
| **8.1c Journal Articles** |  |  |
| **8.1d Conference Papers** |  |  |
| **8.1e Written summary of results to all if requested** |  |  |
| **8.1f Other or none of the above** |  |  |
| If you have selected **Other** above provide details here:  Enter text here | | |

**9 Datasets suitable for future re-use will be:**

|  |  |
| --- | --- |
| **9.1a Openly available via data repository** (UKDA, Enlighten, Research Data) |  |
| **9.1b Available via a data repository but with restricted access** |  |
| **9.1c Available from researchers by personal request** |  |
| **9.1d None of the data will be suitable for future access/reuse** |  |
| **9.1e Other or none of the above** |  |
| If you have selected **Other** above provide details here:  Enter text here | |

**10 Participants**

**10.1 How do you intend to recruit participants?** Provide as much detail as you can, including what age/type of group will be used for each research activity involved, e.g. interviews

Enter text here

**10.2 Target Participant Group** Guidance on the age of legal capacity available on [Age of Legal Capacity (Scotland)](http://www.legislation.gov.uk/ukpga/1991/50/contents) and also [Principles of Consent (England, Wales and Northern Ireland)](http://www.hra-decisiontools.org.uk/consent/principles-children-EngWalesNI.html)

Select all that apply

|  |  |
| --- | --- |
| **10.2a Students \* or Staff of the University of Glasgow**  (\* See [Working with Glasgow University Students](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#workingwithglasgowuniversitystudents)) |  |
| **10.2b Adults** (over 18 years old **and competent** to give consent) |  |
| **10.2c Adults** (over 18 years old who **may not** be competent to give consent) |  |
| **10.2d Young people ages 16-17 years old** |  |
| **10.2e Children under 16 years old** |  |

**10.3 Will financial inducements/incentives, other than reasonable expenses** and compensation for time, be offered to participants?  **Yes  No**

**If YES provide details**

Enter text here

**10.4 Number of participants** Give details of different age groups/activities involved **for each method of data collection**

Enter text here

**10.5 Are any of the participants in a dependent relationship with any of the investigators,** particularly those involved in recruiting for or conducting the project?i.e. student/teacher, employee/employer, patient/doctor, student/supervisor etc.

**Yes**   **No**

**If YES provide details**

Enter text here

**11 Location of research participants**

|  |  |
| --- | --- |
| **11a University of Glasgow** |  |
| **11b Outside location/s** provide details/address below  Enter text here |  |

**12 Permissions to access participants**

**12.1 Do you require permission to gain access to research participants within an organisation?** e.g. Academic institution, **including University of Glasgow**, Private Company; school; Local Authority; Voluntary Organisation; Overseas institution.

**Yes**   **No**

**12.2 If YES**

**is evidence of this permission provided with this application? Yes**   **No**     
NB: Separate permission to survey students must be obtained, usually from the appropriate authority, prior to any such survey being undertaken onceethical approval has been granted. Once obtained, proof of permission must be forwarded to the Ethics Administrator. More details available on [Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/). See [Working with Glasgow University Students](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#workingwithglasgowuniversitystudents)

**12.3 If NO**

**to either of the above questions, explain why permission is NOT required,** or why evidence is not provided with this application:

Enter text here

**12.4 If applicable, list the University of Glasgow students that you intend to contact** e.g. 30 students from X course. [Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#/workingwithglasgowuniversitystudents) has guidance.

Enter text here

**13 Informed Consent** Consult the guidance on [Ethics Forms](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/) page to understand what you are required to provide in the Participant Information Sheet (a written ‘plain language’ statement that explains your project and invites participation)

|  |  |  |
| --- | --- | --- |
| **Participant Information** | **YES** | **NO** |
| **13a Have you attached your Participant Information Sheet?** |  |  |
| **13b Will a copy of the Participant Information Sheet be offered to participants to keep?** |  |  |
| **If NO to 13a or 13b** above,please give details here:  Enter text here |  |  |
| **13c Are any participants likely to require** special consideration in the preparation of the Participant Information Sheet, to ensure informed consent? e.g. use of child friendly language or English as a second language |  |  |
| If **YES to 13c** above, please give details here:  Enter text here | | |

**14 How will informed consent by individual participants or guardians be evidenced?** Written evidence of informed consent is normally obtained and retained using a formal consent form, with copies provided for review

select all that apply

|  |  |
| --- | --- |
| **Participant Consent** |  |
| **14a Signed consent form** |  |
| **14b Recorded verbal consent** |  |
| **14c Confirmed by return of survey** (evidence of clear agreement of consent to use participant data must be provided at start of survey e.g. by use of tick box) |  |
| **14d Other** |  |
| If you have selected **Other** above provide details here:  Enter text here | |

**15 Justification,** if **written** evidence of informed consent will **NOT** be obtained and retained:

Enter text here

**16 Monitoring**

**16 How will the project be monitored to ensure that the research is being carried out as approved** e.g. give details of regular meetings/skype/email contact.

Enter text here

**17 Health and Safety/Risk**

**17 Will the project have any personal safety implications** for you, and/or all other researchers and participants involved in the research?(This should include risks associated with COVID-19 but **other** than lone fieldwork – refer to Section 18 for this)

**Yes  No**

If **YES,** please explain the potential issues and how you intend to manage them:

Enter text here

**18 Risk**

**18.1 Does the activity Involve Lone Field Work, lone working or travel to unfamiliar places?** See [Information for Applicants, Lone Working](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#/loneworkingconsiderations) **Yes  no**

**If YES, please explain**

Enter text here

**18.2 Does this research include any sensitive topics or vulnerable groups? Risk guidance** is available at [Ethics Forms](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/)

**Yes  no**

**If YES, please explain** the reason for including these and how the sensitivity will be managed

Enter text here

**18.3 How will you ensure that you minimise** any possible **distress** caused to any **participants** by the research process?  Consider potential disruption or negative consequences that could cause emotional, social or economic distress.

Enter text here

**18.4 What procedures** are in place for the appropriate referral of a study **participant** who discloses an **emotional, psychological, health, education**, or **other issue** during the course of the research or is identified by the researcher to have such a need?

Enter text here

**18.5 Does this project require Protection of Vulnerable Groups (PVG) clearance?** Guidance available at [UofG Protection of Vulnerable Groups](https://www.gla.ac.uk/myglasgow/humanresources/mgrs-admin/mgr-guidance/pvgscheme/) and additionally at: [MyGov Types of Disclosure](https://www.mygov.scot/disclosure-types/?via=http://www.disclosurescotland.co.uk/))

**Yes  no**

**If YES please provide confirmation** of certification held or being sought

Enter text here

**19 Please provide additional details if the proposed research involves:**

* Work involving the use of research participants outside GB, NI, the Channel Islands, or the Isle of Man
* The use of hazardous materials
* Non CE marked medical devices
* Molecules or compounds developed and manufactured at the UofG
* Number of participants in excess of 5000
* Work involving research participants known to be pregnant at the time of the project

Activity involving any of the above may require additional insurance cover to be put in place

**See** [Insurance Guidance](https://www.gla.ac.uk/myglasgow/finance/staffsections/insuranceandrisk/)

Please contact [debra.stuart@glasgow.ac.uk](mailto:debra.stuart@glasgow.ac.uk) for further information regarding additional insurance requirements

**If applicable, please provide details**

Enter text here

**20 Government Legislation** further information available at [Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/)

|  |  |  |
| --- | --- | --- |
| **20.1 Have you made yourself familiar with the requirements of the following legislation?** | **yes** | **no** |
| [General Data Protection Regulation (GDPR) (May 2018)](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/) |  |  |
| [Freedom of Information (Scotland) Act 2002](http://www.itspublicknowledge.info/Law/FOISA.aspx) |  |  |

**20.2 If NO to either of the above questions**, explain why the legislation is not relevant.

Enter text here

**21 Declaration by Researchers And Supervisors**

**! Application will be returned if declaration is not signed and dated !**

* The information contained herein is, to the best of my knowledge and belief, accurate.
* I have read the University’s current human [ethics guidelines](https://www.gla.ac.uk/research/strategy/ourpolicies/ethics/), and accept responsibility for the conduct of the procedures set out in the attached application in accordance with the guidelines, the University’s Code of Conduct for Research and any other condition laid down by the University of Glasgow Ethics Committee and the College of Social Sciences Research Ethics Committee.
* I and my co-researcher/s or supporting staff have the appropriate qualifications, experience, and facilities to conduct the research set out in the attached application and to deal effectively with any emergencies and contingencies related to the research that may arise.
* I understand that **no** research work involving human participants or data collection can commence until I have been granted full ethical approval by the College of Social Sciences Research Ethics Committee.

**Applicant/Researcher/s**

X Enter text here

X Click here to enter a date.

**Supervisor/s**

**(Where Applicant Is Student)**

X Enter text here

X Click here to enter a date.

**For Supervisors – Please note that by submitting this application the supervisor confirms that:**

* The student is aware of the College ethics requirements.
* The topic merits further research.
* The student has the relevant skills to begin research.
* If interviewing, the student has produced an appropriate information sheet for participants.
* The procedures for recruitment and obtaining informed consent are appropriate.

**End Of Application Form.**

**Applications should be submitted electronically as follows:**

Upload the completed form, along with any other required documents by logging in to the Research Ethics System at: <https://frontdoor.spa.gla.ac.uk/login/>

NB: PGR students are required to upload their application which is then forwarded to their named supervisor for approval and submission to the College Research Ethics Committee.