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| **UCC Logo RGB_NEW** | **ETHICS APPROVAL FORM**  **Digital Arts and Humanities** |

***Introduction***

Digital Arts and Humanities students who are seeking ethical approval should complete this approval form. Ethical review is required where the methodology 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 concerning identifiable individuals.

Digital Arts and Humanities at UCC promotes strong research ethics amongst our community. We are open to all types of research in the social research domain and if your research approach does not readily fit into this research form, do not be discouraged. Please add additional relevant notes to convey what you think is pertinent about the ethical aspects of your study.

***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*** review. Please ensure that your application includes all of these prior to submission. Thank you and best of luck with your research.

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| All relevant files are combined into **one PDF** file ( DH SRE application form, consent forms, information sheets, data collection instruments, permission letters, etc.) | Yes / No |
| Completed DH SRE 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 |
| If you are under academic supervision, your supervisor(s) have approved the wording of and co-signed this application prior to submission | Yes / No |
| If this is a resubmission, all the revised and new text is highlighted in yellow | Yes / No |

**APPLICANT(S) DETAILS**

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| **Name of UCC applicant(s)** |  | **Date** |  |  |
|  |  | **Contact No.** |  |  |
| **Correspondence Address** |  | **Email Address** |  | |
| **Name and year of course** (students only) |  | **Name of supervisor(s)** |  | |
| **Is this a resubmission?** | Yes / No |  | | |
| **What type of SREC approval are you seeking?[[1]](#endnote-1)** | Full approval  Outline approval  Funding approval | | | |
| *Obtaining ethical approval from DH SRE does not free you from securing permissions and approvals*  *from other institutional decision-makers and agency ethical review bodies. These bodies may accept the* DH SRE *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** (roles, type of partnership, etc.) |  |

**ETHICAL APPROVAL SELF-EVALUATION**

*If your answer falls into any of the shaded boxes below, please address each point later on in the application form*

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|  |  | **YES** | **NO** |
| 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 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? |  |  |
| 6 | Will data be treated with full confidentiality / anonymity (as appropriate)? |  |  |
| 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 informed by the UCC *Child Protection Policy*? <http://www.ucc.ie/en/ocla/policy/> |  |  |
| 13 | Will your project require you to carry out “relevant work” as defined in the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016?[[2]](#endnote-2) |  |  |
| 14 | Do you require official Garda Vetting through UCC before collecting data from children or vulnerable adults?[[3]](#endnote-3) |  |  |
| 15 | Will your participants include people with learning or communication difficulties? |  |  |
| 16 | Will your participants include patients / service users / clients? |  |  |
| 17 | Will your participants include people in custody? |  |  |
| 18 | Will your 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 your research participants students with whom you have some current/previous connection (module coordinator, research supervisor, professional tutor, etc.)? |  |  |
| 23 | Will your study participants receive payment / gifts / voucher / etc. for participating in this study? |  |  |

**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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| **24. Very brief description of your study** (15-25 words max.)  [i.e. 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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| **25. What is your study about?** (100-200 words max.) |
| Text here |

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| **26. What are your research questions?[[4]](#endnote-4)** |
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| **27. Brief description and justification of methods and measures to be used** (attach questionnaire / interview protocol / discussion guide / etc. for **full** SREC approval. **Not** required for SREC outline approval) |
| Text here |

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| **28. Participants** (recruitment methods, number, age, gender, exclusion/inclusion criteria, detail permissions to be sought / secured already) |
| 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:  (a) What type of data will you be storing?  (b) How and where will you store your data?[[5]](#endnote-5)** (provide details for both physical *and* electronic documents). [[6]](#endnote-6) **(c) For how long will you store the data?** (A minimum storage period of 10 years is required) **(d) Who will have access to the dataset?** (*Sample* prompts: If you plan to make your raw research dataset available publicly as part of the open data movement, please address your protocol here. For collaborative/community-based participatory research, please address issues such as shared ownership of data, 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.).  **(e)** **If you are planning to analyse an existing dataset, please outline how the original consent process allows for your analysis.** |
| Text here |

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| **31. Arrangements for informing participants about the nature of the study** (cf. Question 3) |
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| **32. How you will obtain Informed Consent?** (cf. Question 4 - attach relevant form(s)) |
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| **33. Outline of debriefing 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).** |
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| **34.** **Estimated start date and duration of project** |
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| **35.** **Additional information of relevance to your application** |
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| **36. Declarations** |

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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 Discipline of DH and your supervisor, where appropriate | Yes / No |
| I/we have consulted the UCC *Code of Research Conduct* (2016) 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 |

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| **37. Signatures** | |
| **UCC Applicant(s)** | **Academic Supervisor / Tutor / Principal Investigator**  (where applicable) |
|  |  |
| Date: | Date: |

1. Please submit a *signed* copy this form and all relevant attachments **as one PDF file** to your supervisor. No hard copies are required.

**Website links and helpful resources**

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| **UCC *Child Protection Policy*** | <https://www.ucc.ie/en/media/support/ocla/policies/UCCChildProtectionPolicyFINAL.pdf> |
| **UCC *Code of Research Conduct*** | <https://www.ucc.ie/en/media/research/researchatucc/documents/UCCCodeofResearchConduct.pdf> |
| **Garda Vetting of UCC Staff** | <https://www.ucc.ie/en/hr/gardavetting/> |
| **UCC Student Vetting Policy** | <https://www.ucc.ie/en/media/studyatucc/undergrads/downloadabledocumentssection/StudentVettingPolicyandProcedure.pdf> |
| **IT Support for UCC Researchers** | <http://www.ucc.ie/en/it/services/research/> |
| **EU Commission, Responsible Research and Innovation & H2020**  **RRI Tools Website** | <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/responsible-research-innovation>   <http://www.rri-tools.eu> / |
| **Irish Qualitative Data Archive (IQDA)** | <https://www.maynoothuniversity.ie/social-sciences-institute/research/iqda> |
| **Irish Social Science Data Archive (quantitative datasets)** | <http://www.ucd.ie/issda/> |

**Electronic data storage**

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| **UCC NAS**  **(Network-Attached Storage)** | <http://www.ucc.ie/en/it/services/networkfilestorenas/> |
| **UCC Device Encryption Service** | <http://www.ucc.ie/en/it/services/encryptionlaptop/> |
| **HEAnet FileSender** | <http://www.heanet.ie/services/hosting/filesender> |
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1. *Full approval* is required for study design, data collection *and* data analysis. *Outline approval* is for activities such as early-stage research design and participatory processes where there is *no* data collection at this time. For *outline* approvals, a further application will be necessary should there be a subsequent data collection phase. *Funding approval* should be ticked if your funding grant requires approval within a short time frame (e.g. 2 months). [↑](#endnote-ref-1)
2. 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)
3. It is not an official requirement of the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016 for researchers to be Garda Vetted to undertake research with children and vulnerable persons for *once off* contact, other than where it includes activities such as coaching, mentoring, counselling, teaching or training of children or vulnerable persons. Some gatekeepers and funders may require researchers to have a valid Garda vetting before data collection can begin even for once off contact. For researchers planning for ongoing data collection with children and vulnerable persons or where contact may be unsupervised, Garda vetting is likely to be required. Researchers should follow the advice in the *UCC Child Protection Policy* and the UCC Garda Vetting guidelines (links at the end of this document). [↑](#endnote-ref-3)
4. If your study approach does not normally require that research questions are set in advance, please comment in this box.   
    [↑](#endnote-ref-4)
5. 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>.   
    [↑](#endnote-ref-5)
6. 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>. UCC’s staff IT service can assist with encrypting staff laptop/desktop computers (see <http://www.ucc.ie/en/it/services/encryptionlaptop/>) and with providing storage space on a secure Network Attached Server for your data (UCC staff only - see <http://www.ucc.ie/en/it/services/networkfilestorenas/>). Digital Arts and Humanities advises against storing research data on cloud-based storage services. [↑](#endnote-ref-6)