

Notes on completion of non-standard human data research ethics application form

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

**Staff and Postgraduate Research Students**

**Protocol for research dealing with non-standard human data – Social Media, Online, Social Networking, Secondary data, Big Data.**

The following notes in blue provide guidance for the completion of the Application Form for Ethical Approval for research dealing with non-standard human data. The guidelines relate to specific sections of the application form.

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/).

In addition to reading **Appendix 1** of the form – applicants should consult: [Ethical decision-making and Internet research:](https://aoir.org/reports/ethics.pdf)  **and***,* [Ethical decision-making and Internet research 2.0](https://aoir.org/reports/ethics2.pdf)

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, allowing time for applications to be reviewed, and any recommended amendments to be made.

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.

Staff Research Project [ ]  Staff Scholarship of Teaching and Learning Project [ ]

Postgraduate Student Research Project [ ]

Project Title Enter text here

Name Of Applicant Enter text here

School/Subject/Cluster/RKT Group Enter text here

Student ID/Staff Number Enter text here

PGR Programme Title (Where Applicable) Enter text here

**Start Date of Data Collection / Access or Analysis,** **as appropriate** (At least 6 weeks after application submission)

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

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

Data collection involving human participants or data must not start before ethical approval is given. If you do so, you will not be allowed to use the data towards your results and could face disciplinary measures.

**Proposed Project End Date** (e.g. date of PhD award, article submission, end of funding)

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

Provide details of any other ethics committee submission or approval.

If Yes, provide details:

Enter text here

Click on box to select

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

Provide details of any external funding for project if applicable.

If Yes, provide details:

Enter text here

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**Section A**

! 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 applicants** should complete this section on the possible risks associated with the project.

**1 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/).

You should complete the 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 have 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.

Remember to sign and date this section as the application will be returned if this not done**,** if scanned signature is not available, typed names or GUID are acceptable

Enter text here

**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.

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

**2 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

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 has to be some sense that the research will be of value to them and the wider community. Students should note that the "requirements of a degree" is not in itself sufficient reason for doing research involving human subjects.
* 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.

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**Section B**

1. Please provide details of the data you wish to collect or access – please include details of the platform, app, data archive, API, etc.

Provide information here on the type of data you wish to collect, e.g. chatrooms, discussion forums, Tweets, Facebook posts, etc.

Enter text here

Provide details here of what data you wish to use from online or non-standard sources e.g. blog content/social network participation data/data analysis of material from databanks.

2 You should have consulted the specific Terms and Conditions of the specific platform or data source; please answer the following:

2.1 What do the terms and conditions say about retention of datasets?

Enter text here

This is self-explanatory, you should explain what is permitted or not in saving data which you are taking from the source you are using.

2.2 What are the rules regarding publishing or re-sharing collected data?

Enter text here

This is self-explanatory, you should explain what the platform you are using allows in terms of publishing data you collect, such as tweets, pictures etc.

2.3 Are there specific provisions within the terms and conditions that permit research usage of data collected?

Enter text here

Provide details here of any section of the terms and conditions that specifically allow you to use the data for research purposes; ensure that you provide either a copy of the extract or a link to the relevant section.

2.4 What are the explicit limits on usage that may be relevant for planned research work?

Please provide any further details here:

Enter text here

You should make it clear here that you understand what you are **NOT** allowed to do with the data in respect of your research.

3 Have you consulted the relevant legal guidelines, disciplinary, funder or institutional guidelines in relation to the specific ethical concerns research of this nature can raise? E.g. copyright/Intellectual Property Rights/contracts/licensing/privacy/GDPR. See section: ([29A and Schedule 2(2)1D of Copyright Designs & Patents Act 1988)](http://www.legislation.gov.uk/uksi/2014/1372/regulation/3/made)

Please provide details here:

Enter text here

You should indicate here what the relevant guidelines are in relation to the data material you intend to use; providing links where possible.

Click on box to select

4 4.1a Does the data contain personal data? Yes [ ]  No [ ]

See Guidance on [UofGGDPR/What’sChanged](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/changes/)

Click on box to select

4.1b Does the data contain Special Category Data? Yes [ ]  No [ ]

Please see Guidance on [Information Risk Classification](https://www.gla.ac.uk/media/media_537721_en.pdf)

Guidance is available from [Information Commissioner’s Office](https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/) and on [UofG ethics website](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#/retentionanddisposalofpersonaldatanewregulation(gdpr))

If you have answered **Yes** to either question above please give details here:

Enter text here

You should explain what type of personal data is contained in the material you intend to use and / or what kind of special category data (confidential/sensitive data) as classified in the GDPR.

Click on box to select

5 Is the data open to being freely used for any purpose? Yes [ ]  No [ ]

**Note**: the data is still likely to be covered by copyright and this should be detailed at question 3 above.

**Important**: if **not** publicly accessible, as in free to use, then you **must provide a licence or data sharing agreement from any company that owns the data** stating they agree to share the data and agree that this data can be used for the dissertation/research purposes

6 Can the data reasonably be considered to be in the public domain? ([AOIR ethics guidelines](https://aoir.org/ethics/) )

Yes [ ]  No [ ]  Click on box to select

If Yes: Give clear justification for your response.

Enter text here

You should consult the AOIR ethics guidelines at the link above and if you consider the data to be in the public domain you should state clearly why you consider it to be so.

7 Can the individuals reasonably expect their data to be observed/accessed by strangers? Or reasonably expect their data to be used in the way that you propose in your research?

Yes [ ]  No [ ]  Click on box to select

If Yes, give details:

Enter text here

If the data is something that individuals provide online to a public i.e. ‘strangers’ audience then it can reasonably be considered as open to access, however it may not follow that they expect or anticipate it can be used in research; this should be justified here.

8 Please provide details of the data access and collection methods and or techniques; and also provide details of the method(s) of analysis. A [Data Management Plan](https://www.gla.ac.uk/myglasgow/datamanagement/creatingyourdata/dataplanning/) should also be submitted.

Enter text here

Provide details here of how you intend to collect the data e.g. through online interviews, participation in social networks, data scraping.

8.1 Include details of your methods of accessing the data and security arrangements, these should reflect any sensitivities of the data content. Guidance is available at [UofG/IT/InformationSecurity](https://www.gla.ac.uk/myglasgow/it/informationsecurity/confidentialdata/)/ConfidentialData.

Enter text here

You should demonstrate here that you have taken appropriate measures to ensure the security of your data, both when accessing and storing it.

8.2 Do you require a Data Protection Impact Assessment? See [UofG GDPR Data Protection Impact Assessment](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/dpia/).

See [ICO What is a DPIA?](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/data-protection-impact-assessments-dpias/what-is-a-dpia/) A DPIA is a process designed to help you systematically analyse, identify and minimise the data protection risks of a project or plan. It is a key part of your accountability obligations under the GDPR, and when done properly helps you assess and demonstrate how you comply with all of your data protection obligations.

See also [ICO When do we need to do a DPIA?](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/data-protection-impact-assessments-dpias/when-do-we-need-to-do-a-dpia/) To assess whether something is ‘high risk’, the GDPR is clear that you need to consider both the likelihood and severity of any potential harm to individuals. ‘Risk’ implies a more than remote chance of some harm. ‘High risk’ implies a higher threshold, either because the harm is more likely, or because the potential harm is more severe, or a combination of the two.

 Yes [ ]  No [ ]  Click on box to select

If Yes, give details:

Enter text here

8.3 How is profile, location or other personally identifying information used or stored by researcher?

Please provide details:

Enter text here

**Important:** The Data Protection Impact Assessment (DPIA) should be provided with this application if applicable. Consult the [ICO Data protection impact assessments](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/data-protection-impact-assessments/).

9 Are any individuals vulnerable (see [guidelines on vulnerable groups](https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/#/protectionofvulnerablegroupsscheme,workingwithpotentiallyvulnerableadults,workingwithchildren))?

 Yes [ ]  No [ ]  Click on box to select

See [Culture Republic](https://www.culturerepublic.co.uk/blog/news-%26-resources/ico-video-young-and-vulnerable-peoples-data/) for useful information on working with young or vulnerable people’s data.

See also [Guidelines on Data Protection Impact Assessment](https://ec.europa.eu/newsroom/article29/item-detail.cfm?item_id=611236)  these are guidelines with criteria which act as indicators of likely high risk processing.

* Evaluation or scoring. \* Automated decision-making with legal or similar significant effect.
* Systematic monitoring. \* Sensitive data or data of a highly personal nature.
* Data processed on a large scale. \* Matching or combining datasets.
* Data concerning vulnerable data subjects. \* Innovative use or applying new technological or organisational solutions. \* Preventing data subjects from exercising a right or using a service or contract.

If Yes, give details:

Enter text here

9.1 How are vulnerable persons identified and protected?

Please provide details:

Enter text here

10 Is the subject matter of sensitive or controversial nature?

 Yes [ ]  No [ ]  Click on box to select

You should demonstrate an understanding of the sensitive nature of your subject matter and the ethical implications of this; also how you intend to address these.

If Yes, give details:

Enter text here

11 Will individuals be identifiable from published outputs?

 Yes [ ]  No [ ]  Click on box to select

12 Will any of the outputs be potentially disclosive? Such as commercially sensitive information?

Guidance on [UK Data Archive](https://www.ukdataservice.ac.uk/manage-data/legal-ethical/anonymisation/qualitative) Qualitative and [UK](http://eprints.uwe.ac.uk/31986/1/SDC_Guide_1.pdf) Data Archive [Quantitative](https://www.ukdataservice.ac.uk/manage-data/legal-ethical/anonymisation/quantitative)

 Yes [ ]  No [ ]  Click on box to select

If Yes, give details:

Enter text here

13 Please provide a justification for **NOT** seeking consent or explain why this would not be possible and again provide a justification for why the research should proceed. Please see [DPIA guidance](https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/dpia/).

Enter text here

In the case of electronic-based research it may not be possible to obtain consent from the human originators of the data; this should be clearly explained to the reviewers.

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

14 Declaration By Researchers And Supervisors

* 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.

**See Appendix 1**: [Association of Internet Researchers chart: aoir\_ethics\_graphic\_2016](https://aoir.org/wp-content/uploads/2017/01/aoir_ethics_graphic_2016.pdf)

**……………………….. 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.