Ethical Approval for Non-Clinical Research Involving Human Participants

FORM A: Application for ethical approval for low risk projects

Name of Applicant	
Module/Group application	*(Yes/No)*
School	
University e-mail Address	
Title of Project	
Co-Investigators (with internal School or external organisational affiliation)	
Projected Start Date	
Estimated End Date	
Funder (if applicable)	
Version of Application (1, 2, 3…)*	

* After revision, please update the version number before re-submission.

Students Only	
Level of Study (Undergraduate (UG); Taught Postgraduate (TPG); Research Postgraduate (RPG)	
Name of University of Dundee Supervisor	

Note: Students must copy in their supervisor when submitting the application for review.

1. Project Overview

Please provide, with reference to the relevant literature, an overview of the research project providing a short explanation (maximum 400 words) of the research questions the project will address and why the study is justified.

Please write this section in a way that is accessible to a person who is not an expert in your field.

2. Aims and Objectives

What are the aims and objectives of the project?

3. Research Design and Methods

Please describe the design of your study and the research methods including information about any tasks or measuring instruments (validated or otherwise) that you will be using. *If you are using non-validated instruments (e.g., surveys or questionnaires[1] you have designed, interview questions, observation protocols for ethnographic work or topic lists for unstructured data collection) please attach a copy to this ethics application.*

4. Identification and Recruitment of Participants

How will participants be identified and recruited? Will your research involve participants outside of the UK? If so where?

Please provide details on how and by whom they will be contacted; please also add information on any exclusion criteria, should they apply. *Please attach the wording of any emails, letters, social media adverts or other written approaches that you may use for recruitment purposes.*

5. Informed Consent

How will you obtain informed consent? Are you satisfied that all participants have capacity to make their own decisions and understand the risks?

[1] Please provide details of any survey tools you intend to use. The University approved online survey tool is 'Online surveys' (formerly BOS). If you intend to use a different survey tool please indicate the reason.

Please explain how and when participants will be informed about the scope of the research, what their involvement would entail and their rights under data protection legislation. *Please provide the participant information sheet and consent form with this application*; if consent is not obtained in written format (e.g., oral communication, deliberate action to opt-in to surveys or questionnaires), please provide details of how consent will be obtained and recorded. If the project involves photography or video- or audio-recording of participants, explicit consent will need to be given; where applicable this includes consent for someone not on the direct research team to have access to the participant's data (e.g. for transcription). Explain how you have considered and will address consent for the preservation and potential sharing and reuse of data.

6a. Data Management: Lawful Processing of Data

Data protection legislation[2] requires participants to be informed of the lawful basis for processing their personal data. At the University of Dundee, the normal basis for the lawful processing of personal data in research is that 'processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller'. If you intend to use another lawful basis you must contact the University's Data Protection Officer (DPO) for advice and insert the lawful basis agreed with the DPO below.

6b. Data Management: Planning

Please describe your plan for managing the data[3] you will collect during your project and how it complies with data protection legislation. Include information on:

i) The type and volume of data; ii) Where and for how long will the data be stored and what measures will be in place to ensure secure storage; iii) Whether the data will be anonymised or pseudonymised[4]; iv) How secure access will be provided to data for collaborators; v)

2 The General Data Protection Regulation ((EU) 2016/679) and the UK Data Protection Act (2018). Further information can be obtained from the University of Dundee data protection website and the website of the Information Commissioner's Office.

3 Note that staff and postgraduate research students are required to complete a research data management plan under the University of Dundee's Policy to Govern the Management of Research Data. However, providing you have included the information requested above, it is not necessary to attach a formal data management plan to this application.

4 (Article 4(5) of the General Data Protection Regulation describes pseudonymisation as: "The processing of personal data in such a way that the data can no longer be attributed to a specific data

Whether and how data will be shared for reuse by other researchers beyond the project (including details on any access restrictions); vi) Processes in place to erase and/or stop processing an individual participant's data (except where this would render impossible or seriously impair the research objectives)[5]; vii) Processes in place for individuals to have inaccurate personal data rectified, or completed if it is incomplete; viii) Who has overall responsibility for data management for the research project; ix) Arrangements for collection and transfer of data outside the UK.

7. Other Permissions

Are any other permissions (e.g., from local authorities) required? If so which?

8. Risks of Harm to Researchers and Participants

Risks of harm. Please detail any risks associated with the project. Does the research involve fieldwork (either in the UK or overseas)? Does the research incur a risk of injury or ill-health above the level of risk prevalent in daily living? *If yes, please complete the relevant risk assessment form(s) (general risk assessment form and/or the risk assessment for Travelling on University Work Overseas) and submit with this application.*

9. Other Ethical Considerations

Are there any other ethical considerations relating to your project which have not been covered above? If so, please explain.

subject without the use of additional information". An example would be where a coded reference or pseudonym is substituted for personally identifiable data.

5 The right to erasure under the General Data Protection Regulation does not apply if erasing the data would prejudice scientific or historical research, or archiving that is in the public interest.

10. Documentation

Please list all attached documentation, ensuring that each item has a date and version number.

11. Declaration

By signing below I declare that I have read the University Code of Practice for Non-Clinical Research Ethics on Human Participants and that my research abides by these guidelines. I understand that this application and associated documents will be retained by the University.

Principal Investigator or Student

Name: Date:

Signature:

Supervisor (for applications from students)

Name: Date:

Signature: