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| **UCC Logo RGB_NEW** | **School of History Research Ethics Committee****ETHICS APPROVAL FORM** |

***Introduction***

Undergraduate and taught postgraduate students in the School of History who are seeking ethical approval should complete this approval form.

**APPLICANT DETAILS**

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| **Name**  |  | **Date** |  |  |
| **Course Code and Year** |  | **Contact No.** |  |  |
| **Correspondence Address** |  | **Email Address**  |  |
| **Name of Supervisor**  |  | **Email Address of Supervisor**  |  |
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| **Project working title** |  |

**ETHICAL APPROVAL SELF-EVALUATION**

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|  |  | **YES** | **NO** |
|  | *If your answer falls into any of the shaded boxes below, please address each point later in the application form* | Use X or NA to mark selection  |
| 1 | Do you consider that this project has significant ethical implications? |  |  |
|  2 | Will you describe the main research procedures to participants in advance, so that they are informed about what to expect? |  |  |
|  3 | Will participation in this project be voluntary?  |  |  |
|  4 | Will you obtain informed consent in writing from participants? |  |  |
| 5 | Will you tell participants that they may withdraw from the research at any time and for any reason, and (where relevant) omit questionnaire items / questions to which they do not wish to respond? |  |  |
| 6a | Will data be treated with full confidentiality / anonymity (as appropriate)?  |  |  |
| 6b | Does your project require you to carry out a Data Protection Impact Assessment (DPIA) in compliance with [UCC Data Protection Policy](https://www.ucc.ie/en/ocla/comp/data/dataprotection/)? |  |  |
| 7 | Will data be securely held for a minimum period of ten years after the completion of a research project, in line with the University’s *Code of Research Conduct* (2016)?  |  |  |
| 8 | If results are published, will anonymity be maintained and participants not identified if that is their wish?  |  |  |
| 9 | Will you debrief participants at the end of their participation (i.e. give them a brief explanation of the study)? |  |  |
| 10 | Will project participants include people in custody? |  |  |
| 11 | Will project participants include people who are or were engaged in illegal activities ? |  |  |
| 12 | Is there a realistic risk of participants experiencing either physical or psychological distress?  |  |  |
| 13 | Is there a realistic risk of the researcher experiencing either physical or psychological distress? |  |  |

**DESCRIPTION OF THE PROJECT**

*Ethical review requires that you* ***reflect*** *and seek to* ***anticipate*** *ethical issues that may arise,*

*rather than reproduce copious text from existing research proposals into these boxes.*

*Entries should be* ***concise*** *and relevant to the point / question.*

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| **1. Very brief description of your study** (15-25 words max.) |
| Text here |

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| **2. What are your research questions?[[1]](#endnote-2) (**The research questions are the overall aim(s)/objective(s) of your study) |
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| **3. Who are the participants in your study?**  |
| Text here |

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| **4. Concise statement of any *anticipated* ethical issues raised by your project. How do you intend to deal with them? Please address *all* items where your answers fell into a shaded box in the self-evaluation above.**  |
| Text here |

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| **5. Data.** (Please provide your answers to these questions in the white area below)**(a) How will you collect your data?** Provide a brief description and justification of methods and data collection measures to be used. **(b) If you are creating audio/video recordings, who will perform the transcription?** (If transcription is being outsourced the transcription service needs to be trustworthy, reliable, and confidential. Ensure that data transfer is done securely. Recorded data must be deleted from a mobile recording device. When will the data recordings be deleted from the recording device and who will be assigned responsibility for this?) **(c) What type of data will you be storing?** (Briefly describe the type of data you plan to collect). **(d) How and where will you store your data?[[2]](#endnote-3)** (Provide details about both physical *and* electronic documents. See page 7, Electronic Data Storage for guidance on data storage). **(e) For how long will you store the data?** (A minimum storage period of 10 years is required) |
| (a)(b)(c)(d)(e) |

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| **6. Arrangements for informing participants about the nature of the study**  |
| Text here |

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| **7. How you will ensure that participants provide informed consent?** (attach relevant form(s)) |
| Text here |

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| **8.** **Estimated start date and duration of project (by months)** |
| Text here |

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| **9.** **Additional information of relevance to your application** |
| Text here |

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| **10. Declarations** (clickable links to policies and codes quoted here are on the next page) | Delete as applicable |

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| I agree that should there be unexpected ethical issues arising during the course of this study, that I will utilise my professional/disciplinary code of ethics, and/or notify School of History Research Ethics Committee, where appropriate. | Yes / No |
| I have consulted the UCC *Code of Research Conduct* (2019) and believe my proposal is in line with its requirements. | Yes / No |
| I have consulted the UCC GDPR guidelines and declare that our project is GDPR compliant.Where required under the UCC GDPR Guidelines, I have submitted a DPIA. | Yes / NoYes / No / NA |
| I have consulted the UCC Garda Vetting Guidelines, and where appropriate, researchers on this project have valid Garda vetting through UCC (having a valid Garda Vetting through another body is insufficient). | Yes / No / NA |

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| **11. Signatures – Reminder all academic supervisors (where applicable) must approve the contents of this application**  |
| **Applicant** | **Academic Supervisor**  |
|  |  |
| Date:  | Date:  |

1. Please submit a *signed* copy of this form and all relevant attachments **as one PDF file** to d.odriscoll@ucc.ie.

A picture of signatures pasted into section 37 is acceptable. No hard copies of this application are required.

**Key UCC links and resources (all blue links are clickable links):**

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| [**UCC Code of Research Conduct**](https://www.ucc.ie/en/media/research/researchatucc/documents/UCCCodeofResearchConductV2.3FINAL281119.pdf) | [**EU Commission, Responsible Research and Innovation**](https://ec.europa.eu/programmes/horizon2020/en/h2020-section/responsible-research-innovation) **& H2020**[**RRI Tools Website**](http://www.rri-tools.eu/) |
| [**UCC Child Safeguarding Statement**](https://www.ucc.ie/en/ocla/policy/) | [**Irish Qualitative Data Archive**](https://www.maynoothuniversity.ie/iqda) **(IQDA)** |
| [**Guidance Document for Conducting Internet Research**](https://www.ucc.ie/en/media/research/researchatucc/ethicswebpage/GUIDANCEDOCUMENTFORCONDUCTINGRESEARCHONONLINEPLATFORMSfinal22Jan19.pdf) | [**Irish Social Science Data Archive**](http://www.ucd.ie/issda/) **(quantitative datasets)** |
| [**Garda Vetting of UCC Staff**](https://www.ucc.ie/en/hr/gardavetting/) | [**Health Service Executive National Consent Policy**](https://www.tusla.ie/uploads/content/National-Consent-Policy-August-2017.pdf) |
| [**UCC Student Garda Vetting Policy**](https://www.ucc.ie/en/media/studyatucc/undergrads/downloadabledocumentssection/UCCStudentVettingPolicyandProcedure.pdf)  | [**IT Support for UCC Researchers**](https://www.ucc.ie/en/it/services/research/) |
| [**UCC Data Protection Impact Assessment (DPIA) policy and templates**](https://www.ucc.ie/en/gdpr/procedures/) | [**UCC GDPR website**](https://www.ucc.ie/en/gdpr/) |
| [**UCC Library Research Data Service**](https://libguides.ucc.ie/researchdataservice/home) | [**UCC Guidance for Researchers Conducting Research with Vulnerable People**](https://www.ucc.ie/en/media/research/researchatucc/ethicswebpage/VulnerabilityGuidanceDocumentApril2019.pdf) |
| [**Survey Platforms**](https://www.ucc.ie/en/it/services/surveys/) | [**SREC Amendment Process**](https://www.ucc.ie/en/research/support/ethics/socialresearch/faqs/#amendment-requests) |

**Electronic data storage**

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| **[UCC Approved IT Storage and Collaboration Platforms](https://www.ucc.ie/en/it/storage/)**[**Data Storage & Backup**](https://libguides.ucc.ie/researchdataservice/storageandbackup) | As researchers, it is imperative that we can assure our participants that their data will be stored securely; this is of course particularly important where potentially sensitive personal details are involved. It is not adequate to simply say that the data will be stored safely. * Exact detail is required as to the use (and location) of locked cabinets, management of audio files, encryption of laptops, electronic storage and so on.
* Where possible **physical data** such as survey forms etc. should be converted to electronic format as soon as possible and the originals shredded, however if you need to retain physical data then it should be safely stored on premises at UCC in a locked cabinet/office.
* If transcription is being outsourced the transcription service used needs to be trustworthy, reliable and confidential and ensure that data transfer is done securely.

**Treating and Storing Data**1. If data does not need to be identifiable it should be converted to anonymous form as soon as is possible.
2. Applicants should never store research data on a USB and only use an encrypted portable hard drive for short term storage until data has been anonymised.
3. Applicants must consider how to maintain safe storage of their data beyond the life of their laptop/pc to meet the 10-year requirement in the UCC Code of Research Conduct.
4. All laptops and PCs used to access data must be encrypted and password protected.
5. All data both anonymised and non-anonymised can be stored on the following cloud platforms; UCC provided MS OneDrive, MS Teams (in the associated default MS SharePoint), MS SharePoint, Google Drive, and G-Suite Shared Drive.. In the exceptional case where there is a requirement for on premise storage (e.g. a requirement of a data-sharing agreement with a third-party), the [Research Data Store](https://www.ucc.ie/en/it/services/datastore/) can be accessed by researchers for storing research data. UCC NAS can be used for secure storage if the researcher has access to it, e.g. UCC staff.
6. Although UCC students currently have access to institutional cloud storage, and although this access does extend beyond their period of being a student, we advise that relying on one person's access to this account for data storage is not best practice, and advise students to set up a shared UCC Supported Microsoft or Google Drive, with their supervisor, using their UCC credentials (e.g. email address/password), until guidelines for the storage of student research data are updated within UCC.

For more information on data storage see [**Data Storage & Backup**](https://libguides.ucc.ie/researchdataservice/storageandbackup) ***Personal******versions*** of OneDrive and Google Drive **should not** be used to store research data. For collaborative projects (see below and [Microsoft Teams](https://www.ucc.ie/en/it/storage/)), research data should only be stored on approved storage services, ideally on approved UCC storage options. If applying for ethical approval through SREC for collaborative projects and the data will not be stored in UCC, please include comprehensive details on how these external services meet the relevant approved standards. **Collaboration Platforms (internal teams and working with external partners)**UCC-supplied collaboration and storage services like [Microsoft Teams](https://www.ucc.ie/en/it/storage/) (part of Office 365) and the equivalent in G-Suite, can facilitate you to safely collaborate and communicate on research studies with UCC staff and students, and to collaborate with partners outside the university. Data saved in Microsoft Teams is stored in the University tenancy in the Microsoft cloud. Data is encrypted in transit and at rest. Features such as version control, external sharing and audit logging are available. Microsoft Teams sites can also be archived after the research is completed.  If you have questions about these services, please contact the [UCC IT Helpdesk](https://www.ucc.ie/en/it/) or click on the link on the left.  |
| **[UCC Device Encryption Service](http://www.ucc.ie/en/it/services/encryptionlaptop/)** | This service provides for the encryption of the internal hard disks of University laptops. |
| [**UCC Staff IT Services**](https://www.ucc.ie/en/it/services/staff/) | List of all UCC staff IT services. |
| [**HEAnet FileSender**](https://www.heanet.ie/services/hosting/filesender) | [HEAnet FileSender](https://www.heanet.ie/services/hosting/filesender) is a way to share large files. It works through your web browser. Filesender also allows you send encrypted files to any email address in a safe manner, which is useful for sending audio files to a transcriber or between team members outside of UCC. |
| [**Azure Information Protection**](https://www.ucc.ie/en/it/services/aip/) | Microsoft Azure Information Protection - AIP - enables you to protect documents on your computer before sharing them, and also enables you to protect emails in Outlook before sending them (PCs only). [Click here](https://www.ucc.ie/en/it/services/office365/howto/classify-file-emails/) for the Azure how to guide. [Click here](https://portal.azurerms.com/#/download) to download the software.  |

1. If your study approach does not normally require that research questions are set in advance, please provide a rationale in Q. 27. **Do not** include your interview/survey questions in Q27. [↑](#endnote-ref-2)
2. Data management should follow the FAIR guiding principles (Findability, Accessibility, Interoperability & Reusability). See, for example, Wilkinson, M. D. et al. (2016) The FAIR Guiding Principles for Scientific Data Management and Stewardship. Full text: <http://www.nature.com/articles/sdata201618>. It is required that all staff and student researchers store those data which are required to replicate research findings, and the information required to enable re-use of data. Details of the UCC policy on research data storage can be found in section 8 of the Code of Research Conduct (2016): <https://www.ucc.ie/en/media/research/researchatucc/documents/UCCCodeofResearchConduct.pdf>. SREC advises against storing research data on non UCC approved cloud-based storage services. Physical data must be stored in a locked cabinet and you must specify who has permission to access this data. [↑](#endnote-ref-3)