

School of Education, Trinity College Dublin
Application for Ethical Approval of Research Proposals

Title of Research

Researcher Name(s)

Trinity Email Address

Supervisor Name (if applicable)

Supervisor Email (if applicable)

Category of Proposer (please tick)

Student

☐

Principal Investigator (Staff)

☐

Course of Study (please tick)

BMusEd

☐

PME

☐

MEd

☐

DEd/PhD

☐

ASIAP

☐

CertC21T&L

☐

Please indicate the level of approval required

(See Code of Practice for the School of Education Research Ethics Committee document on <https://www.tcd.ie/Education/research/ethics/> for description of levels)

Level 0 ☐

Level 1 ☐

Level 2 ☐

Has your proposal been submitted to any other Research Ethics Committee?

Yes ☐

No ☐

If yes, please provide details:

Declaration by All Applicants:

I have read and understood the School of Education's policy on ethics in educational research: <http://www.tcd.ie/Education/research/ethics/>

and Trinity College Dublin's Policy on Good Research Practice:

<https://www.tcd.ie/research/dean/assets/pdf/TCD%20Good%20Research%20Practice%20Policies%20copy.pdf>

including requirements in relation to data protection in Trinity College Dublin as set out here: https://www.tcd.ie/info_compliance/data-protection

I declare that the details provided reflect accurately my research proposal and I undertake to seek updated approval if substantive changes are proposed after this submission. I have consulted an authoritative set of educational research guidelines.

Applicant's Signature:

Signed:

Date

Declaration by Supervisor (if applicable)

I have read this application. I am satisfied that it is in line with the criteria set out by the School of Education Research Ethics Committee in their published Code of Practice and application form templates.

Supervisor's Signature:

Signed:

Date

In instances where supervisors feel that their specialised expertise may be important, information for the REC to take into account (e.g. in relation to researching highly sensitive areas such as trauma/abuse), please submit an additional page with any relevant information.

SECTION 1 – DETAILS OF RESEARCH STUDY

1.1 Working title of proposed study

1.2 Dates & duration of Study

Proposed Start Date:

Proposed End Date:

1.3 Please give a structured abstract of the proposed research (approx. 400 words).

State research aim(s) and objective(s), research question or hypothesis, as appropriate. Include background, research approach, design, data collection methods.

1.4. Please answer the following questions in relation to your proposed research. Questions (b), (c) or (d) will require detailed explanations if answered 'yes' and will be referred for additional scrutiny by the REC or Trinity REPC. Answering 'Yes' to (e) will require a separate application to the relevant HSE REC and must comply with HRB regulations regarding explicit consent .	Please tick	
	Yes	No
a. Does the research involve work with children (under-18) or vulnerable adults? If 'Yes', has appropriate Garda clearance (or equivalent) been obtained (include details)?		
Please provide the date of issue on the Certificate.		
b. Could any aspect of the research give rise to any form of harm to participants, including the researcher(s)?		
c. Could any aspect of the research produce information that could lead to criminal prosecution of the participants or others?		
d. Is deception of the participants planned in any aspect of the research? If yes, provide details.		
e. Does any aspect of the research involve patients (or their relatives or carers) or other users of health and social care services, the premises or facilities of such services, access to personal records or the participation of health or social care staff?		

For Level 1 and Level 2 applications ONLY

SECTION 2 – DETAILS OF PARTICIPANT SELECTION, RECRUITMENT AND CONSENT

2.1 Who are the proposed participants, e.g. teachers; students? Please indicate the method of sampling you intend to use and the approximate sample size

2.2 What is your relationship with them? (If you are in a position of authority, for example, indicate how you will deal with the potential influences of such a relationship.)

2.3 Who is the gatekeeper(s) (e.g. school principal) for this study (if applicable)? What is the relationship, if any, between the gatekeeper and the prospective participants?

2.4 What are the primary location(s) for data collection? Specify address of classroom, participant's home, laboratory, place of convenience, etc.

2.5 Describe exactly how participants will be recruited. Include what steps you will take to access the sample, specifying details of people who will be contacted, how they will be contacted, during this process.

2.6 Best and common ethical practice involves ensuring informed consent is obtained from research participants. How will you ensure informed consent is obtained from each research participant group? Give details of who will take consent and how it will be done. Please attach a copy of invitation letter, consent form and Participant Information Leaflet (PIL) for each participant group.

2.7 What is the time interval between giving information and seeking consent? During this time prospective participants should receive a letter of invitation, PIL and Consent Form to consider. It is recommended that a period of seven days be provided for reflection. If less than this, please justify.

2.8 Will the participants be from any of the following groups (tick as appropriate)

	INVOLVEMENT	
	YES	NO
Children under 18 years of age		
Adults with learning disabilities		
Adults with communication difficulties		
Adults who are unconscious or very severely ill		
Adults who have a terminal illness		
Adults with mental illness		

Adults suffering from dementia		
Prisoners		
Young Offenders		
Those who could have been considered to have a particularly dependent relationship with the investigator, e.g. those in care homes, students		
Other groups who may be considered vulnerable (Please specify below)		

2.9 If participants are to be recruited from any of the potentially vulnerable groups listed please provide details of:

- a) The extra steps taken to ensure that participants from any of these vulnerable groups are as fully informed as possible about the nature of their involvement
- b) Who will give consent
- c) How consent will be obtained (e.g. will it be verbal, written or visually indicated?)
- d) When consent will be obtained
- e) The arrangements that have been made to inform those responsible for the care of the research participants of their involvement in research

The Research Ethics Committee may require the applicant to contact researchDPO@tcd.ie to complete a [DPIA](#) in some instances.

2.10. Final Consent checklist

<p>Please complete the checklist below to confirm you have considered all ethical aspects of consent. (Note that the consent forms must accompany this application; any omission or inadequacy in detail will result in a request for amendments).</p>	<p>Please tick</p>
<p>I have attached the consent documents (consent form(s) and participant information leaflet (PIL)) for all research participant groups which are accessible to the target participant audience (e.g. children, participants with unmet literacy learning needs, etc).</p>	
<p>The consent documents clearly inform possible participants that participation is voluntary and that the participant has the right to cease participation at any time without giving a reason and without prejudice</p>	
<p>The consent documents give assurances that the data collection (questionnaires, interviews, tests etc.) will be carried out in a sensitive and non-stressful manner.</p>	
<p>Each consent form and PIL has full contact details of the researcher (and of the supervisor for student applications) and, where personal data is to be collected, the Data Protection Officer (see 3.7) to enable prospective participants to make follow-up inquiries.</p>	
<p>The consent documents has full details, in plain non-technical language, of the purpose of the research, the proposed role of the person being invited to participate, the research instruments (e.g. tests, interviews, questionnaires) with indicative questions if appropriate and the expected duration of participation</p>	
<p>The consent documents have full details of the purposes to which their data (in all their forms: text, oral, video, imagery etc) will be put, including for research dissemination purposes and require informed consent for each purpose and each form of data</p>	
<p>The consent documents explain how the anonymity, where appropriate, of the participants will be ensured and operationalised</p>	
<p>The consent documents explain how participant data in all its forms (e.g. paper forms, recordings, etc) will be protected, including how it will be stored and for how long and how it will be ultimately destroyed.</p>	
<p>The consent documents clearly state up to what point a participant can withdraw their data from a study, e.g. up until the data is irrevocably anonymised or until analysis or publication of the data findings.</p>	
<p>Please include here any other comments you wish to make about the consent form(s)</p>	

SECTION 3 – CONFIDENTIALITY AND DATA PROTECTION

3.1 Does this study involve collecting, using, accessing or sharing personal data¹?

Yes ☐

No ☐

If **NO**, please go to section 4.

If **YES**, please list² all categories of personal data.

Please see checklist on secure storage available [here](#).

Type of Data	Justification: Why do you need the data?	Data Format	Technical and Organisational Controls	Identifiable coded, or anonymised
<i>EXAMPLE: Email Address</i>	<i>Contact to organise interviews</i>	<i>Excel spreadsheet</i>	<i>OneDrive in encrypted format, on local machine which is encrypted. Accessible to PI only.</i>	<i>Identifiable</i>
<i>Consent Form</i>	<i>Evidence of consent from an ethical perspective</i>	<i>Hard copy form</i>	<i>Stored in locked cabinet, in locked office with access limited to PI.</i>	<i>Identifiable</i>

3.2 Does the study involve collecting, using, accessing or sharing sensitive data³?

Yes ☐

No ☐

If **NO**, please go to question 3. 3.

If **YES**, please list all categories of the sensitive data collected.

Please see checklist on secure storage available [here](#).

¹ 1 Personal data is information which can identify a person. In particular: a name, address, email, telephone number, an identification number, location data, an online identifier, an IP address, an audio or video recording, a photograph where a person can be identified, a code key linking back to identifiable data etc. Please note that pseudonymised data is personal data under GDPR. Pseudonymised data means data which cannot be attributed to an individual without the use of additional information which is kept separately. (i.e. a key) . It is sometimes referred to as 'coded data'. Please note that in order to be considered personal data in our hands, Trinity must hold the key.

² If using Personal data. Records must be kept pursuant to Article 30, GDPR; <https://gdpr-info.eu/art-30-gdpr/>

³ Sensitive personal data means personal data, which poses a higher risk to the individual. It includes personal data revealing racial and ethnic origin, political opinions, religious or ideological convictions, trade union membership, criminal convictions and offences, genetic, biometric (photos, videos, audio etc.) data concerning physical or mental well-being , information relating to education, professional training employment and career history, questionnaires, Information relating to the family of the individual and the individual's lifestyle and social circumstances.

Type of Data	Justification: Why you need the data?	Data Format	Technical and Organisational Controls	Identifiable coded, or anonymised
<i>EXAMPLE:</i> <i>Interview sheet</i>	<i>Method of research</i>	<i>Hard copy form</i>	<i>Stored in encrypted format on local machine which is also encrypted</i>	<i>Pseudonymised (code given to each individual). PI has the key</i>

3.3 Who determines how and why the personal and/or sensitive data is used? (Data Controller⁴ or Joint Data Controllers)

Provide Details:

3.4 Will the personal and/or sensitive personal data be shared with any third parties⁵?

If **YES**, provide details including information on the contractual arrangements in place.

If **NO**, please go to question 3.5

This list should include all Data Processing Agreements with external laboratories, Cloud-based Solutions Agreements etc., and any and Data Sharing Agreements with Collaborators.

Please contact researchDPO@tcd.ie if you need assistance with agreements and/or for any transfer outside EEA (including England, Wales, Scotland or Northern Ireland).

Provide Details:

⁴ Employees and students of TCD are not data controllers. TCD is the data controller for the institution. However, if other institutes jointly decide how and why the data will be used, they should also be noted as controllers here.

⁵ Third parties could be collaborators (institutes/industry) or service providers (transcribers, cloud storage etc.)

3.5 How long will you retain the personal data? Please see good [research practice guide](#) for guidance on retention of research data. Your school should be able to advise on best practice.

Provide Details:

3.6 Will the personal data be fully anonymised or deleted after it is no longer necessary?

See [advice](#) on secure data disposal

Provide Details:

3.7 How will you inform participants of their rights under GDPR⁶?

Please note that the DPO's contact details must be included on any information leaflet or privacy notice if you are using personal data for your research.

Email: dataprotection@tcd.ie

Post:

Data Protection Officer
Secretary's Office,
Trinity College Dublin,
Dublin 2,
Ireland

Please use the template information leaflet available here as the basis of your privacy/information leaflet.

Provide Details:

⁶ Under GDPR, these include:

- right of access;
- right to rectification;
- right to erasure;
- right to object to processing based on legitimate or public interest;
- right to data portability;
- right to object to profiling or making decisions about individuals by automated means?

SECTION 4 – OTHER ETHICAL ISSUES INCLUDING RISK, BENEFIT AND HARM

4.1 Will individual or group interviews/questionnaires discuss any topics or issues that might be sensitive, embarrassing or upsetting. If Yes, give details of procedures in place to deal with these issues. Give specific names of counselling or other support services that might be offered to participants.

4.2 Is it possible that criminal or other disclosures requiring action could take place during the study. If yes, please provide specific detailed procedures in place to deal with these issues and who will be informed if disclosures occur. Please list below details of any support services to be offered to participants (if applicable). This information needed to be also included in the participant information leaflet.

4.3 Are there any circumstances that might give rise to security concerns for participants or researchers? If yes, please provide an account of procedures in place to deal with these issues and/or mitigate any risks

4.4 Are there any conflicts of interest where data might be critical of working practices, people etc. If yes, please provide an account of specific procedures in place to deal with these issues.

4.5 What (if any) is the potential for benefit for research participants? Please outline only the direct benefits

4.6 Will payment be made to research participants?

YES	NONE OTHER THAN MINIMAL EXPENSES TO COVER TRAVEL COSTS ETC	NO
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4.7 If you answered YES to question above, please specify for what purpose the payment will be made and the amount to be provided to each participant.

4.8 Are there any further ethical issues or problems which may arise with the proposed study and what steps will be taken to address these?

If you have any further comments or notes in relation to any aspect of your application (e.g. funding and relevant ethical issues), please outline them here: