



SCHOOL OF SOCIAL SCIENCE

Application Form for Ethical Clearance for Research Involving Human Participants

For review by School of Social Science Ethical Review Panel
For Undergraduate and Postgraduate Student Research up to and including PhD

Instructions

As part of the design process of any research involving human subjects, all researchers must pay careful consideration to their ethical obligation to conduct research that protects the welfare and the rights of all human participants. This requires researchers to familiarise themselves with the national codes of ethical research as outlined by the National Health and Medical Research Council (NHMRC) and to subject all research involving humans to ethical review by an appropriate ethics committee.

The University of Queensland operates a peak ethical review committee, the Human Experimentation Ethics Review Committee (HEERC), and two ethics sub-committees, the Behavioural and Social Sciences Ethical Review Committee (BSSERC), and the Medical Research Ethics Committee (MREC). Most, but not all, social science applications are considered by the BSSERC. These three institutional ethics committees are duly constituted under the Australian Human Ethics Committee (AHEC) which is a committee of the NHMRC.

In order to expedite the process of ethical review for students up to the level of, and including, PhD, the School of Social Science has been designated under the AHEC to review ethical protocols for research that does not constitute a risk to human subjects beyond the normal risk of everyday living, and that does not involve groups considered especially vulnerable. School committees are not constituted under, or registered with, the Australian Human Ethics Committee to approve ethical procedures that involve a risk above the risk of everyday living. Protocols involving a higher risk will properly fall within the jurisdiction of the BSSERC. These may include research involving:

- Vulnerable groups, such as people with an intellectual or mental impairment
- Children and young people under the age of 18 (in addition, a Blue Card is required)
- Persons who are highly dependent upon medical care
- Persons in dependent or unequal relationships (such as patients and health care experts, teachers and pupils, employees and their employers or supervisors)
- People who may be involved in illegal activities
- Aboriginal and Torres Strait Islander peoples, as well as other distinct ethnic and cultural groups
- People in other countries
- Socially isolated or marginalised groups.

If the school committee considers the risk to be above the prescribed level, or considers it prudent in the circumstances for an institutional ethics committee to review the protocol (for example, because the research is of a particularly sensitive nature or the study population is a particularly vulnerable group), then the application may be referred to the appropriate institutional committee (such as the BSSERC). Alternatively, the school committee may require the protocol to be amended in order to reduce the risk to within the threshold level.

Application Process

Students seeking ethical clearance for their research proposals should undertake the following procedures:

- Consult their academic advisors in preparing their ethics application and ask their supervisor to complete and sign the declarations.
- Familiarise themselves with the NHMRC's national statement on ethical conduct in research involving humans (<http://www.nhmrc.gov.au/files/nhmrc/file/publications/synopses/e72-jul09.pdf>) and the UQ Guidelines / Interpretation of the National Statement (http://www.uq.edu.au/research/rtrtd/files/human/uq_interpretations_national_statement.rtf).
- Download an ethical review application form from the School website and, working with their advisor, provide a detailed response to each question
- Prepare the necessary ancillary material including, where necessary, written consent forms, research information sheets, questionnaires and letters to relevant gatekeepers. Ensure the relevant University of Queensland ethical paragraph is included on all information sheets and other documents provided to research participants
- Submit an electronic application form, along with a fieldwork plan and risk assessment form, to your Principal Supervisor for final review, who will in turn submit it to the RHD Administration Officer, by emailing pgsocialscience@uq.edu.au.
- In cases where ethics applications are submitted directly to BSSERC, you are required lodge a copy of your application with the School and provide us with a copy of your ethical clearance certificate once approval has been granted
- Any changes to the originally approved research protocol, including amendments to participants, recruitment techniques and methods, need to be resubmitted for approval on an Amendment to Approved Proposals form available at: http://socialscience.uq.edu.au/forms/amendments_ethical_review.rtf.

Your application will then be forwarded to the Chair of the School Research Committee, Professor Janeen Baxter, for approval. In cases where the risk for research participants is considered to be above the prescribed level, you will be asked to either resubmit your application to the BSSERC or to consider revising your project in order to reduce the risk to within the threshold level.

Timeframe

Please note that a full review through BSSERC can take a minimum of eight weeks while expedited reviews undertaken by the School can take a minimum of two weeks. It is common for the School Ethics Review Panel to request that students revise and resubmit their applications to address a particular issue of concern. Data collection from human participants cannot commence until ethical approval has been granted.

Students should also be advised that, due to staff research activities and absences, any ethics applications submitted during non-teaching periods are likely to take longer to review.

Further information

The National Health and Medical Research Council has prepared a *National Statement on Ethical Conduct in Research Involving Humans* (2007), setting out national standards for the ethical design, review and conduct of human research. The statement is available at:

http://www.nhmrc.gov.au/files_nhmrc/file/publications/synopses/e72-jul09.pdf.

To speak to an ethics officer, please contact the following:

Dr Walter Forrest
Ethics Officer, Research Committee
School of Social Science
The University of Queensland
Tel: 3365 2871
Email: w.forrest@uq.edu.au

Michael Tse
Human Ethics Officer
Research and Research Training Division
The University of Queensland
Tel: 3365 3924
Email: humanethics@research.uq.edu.au

SUPERVISOR DECLARATION

(To be completed and signed by principal supervisor once all sections of the ethics application form and associated documents have been completed and read by the supervisor)

I confirm that I have read and approved all sections of this ethics application and associated documents.

I confirm that this application has been submitted to the Ethics Panel at least 4 weeks prior to commencement of fieldwork.

I confirm that I am not aware of any additional ethical issues associated with this research other than those detailed in this form and associated documents.

I confirm that I have procedures in place to closely monitor the research process and will be in regular contact with the student throughout all stages of the research.

Name _____
(Principal Supervisor)

Signed _____

Date _____



THE UNIVERSITY OF QUEENSLAND

SCHOOL OF SOCIAL SCIENCE

CLEARANCE NO^o
(office use only)

Application Form for Ethical Clearance for Research Involving Human Participants

For review by School of Social Science Ethical Review Panel
For Undergraduate and Postgraduate Student Research up to and including PhD

Project Title:			
Project summary including aims and benefit (<100 words):			
Student Name:			
Student Number :			
Co-investigators (where applicable)			
Project Supervisor/s			
Other relevant authority (ie industry partner, project sponsor)			
	Telephone	Fax	Email
Contact details of principal investigator			
Contact details of supervisor			
Degree enrolled:			
If project funded, name of funding body:			
Project location		Project duration	
A. Is this submission identical or very similar to a previously approved protocol?			Yes <input type="checkbox"/> No <input type="checkbox"/>
If YES, please provide clearance no ^o and indicate whether identical or very similar:			
B. Does this submission hold other ethical clearance? If yes, please provide details.			Yes <input type="checkbox"/> No <input type="checkbox"/>
Note: Copies from other AHEC fully registered ethics committees must be attached. (circle)			

PLEASE ANSWER ALL OF THE FOLLOWING QUESTIONS

Please refer to the NHMRC National Guidelines when completing this form
http://www.nhmrc.gov.au/publications/synopses/_files/e72.pdf

1) Participation by vulnerable groups	
Does your research involve children, Aboriginal and Torres Strait Islander peoples, people with an intellectual disability, people highly dependent on medical care, people in dependent relationships, people in other countries, and collectivities with their own social structures linked by a common identity and or common customs? <div style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></div>	
If yes, what is the level of participation? Some participation likely <input type="checkbox"/> A focus of the study <input type="checkbox"/>	
Note: if vulnerable groups are a focus of the study, this application may not be suitable for review in the School of Social Science and should instead be submitted to BSSERC for faculty review.	
2) Please indicate what you think is the level of risk for prospective participants against the scale below	
Tick the most appropriate box. (Refer to the UQ Guidelines)	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Extreme Risk High Risk Some Risk Minimal Risk No Foreseeable Added Risk Above the Risks of Everyday Living
3) Provide details of procedures for establishing confidentiality and protecting privacy of participants or informants (<100 words).	
4) In what form will the data be collected	
Note: Tick the most appropriate box:	
(i) Identified <input type="checkbox"/> (ii) Potentially Identifiable <input type="checkbox"/> (iii) De-Identified <input type="checkbox"/>	
5) In what form will the data be stored and/or accessed:	
Note: Tick the most appropriate box:	
(i) Identified <input type="checkbox"/> (ii) Potentially Identifiable <input type="checkbox"/> (iii) De-Identified <input type="checkbox"/>	

6) Will data be stored in a locked cabinet or password protected computer?

Yes No

If no, give details

7) In no more than 200 words, please describe the participants or informants and how will they be recruited?

Note: Details of approximate number, age range, and male/female ratios are required.

8) In no more than 200 words, please give details of the research plan

Note: The committee needs sufficient information to put into context the ethical considerations listed in later questions.

9) Does the project involve any of the following possibilities? If YES, provide details and explain how risks will be minimised (Please attach a Risk Assessment Form to this application and discuss below any potential risks identified):

a) The possibility of physical stress/distress, or discomfort

1. to the participants:

Yes No

If yes, please explain below

2. to the researchers/data collectors:

Yes No

If yes, please explain below

[Empty box]

b) The possibility of psychological/mental stress/distress, or discomfort

1. to the participants:

Yes No

If yes, please explain below

[Empty box]

2. to the researchers/data collectors:

Yes No

If yes, please explain below

[Empty box]

c) The possibility of the researcher being harmed in any way from engaging in the research activity

Yes No

If yes, please explain below

[Empty box]

d) Deception of, or withholding information from, participants at ANY stage of the project

Yes No

If yes, please explain below

[Empty box]

e) Access to data held by a Commonwealth Department or Agency

Yes No

If yes, please explain below

[Empty box]

f) Access to data by bodies or people other than the investigators (eg, medical records)

Yes No

If yes, please explain below

[Empty box]

10) How has the possibility of withdrawal from the project been addressed (50 words)?

Note: Ensure that details and effects of withdrawal without prejudice at any time have been considered and explained.

11) Please note that this section must be completed for funded research or the application will not be processed.

a) Is this project receiving financial support to conduct the research? **Yes** **No**

b) If Yes, from what source(s)?

c) Provide details of any other "in kind" support for the project or direct or indirect payment to any investigator

d) Please provide details of participant reimbursement for their involvement in the project, if any
Note: This could be cash payment, food vouchers, free services, or movie passes, etc.

In undertaking this research do any "conflict of interest" issues arise? **Yes** **No**

If YES, please provide details.

Note: Conflict of Interest may arise, for example, because a researcher, or someone close to the researcher, stands to benefit financially from the research or the carrying out of the project or because inconsistent or incompatible obligations exist. Refer to Chapter 5.4 of the NHMRC National Statement.

ATTACHMENTS:

1) Participant Consent Form Yes No

Note: for examples of what should be included in a consent form, please consult page 12 of the UQ Guidelines for Ethical Review of Research Involving Humans. Also refer to "Checklist" below.

2) Participant Information Sheet Yes No

Note: for External Use, forms should be released on letterhead and contain University Ethical Paragraph.

Refer to UQ Guidelines and Ethics website, and "Checklist" below.

3) Questionnaire (if applicable) Yes No

4) Gatekeepers or Permission-Givers Yes No

Note: A 'gatekeeper' or 'permission-giver' is a person authorised to write a letter of authority and recognition from an organisation of any type involved with the research, which gives permission to the researcher for access to the population under the gatekeeper's or 'permission-giver's' authority.

5) Fieldwork Plan and Risk Assessment Form Yes No

6) Other - please specify _____

DECLARATION

We/I, the undersigned researcher(s) have read the University of Queensland's Guidelines for Ethical Review of Research Involving Humans - 2000 and agree to abide by them in the conduct of this research. It is understood that this includes the reporting and monitoring roles associated with the approval by the University of Queensland.

Signature of Principal

Investigator: _____

Date: / /

Signature of Supervisor (if applicable): _____

Date: / /

Applications should be submitted electronically to:
Postgraduate Administration Officer
School of Social Science
Email: pgsocialscience@uq.edu.au

Submission of Research Protocols for Human Ethical Clearance

APPLICATION CHECKLIST

This checklist is supplied for use as an additional means of ensuring all aspects of the proposed study have been considered and adequately detailed before submission to a reviewing Committee. A copy may be attached to the original application form for the reviewing Committee to support your submission.

Project Title:

Principal Investigator:

Participant Information Sheet

	YES	NO	IF NO, WHY?
1. Version for each participant group (if applicable)			
2. On letter-headed paper			
3. Full title of project			
4. Lay title of project (if applicable)			
5. Names, positions and affiliations of all investigators (including supervisor)			
6. Clear purpose of study			
7. Non-technical language			
8. Details of participation / procedures			
9. Duration of participation			
10. Location for participation			
11. Risks outlined and how managed			
12. Expected outcomes of research / direct benefits to participants			
13. What support if something goes wrong			
14. Freedom to withdraw without penalty			
15. Assurance of confidentiality			
16. Access to results			
17. Debriefing			
18. Reimbursement to participants			
19. Need for Witnesses (if applicable)			
20. Contact details for further questions			
21. Ethical clearance statement			

Participant Consent Form

	YES	NO	IF NO, WHY?
1. Version for each participant group (if applicable)			
2. Full title of project			
3. Lay title of project (if applicable)			
4. Names, positions and affiliations of all investigators			
5. Provision of space for full name of participant			
6. Written declaration of informed consent, eg, "I have read/"I understand..."			
7. Freedom to withdraw without penalty			
8. Assurance of confidentiality			
9. No benefit for participation			
10. Provision for signature of participant			
11. Provision for signature of guardian, relationship to participant and date			

University of Queensland Ethical Paragraphs

Expedited review

The following paragraph is to be incorporated into all information sheets and questionnaires given to participants involved in human research projects which have received or are applying for expedited review through the School of Social Science Ethical Review Panel at The University of Queensland:

This study adheres to the Guidelines of the ethical review process of The University of Queensland. Whilst you are free to discuss your participation in this study with project staff (contactable on), if you would like to speak to an officer of the University not involved in the study, you may contact Dr Richard Martin, the Ethics Officer on 3365 3059 .

Sample Declaration for Informed Consent Form

The following paragraph, or similar, should be included on the informed consent sheet as part of the participant's declaration that informed consent has been granted:

I hereby agree to be involved in the above research project as a participant. I have read the research information sheet pertaining to this research project and understand the nature of the research and my role in it.