

Notes on completion of ethics application form

Staff and Postgraduate Research Application Form College Ethics Committee for Non-Clinical Research Involving Human Subjects

Before completing this form, you should refer to the guidance notes available at:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

And

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/>

This application form should be typed and submitted electronically along with supporting documents via the Research Ethics System: <https://frontdoor.spa.gla.ac.uk/login/>

Applications should be submitted **at least 6 weeks in advance** of the intended start date for data collection to allow time for review and completion of any amendments that may be required.

Please note that applications that require PVG Clearance or permissions to access participants will not be approved until the applicant can provide evidence of this.

The following provides guidance for the completion of the Application Form for Ethical Approval (EAP). The guidelines provided relate to specific sections of the application form.

Sections 1 and 2 Applicant Details, Project Details and Ethical Risks

1 Applicant Details

Staff Research Project	<input type="checkbox"/>	← Click on boxes to select
Postgraduate Research Project	<input type="checkbox"/>	
Project Title This section is self-explanatory and asks for details about yourself and what kind of application you are making.		
Name of Applicant		
School/Subject/Cluster/RKT Group		
Student ID/Staff Number		
Programme Title (PGR Applications only)		

2 Ethical Risks

This section **must** be completed and signed (in some form) by the appropriate parties, commenting on the research ethics risks involved in this project. **The application will be returned if this section is not fully completed.**

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

Staff & PGR: October 2017-V2

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

It should be clear from the comments provided that the potential risks have been considered and information provided on what they are, with evidence of what is to be implemented to mitigate these. You are advised to refer to the Risk Guidance at: <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

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

All Supervisors should complete the comments box and sign electronically/type their name, and date this section. Supervisors must complete this section fully, demonstrating that the student/supervisor have considered any potential risks to participants and/or researcher and giving evidence of how these are to be mitigated. A Risk Guidance Document is available from:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

Staff applicants must demonstrate that you have considered any potential risks to participants and /or researcher and give evidence of how these are to be mitigated.

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/ GUID are acceptable

Signed: **insert name**

Dated: **insert date**

3 All Researcher(s) including research assistants and transcribers (where appropriate)

Title	First and Surname	Telephone	Email (<i>usually UoG</i>)
Section 3	This is where you should provide details of all researchers/supervisors involved with the project		

All Supervisors, Principal first (where applicable)

Title	First and Surname	Telephone	Email (<i>usually UoG</i>)

4 External Funding Details

(NB: If this project is externally funded, please provide the name of the sponsor or funding body.)

Provide details of any external funding for the project. If no funding is involved, please enter Not Applicable.

4a Is this application being submitted to another Ethics Committee, or has it been previously submitted to another Ethics Committee?

Yes ☐

No ☐

(If yes: please provide name and location of the ethics committee and the result of the application.)

If you are applying to another Ethics Committee, such as NHS, Local Authority etc. details should be provided here and copies of approvals included with the application.

5 Project Details

Start Date for Data Collection: [Click here to enter a date.](#)

(NB: This refers to data collection for the research covered in this application. This should be at least 6 weeks from the date of application submission.)

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 must not start before ethical approval is given.

Proposed End Date of Research Project: [Click here to enter a date.](#)

(NB: This date should be when you expect to have completed the full project and published the results e.g. date of award of PhD, journal article publication, end of funding period.)

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 dissertation projects to allow for the possibility of resubmission. If a member of staff, the date of the end of funding period, potential publications date etc.

6 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? **Please outline the reasons** which lead you to be satisfied that the possible benefits to researchers, participants and others to be gained from the project justify any risks or discomfort involved.

In this section we are seeking information on the nature of your research. These questions 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.

7 Research Methodology and Data Collection

7a. Method of data collection (Tick as many as apply)

Select the appropriate box(es) for the instruments you intend to use to collect your data.

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

Click on boxes to select

Face to face or telephone interview <i>(Provide a copy of interview themes in a separate document. This does not need to be an exact list of questions but does need to provide sufficient detail to enable reviewers to form a clear view of the project and its ethical implications.)</i>	<input checked="" type="checkbox"/>
Focus group <i>(Provide details: themes or questions in a separate document. This does not need to be an exact list of questions but does need to provide sufficient detail to enable reviewers to form a clear view of the project and its ethical implications.)</i>	<input type="checkbox"/>
Audio or video-recording interviewees, focus groups or events <i>(Ensure that permission is evidenced on the consent form. Details should be provided, either in theme/question information or separately.)</i>	<input type="checkbox"/>
Questionnaire <i>(Provide a copy of at least indicative questions in a separate document, final questions must be submitted as an amendment if not provided in initial application)</i>	<input type="checkbox"/>
Online questionnaire <i>(Provide the web address/ or electronic copy in a separate document if not yet available online)</i>	<input type="checkbox"/>
Participant observation <i>(Provide an observation proforma in a separate document)</i>	<input type="checkbox"/>
Other methodology <i>(Provide details – maximum 50 words)</i> You should provide information here if you are using any methods not already listed above, such as participant diary/photographs etc.	<input type="checkbox"/>

7b. Research Methods

Please explain the reason for the particular chosen method(s), the estimated time commitment required of participants and how the data will be analysed. Ensure that you include reference to methods of providing confidentiality as you indicate below in section 8a.

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 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

8 Confidentiality & Data Handling

8a. Will the Research Involve:

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 need to be realistic about how anonymised your data can be. There are three columns provided in this section. You should insert the research method at the top of the column and select how you intend to protect confidentiality in each case.

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 wrong doing to someone involved in the research, that this will be reported to any appropriate agency.

**You should select all options that apply to your (different) research methods (insert the name of the method in shaded box at top of each column, e.g. interview / questionnaire) and make clear in section 7b above how these will be applied.*

Click on boxes to select

DEGREE OF ANONYMITY	(insert method)	(insert method)	(insert method)
Type name of method in grey boxes			
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?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
USE OF NAMES			
Subject being referred to by pseudonym in any publication arising from the research?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Participants consent to being named?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>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):</p> <p><i>provide details here:</i></p> <p>You should provide information here if you are using any methods not already listed above.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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; or due to size of sample, particular locations etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Participants being made aware that confidentiality may be impossible to guarantee; for example due to size of sample, particular locations etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Participants being made aware that data may be shared/archived or re-used in accordance with Data Sharing Guidance provided on Participant Information Sheet?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8b. Which of the following methods of assuring confidentiality of data will be implemented

(NB: The more ethically sensitive the data, the more secure will the conditions of storage be expected to be.)

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. Where this is not possible, every effort should be made to ensure the confidentiality of data gathered. The tick boxes also offer suggestions for preserving confidentiality. 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 Information Sheet (Plain Language Statement) and Consent Form.

Location of Storage	
Storage at University of Glasgow	<input type="checkbox"/>
Stored at another site	<input type="checkbox"/>
<i>(Please provide details here, including address)</i>	
Details provided here should be as detailed as possible, not just 'some schools'.	

Additional details can be provided to ethics administrator later if not known at time of application.	
Paper Data to be kept secure in locked room/facility/cabinet <input type="checkbox"/> Data and identifiers to be kept secure in locked room/facility/cabinet <input type="checkbox"/>	
Electronic Access to computer files to be available by password only <input type="checkbox"/>	
Other Any other method of securing confidentiality of data in storage: <input type="checkbox"/> <i>(Please provide details here)</i> You should provide information here if you are using any methods not already listed above.	

8c. Access to Data

Access by named researchers and, where applicable, supervisors, examiners, research assistants, transcribers ☐

Access by people **OTHER** than named researchers, supervisors, examiners, research assistants, transcribers ☐

If applicable: provide details of others who will have access; and if relevant, of data management and sharing policy or protocol

<p>If access to data is to be limited to named researcher(s)/supervisors/examiners/transcribers only, then simply tick the first box.</p> <p>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.</p>
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8d. Retention and Disposal of Personal Data *

Explain and as appropriate justify your proposals for retention and disposal of any PERSONAL data to be collected.

<p>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 is at the end of the initially specified research project.</p> <p>The university has information on Data Management for researchers at: https://www.gla.ac.uk/services/datamanagement/</p>

* ‘personal data’ means any information relating to an identified or identifiable natural person (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;” Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 Chapter 1, Article 4, Definitions

The Data Protection Act 1998 was replaced by the General Data Protection Regulation (GDPR) on 25 May 2018. Further information on the GDPR is available on the webpages of the UofG Data Protection and Freedom of Information Office: <https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/#>

8e. Retention and Disposal of Research Data

Explain and as appropriate justify your proposals for retention and disposal of RESEARCH data to be collected. Please consult Data Management Support pages for guidance: <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.

In justifying retention or a particular disposal date, applicants would be expected to give consideration to 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, available from the link: <https://www.gla.ac.uk/research/ourresearchenvironment/prs/pgrcodeofpractice/>

For Postgraduate and Staff research University of Glasgow Research Guidelines expect data to be retained for 10 years after completion of the project. Please see University Code of Good Practice in Research for guidance, <https://www.gla.ac.uk/research/ourresearchenvironment/prs/pgrcodeofpractice/>

9 Dissemination of Results

9a. Results will be made available to participants as:

(NB: Intended method of dissemination ought normally to take account of the age, capacities and situation of participants.)

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/dissertation if you have recruited a large number of people.

Written summary of results to all if requested	<input type="checkbox"/>
Copy of final manuscript presented if requested (e.g. thesis, article)	<input type="checkbox"/>
Verbal presentation to all (e.g. information session, debriefing)	<input type="checkbox"/>

Presentation to representative participants (e.g. CEO, School Principal)	<input type="checkbox"/>
Other or None of the Above <i>(please provide details here)</i> You should provide information here if you are using any methods not already listed above.	<input type="checkbox"/>

9b. Results will be made available to peers and/or colleagues as:

Please indicate the ways in which you will disseminate your results to peers and colleagues.

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.

Dissertation	<input type="checkbox"/>
Thesis (e.g. PhD)	<input type="checkbox"/>
Submission	<input type="checkbox"/>
Journal Articles	<input type="checkbox"/>
Book	<input type="checkbox"/>
Conference Papers	<input type="checkbox"/>
Written summary of results to all if requested	<input type="checkbox"/>
Other or None of the Above <i>(please provide details here)</i> You should provide information here if you are using any methods not already listed above.	<input type="checkbox"/>

9c. 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 dataset 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 dataset.

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.

Openly available via a data repository (eg. UKDA, Enlighten, Research Data)	<input type="checkbox"/>
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Available via a data repository but with restricted access	<input type="checkbox"/>
Available from the researchers by personal request	<input type="checkbox"/>
Other or none of the above (please provide details here) You should provide information here if you are using any methods not already listed above.	<input type="checkbox"/>
None of the data from this study will be suitable for future access and re-use	<input type="checkbox"/>

10 Participants

10a. Explain how 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 <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/>

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. Bristol Online Survey/SurveyMonkey, where the first page must be a clear plain language statement.

10b. Target Participant Group

Tick the appropriate box or boxes. Please note that within schools it is normal for parental consent to 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.

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).

Students or Staff of the University	<input type="checkbox"/>
Adults (over 18 years old and competent to give consent)	<input type="checkbox"/>
Adults (over 18 years old who may not be competent to give consent)	<input type="checkbox"/>
Young people ages 16-17 years old	<input type="checkbox"/>
Children under 16 years old	<input type="checkbox"/>

If you require information on the age of legal capacity please refer to the Age of Legal Capacity (Scotland) Act 1991 available at:

<http://www.legislation.gov.uk/ukpga/1991/50/contents>

10c. Incentives

If payment or any other incentive (such as a gift or free services) will be made to any participants please **specify the source and the amount of** payment to be made and/or the source, nature and where applicable the approximate monetary value of the gift or free service to be used. **Please explain the justification for offering payment or other incentive.**

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. Please enter not applicable if you are not using any.

10d. Number of Participants *(if relevant give details of different age groups/activities involved)*

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 at 2.1 above. Too few participants could impact on the validity of your research, and therefore the ethical justification of taking up participants' time.

10e. Dependent Relationship

Are any of the participants in a dependent relationship with any of the investigators, particularly those involved in recruiting for or conducting the project?

(For example, a school pupil is in a dependent relationship with their teacher. Other examples of a dependent relationship include student/lecturer; patient/doctor; employee/employer)

Yes ☐

No ☐

If Yes: Explain the relationship and the steps to be taken by the investigators to ensure that the subject's participation is purely voluntary and not influenced by the relationship in any way.

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 Information Sheet/Plain Language Statement 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 FE 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.

10f. Location of Research

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 Youth Club*' are preferable to '*various community locations*', '*several local authority schools*' or

'some Youth Clubs'. 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.

University of Glasgow	<input type="checkbox"/>
Outside Location <i>(Provide details here of outside locations, including as much information as possible.)</i> Details provided here should be as detailed as possible, not just 'some schools'. Additional details can be provided to ethics administrator later if not known at time of application.	<input type="checkbox"/>

11 Permission 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.
<https://www.gla.ac.uk/research/strategy/ourpolicies/ethics/>

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 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.

11a. Permissions/Access

Permission is normally required to gain access to research participants within an organisation (e.g. Private Company; school; Local Authority; Voluntary Organisation; Overseas institution, Academic institution, including UofG.)

Is this type of permission applicable to this application?

Yes ☐

No ☐

If No: Explain any reason why you do not require permission to gain access to research participants.

If permission is not required, you should explain here the circumstances, eg. 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.

If Yes: Is evidence of this permission provided with this application?

Yes ☐

No ☐

If evidence is not provided, please explain why. Note that it must be forwarded to the ethics administrator as soon as it is available.

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 <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/committee/ethicscontacts/>

11b. Does this application involve contacting University of Glasgow students directly (specifically either via email or within classes) for the purpose of your research?

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:
<https://www.gla.ac.uk/myglasgow/senateoffice/policies/studentengagement/studentsurveys/policyonstudentsurveys/>

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

In instances where you require access to participants' e-mail addresses, permission must be sought from the GU Postmaster. Please refer to the Information for Applications on Ethics Committee Submissions in the College of Social Sciences:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/>

In relation to electronic recruitment, permission from the GU 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.

Yes ☐

No ☐

If Yes: Separate permission to survey students needs to be obtained prior to any such survey being undertaken. Normally this permission should be sought from the appropriate authority after ethical approval has been granted.

See <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/>

(NB: Once obtained, a copy of this permission must be forwarded to the Ethics Administrator.)

- **If applicable: list the students** that you intend to contact (*e.g. 30 students from X course*)

12 Informed Consent

The **Participant Information Sheet** is written information in plain language that you will provide to participants to explain the project and invite their participation.

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

(You must consult the guidance at the Forms and Guidance Notes section of the College ethics website:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/> for information that you are required to provide in this.)

12a. Have you attached your Participant Information Sheet (alternative name: Plain Language Statement) for participants?

Both the Participant Information Sheet/Plain Language Statement and the Consent Form must contain the University of Glasgow /College of Social Sciences logo. You can download a template containing the University logo from the College of Social Sciences ethics web site.

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:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

Yes ☐

No ☐

If No: please explain:

It is expected that normally research involving human participants will entail the use of Participant Information Sheets/Plain Language Statements and Consent Forms. For example, 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.

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.

Only in exceptional circumstances is it possible that no Participant Information Sheet will be required. 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.

12b. Please note that a copy of this information should be offered to the participant to keep unless there are specific reasons for not doing so. These must be clearly explained below.

It may be that there are socio/political reasons that participants would not want to keep the Participant Information Sheet, as is usually expected. These reasons must be provided.

The Committee will decide if these reasons are accepted and advise the applicant.

12c. Are any participants likely to require special consideration in the preparation of the Participant Information Sheet, (alternative name: Plain Language Statement) to ensure informed consent?

(Eg. the use of child friendly language, English as second language)

Yes ☐

No ☐

If Yes: Provide details here:

Any participants who may require additional clarity in the Participant Information Sheet must be specified and details provided as to how these requirements are met. Examples of this might be young children, for whom the language should be suitable to the age range of the participants, this could be pictorial in design.

For those for whom English is not their first language consideration should be given to whether the language is accessible.

12d. How will informed consent by individual participants or guardians be evidenced?

(NB: In normal circumstances, it will be expected that written evidence of informed consent will be obtained and retained, and that a formal consent form will be used: a copy of which should be provided for review.)

You should be aware that informed consent is not a 'one-off event' and those 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.

Signed Consent Form	<input type="checkbox"/>
Recorded Verbal Consent	<input type="checkbox"/>
Confirmed by Return of Survey (<i>Clear agreement of consent to use participant data must be evidenced at start of survey, e.g. by tick box</i>) 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.	<input type="checkbox"/>
<i>Other</i> <i>(please provide details here)</i> Provide details of any alternative method not listed above	<input type="checkbox"/>

Justification if written evidence of informed consent is NOT to 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 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 Ethics Committee in the application and the decision will rest with the Committee.

13 Monitoring

Describe how the project will 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.

14 Health and Safety

What are the potential issues of personal safety for you, other researchers or participants involved in the project and how will you manage them? (*Other than lone field work – refer to Section 15 for this*)

You should be aware of any health and safety risks in the location in which you intend to carry out your data collection and the procedures in place to deal with/avoid these, you should provide details here of how any issues are to be addressed. You should also consider the safety of both researchers and participants and anyone else involved who is not a participant in your research.

15 Risk

15a. Does the activity involve lone field work, lone working or travel to unfamiliar places? (E.g. Carrying out interviews alone and off-campus) *NB: This does not apply to working within an institution such as a school.*

(You should refer to the Risk Guidance at:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

Yes ☐

No ☐

Give details of arrangements to minimise risks pertaining to this.

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: <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/informationforapplicants/> for Lone Working Considerations

15b. How will you ensure that you minimise any possible distress caused to participants by the research process?

The risk of potential disruption or negative consequences to the participants may not be obvious and you should consider this carefully as distress could be emotional, social or economic.

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.

- 15c. 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. This should be detailed here.

- 15d. Does this research involve any sensitive topics or vulnerable groups? You should refer to the Risk Guidance at:**

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/> ☐

No ☐

If Yes: Give details of arrangements to minimise risks pertaining to this

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 will assist in your consideration of whether or not your research falls into either of these categories and should be consulted. It is available here: <https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/>

16 Insurance

Does this research come under the exclusions to the University insurance cover for research?

Yes ☐

No ☐

If Yes: Explain and detail how you intend to cover the insurance needs for this research

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 at the website of the Research Strategy and Innovation Office: on Research Involving Humans <https://www.gla.ac.uk/colleges/mvls/informationforstaff/clinicalresearch/>

on Insurance and Indemnity <https://www.gla.ac.uk/myglasgow/finance/staffsections/insuranceandrisk/>
(If you have a problem accessing this link, please try a different browser e.g. Firefox instead of Internet Explorer.)

The University insurance cover is restricted in certain, specific circumstances, e.g. the use of hazardous materials, work overseas, research into pregnancy and conception and numbers of participants in excess of 5000. Please refer to the Insurance and Indemnity advice on the website given below. Advice or authorisation given must be included with this application.

Information may be available at this link: <https://www.gla.ac.uk/myglasgow/finance/staffsections/insuranceandrisk/>
If you have a problem accessing this link, please try a different browser e.g. Firefox instead of Internet Explorer.)

17 Protection of Vulnerable Groups and Disclosure

Does this project require Protection of Vulnerable Groups (PVG) clearance?

<https://www.gla.ac.uk/myglasgow/humanresources/mgrs-admin/mgr-guidance/pvgscheme/> for information on PVG clearance.

Further guidance is available from:

<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. Application forms and advice are available from the College Ethics Administrator, Mrs Terri Hume. (Terri.Hume@glasgow.ac.uk)

Yes ☐

No ☐

If Yes: Evidence that this has been obtained **MUST** be provided with this application.

If PVG registration is held, provide details here:

The Protection of Vulnerable Groups (Scotland) Act 2007 came into effect on 28 February 2011. This replaced the previous Disclosure Scotland checking system for individuals who work with children and/or protected adults. The University is a Registered Body under this legislation.

Please consult the University Protection of Vulnerable Groups Scheme webpages for guidance:

<https://www.gla.ac.uk/myglasgow/humanresources/mgrs-admin/mgr-guidance/pvgscheme/>

Further guidance is available from:

<https://www.mygov.scot/disclosure-types/?via=http://www.disclosurescotland.co.uk/> (mygov.scot - Disclosure Scotland)

18 UK and Scottish Government Legislation

Have you made yourself familiar with the requirements of the:

General Data Protection Regulation (GDPR) (May 2018) <https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/> this replaces the Data Protection Act (1998)

Freedom of Information (Scotland) Act 2002 <http://www.itspublicknowledge.info/Law/FOISA.aspx>

Yes ☐

No ☐

If No: Explain here:

This section is self-explanatory and is there to help ensure that you are working within legal guidelines. The University has detailed guidance on these responsibilities available on <https://www.gla.ac.uk/myglasgow/dpfoioffice/>

The University has guidance on the GDPR at <https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/> and on the Freedom of Information Act: <http://www.itspublicknowledge.info/Law/FOISA.aspx>

See Application Guidance Notes available from:

<https://www.gla.ac.uk/colleges/socialsciences/students/ethics/forms/staffandpostgraduateresearchstudents/> for further information.

In addition visit: <https://www.gla.ac.uk/myglasgow/dpfoioffice/> for University guidance on Data Protection.

The **Freedom of Information Act 2002 (FOI)** provides a general right of access to most of the recorded information that is held by the University. The Act sets out a number of exemptions/exceptions to this right of access.

Declaration must be signed in some form and dated. The application will be returned if it is not.

19 Declarations by Researcher(s) and Supervisor(s)

The application will not be processed if this section is blank or incomplete.

This section must be signed and dated by both the researcher and principal supervisor. 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.

- The information contained herein is, to the best of my knowledge and belief, accurate.
- I have read the University's current human ethics guidelines, 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 Ethics Committee.
NB: Full details of the University's ethics guidelines are available at: <https://www.gla.ac.uk/research/strategy/ourpolicies/ethics/>
- 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 Ethics Committee.

This section MUST be completed to confirm acceptance of Code of Conduct. If there is no scanned signature then please type the names (or use GUID) and date into the boxes below.

	Signature	Date
Researcher (All applicants)	All applicants must sign and date this section in some way	
Principal Supervisor (Where applicable)	At least one supervisor must sign and date this section in some way	

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.

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 Research Ethics Committee.

END OF GUIDANCE ON FORM