**APPLICATION FOR ETHICAL APPROVAL OF RESEARCH**

**A) RESEARCH ETHICS CHECKLIST**

This checklist is used to determine whether a full application for ethics approval needs to be submitted. Before completing this form, please refer to the College of Arts [ethics policy and procedures](http://www.gla.ac.uk/colleges/arts/research/ethics/). The principal investigator (PI) or supervisor (in the case of student applications) is responsible for exercising appropriate professional judgment in this review. The application must be approved before potential participants are approached to take part in any research.

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| *Please answer each question by ticking the appropriate box:* | **YES** | **NO** |
| **Does the research involve human participants?** |  |  |
| **Does the research involve ‘personal data’ as defined under UK GDPR?** (see Guidelines for Applicants) |  |  |
| **Does the research involve ‘special category personal data’ as defined under UK GDPR?** (see Guidelines for Applicants) |  |  |
| **Are there issues of safety for the investigators or subjects?** |  |  |
| **Does the research involve data not in the public domain?** (i.e. data still in copyright) |  |  |
| **Are public domain outputs envisaged?** (e.g. publications, exhibitions, materials posted via social media) |  |  |
| **Does the study involve people in a dependent relationship, minors, or vulnerable people who may be unable to give informed consent?** (e.g. your own students, children, people with special needs) If your research involves minors or vulnerable subjects, please explain why this contact is needed and the ways in which you intend to fully protect the interests of such subjects. |  |  |
| **Will the study require the co-operation of a gatekeeper for access to participants?** (e.g. teacher, local authority representative) |  |  |
| **Does the project involve observation of participants?** (e.g. in museums, galleries or municipal amenities or places of entertainment) |  |  |
| **Will it be necessary to conceal from participants the aims of the research at any point?** (e.g. where prior awareness could influence participant responses) |  |  |
| **Will the study involve discussion of sensitive topics?** (e.g. sexuality, drug use)  If you answer YES here, refer to the detailed list of sensitive/ trigger issues in the Guidelines for Applicants and outline specific issues in Section C. |  |  |
| **Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond risks routinely encountered?** See Application Notes below for an indicative list of potential trigger issues. |  |  |
| **Does the research involve work on human remains or related materials/ artefacts?** |  |  |
| **Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?** |  |  |
| **Are there issues of confidentiality?** |  |  |
| **Are there issues of security?** (e.g. data storage security) |  |  |
| **Are project data to be retained as part of a ‘legacy dataset’?** (Staff applications only) |  |  |
| **Are there issues of balance?** (e.g. cultural, social or gender-based characteristics of the research subjects affecting the design of the project or its conduct) |  |  |

* **If you answered NO to all of the questions above, you need take no further action before starting your research.**
* **If you answered YES to any of the questions above, you need to submit an application to the College of Arts Research Ethics Committee before you begin the research. Please complete all relevant sections of this form and address any ethical issues of your research project in Section C. Submit your application through the online Research Ethics System via the University’s** [**Business Systems**](https://frontdoor.spa.gla.ac.uk/login/) **page. Also upload all relevant supporting documents such as questionnaires, consent forms, participant information statements etc.**

**B) APPLICANT DETAILS**

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| **B1. Name(s) of person(s) submitting research proposal:**  *(For group/ team applications, please indicate the Principal Investigator as primary contact)* |

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| **B2. Position** | Undergraduate Student |  | Postgraduate Research Student  (PGR) |  |
| *(tick as appropriate)* | Postgraduate Taught Student  (PGT) |  | Staff (including Research Assistant) |  |

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| **B3. School and Subject Area/ Centre:** |  |

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| **B4. Email** *(please give your UofG email address):* |  |

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| **B5. For Student applications only** | |
| *Course name* |  |
| *Supervisor’s name* |  |
| *Supervisor’s email address* |  |
| *Supervisor’s contact address* |  |

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| **B6. Project title:** |

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| **B7. Proposed project end date** *(for UG/PG dissertation projects this is the submission date):* |

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| **B8. Brief outline of project** *(for an academic audience -- this need not exceed 300 words):* |

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| **B9.** *Have all investigators read, understood and accepted the College Ethics Policy, a statement of which is available on the College website at* http://www.gla.ac.uk/colleges/arts/research/ethics YES /NO |

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| **B10. Independent contact name** *(in case of complaints or questions from participants– this could be your head of department, line manager, school research integrity advisor, dissertation supervisor, etc.):* |

**C) ETHICAL ISSUES: RISKS AND MITIGATION, DATA MANAGEMENT, BENEFITS, FUNDING SOURCES**

* In the sections following, please indicate **ALL** ethical issues and areas of significant risk identified in the checklist above, as well as any further ethical issues associated with your research. How do you plan to address these and mitigate any potential risks?
* What relevant training (e.g. UofG GDPR training), clearances (e.g. PVG membership or basic Disclosure) or relevant previous experience do you have?
* Staff: where relevant, have you discussed your/ your supervisee’s project with the University’s Data Protection and Freedom of Information office?
* Further notes and explanations to the various sections can be found in the Guidelines for Applicants. Please read these carefully and structure your responses accordingly.

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| **C1. Non-Clinical Research Involving Human Subjects**   * *See Guidelines for Applicants before completing your response to this section.* |
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| **C2. Research Involving Archival Materials, Artefacts and Human Remains**   * *See Guidelines for Applicants before completing your response to this section.* * *Note that applications are not required for research relating to data in UK public archives that is not sensitive in character and does not relate to living individuals or their close relatives.* |
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| **C3. Data Management and Research Outputs**   * *See Guidelines for Applicants before completing your response to this section.* |
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| **C4. Supervisor comments** (for UG/PGT/PGR applications):   * *See Guidelines for Applicants before completing your response to this section.* * *Please indicate whether you have completed and passed UofG GDPR training.* |
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| **C5. Benefits of the proposed research**   * *What benefits are likely to result from the research? Who are the key stakeholders in this regard?* * *Please note that for most applications this section is optional, with applicants welcome to rehearse arguments in this area. That said, there are instances where benefit is a key justification (particularly in research involving destructive analytical processes).* * *As noted in the guidelines, benefits do not in themselves obviate the responsibility to provide clear mitigation of risks.* |
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| **C6.** *If you have applied or will be applying for funding for this research, please give the name of the funding body/ bodies you intend to approach. Please indicate any relevant ethical policy materials or requirements regarding compliance.* *Any potential conflicts of interest should be noted here and explained to participants.* |
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| **C7.** *Have you submitted, or are you intending to submit this application to another College in the University?* | | |
| Yes  No | *If yes, please specify:* |

**D) MONITORING AND END OF PROJECT REPORT**

* The Committee requires that a brief report (a paragraph or two or a copy for reference of any report to funders) be provided within one month of the completion of the research. This should give details of any ethical issues which have arisen and a brief summary of any correspondence with the Ethics Officer subsequent to the approval. This is a condition of approval and in line with the committee's need to monitor research. It can be sent to [arts-ethics@glasgow.ac.uk](mailto:arts-ethics@glasgow.ac.uk) (in the future this aspect will be included as part of the application system process).
* Any unforeseen events which might affect the ethical conduct of the research – or which might provide grounds for discontinuing the study – must be reported immediately in writing to the Ethics Officer. The Officer will examine the circumstances and advise you of any decision. This may include referral of the matter to the central University Ethics Committee or a requirement that the research be terminated.
* Personal data breaches must be reported to the University’s Data Protection and Freedom of Information office (see <https://www.gla.ac.uk/myglasgow/dpfoioffice/gdpr/personaldatabreaches/> for flowchart re protocols).
* **Please note that it is the responsibility of the researcher to follow the College of Arts Ethics policy and procedures and any relevant academic or professional guidelines in the conduct of the study. This includes providing appropriate information sheets and consent forms and ensuring confidentiality in the storage and use of data. Any significant change in the question, design or conduct over the course of the research should be notified to the College Ethics Officer and may require a new application for ethics approval.**

**E) SIGNATURE AND SUPERVISOR CONFIRMATION**

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| **E1. Date of submission of form** |  |
| **E2. Signature of person making the proposal** *(sign/ type name)* |  |
| **E3. Signature of supervisor** *(for student applications only)* |  |

**Thank you for filling in this form. You should normally receive confirmation of ethical approval within four weeks of submitting your application.**

**F) APPLICANT CHECKLIST**

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| Are all relevant fields completed? |  |
| Are you submitting your application at least FOUR weeks in advance of the intended beginning of your research? |  |
| Student applicants: Has your supervisor reviewed the application and completed Sections C4 and E3? |  |
| Will you need to use an online survey? |  |
| Have you checked any requirements regarding permission for use of data? |  |
| Have you included a Plain Language Participant Information Sheet? |  |
| Have you included a Participant Agreement Form? |  |
| Have you included a draft questionnaire/ interview questions? (where relevant) |  |