

SCHOOL OF LINGUISTIC, SPEECH AND COMMUNICATION SCIENCES

TRINITY COLLEGE DUBLIN

**RESEARCH ETHICS APPLICATION FORM**

|  |
| --- |
| **PLEASE NOTE THE FOLLOWING:*** **Incomplete applications cannot be processed** and will be returned for completion.
* Forms **without the** applicant(s) and research supervisor(s) (for student applications) confirmation of declaration/s section/s completed cannot be processed.
* Applications must be **typed** and not hand-written and submitted as a **single** document (application & all appendices)

Please complete the application form and return **one electronic copy (with supervisor signature)** to:slscs@tcd.ie |
| **APPLICANT NAME:** |  |
| **APPLICANT EMAIL:** |  | *(Please use your* ***tcd.ie*** *email address)* |
| **SLSCS STAFF MEMBER?** | Yes [ ]  | *Job title*  |
| **STUDENT NUMBER** |  |
| **SLSCS STUDENT?** | UG | [ ]  | MSc | [ ]  | MPhil | [ ]  | MLitt | [ ]  |  |
|  | PhD | [ ]  | CLCS | [ ]   | CSLS | [ ]  | CDS | [ ]   |  |
| **SUPERVISOR NAME:** |  |
| **SUPERVISOR EMAIL:** |  | *(Please use their* ***tcd.ie*** *email address)* |
| **PROJECT TITLE:** |  |
| **IS THIS A FULL RESUBMISSION OF A PREVIOUS APPLICATION?** | Yes | [ ]  | No | [ ]  |
| **IS THIS ELIGIBLE FOR A FAST-TRACK APPLICATION?[[1]](#footnote-1)** | Yes | [ ]  | No | [ ]  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SPECIFY YOUR ROLE IN PROJECT** | Principal Investigator | [ ]  | Co-investigator | [ ]  |
| Please provide the name, qualification and position of each person associated with this research project  |
| **Name & Qualification** | **Position & primary employer** | **Role in research project** | **Email Address** |
| *Do not forget to add* ***your*** *details and your* ***supervisor’s*** *details here. List all researchers.* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

SECTION 1 - BEFORE YOU PROCEED

Projects that collect personal data may require a Data Protection Risk Assessment (DPRA) or Data Protection Impact Assessment (DPIA). *Personal data* means information that can make a person identifiable e.g., their name, email address, location data, voice, or a photo/video of that person. Sometimes data collected from a research study makes someone identifiable by combining collected data together. For example, a survey of students in a class could collect age, gender, and nationality information. None of these are personal data, but there might only be one 35-year-old male from Italy in that class, which makes the person identifiable. Trinity provides a training course to help you understand data protection:

<https://www.tcd.ie/dataprotection/training/>

If your research collects personal data, then you must check and discuss with your supervisor whether you need to complete a DPRA or DPIA. Most research that collects personal data will require a DPIA. You can find templates for these and read about them here:

<https://www.tcd.ie/dataprotection/riskassessments/>

If your research does not collect personal data, then it is collecting *anonymous* data, which does not require a DPRA or DPIA. Research should never collect personal data unless **absolutely** necessary.

DPRAs and DPIAs should ideally be completed and approved **before** you submit your ethics application. These are submitted to the Data Protection Office (DPO) at: dataprotection@tcd.ie. Waiting times for DPO approval can be lengthy, so we advise starting this process as soon as possible. You **may** submit your ethics application before you have received DPO approval, but be aware that the DPO may recommend changes that will then require you to resubmit a revised application to the Research Ethics Committee.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Does your project require:** | DPRA | [ ]  | DPIA | [ ]  |
| *If you ticked one of the above, please answer the following* |
| **Have you submitted this yet?** | Yes | [ ]  | No | [ ]  |
| **Have you received DPO approval yet?** | Yes | [ ]  | No | [ ]  |

*You do not need to attach your DPRA or DPIA as part of this ethics application, but please attach your approval letter if you have one.*

**Research in Other Countries**

If your research will collect or process data in another country, you must adhere to national laws and provide that information in this application form. Remember that any data being transmitted within or outside the EU is subject to General Data Protection Regulations (GDPR).

**IMPORTANT**

**Examples of completed ethics application forms are available on our website. We strongly recommend that you look at the examples before completing your own application.**

[**https://www.tcd.ie/slscs/research/ethics/**](https://www.tcd.ie/slscs/research/ethics/)

**SECTION 2 – DETAILS OF RESEARCH PROJECT AND PARTICIPANT SELECTION**

**2.1** Details of any funding body (write *no funding* if applicable):

|  |
| --- |
|  |

**2.2** Dates & duration of research activities:

|  |  |  |  |
| --- | --- | --- | --- |
| Proposed start date for fieldwork/data collection (please provide specific planned start date which should not precede research ethics approval): |  | Proposed end date of fieldwork/data collection (please provide specific planned end date): |  |

**2.3** What are the primary location(s) for data collection? For example. classroom, clinic, lab, participants’ home, place of convenience for participants. Researchers conducting fieldwork in participants’ home should ensure they have familiarised themselves with the [Lone Researcher Guidelines](https://www.tcd.ie/slscs/assets/documents/research/ethics/SLSCS_Lone_Researcher_Guidelines.pdf) on the School website.

|  |
| --- |
|  |

**2.4** Please provide a brief outline of the proposed project **(maximum 400 words in total).** This should include aim(s) and objective(s), background, research question(s) or hypothesis, research design.

**(a) Aims/objectives and theoretical background**

|  |
| --- |
|  |

**(b) Research question(s) or hypothesis**

|  |
| --- |
|  |

**(c) Research design. Please briefly describe the project research design/methodology. Provide your inclusion & exclusion criteria (if relevant).**

|  |
| --- |
|  |

**2.5 Please describe recruitment, sampling and data collection procedures**

**(a)** Please specify exactly how participants will be recruited and what steps you will take to access the sample. This should include who will make contact at each stage of the study, including information regarding gatekeeper(s) for this study (if applicable). If you are using social media to advertise your research, you cannot tag individuals in posts, but you can tag organisations.

|  |
| --- |
|  |

**(b)** Please describe expected sample size and composition.

|  |
| --- |
|  |

**(c) Data collection procedures.** Please tick the research instruments you intend to use (ensuring you append copies of each instrument) and (ii) provide an estimation of the time commitment involved for participants/respondents.

(i) *Please tick as many boxes as relevant to your project:*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  | Questionnaires | [ ]  | Video Recordings |
| [ ]  | Interviews | [ ]  | Observations |
| [ ]  | Focus Groups | [ ]  | Classroom Intervention |
| [ ]  | Audio Recordings | [ ]  | Ethnographic Research |
| [ ]  | *Other (please specify):* |  |  |

(ii) *Estimation of the time commitment involved for participants:*

|  |
| --- |
|  |

**SECTION 3 – INFORMED CONSENT**

Consent means *agreement to participate in research*. While you are completing this section, remember that you must provide evidence of the following legal requirements for consent:

|  |  |
| --- | --- |
| *Consent must be…* | *What this means for the participant* |
| Freely given | They are not pressured or influenced into taking part. |
| Informed and specific | They know exactly what is involved in the research, how their data will be used now, and in the future, and how to withdraw from the research. |
| Unambiguous | They have provided a clear indication that they wish to participate, and this has been recorded by the researcher. |

**3.1** Please give details of how information will be provided to participants to ensure that they can make a fully informed decision about participation. Please include a description of who will provide this information. This information is usually provided in a Participant Information Leaflet or on the first page of a survey.

|  |
| --- |
|  |

**3.2** Please give details of who will obtain consent from participants and how it will be done. This is usually through a consent form. For online surveys where a separate consent form is not used, please describe how explicit consent will be sought (e.g., through the participant clicking ‘I agree to proceed’).

|  |
| --- |
|  |

**3.3** Children (<18 years) **cannot** legally consent to research, so consent must be obtained from their parents or legal guardians (no other adults can give consent). You must however also obtain *assent* from children, i.e., their agreement to participate. Please attach all consent and assent research forms as an appendix to this application. If you are recruiting participants from other countries, check the *legal age of majority*. Anyone below that age is considered a child. If you will not be recruiting children, select **N/A**.

Working with children: will assent be obtained from any children under 18?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  | **N/A** | [ ]  |

Will informed consent be obtained from parents/legal guardians on behalf of any children under 18?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  | **N/A** | [ ]  |

**3.4** Please specify if you will allow for a time interval between providing your participants with information about the research and seeking their consent. A time period of 3-7 days is usually used if participants will be participating in an experiment or complex piece of research. Surveys do not usually require a time interval.

|  |
| --- |
|  |

**3.5** Will the participants be specifically recruited from any of the following groups (tick as appropriate):

|  |  |  |
| --- | --- | --- |
| **PLEASE TICK THE APPROPRIATE BOX** | **YES** | **NO** |
| Children under 18 years of age | [ ]  | [ ]  |
| Adults with learning disabilities | [ ]  | [ ]  |
| Adults with language or communication difficulties | [ ]  | [ ]  |
| Adults who have dementia | [ ]  | [ ]  |
| Adults with mental illness | [ ]  | [ ]  |
| Clinical population | [ ]  | [ ]  |
| Participants in an unequal power relationship with the researcher (e.g. lecturer/student)  | [ ]  | [ ]  |
| Other groups who may be considered vulnerable (please specify below)  | [ ]  | [ ]  |

|  |
| --- |
|  |

**3.6** If participants are to be specifically recruited from any of the groups listed above, please give details of:

(a) Any special steps taken to ensure that participants from 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, signed, or visually/gesturally indicated?):

|  |
| --- |
|  |

(d) The arrangements that have been made to inform those responsible for the care of the research participants of their involvement in research:

|  |
| --- |
|  |

**SECTION 4 – CONFIDENTIALITY & DATA PROTECTION**

This section asks about two types of data. Personal data (explained in Section 1 of this document) and sensitive data. The legal definition of sensitive data includes anything relating to:

|  |  |  |
| --- | --- | --- |
| * *Racial or ethnic origin*
 | * *Religious/philosophical beliefs*
 | * *Genetic/health information*
 |
| * *Political opinions*
 | * *Trade union membership*
 | * *Biometric data*
 |

Other data may be sensitive, for example asking about stressful or traumatic events.

Personal and sensitive data must be secured. For electronic data, this usually means password-protection or encryption. Encryption is strongly recommended for sensitive data. If you are a student, we recommend asking your supervisor to share a OneDrive folder with you, which only you and your supervisor can access. If you are dealing with physical data (e.g., consent forms), the research supervisor should lock them in a filing cabinet in a locked office. You should store personal and sensitive data separately to reduce the risk of hacking or leaking. For example, keep participant names in one file, and their sensitive data in another file, using two different passwords. Researchers often use a *code key* for this, for example:

Personal Data File (code key file)

|  |  |  |  |
| --- | --- | --- | --- |
| **ID Code** | **Name** | **Email** | **Telephone** |
| Participant1 | John Smith | John.smith@tcd.ie | 087 123 4567 |

Sensitive Data file

|  |  |  |  |
| --- | --- | --- | --- |
| **ID Code** | **Medical History** | **Religion** | **Trade Union Member?** |
| Participant1 | Asthma, diabetes | Presbyterian | Yes |

Data *processing* means collecting, storing, protecting, editing, analysing, sharing or deleting data. When listing processing activities below, you **must** account for all of these actions.

All research should conform to *data minimisation*, which means collecting the minimum amount of data necessary for the research project and keeping it for as short a time as possible. If you do not have a good reason to collect personal data, then you should not collect it. If you are a student, [current Trinity policy](https://www.tcd.ie/about/policies/160713%20Records%20Management%20Policy_Records%20Retention%20Schedule_website.pdf) recommends keeping your research data for the duration of your studies plus three years.

Remember, all the information in this section must match what you tell your participants in the Participant Information Leaflet (or in the first page of your survey).

**4.1 Does the study involve processing personal data? Remember that consent forms and letters/emails to participants usually contain personal data.**

|  |  |  |  |
| --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  |

**In addition to obtaining consent, researchers must identify the legal basis for processing personal data. Participants must be informed of this in the Participant Information Leaflet or first survey page.** [**Legal guidelines**](https://www.dataprotection.ie/sites/default/files/uploads/2019-12/Guidance%20on%20Legal%20Bases_Dec19_1.pdf) **state that the most common basis for processing personal data in scientific research is that it is carried out *in the public interest*. Please select the legal basis for processing personal data for your research.**

|  |  |  |  |
| --- | --- | --- | --- |
| In the public interest (recommended) | [ ]  |  |  |
| *Other legal bases for consent* |
| Consent given for specific purpose(s) | [ ]  | Necessary for a contract | [ ]  |
| In the vital interests of a person | [ ]  | Necessary for legal compliance | [ ]  |
| Necessary for the legitimate interests of the controller or by a third party, except where such interests are overridden by the interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child. | [ ]  |  |  |

**Identify all personal data processed by your research.**

|  |  |  |
| --- | --- | --- |
| **Data Collected** | **Justification** | **Processing Activities, Person Responsible, Timeframe for Destruction** |
|  |  | Collecting:Storing:Protecting:Editing/analysing:Sharing:Deleting: |
|  |  |  |
|  |  |  |

**4.2 Does the study involve processing sensitive data?**

|  |  |  |  |
| --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  |

|  |  |  |
| --- | --- | --- |
| **Data Collected** | **Justification** | **Processing Activities, Person Responsible, Timeframe for Destruction** |
|  |  | Collecting:Storing:Protecting:Editing/analysing:Sharing:Deleting: |
|  |  |  |
|  |  |  |

**4.3 Who will be the data controller or controllers? This is usually an institution like Trinity College Dublin, but you should list other institutions if they have legal responsibility for data management (e.g., hospitals).**

|  |
| --- |
|  |

**4.4 If relevant, list other agencies who will have access to personal and sensitive data.**

|  |  |
| --- | --- |
| **Name** | **Data to be accessed and nature of data** |
| *Other institutions might have access to data, like translation or statistical companies that are supporting your project. If you are using partners like this, you should* ***anonymise*** *or* ***pseudonymise*** *the data first and explain that below.* |
|  |  |
|  |  |

**4.5 Are there any potential confidentiality issues through identification of the study site? For example, if you were recruiting from a specific school or hospital, students or staff could be more easily identified.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  | **N/A** | [ ]  |

**If yes, please expand.**

|  |
| --- |
|  |

**4.7 Researchers should allow the participant access to their data (and transcript for interview studies). If you will not allow this as part of your research, please justify this below and explain this in the Participant Information Leaflet or first page of your survey.**

|  |
| --- |
|  |

**4.8 According to the Health Research Regulations (2018), health research is:**

* Research with the goal of understanding normal and abnormal functioning, at the molecular, cellular, organ system and whole body levels.
* Research that is specifically concerned with innovative strategies, devices, products or services for the diagnosis, treatment or prevention of human disease or injury.
* Research with the goal of improving the diagnosis and treatment (including the rehabilitation and palliation) of human disease and injury and of improving the health and quality of life of individuals.
* Research with the goal of improving the efficiency and effectiveness of health professionals and the health care system.
* Research with the goal of improving the health of the population as a whole or any part of the population through a better understanding of the ways in which social, cultural, environmental, occupational and economic factors determine health status.

**Is your research classified as health research?**

|  |  |  |  |
| --- | --- | --- | --- |
| **YES** | [ ]  | **NO** | [ ]  |

If you answered ‘Yes’, then you must address section 4.8(a) below

**4.8(a) The provision of training in data protection for anyone carrying out health research is mandatory. All researchers and students conducting health research are expected to have completed GDPR training. Section 1 contains details of GDPR training, though HSELand GDPR training is also acceptable. Please provide details of the training undertaken by all named researchers on this application.**

|  |
| --- |
|  |

**SECTION 5 – RISK, HARM AND BENEFIT**

**5.1** What is the potential for an adverse outcome for research participants? For example, inconvenience, physical or emotional risk, discomfort, stress, anxiety, fatigue, or embarrassment. In low-risk projects, adverse outcomes are usually rare. Any risks identified here must also appear on the Participant Information Leaflet or first page of survey.

|  |
| --- |
|  |

**5.2** Please indicate what steps you will take in order to minimise any potential adverse outcomes for research participants:

|  |
| --- |
|  |

**5.3** What is the potential for benefit, if any, for research participants?

|  |
| --- |
|  |

**5.4** Will payment be made to research participants?

|  |  |  |
| --- | --- | --- |
|  | [ ]  | **YES** |
|  | [ ]  | **NO** |
|  | [ ]  | **Minimal payment to cover travel cost etc.** |

**5.5** If you answered **YES** to the previous question, please specify for what purpose the payment will be made and the amount per participant:

|  |
| --- |
|  |

**5.6** Are you aware of any conflicts of interest that could arise in the course of this project? If your answer is **YES**, please give full details below:

|  |
| --- |
|  |

**5.7** Are there any other ethical considerations which you anticipate in relation to your study that have not been covered by the questions above? If so, what steps will you take to address these?

|  |
| --- |
|  |

**SECTION 6 – ETHICAL APPROVAL FROM OTHER COMMITTEES**

**Ethical approval from the School of Linguistic, Speech & Communication Sciences Research Ethics Committee, if granted, does not supersede any requirements that external organisations may have regarding additional applications for ethics being made to local ethics committees in advance of the commencement of the study.**

**6.1** Does your research require ethical approval from any other organisation(s)?

|  |  |  |
| --- | --- | --- |
| YES | [ ]  | (If you answer YES go to question 6.1a) |
| NO | [ ]  |  |

**6.1(a)** Please give the name of ethics committee(s). State whether you have applied, or plan to apply. If you have already applied and been granted approval, please include your approval letter as an appendix to this document.

|  |
| --- |
|  |

**SECTION 7 – CONFIRMATION OF APPLICANT AND SUPERVISOR DECLARATIONS**

|  |
| --- |
| **APPLICANT DECLARATION:** I confirm that the information provided in this form is correct, that I am not aware of any other ethical issues not addressed within this form. I understand the obligations to and the rights of participants (particularly concerning their safety and welfare, the obligation to provide information sufficient to give informed consent and the obligation to respect confidentiality). |
| **APPLICANT CONFIRMATION OF DECLARATION:** | [ ]  |
| **APPLICANT NAME (PLEASE TYPE):** | **DATE:** |

|  |
| --- |
| **RESEARCH SUPERVISOR CONFIRMATION OF DECLARATION:**Student applicants are required to have their Research Supervisor complete this section. Research Supervisors are required **either** to sign this section **or** send an email to the Research Ethics Committee confirming that they have reviewed the ethics application and are satisfied that it meets ethical standards. Applications without a signature or email confirmation **will not be considered**.  |
| **SUPERVISOR DECLARATION:** As the student’s supervisor, I have read this document, and to the best of my knowledge, this project conforms to the School’s Research Ethics Guidelines. |
| **SUPERVISOR CONFIRMATION OF DECLARATION:** | [ ]  |
| **SUPERVISOR NAME (PLEASE SIGN):** | **DATE:** |

**REMEMBER TO:**

* **INCLUDE ANY RELEVANT APPENDICES LIKE:**
	+ Participant Information Leaflet
	+ Consent/assent form(s)
	+ Copies of data collection tools (e.g., surveys, interview questions)
	+ Letters to gatekeepers or organisations (e.g., to request they share your research)
	+ Advertisements (posters, social media)
	+ Data Protection Office approval of DPRA/DPIA (if you have obtained these)
* **ENSURE YOUR SUPERVISOR HAS SIGNED THE FORM OR EMAILED THE REC TO CONFIRM APPROVAL**
* **RETURN IN A SINGLE PDF FILE TO:** **slscs@tcd.ie**
1. See <https://www.tcd.ie/slscs/research/ethics/fast-track.php> for details. [↑](#footnote-ref-1)