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| **UCC Logo RGB_NEW** | **School of Languages, Literatures and Cultures****ETHICS APPROVAL FORM**🖂 sllc-re@ucc.ie<https://www.ucc.ie/en/sllc/informationforsllcstaff/> |

***Introduction***

Postgraduate students of taught MA programmes who are seeking ethical approval should complete this approval form. Ethical review by the School of Languages, Literatures and Cultures is required where the methodology is not clinical or therapeutic in nature and proposes to involve:

* direct interaction with human participants for the purpose of data collection using research methods such as questionnaires, interviews, observations, focus groups etc.;
* indirect observation with human participants for example using observation, web surveys etc.;
* access to, or utilisation of, anonymised datasets;
* access to, or utilisation of, data or case files/records concerning identifiable individuals;
* conducting Internet Research or research online.

The School of Languages, Literatures and Cultures will consider applications for projects of limited complexity and low risk. Please add additional relevant notes to convey what you think is pertinent about the ethical aspects of your study. Projects that are judged to be “high risk” or “too complex” will be returned to the applicant – the applicant should then seek ethical approval with the UCC Social Science Research Ethics Committee.

***Application Checklist***

This checklist includes all of the items that are required for an application to be deemed complete. In the event that any of these are not present, the application will be returned to the applicant ***without*** having been sent for review. Please complete the checklist below, and ensure that your application includes all of these prior to submission. Thank you and best of luck with your research.

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|  | *Delete as applicable* |
| All relevant files are combined into **one PDF** file (application form, consent/assent forms, information sheets, data collection instruments, permission letters, etc.) | Yes / No |
| Completed Application Form  | Yes / No |
| Information Sheet(s) / Information Statement (i.e. at the beginning of an electronic survey) included  | Yes / No |
| Consent Sheet(s) / Consent Statement (i.e. at the beginning of an electronic survey) included  | Yes / No |
| Data Collection Instrument: Psychometric Instruments / Interview Guide / Focus Group Schedule / Survey Questionnaire / etc. included  | Yes / No |
| Copy of permission letters to undertake research from relevant agencies/services included (if available) | Yes / No / NA |
| If this is a resubmission, all the revised and new text is highlighted in yellow | Yes / No / NA |
| Have you applied for ethical approval for this project from another UCC ethics committee? | Yes / No |
| If you are under academic supervision, your supervisor(s) have approved the wording of and co-signed this application prior to submission | Yes / No / NA |

**APPLICANT(S) DETAILS**

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| **Name of UCC applicant(s)**  |  | **Date** |  |  |
| **Name of Department / School / Research Institute / Centre / Unit / College** |  | **Contact No.** |  |  |
| **Correspondence Address** |  | **Email Address**  |  |
| **Course Code/Name and year of course** (students only) |  | **Name of supervisor(s)** (students only) |  |
| **Is this a resubmission?** | Yes / No | SREC Log No. (if a resubmission):  |
| *Obtaining ethical approval from the School of Languages, Literatures and Cultures does not free you from securing permissions and approvals from other institutional decision-makers and agency ethical review bodies. These bodies may accept the approval, but researchers are responsible for ensuring they are compliant in advance of collecting data.* |

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| **Project working title** |  |

If this is a collaborative project / community-based participatory research project / *joint* application with another agency, please complete this additional section:

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| **Names of research partners / civil society organisations collaborating on this project** (this section must be completed for participatory / community-based participatory research studies) |  |
| **Agency contact person and position** |  |
| **Agency address** |  |
| **Details of the partnership** (Please identify clearly the roles and responsibilities held by each party in the partnership in relation to the different aspects of the research). |  |

**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? (see Q. 30 below regarding open data considerations, if relevant) |  |  |
| 9 | Will you debrief participants at the end of their participation (i.e. give them a brief explanation of the study)? |  |  |
| 10 | Will your project involve deliberately misleading participants in any way? |  |  |
| 11 | Will your participants include children / young persons (under 18 years of age)? |  |  |
| 12 | If yes to question 11, is your research in compliance with the UCC [*Child Safeguarding Statement*](https://www.ucc.ie/en/media/support/ocla/policies/UCC_Child_Protection_Policy_5April2018-Final.pdf)which sets out the legal requirements under the Children First Act 2015? |  |  |
| 13 | Will your project require you to carry out “relevant work”[[1]](#endnote-2) as defined in the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016? |  |  |
| 14 | Do you require official Garda Vetting through UCC before collecting data from children or vulnerable adults? (Please note that having a Garda Vetting through another body is not sufficient; a separate UCC Garda Vetting is always required.) |  |  |
| 15 | Will project participants include people with learning or communication difficulties? |  |  |
| 16 | Will project participants include patients / service users / clients? A service user or client is a person who is served by or uses the services under consideration as part of this research. |  |  |
| 17 | Will project participants include people in custody? |  |  |
| 18 | Will project participants include people engaged in illegal activities (e.g. drug taking, illegal Internet behaviour, crime, etc.)? |  |  |
| 19a | Is there a realistic risk of participants experiencing either physical or psychological distress?  |  |  |
| 19b | Is there a realistic risk of the researcher experiencing either physical or psychological distress? |  |  |
| 20 | If yes to question 19a, has a proposed procedure for linking the participants to an appropriate support, including the name of a contact person, been given? (see Q. 33) |  |  |
| 21 | If yes to question 19b, has a proposed procedure/support structure been identified?  |  |  |
| 22 | Are the research participants students with whom you have some current/previous connection (module coordinator, research supervisor, professional tutor, etc.)? |  |  |
| 23 | Will the research participants receive payment / gifts / voucher / or other incentives for participating in this study? |  |  |
| 24 | If your research is conducted on the internet, does it involve human participants? (e.g. through web surveys, social media, accessing or utilising data (information) generated by or about the participant/s; or involve observing human participants in their online interactions/behaviour). If yes, please review and utilise the [UCC policy for conducting Internet Research](https://www.ucc.ie/en/media/research/researchatucc/ethicswebpage/GUIDANCEDOCUMENTFORCONDUCTINGRESEARCHONONLINEPLATFORMSfinal22Jan19.pdf). |  |  |

**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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| **25. Very brief description of your study** (15-25 words max.)[e.g. This is a qualitative study of primary school teachers’ attitudes towards religious teaching using focus groups to collect original data] |
| Text here |

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| **26. What is your study about?** (100-200 words max.) |
| Text here |

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| **27. What are your research questions?[[2]](#endnote-3) (**The research questions are the overall aim(s)/objective(s) of your study) |
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| **28. Who are the participants in your study?** (recruitment methods including details of how you will engage with participants, number, age, gender, exclusion/inclusion criteria, detail permissions to be sought / secured already, and how will you recruit participants?) |
| Text here |

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| **29. Concise statement of *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.** (350 words max.) |
| Text here |

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| **30. 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. (If conducting an online survey/questionnaire, what survey platform do you plan to use?) **(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?[[3]](#endnote-4)** (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)**(f) Who will you share the data with?** (*Sample* prompts: If you plan to make your raw research dataset available publicly as part of the open data movement, or if you are required to do so as part of funding/journal requirements, please address your protocol here (make explicit links to Q. 32 below and show that you have addressed this in your consent form and information sheet). For collaborative/community-based participatory research, please address issues such as shared ownership of data, will data be transferred (how?), publication of findings, etc. If your funder contractually requires you to give them access to the ‘raw’ dataset, examine relevant implications, including appropriate anonymisation, protocols for secure access to the dataset, etc.). **(g)** **If you are planning to analyse an existing dataset, please outline how the original consent process allows for your data analysis.** **(h) If you are planning to request access to health/case files/personal records that were not created for research purposes, please address Data Protection considerations, provide a strong rationale and comprehensively address associated ethical issues.****(i) If you ticked yes to Q.6b in the Checklist (above), have you submitted your DPIA?** |
| (a)(b)(c)(d)(e)(f)(g)(h)(i) |

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| **31. Arrangements for informing participants about the nature of the study** (e.g. information sheets, letters of invitation, social media information, participant recruitment, focus group welcome/schedule, withdrawal, etc.) |
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| **32. How you will ensure that participants provide informed consent?** (cf. Question 4 - attach relevant form(s); address special considerations in terms of children / young people / vulnerable persons / adults who have difficulty in making decisions unaided)  |
| Text here |

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| **33. Outline of debriefing process at the end of the data collection process** (cf. Question 9)**. If you answered Yes to Questions 19a or 19b, give details here. State what you will advise participants to do if they should experience problems (e.g. who to contact for help – provide name and contact details where required.)** |
| Text here  |

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| **34.** **Estimated start date and duration of project (by months)** |
| Text here |

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| **35.** **Additional information of relevance to your application** |
| Text here |

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| **36. Declarations** (clickable links to policies and codes quoted here are on the next page) | Delete as applicable |

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| I/we agree that should there be unexpected ethical issues arising during the course of this study, that I/we will utilise my/our professional/disciplinary code of ethics, and/or notify the School, where appropriate. | Yes / No |
| I/we have consulted the UCC *Code of Research Conduct* (2019) and believe my/our proposal is in line with its requirements. | Yes / No |
| I/we have consulted the UCC *Child Protection Policy* and believe my/our proposal is in line with its requirements. | Yes / No / NA |
| I/we 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/we 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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| **37. Signatures – Reminder all academic supervisors (where applicable) must approve the contents of this application**  |
| **UCC Applicant(s)** | **Academic Supervisor / Principal Investigator /Tutor** (where applicable) |
|  |  |
| Date:  | Date:  |

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

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

1. In regard to this application, we are not primarily concerned with methodological issues, but we may comment on such issues in so far as they have ethical implications.

**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 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. Relevant work constitutes any work or activity which is carried out by a person, a necessary and regular part of which consists mainly of the person having access to, or contact with, children or vulnerable adults. [↑](#endnote-ref-2)
2. 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-3)
3. 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-4)