**ALIA Research Grant: Ethics Application Form**

This form should be completed by ALIA research grant holders. Research may not commence without written notification of approval.

If you have Ethics Approval from another institution, you are required to provide relevant details (see below). In most cases, you will not be required to obtain Ethics Approval from ALIA.

Please complete this document, sign (electronic signature accepted), and return to [awards@alia.org.au](mailto:awards@alia.org.au).

Please note that if your application involving humans is not classed as low risk (see Requirements and Guidelines document for definition) you will need to complete another form. Please advise ALIA if this is the case.

This form has three sections:

SECTTION 1: Form (to be completed by applicant)

SECTION 2: Ethical issues checklist for research involving humans (to be completed by applicant)

SECTION 3: To be completed by ALIA research ethics coordinator/reviewer

**SECTION 1: Form (to be completed by applicant)**

**1. Investigator name(s)**

|  |  |
| --- | --- |
| Name(s) |  |
| Phone |  |
| Email |  |
| Mailing address |  |

**2. Project title**

Plain English summary of project (100 words or less):

|  |
| --- |
|  |

**3. Do you have ethics approval from another organisation or institution?**

Yes/No (delete as applicable)

If yes, please provide organisation/institution name and Ethics Approval number, or details of the Approval.

|  |
| --- |
|  |

Please attach relevant documents such as a copy of approval, the Information Sheet and Informed Consent form.

\*\*If you are able to provide details of existing Ethics approval, you do not need to complete the rest of this Application. Please sign and date at the end of this document. ALIA’s representative will confirm in writing that your existing ethics approval is sufficient.

**4. Aims of project** (100 words or less)

|  |
| --- |
|  |

**5. Project type** (delete as applicable)

|  |  |
| --- | --- |
| Funded research | Yes/No |
| If yes, please state source of funds |
| Unfunded research | Yes/No |
| Project as part of a degree  *e.g. Undergraduate, Honours, Coursework Master’s degree* | Yes/No  If yes, please give name of degree, institution and supervisor |

**6. Participant recruitment**

Procedures follow guidelines as stated in the [National Statement](http://www.nhmrc.gov.au/publications/synopses/e72syn.htm) and briefly covered in the Requirements and Guidelines for Ethics document.

**7. Participant sampling**

Describe the population from which participants/sample will be recruited/and how they are to be recruited:

|  |
| --- |
|  |

**8. Participant data** (delete as applicable)

|  |  |
| --- | --- |
| Identifiable | Yes/No |
| Re-identifiable eg linked code | Yes/No |
| Non-identifiable | Yes/No |

**9. Sources of data** (delete as applicable)

|  |  |
| --- | --- |
| Directly from individuals | Yes/No |
| Private organisation | Yes/No |
| Government organisation | Yes/No |
| Other source (please specify) |  |

**10. Data collection method(s)**

(eg observation, physical activity, interviews, survey)

|  |
| --- |
|  |

**11. Privacy and confidentiality** (delete as applicable)

|  |  |
| --- | --- |
| Please indicate where and how data will be stored | Data will be stored in a secure location (state where):  Data will be stored for (number of years): |
| Access to data will be restricted to project researchers | Yes/No |
| Data will only be used for purposes as described in the information sheet | Yes/No |
| Data will only be published in the format as stated in the information sheet | Yes/No |

**12. Information sheet** (delete as applicable)

|  |  |
| --- | --- |
| Participants will be given an information sheet written in plain, clear language which includes details of how they can withdraw from the project, should they wish | Yes/No |
| Information sheet will contain all items listed on the attached guidelines | Yes/No |

*Attach written justification if an Information sheet is not being used*

**13. Consent form** (delete as applicable)

|  |  |
| --- | --- |
| Consent form required | Yes/No |
| Participants sign a consent form | Yes/No |
| Participants consent verbally | Yes/No |
| Consent assumed if participants return a questionnaire | Yes/No |

**14. Attachments** (delete as applicable)

|  |  |
| --- | --- |
| Ethical issues checklist (see section 2) | Yes/No |
| Information sheet | Yes/No |
| Consent form | Yes/No |
| Instrument (eg survey) | Yes/No |
| Approval from any organisation | Yes/No |

Signature (electronic accepted):

Date:

End of Section 1

**SECTION 2: Ethical issues checklist for research involving humans**

The aim of ethical review of human research is to ensure that participants in research are not put at risk of harm, are not disadvantaged and are made aware that they may withdraw at any time without prejudice. Broadly, the process of ethical review concentrates on two main areas:

1. Gathering informed consent to participate in research projects
2. Protection of participant privacy and confidentiality of records

In the following sections you are asked to answer a number of questions in order to identify any ethical considerations that may arise from your proposed research. The following checklist is designed to alert you to the major types of ethical issues in your research. **If you answer YES to any of these questions, be sure to explain and clarify the issue elsewhere in the document, or attach in a supplementary document.**

**A: Informed consent**

Researchers should ensure that individuals are not directly or indirectly pressured or coerced into participation through unequal power relationships or payments or inducements. The use of deception in any form in a research protocol has the potential to prevent the subject from giving consent that is truly well-informed. Does your research involve: (delete as applicable):

|  |  |
| --- | --- |
| Processes that potentially exclude and/or disadvantage a person or group, such as the collection of information which may expose the person/group to discrimination or misrepresentation? | Yes/No |
| Collection or disclosure of personal information by a Commonwealth, State or Territory agency that might involve a breach of an Information Privacy Principle (as defined by the Commonwealth Privacy Act 1988 and the Australian Standard)? | Yes/No |
| Collection or disclosure of personal information by a private sector organisation [that might involve a breach of a National Privacy Principle (as defined by the Commonwealth Privacy Act 1988)]? | Yes/No |
| Payments or inducements, other than reasonable recompense, to participants for their participation? | Yes/No |
| Deception of the participants including concealment and covert observation? | Yes/No |

|  |  |
| --- | --- |
| Disclosure of the response outside the research which could place the participants at risk of criminal prosecution or civil liability or be damaging to their financial standing, employability, professional or personal relationships? | Yes/No |
| Any form of passive consent? | Yes/No |

**B: Risks to privacy and confidentiality**

The privacy of individuals and the confidentiality of data are both vital. The research must take special care to protect the privacy and confidentiality of subjects and the data obtained from them. Does your research involve: (delete as applicable):

|  |  |
| --- | --- |
| The participation of minors (under 18 years), other than in the observation of normal school activity? | Yes/No |
| Participants who are in a dependent situation, such as students or residents of an institution (such as a hospital, nursing home or prison or patients highly dependent on medical care), other than those who are being observed in their normal environment where such observation is considered innocuous? | Yes/No |
| Participants who may be unable to give or are incapable of giving informed consent? | Yes/No |
| The participation of Aboriginal or Torres Strait Islanders, or other peoples from identifiable cultural, ethnic or minority groups? | Yes/No |
| Use of database   1. Acquisition of data about organisations or individuals through any form of database at any stage of the research? [eg membership database, internet databases, open-source data sets, data repositories etc] 2. Organisations or individuals who are directly or indirectly identifiable by the researcher within the database? | A. Yes/No  B. Yes/No |

|  |  |
| --- | --- |
| Use of questionnaires or interviews which may be linked either directly (eg through recording of names) or indirectly (eg through a cross-linked code) to the individual/ participant/researcher at any stage of the research, including the obtaining of data? | Yes/No |
| Use of questionnaires, interviews, or procedures, irrespective of the recording of the individual’s identity, which might reasonably be expected to cause discomfort, embarrassment, or psychological or spiritual harm to the participants? | Yes/No |

Signature (electronic accepted):

Date:

*End of Section 2*

**SECTION 3: To be completed by ALIA research ethics coordinator/reviewer**

Project meets ethical requirements and is granted approval:

|  |  |
| --- | --- |
| Date from: |  |
| Date to: |  |

**OR**

Project requires amendment, to be resubmitted to reviewer for approval (attach list of amendments)

Summary of amendments required

|  |
| --- |
|  |

**OR**

Applicant instructed to seek approval for high risk project

|  |
| --- |
| Yes |

Name of reviewer:

Signature (electronic accepted):

Date:

**Checklist** (delete as applicable)

|  |  |
| --- | --- |
| Completed the attached checklist for reviewers | Yes/No |
| Applicant advised | Yes/No |

**Reviewer checklist** (delete as applicable)

|  |  |
| --- | --- |
| Information sheet in plain language appropriate to age/culture of participants | Yes/No |
| Consent form(s) | Yes/No |
| Consent form(s) and information sheet(s) allow INFORMED consent | Yes/No |
| Description of methods | Yes/No |
| Is it necessary to use humans to achieve the desired results? | Yes/No |
| Is it low risk? | Yes/No  If yes, is the risk justified?  Yes/No  If no, notify researcher that they must apply for high risk ethics approval. Notified:  Yes/No |
| Plain language statement | Yes/No |
| Contact details for researchers | Yes/No |
| Any special information needed? | Yes/No  If yes, is this identified and provided?  Yes/No |
| All parts of form completed | Yes/No |

Name of reviewer:

Signature (electronic accepted):

Date:

*End of Section 3*