APPLICATION FORM - ETHICAL APPROVAL

RESEARCH ETHICS COMMITTEE OF FACULTY OF GRADUATE STUDIES

Faculty of Graduate Studies
University of the Visual and Performing Arts

For Official Use:
Application No.:_____
Date received ____/____/_____
Version: _____
Board of Study: _____

This form should be filled and signed by the postgraduate students, supervisors, investigators who are attached to the Faculty of Graduate Studies of University of the Visual and Performing Arts who request ethical approval for a research projects.[1]
Please read the guidelines for application before completing the form and ensure all relevant documents as per the document checklist are submitted.
Postgraduate students must obtain approval from their respective Supervisors and the Board of Study before applying for ethical clearance.

CHECK LIST (Please mark all documents submitted)

One copy each of the following:

1. Recommendation of the appropriate board of study	
2. Covering letter signed by the applicants	
3. Email a complete set of all documents submitted (include one copy of your application, protocol, instruments and forms in all languages) as a single PDF file to fgs.vapa@gmail.com at the time of submission	

Four copies of the following documents:

		Tick (x)	Date	Version
4. Application form				
5. Research proposal				
6. Study instruments[2]	English			
	Sinhala			
	Tamil			

[1] In case the answer is 'Yes' for any question below, you will be required to submit more information:
a. Are the participants unable to give informed consent (e.g. children)?
b. By giving information, is the participant at risk of criminal prosecution (e.g. by providing information on drug abuse or child abuse)?
c. Does the research involve the deception of participants?
d. Does your research raise issues relevant to the National Security?

[2] If the target population of the study is are English only speakers, you are required to submit only the English version; if the target population are Sinhala only speakers, you are required to submit only the Sinhala version; if the target population are Tamil only speakers, you are required to submit both the Tamil and English versions; and in case of bilingual speakers, you need to submit the applicable different versions (please note that if Tamil language is in the combination, it is necessary to submit an English version).

7. Information sheet[2]	English			
	Sinhala			
	Tamil			
8. Informed consent form[2]	English			
	Sinhala			
	Tamil			
9. Advertisement for recruitment				

PART A: CONTACT DETAILS AND PROJECT DESCRIPTION

Contact details:	
1. Supervisor (if student research) (give title and full name with qulalifications)	
2. Name of the applicant	
3. Postgraduate degree programme	
4. Address for correspondence	
5. E-mail address and contact number/s	
6. Name and status of others taking part in the project (e.g. postdoctoral fellows, research assistants, etc.)	

Project description:	
8. Title of research project	
9. List of location(s) where project will be conducted	
10. Does your research involve overseas fieldwork or travel?	Yes ☐ No ☐
11. Anticipated duration of overall research project	months or years
12. a) Anticipated start and end dates of the part of the research project involving human participants and/or personal data	From: dd/ mm/ yy To: dd/ mm/ yy
12. b) In the case of international or collaborative research, will you submit or have you submitted this project for ethical review or consideration elsewhere (e.g. collaborator's/local Research Ethics Committee , or other local approval)?	Yes ☐ No ☐ If 'Yes', please attach ethics or other approvals and give more details below. If 'No', please explain your reasons below.
Please supply further details in response to question 12b here	

13. **External** organization funding the research (if applicable)	

14. a) Title and brief description of research (about 200 words) in lay language. When describing the research, include your methodology, how you are applying professional guidelines, and the use to which results/data will be put. **Please also declare any conflicts of interest here.**

Title:

General Objective/s:

Spesific Objective/s:

Significance/s:

Conflict of interest (if any):
Will the researcher(s), members of the research team, and/or their partners or immediate family members: receive any personal benefits (e.g., financial benefit such as remuneration, intellectual property rights, rights of employment, consultancies, board membership, share ownership, stock options, etc.) as a result of or in connection with this study?
☐ Yes ☐ No

If Yes, please describe the benefits below. (Do not include conference and travel expense coverage, or other benefits which are considered standard for the conduct of research.)

14. b) Description of participants and how you will obtain informed consent to take part in the research
(about 200 words in total)

1. Description of participants **and** your criteria for inclusion/exclusion
2. Your method(s) of recruitment
3. Your processes for obtaining consent from participants

15. If you cannot obtain informed consent from participants according to good practice in your discipline, please give a brief explanation and justification of this decision below.

16. What are the ethical issues connected with your research and what steps have you taken to address them? **Please do not answer 'none'.** We need to see evidence that you have identified potential ethical issues with respect to your research and have taken steps to address them. If applicable, please address:

- Participant burdens and/or risks

(i)	Physical risks (e.g., any bodily contact or administration of any substance):
(ii)	Psychological/emotional risks (feeling uncomfortable, embarrassed, upset):
(iii)	Social risks (e.g., loss of status, privacy and/or reputation)
(iv)	Legal risks (e.g., apprehension or arrest, subpoena):

- Your own physical and psychological safety as a researcher or of fieldworkers you may employ

- Data protection/ confidentiality (also see Section 18).

Discuss other ethical issues here

17. Will your research involve discussing sensitive issues? This could be information relating to race or ethnic origin, political opinions, religious beliefs, physical/mental health, trade union membership, sexual life or criminal activities.	Yes ☐	No ☐

If you answered 'Yes', make sure you include some supporting information above, showing the range of questions covering these issues.

18. Management and handling of personal and other research data

All information provided by participants is considered **research data** for the purpose of this form. Any research data from which participants can be identified is known as personal data; Management of personal data, either directly or via a third party, need to comply with the data protection laws and regulations.

a.) **Please mark 'X' against the data you will collect for your research**
Consent records (written consent forms, audio-recorded consent, assent forms (for research involving minors) including participant name
Online consent (may be anonymous)
Opt-out forms
Contact details for research purposes only (destroyed when no longer needed for this research)
Contact details kept for future studies
Audio recordings (preferably using PIN-protected audio recorder and stored on device's hard drive)
Video recordings
Transcript of audio/video recordings
Photographs
Task results (e.g. paper/online tasks, diary completion)
Questionnaire answers
Field notes
Other (please specify below)
b.) For **each** of the types of data selected above, state how this will be physically transferred from where it is collected to a local secure storage site (and backed up as necessary). This includes paper records and data captured electronically.
c.) How and where will **each type of data** be stored during the research (until the end of all participant involvement)? Describe the arrangements for ensuring confidentiality, i.e. location of storage (e.g. Google Drive, SharePoint), security arrangements and de-identification of such data. Do not store unencrypted data in freely available cloud services or unprotected USB drives.
d.) Will you use a unique participant number on research data instead of a participant name? If **yes,** state whether or not you will retain a list of participant names against numbers (i.e. pseudonymisation via a linkage list). Where will the list be stored, and when will it be destroyed?

e.) Who will have access to the research data?		
f.) If research data is to be shared with another organization, how will it be transferred / disclosed securely?		
g.) When and how will identifiable data (including audio/video recordings & photos) be destroyed or deleted? **Note:** Records of consent should be retained for a **minimum of three years after publication or public release**. Some funders may require longer periods. If you wish to retain contact details in order to re-approach participants about future studies, you must detail this in information provided to them and obtain specific consent for this.		
h.) Please confirm that you will store **other research data** safely for at least 3 years after final publication or public release and adhere to any additional research funder policies. For more information about the University policies, please see the University's web pages on research data management.	Yes	No
If '**Yes'**, please give details of who will store the data and on storage format, location and security. If **'No',** please provide further details below.		
i.) Does your research involve the use of secondary (i.e. previously collected) data? Common sources of secondary data include censuses, information collected by government departments, organisational records and data that was originally collected for other research purposes (If "**No**", please go to section **19**.)	Yes	No
j.) Do you have data access agreements for the use of this secondary data? (If so, please attach these.)	Yes	No
k.) Is your use of this secondary data compatible with what data subjects/participants agreed that their data should be used for?	Yes	No
l.) Could this data be linked back to an individual or individuals? If yes, address how securely any personally identifiable data will be transferred to you, and where and for how long it will be stored during or after the research. Who will have access to it?	Yes	No
19. Benefits		
Describe any potential direct benefits to participants from their involvement in the project: • Describe any potential direct benefits to the community (e.g., capacity building)		

• Comment on the potential benefits to the scientific/scholarly community or society that would justify invo lvement of participants in this study
20. Compensation
20.1 Will participants receive compensation for participation? - Financial Yes No - In-kind Yes No 20.2 If Yes, please provide details and justification for the amount or the value of the compensation offered. 20.3 If No, please explain why compensation is not possible or appropriate. 20.4 If participants choose to withdraw, how will compensation be affected?
21. Publication and dissemination of research data

How will you disseminate and feedback project outcomes at the end of the research?	

PART B: METHODS AND PROCEDURES TO BE USED

1. **Study design**: Please clearly state the study design for all phases of your research project.

2. **Methodology:** Please give a brief description of the methodology for all phases of the project (you may include flow charts whenever required to improve clarity)

3. Method used: Please ensure you have addressed any potential ethical issues related to these methods in Section 14 and in your Participant Information Sheet	**Please mark 'X'**
1. Analysis of existing records	
2. Snowball sampling (recruiting through contacts of existing participants)	
3. Use of casual or local workers e.g. interpreters	
4. Participant observation	
5. Covert observation	
6. Observation of specific organisational practices	
7. Participant completes questionnaire in hard copy	
8. Participant completes online questionnaire or other online task	

9. Using social media	
10. Participant performs paper and pencil task	
11. Participant performs verbal or aural task (e.g. for linguistic study)	
12. Focus group	
13. Interview	
14. Audio recording of participant (you will generally need specific consent from participants for this)	
15. Video recording of participant (you will generally need specific consent from participants for this)	
16. Photography of participant (you will generally need specific consent from participants for this)	
17. Others (please specify below)	

SECTION C: PROFESSIONAL GUIDELINES AND TRAINING

1. In this section, please mark 'X' against following professional guidelines you may aim to adhere to. You should use the principles listed in your chosen guideline(s) in conducting your own research. **Note**: this is not an exhaustive list.		**Please mark 'X'**
Research specialism/ methodology	**Association and guidance document**	
Anthropology	Association of Social Anthropologists of the UK and Commonwealth	
Computer Sciences	ACM Code of Ethics and Professional Conduct	
Criminology	http://www.britsoccrim.org/ethics/	
Education	British Educational Research Association Ethical Guidelines for Educational Research	
Geography	Association of American Geographers Statement on Professional Ethics	
History	Oral History Society of the UK Ethical Guidelines	
Internet-based Research	British Psychological Society: Conducting Research on the Internet Association of Internet Researchers Ethics Guide ACM Code of Ethics and Professional Conduct Association of Internet Researchers (AoIR) Also see our Best Practice Guidance on internet-based research	
Law (Socio-Legal)	Socio-Legal Studies Association: Statement of Principles of Ethical Research	
Management	Academy of Management's Professional Code of Ethics	
Political Science	American Political Science Association (APSA) Guide to Professional Ethics in Political Science	
Politics	Political Studies Association. Guidelines for Good Professional Conduct	
Psychology	British Psychological Society Code of Ethics and Conduct	
Social Research	Social Research Association: Ethical Guidelines	
Sociology	The British Sociological Association: Statement of Ethical Practice	
Visual Research	ESRC National Centre for Research Methods Review Paper: Visual Ethics: Ethical Issues in Visual Research	
Other professional guidelines. Please specify the other guidelines used here*:*		

2. Please indicate what training in research ethics (or research methodology) the researchers involved with this study have received, e.g. the title of the course and date completed, or discussions between researchers and supervisors, if applicable.

SECTION D: SIGNATURES AND ENDORSEMENTS

1. Applicant's signature

As the principal investigator on this project, my signature confirms that I will ensure that all procedures performed under the research will be conducted in accordance with all relevant national and international policies and regulations that govern research on this selected area. I understand that if there is any significant deviation from the project as originally approved I must submit an amendment to the Research Ethics Committee for approval prior to its implementation. I have submitted all significant previous decisions by this or any other Research Ethics Committee and/or regulatory authorities relevant for the proposed study. I declare that I am not seeking approval for a study that has already commenced or has already been completed. I understand that a reasonable time is required for ethics review and granting of ethics clearance. I will submit progress reports/reports of adverse events and side effects as requested by the FGS of UVPA.

Signature of the applicant: ……

Name: …….. **Date**: ……...

2. Internal Supervisor's signature

As the internal supervisor on this research project, my signature testifies that I have reviewed and approved the scholarly merit of the research project and this ethics protocol submission. I will provide the necessary supervision to the student researcher throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with the University, provincial and national policies and regulations that govern research on this selected area. This includes ensuring that the level of risk inherent to the project is managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the supervisor.

Signature of internal supervisor: ……..

Name: ……..... **Date**: ……...

2. External Supervisor's signature

As the external supervisor on this research project, my signature testifies that I have reviewed and approved the scholarly merit of the research project and this ethics protocol submission. I will provide the necessary supervision to the student researcher throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with the University, provincial and national policies and regulations that govern research on this selected area. This includes ensuring that the level of risk inherent to the project is managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the supervisor.

Signature of external supervisor: ……..

Name: ……..... **Date**: ……...