Notes on completion of ethics application form



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

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

The following notes in blue provide guidance for the completion of the Application Form for Ethical Approval (EAP). The guidelines provided relate to specific sections of the application form. If you choose to complete this version of the form, remember to remove the guidance text before submission!

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/).

This section is self-explanatory and asks for details about yourself and what kind of application you are making. All applicants should complete all sections.

### **Applicant Details**

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

**Postgraduate Student Research Project** Click on box to select

**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

Click and calendar will appear, then select date

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

The proposed **start date is for when you commence data collection.** It should normally be at least four/six weeks after the submission date of your application, to allow time for your application to be fully processed before the time you plan to begin data collection.

Data collection involving human participants must not start before ethical approval is given. Submissions can be made earlier than apparently required, if for instance, prior ethics approval is required for applying for gatekeeper consent. This should be made clear in the application.

Click and calendar will appear, then select date

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

The proposed **end date** should be the date by which you will have **completed your analysis of your research results** and produced your final report.

If a student, this should be after the retrieval date for any thesis to allow for the possibility of resubmission.

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

**If Yes provide details** Enter text here

You should provide information on which ethics committee your project has been submitted to and the outcome if that is available. Approval documents from another committee should be included with this application.

Click on box to select

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

**If Yes provide details** Enter text here

Provide details of any external funding for the project if applicable.

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

The use of different forms of data including social media, social networking, online data, ‘Big Data’, may still require ethical approval and if you are intending to use any of these data sources, then it is important that you consult appropriate resources for guidance. Issues of privacy, confidentiality and data security and risks of disclosure must be considered.

You should submit the form indicated below and refer to associated guidance.

**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

Briefly describe your project, this is to explain to reviewers what the subject matter is and should be clear and free of unnecessary jargon.

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

**For PGR student applications - Supervisors** should complete this section on the possible risks associated with the project.

**For staff applications - all submitting applicants** should complete this section on the possible risks associated with the project.

You should complete this comments section and sign electronically/type your name, and date this section. **This section must be fully completed**, demonstrating that the student/supervisor/staff researcher has considered any potential risks to participants and/or researcher, and giving evidence of how these are to be mitigated. Refer to [Risk Guidance Document](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/#d.en.473063) on the College ethics website for detailed guidance on what are considered to be risk areas.

Remember to sign and date this section as the application will be returned if this is not done**,** if scanned signature is not available, typed names or GUID are acceptable. Applicants are confirming that they have considered any potential ethical issues and if supervisors are completing this section, they are affirming that they approve and support the application for ethical approval.

**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 Signature or GUID or typed name should be given here

X Click here to enter a date. Click here and calendar will appear, then select date

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

This is where you should provide details of all researchers involved with the project. If you do not know who your transcribers are at the time of the application, this should be stated, and details provided to the ethics administrator when they are known.

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?

The questions in this section are designed to help you think about the reasons for your research and to ensure that the functional aspects are planned in accordance with the University’s ethical guidelines.

Why is this research significant to the **wider community**? What are the benefits to the participants? These questions are very important and ask you to think about the **reasons** for your research.

* If you are going to ask people to take part in your research, then there must be some sense that the research will be of value to them and/or the wider community. Students should note that the "requirements of a degree" is not in itself sufficient reason for doing research involving human participants.
* Whilst you cannot anticipate the outcome of your research, there should nevertheless be an **underlying reason** for doing a particular piece of work in your chosen context at this time. This could relate to benefits arising from enhancement of practice, either for yourself or for participants.

In addition to how your research might benefit the wider community, you should also think of any possible **benefits for your participants** as a consequence of taking part in your research. Such benefits may give ethical justification for research which could not be justified by just the benefits it might have for a wider community.

Benefits might include opportunities for reflection, opportunities to try out different strategies/approaches to their practice etc.

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.

**Important**: you are **required** to provide at least draft questions or outline themes for all types of your methodology, in separate supporting documents with the application.

Select the appropriate box for all of the instruments you intend to use to collect your data.

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:  You should provide information here if you are using any methods not already listed above, such as participant diary/photographs etc.  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.

Here you should think about the effect of each of the instruments chosen, on your participants. Undertaking empirical research with human participants entails becoming involved in their lives.

Researchers should consider, therefore, the amount of time, volume, purpose, and validity of questions asked, and the number of tasks they require participants to undertake.

Consideration should be given to the demands that the methods are likely to place on participants. Where the methods proposed are intrusive and demanding, the greater will be the need for fully developed explanations justifying the research and the methods.

In addition, researchers should consider whether their instruments allow participants to offer a balanced response and to express their own point of view. This section should also include details of how the data will be analysed.

Enter text here

**6 Confidentiality and Data Handling**

All methods to be used to achieve confidentiality of personal and research data should be selected.

This is an aspect of your research to which you should give serious thought from the outset. The questions in this section are designed to help you think about how you will deal with your data and to protect you in the unlikely event of the ethical conduct of your research being questioned.

You must explain your choices in the **Research Methods** section above. There is also a requirement to explain to participants that in the event of information being received indicating any possible harm or wrongdoing to someone involved in the research, that this will be reported to any appropriate agency.

You need to be realistic about how anonymised your data can be. There are five columns provided in this section. You should select the research method at the top of the column and select from the options in the list down the left side how you intend to protect data for each method of your data collection.

Choose the type of method at top of each column, e.g. interview / questionnaire

**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  You should provide information here if you are using any methods not already listed above.  Enter text here | | | | | |

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

Remember that the data you hold has been given to you in trust by someone else. You should think carefully about how you will ensure that the data is kept safely. Preferably, data will be stored at the University with paper documents kept in locked filing cabinets/rooms and electronic data stored on password-protected computers.

The University also now requires that data storage must be encrypted. Cloud storage is permitted only on approved sites; see [UofG/IT/Information Security](https://www.gla.ac.uk/myglasgow/it/informationsecurity/) and [Data Management](https://www.gla.ac.uk/myglasgow/datamanagement/) for guidance. The tick boxes below also offer suggestions for preserving confidentiality.

If you do not know who your transcribers are at the time of the application, this should be stated, and details provided to the ethics administrator when they are known.

Please ensure that you select sufficient responses to cover all the methods of data collection you will be using. Remember that even if you are dealing almost exclusively with digital material it is very likely that there will be paper copies at some point, so **think of both paper and electronic data**.

For your own integrity as a researcher, and in order that your participants can take part with confidence, you should be clear and make it known, how their identity will be protected throughout your research and once the research has finished. The detail from this section should be included when seeking informed consent through your Participant Information Sheet (Plain Language Statement) and Consent Form.

Select the appropriate box(es) for the methods you intend to use to secure your data

# 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:  You should provide information here if you are using any methods not already listed above.  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**  Click on box to select

If access to data is to be limited to named researcher/s, supervisors/examiners/transcribers only, then simply select 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.

If however, the data is to be made available to others, please explain who these others are and why it is necessary for them to have access to data, e.g. ensuring ethical conduct of research, transcribing audio material.

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/))

Personal data must not be kept longer than is necessary based on the purpose for which it was collected.

It will be appropriate to retain personal data and materials for longer in some cases than in others. In most cases applicants should indicate when and how data will be disposed of. Examples of methods of destruction include the shredding of paper documents and deleting electronic files. Electronic files should be erased using secure removal software. The most obvious point at which files should be deleted is at the end of the initially specified research project.

In justifying retention or a particular disposal date, applicants would be expected to consider the likely present and future value of the data, and the risks associated with retaining the data.

Where the nature of the research entails keeping data for an extended period, and possibly for other purposes, then this should be made clear to participants prior to their participation e.g. in the Participant Information Sheet. See [Data Management](https://www.gla.ac.uk/myglasgow/datamanagement/) for guidance on secure storage.

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/)

In some cases, where for example the material is expected to have historical value and will be securely stored, it may be appropriate to propose the indefinite retention of data. See [Data Management](https://www.gla.ac.uk/myglasgow/datamanagement/) for guidance on secure storage.

In justifying retention or a particular disposal date, applicants would be expected to consider the likely present and future value of the data, and the risks associated with retaining the data.

Where the nature of the research entails keeping data for an extended period, and possibly for other purposes, then this should be made clear to participants prior to their participation e.g. in the Participant Information Sheet/ Plain Language Statement.

For postgraduate and staff research, University of Glasgow Research Guidelines expect data to be retained for 10 years after completion of the project. Detailed guidance is available in the University [Code of Good Practice in Research](https://www.gla.ac.uk/media/media_490311_en.pdf)

Enter text here

**8 Dissemination of results:**

Having recruited people as research participants, you should consider how you will inform them of your results. They have contributed something of themselves to your work and the **ethical position of this College** is that they are entitled to know how their input has been used and what impact it may have had. You should plan to give feedback of some kind to your participants.

However, in choosing your method/s of dissemination, **viability** should be a factor. For example, it is unlikely that you will be able to furnish all participants with a copy of your final report/thesis if you have recruited a large number of people.

The nature of some funded research projects may inhibit the dissemination of results. Where this is the case, please indicate this by choosing ‘Other or None of the above’ and providing a brief explanation.

Select all methods you intend to use for **both** your participants and peers in the separate columns provided.

(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:  You should provide information here if you are using any methods not already listed above  Enter text here | | |

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

Please indicate the ways in which you will make the data (or a subset of the data) from your research available for future re-use by others. Select **more than one option if different methods** are suitable for different subsets of the data.

Please note that making research data available for re-use is an expectation of some RCUK (and other) funders and consent for future data sharing and re-use should be sought whenever possible. Funders recognise that some data will never be suitable for re-use due to ethical, legal, or commercial constraints, but data falling into these categories are expected to be in the minority.

If access to your data set will need to be restricted in some way, please consult your chosen repository prior to completing this section to determine the level and mechanism for restriction that will be most suitable for your data set.

If you intend to make your data available for future re-use, this should be made clear to the participants prior to their participation e.g. in the Participant Information Sheet / Plain Language Statement, with information on how their personal information will be protected e.g. through anonymisation, use of pseudonyms, removal of identifying details etc.  Consent should also be sought to make the data available for future re-use on the consent form issued to participants.

Click on box to select

|  |  |
| --- | --- |
| **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

Researchers should give thought to why they are carrying out their research in a particular context and with a specific group of people and how they intend to contact those potential participants. They may be recruiting participants via contact with a school, a particular establishment, or workplace. Or they may be planning to contact a specific group of students by email, or random participants by poster etc.

NB: if you are planning to recruit via email or other online contexts you must read and comply with the guidelines at [Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/)

**Important** - It is **not permitted to add attachments** (information sheets/plain language statements, questionnaires etc.) to emails; potential participants must be requested either to contact you for further information, or be directed to a site e.g. Online Surveys, where the first page must be a clear plain language statement.

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)

Tick the appropriate box or boxes. Please note that within schools it is required that parental consent be sought on an ‘opt-in’ basis before children and young people can be invited to take part in your research. Please also be aware that parental consent does not entail compulsory participation on the part of the young person. Children and young people should always be given their own version of the Participant Information Sheet/Plain Language Statement and their own consent form. See samples on [Ethics Forms page](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/#d.en.473063) on College ethics website.

Consent is a continuous process and an important aspect of the ethical conduct of your research. Children, young people, and adults who have been nominated by others (e.g. their employer) should be given opportunities **not** to participate as appropriate. There is an option on the form to indicate if your research involves young people (aged 16 – 17 years).

Select all options that apply by ticking appropriate box.

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** Click on box to select

**If YES provide details**

Incentives are not commonly used; however, please remember to complete this section if it is relevant, ensuring that you explain why you are providing an incentive to participants. You can put ‘not applicable’ as your answer if you are not using any incentives.

Enter text here

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

Thinking on this question helps you to consider both the viability and validity of your research. Too many participants, for example, may render your research impossible or difficult within the time frame indicated above. Too few participants could impact on the validity of your research, and therefore the ethical justification of taking up participants’ time.

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**  Click on box to select

**If YES provide details**

In particular, this question can concern teachers or students carrying out research involving the pupils with whom they normally work. If the answer to this question is ‘yes’ you must ensure that your Participant Information Sheet contains a section informing potential participants that their decision concerning whether or not to take part will in no way affect their relationship, progress or general experience of school/work.

The question will also affect Further Education and University lecturers doing research with their students, and researchers in promoted positions using colleagues with whom they normally work, as participants. Or those working within a company or organisation, who are conducting research with participants below them in their organisational hierarchy.

Enter text here

**11 Location of research participants**

If your research will take place in a location other than the University of Glasgow, please supply as much detail as possible. For example, specific locations such as ‘X Community Centre’ or ‘School Y’, Z Bank/Business are preferable to ‘various community locations’, ‘several local authority schools’ or ‘some Banks/Businesses.

Should exact locations not be known at the time of application, details should be sent to the ethics administrative point of contact as soon as they become available.

Click on box to select

|  |  |
| --- | --- |
| **11a University of Glasgow** |  |
| **11b Outside location/s** provide details/address below  Information provided here should be as detailed as possible, not just ‘some schools’ etc. Additional details can be provided to ethics administrator later if not known at time of application.  Enter text here |  |

**12 Permissions to access participants**

It is important to read the following notes before completing this section.

It may be the case that your respondents are recruited by, or in conjunction with another party, for example College Principals, Local Authority Representatives, Head teachers, Prison Governors, Health Boards, Company CEOs or leaders and managers of community groups.

It is likely to be the case that permission is required to carry out your research in schools, colleges, prisons, or hospitals. In the case of the latter two, ethical approval is required from another Committee. See the information on NHS Research Ethics Committee if you are unsure about the jurisdiction. See [NHS Research on Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/) page of College ethics website.

In all cases, you should ensure that approval and permission are granted before you commence data collection. While you may ask for outline permission to carry out research in a particular location, and evidence of this may be submitted with the ethics form, full permission cannot be given by e.g. a head teacher or a workplace manager until the project has been granted ethical approval, as full approved information including information sheet, research instruments etc. will not be available until then.

Evidence of full permission must be submitted to the Ethics Committee as soon as possible after ethical approval is granted. This will be recorded.

**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**  Select appropriate answers carefully here

**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)

If students within the College of Social Sciences of the University of Glasgow are involved as participants in your research, approval must be obtained as follows:

* From the Head of School if students from only one School are involved.
* From Dr Duncan Ross, Dean of Graduate Studies, as designated by the Head of College, if students from more than one School in this College are involved.
* If staff or students from more than one College are to be involved, permission must be obtained from the Clerk of Senate. You should refer to the guidance on student surveys from the [Senate Office: Policy on Student Surveys](https://www.gla.ac.uk/myglasgow/senateoffice/policies/studentengagement/studentsurveys/).

Permission to survey students should be sought after ethical approval is confirmed.

In instances where you require access to UofG staff/student participants’ e-mail addresses, permission must be sought from the UofG Postmaster. See [Information for Applicants: Electronic Recruiting](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/) on the College ethics website.

In relation to electronic recruitment, permission from the UofG postmaster cannot be given until after ethical approval is given and clear instructions about the specific group/s of students must be given to ensure that only those mentioned on your form are contacted.

**12.4 If NO**

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

If permission is **not** required, you should explain here the circumstances, e.g. that your research participants are individuals, not employees of a particular organisation in the context of your research, or that they are in senior positions, and do not require permission to take part from an employer.

Enter text here

**Note**: You may not have the permission yet, apart from an outline agreement to take part. The formal permission should be sought after ethical approval is confirmed and forwarded to the relevant ethics administrator by email. See [Ethics Contacts](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/committee/ethicscontacts/) on College ethics website.

**12.3 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.

Give details here of any group of University of Glasgow students you intend to contact, e.g. how many students from which course.

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)

These questions concern provision of the information given to participants to allow them to decide whether to take part in your research.

Both the Participant Information Sheet and the Consent Form must contain the University of Glasgow /College of Social Sciences/ Appropriate School logo.

Separate guidance on how to construct a Participant Information Sheet and a Consent Form are available from the College of Social Sciences ethics website, examples of the Participant Information Sheet and Consent Forms can also be downloaded from [staff and Postgraduate Research student forms and guidance notes](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/#/ethicsformsandguidancenotes:staffandpgr) on the College ethics website.

It is expected that normally research involving human participants will entail the use of Participant Information Sheets and Consent Forms.

You should note that if you are working with young people in schools, you must obtain parental/carer’s consent, as well as supplying the young person and their parent (or whoever is giving consent) with a copy of your Participant Information Sheet/Plain Language Statement.

Only in **exceptional circumstances** is it possible that no Participant Information Sheet will be required. In general it is expected that all applications will include one. If you feel there are specific reasons for not providing one these must be clearly explained.

It may be that there are socio/political reasons that participants would not want to keep a Participant Information Sheet as is usually expected. These reasons must be provided. The Research Ethics Committee will decide if these reasons are accepted and advise the applicant.

Click on box to select

|  |  |  |
| --- | --- | --- |
| **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, 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

If you are carrying out a survey by questionnaire with adults, it may be that you can assume consent by return of the questionnaire and only a Participant Information Sheet is required. However under GDPR requirements a positive affirmation of consent to take part must be provided even if you are using a questionnaire. A tick box could be provided at the start of the survey to confirm this.

You should be aware that informed consent is not a ‘one-off event’ and that participants in interviews and focus groups should be reminded throughout that their participation is voluntary. This is especially the case with young people, whose parents and teacher have given consent, but who may not wish to take part. Even though consent may have been given by the relevant parent/carer, you must ask the young person if they give their consent to participate. Young people have the right not to participate, or to answer only some of your questions.

**Please note:**  that all participants **in education under 18 years of age** require the consent of their parents/guardians if they wish to take part. In addition, if the research is taking place in schools, the Local Authority and school will act as gatekeepers of consent, and their approval must also be sought. This is in line with University of Glasgow Ethics Committee guidelines.

Click on box to select

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) This is now a requirement of the GDPR which requires unambiguous evidence of consent to be provided, even in relation to returning a survey which could be seen to imply consent to use the data provided by the participant. |  |
| **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:

When is a consent form not needed?

Under certain survey conditions a signed Consent Form may not be needed. For instance, when adult participants are mailed a questionnaire, return of the questionnaire can be considered to indicate consent. However under GDPR requirements a positive affirmation of consent to take part must be provided even if you are using a questionnaire. A tick box could be provided at the start of the survey to confirm this. The researcher must provide proof that participants will be adequately informed of the purpose of the study, the extent of the participant's involvement and how the data will be handled with respect to confidentiality. In the case of a postal survey a copy of an abbreviated Participant Information Sheet or a cover letter detailing the above information should be submitted with the application.

Exceptionally socio/political circumstances may make it inappropriate to use a formal Consent Form. The case for this should be made to the Research Ethics Committee in the application and the decision will rest with the Committee.

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.

This question is simply asking you to think about how you will ensure that you conduct your research in the way that you have described in the previous sections of the form. For students, this will likely consist of a series of meetings with their supervisor. For staff, monitoring of the ethical conduct of the research is likely to be an element of research team meetings. For staff working alone, they may have contact with funders or those commissioning the research to report on progress.

Enter text here

**17 Health and Safety/Risk**

**17 Will the project have any personal safety implications** for you, 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** Click on box to select

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** Click on box to select

**If YES, please explain**

Lone working is defined as someone working away from any immediate colleague or supervisor and is applicable to those carrying out interviews on their own. It is important that researchers are aware of the potential risks in doing so and have clear and robust safety procedures in place. The use of mobile phones with agreed contact times with someone who is aware of where the researcher is and the length of time expected to be there, is one way of helping to assure researcher safety. Meeting in public places rather than participants’ homes is also recommended. Details must be given to assure the Committee that these risks have been considered and reasonable arrangements made to mitigate these.

See **Lone Working Considerations** on [Information for Applicants](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/) on the College ethics website. Please note, the University recommends use of the [Safe Zone App](https://www.safezoneapp.com/) when carrying out fieldwork.

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** Click on box to select

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

This section is simply asking you to recognise if your research involves any issues that could be seen as sensitive or participant groups that could be considered vulnerable. You will be expected to be able to explain how you will minimise any risk of distress or adverse consequences in this circumstance. The [Risk Guidance Document](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/undergraduateandpostgraduatetaughtstudents/#d.en.412017) will assist in your consideration of whether or not your research falls into either of these categories and should be consulted.

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.

It is sometimes possible that participants will be adversely affected by issues raised in research situations. These affects could be emotional, psychological, physical, social, or economic. It is important that you **consider all possible causes** of distress carefully, including any possible reaction to the subject matter of the research. You should answer this question showing that you have thought about these issues and how you can mitigate against any such consequence.

You should also be aware that there may be unanticipated issues that cause some distress, both in relation to the research process and possible representation of participants in the future.

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?

You should be aware of any possible consequences of the research interaction with participants. If a participant discloses some emotional or health issue for example in relation to the subject of your research, you should be able to provide some information on appropriate sources of support.

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/))

This asks specifically about the Protection of Vulnerable Groups clearance status of the research.

You should consult the University Protection of Vulnerable Groups Scheme webpages at [UofG Protection of Vulnerable Groups](https://www.gla.ac.uk/myglasgow/humanresources/mgrs-admin/mgr-guidance/pvgscheme/). Further guidance is also available at [MyGov Types of Disclosure](https://www.mygov.scot/disclosure-types/?via=http://www.disclosurescotland.co.uk/)

The Ethics Committee can advise on the status of a project if you are unsure of whether it requires membership of the PVG Scheme for the researchers. Advice is available from the College Ethics Administrator, Mrs Terri Hume. ([Terri.Hume@glasgow.ac.uk](mailto:Terri.Hume@glasgow.ac.uk))

**Yes  no** Click on box to select

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

You should provide your registration number here if you are already a member of the Scheme. If you have recently applied to join the Scheme you should state this here.

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 [rrc@glasgow.ac.uk](mailto:rrc@glasgow.ac.uk) for further information regarding additional insurance requirements

**If applicable, please provide details**

It is important to check that your research is not exempt from the normal university insurance coverage, which may be the case if you are carrying out interviews abroad for example.

The terminology may be confusing as it contains reference to ‘clinical trials’; please read carefully as the guidance also applies to social science research involving human participants.

Further information can be found on Insurance and Indemnity on the [Insurance and Risk](https://www.gla.ac.uk/myglasgow/finance/staffsections/insuranceandrisk/) pages.

(If you have a problem accessing this link, please try a different browser e.g. Firefox instead of Internet Explorer.)

You should consult the University’s pages on insurance on the website, but if you think your research may not come under the usual insurance conditions, you should contact the Insurance and Risk Office. See [Frequently Asked Questions](https://www.gla.ac.uk/myglasgow/finance/staffsections/insuranceandrisk/frequentlyaskedquestions/#d.en.88041) and [Professional Indemnity](https://www.gla.ac.uk/media/media_129507_en.pdf) (pdf)

Enter text here

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

Click on box to select

|  |  |  |
| --- | --- | --- |
| **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.

If you have ticked No to either of the questions above, please explain here why the above legislation does not apply to your research.

Enter text here

Section 21, this section **must** be signed and dated by both the student researcher and principal supervisor or by staff applicant. In the absence of digital signatures names can be typed or GUID given. This is to confirm that you accept the code of conduct and **applications will not be considered if these signatures/typed affirmations are not completed.**

Supervisors should also note the additional stipulations they are attesting to.

**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 Those submitting application must sign in some form.

X Click here to enter a date. Click and calendar will appear, then select date

**Supervisor/s**

**(Where Applicant Is Student)**

X Enter text here Where applicable, at least one supervisor must sign in some form.

X Click here to enter a date. Click and calendar will appear, then select 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 GUIDANCE NOTES ON COMPLETING APPLICATION FORM

**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.