University Teaching and Research Ethics Committee (UTREC)

Standard/Proportionate Review Filter

This form requires use of Microsoft Word desktop version (available via [IT Services](https://www.st-andrews.ac.uk/itsupport/o365/))

**Standard/proportionate review filter**

Please complete the filter questions - these determine whether your application will undergo standard review or proportionate review by your School ethics committee. If you are unsure which responses to select, please [contact your School ethics committee.](https://www.st-andrews.ac.uk/research/environment/committees/sec/)

For more information on the review process please visit the [Ethical review application webpage.](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/)

|  |  |  |
| --- | --- | --- |
| **Filter questions** | **Yes** | **No** |
| Will your research involve participants from any of the following groups:* Children under 16 years of age (18 in England)
* Protected adults
* NHS patients or staff
* Individuals engaged in criminal activity
* Individuals in custody, care homes, or other residential institutions
* Individuals impacted by a traumatic event such as war, displacement, acts of terrorism, abuse, discrimination, crime, disasters, life-changing illness or injury, bereavement
* Individuals where there is any doubt over their capacity for freely given consent such as through cognitive impairment, language barriers, legal status, terminal illness.
* Any other individuals where the researcher or SEC identifies a vulnerability that cannot be satisfactorily mitigated.
 |[ ] [ ]
| Will your research involve sensitive topics such as: * Criminal activity
* Traumatic experiences like those detailed above
* Self-identity i.e. gender, national, ethnic or racial identity
* Body image
* Mood or mental health conditions
 |[ ] [ ]
| Will your research involve collection, creation or inference of special category data. Special category data is identifiable data that is also:* personal data revealing racial or ethnic origin
* personal data revealing political opinions
* personal data revealing religious or philosophical beliefs
* personal data revealing trade union membership
* data concerning health
* data concerning a person’s sex life or sexual orientation
* genetic data
* biometric data (where this is used for identification)
 |[ ] [ ]
| Will your research involve collection, creation or inference of any other personal, confidential or sensitive data where you feel this might cause distress or that could cause harm should this data be intercepted? |[ ] [ ]
| Is there a risk that the research may result in participants becoming distressed? (For remote research, consider that this may be harder to monitor and whether participants will be able to access support) |[ ] [ ]
| Will your research involve the use of deception, the withholding of any information about the aims of the research or anything other than total transparency over your role as a researcher? |[ ] [ ]
| If you answered **YES** to **ANY** of the above, your application will undergo standard review by your SEC.  |  |  |
| If you answered **NO** to **ALL** of the above, your application will undergo proportionate review by your SEC. |  |  |

University Teaching and Research Ethics Committee (UTREC)

Ethical Amendment Application Form – Cover Sheet

Note: this page contains meta data about your research which is subject to audit and monitoring

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 Version 2021-22\_1.0

|  |  |
| --- | --- |
| Original approval code: |  |
| Original Project Title: |  |
| Amended Project Title: |  |
| Original researcher name(s): |  |
| Amended researcher name(s): |  |
| School/Unit: |  | Supervisor: |  |
| Email | email@st-andrews.ac.uk | Date Amendment Submitted | Click or tap to enter a date. |

|  |  |
| --- | --- |
| Undergraduate |[ ]  Staff |[ ]
| Postgraduate Research |[ ]  Postgraduate Taught |[ ]
| Module Co-ordinator on taught module |[ ]  Module Code |  |
|  |  |  |  |

| **Amended project description:** Please describe the amendment(s) to be made to the project, and the rationale for the amendment(s), in a lay-accessible narrative. (NOTE: if amendments to project description and/or ethical considerations are substantial, the SEC may require a new Ethical Application Form) *(900 characters for database reasons - using a font size of 11 or larger will help ensure you do not go over this limit)* (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)). |
| --- |
|  |
| **Amended ethical considerations:** Please indicate any ‘new’ ethical considerations or changes to the risk/benefit balance that would arise because of the amendment(s) described above. *(900 characters for database reasons - using a font size of 11 or larger will help ensure you do not go over this limit)* (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)). |
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| **SUMMARY OF KEY CHANGES** |
| Give a **very brief** summary of details from your original application and any key changes that have been made in this amendment. If no changes have been made to any of these items leave blank. |
|

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| With this amendment, will the research now involve any of the following (tick all that apply) | Face-to-face contact with participants |[ ]
|  | Remote or online contact with participants |[ ]
|  | No direct participants (i.e. secondary or archival data) |[ ]
|  | Engagement of fieldworkers, or similar, to collect data |[ ]
|  | Travel |[ ]

 |
|  | **Previous details (original application)** | **New details (this amendment)** |
| **Research aims or objectives** |  |  |
| **Participants** |  |  |
| **Location of research / research site / data source** |  |  |
| **Recruitment method** |  |  |
| **Consent method** |  |  |
| **Data collection method** |  |  |
| **Data Type** |  |  |
| **Storage, retention and destruction** |  |  |
| **Publication and sharing** |  |  |

| **DATA MANAGEMENT** |
| --- |
| Will this amendment involve any changes to the data management aspects of your project as described in the original application? (i.e. type and form of data and its secure collection, transfer, storage, access, sharing, retention and destruction). Check the [guidance on data management](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) (also see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)).If YES, describe these below | **Click to select** |
|  |

| **ETHICAL ISSUES** |
| --- |
| If you have not already done so in your original application, or if this has changed, please provide a clear, concise description of the risks and benefits of the research, making clear why you believe there is a favourable risk/benefit balance.Use sub-headings for structure where appropriate. If necessary, continue on a separate sheet. |
|  |
| Please provide a clear, concise statement of the ethical issues raised by the amendments to this project and provide details of how you will address these issues. This section should also provide full details of any amendments to research methodology. If necessary, continue on a separate sheet. (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)). |
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| **DECLARATIONS** |
| * I am aware of, understand and will enact my responsibilities as a researcher as detailed in:
	+ The University’s [Principles of Good Research Conduct](https://www.st-andrews.ac.uk/research/integrity-ethics/research-integrity/good-research-conduct/) policy and [ethical guidelines](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/)
	+ Any relevant professional guidelines (e.g. BPS, MRC, ASA)
	+ The University’s Policy and guidance on [Data Management and Protection](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)
* I am aware of the conditions of any funding associated with my work and will ensure that information given to my research participants is in line with those conditions.
* I understand that I must store the final completed copy of this form as part of my research project paperwork.
 | [ ] [ ] [ ] [ ] [ ]  |
| **Researcher signature** |  | **Date** | Click or tap to enter a date. |

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| **ADDITIONAL SECTION FOR STUDENT RESEARCHERS***Student researchers must not submit an ethical amendment application without first discussing it with their Supervisor, and the Supervisor reading and signing this form. Applications submitted without the below section completed by the Supervisor will be returned to the applicant.*  |
| **Supervisor Comment** |  |
| **I confirm that I have discussed the ethical implications of this project with the student applicant, that I have read this application, and that I approve its submission to the ethics committee for consideration** |
| **Supervisor signature** |  | **Date** | Click or tap to enter a date. |

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| **Submission guidance:** To submit your application, it must be sent to your [School Ethics contact](https://www.st-andrews.ac.uk/research/environment/committees/sec/):* Electronic form (.doc, .docx, .pdf) is the preferred submission format for Ethics Applications, as it allows for easy transferral of text to the database
* If you submit a scanned copy of a handwritten or typed form, or a hardcopy, please email your School Ethics administrator with a typed version of the Cover Sheet (first page).

**Signing the form:*** Creating an electronic signature is straightforward – sign a piece of blank paper, take a photo i.e. with a smartphone, copy and paste the image into the signature box and resize it as necessary
* If you or your supervisor wish to physically sign a hardcopy, please follow the guidance above on submission requirements
* If you/your supervisor choose to type a signature:
	+ staff: email the form to your School Ethics administrator from your @st-andrews.ac.uk email address to confirm your identity.
	+ students - email the form to your supervisor from your @st-andrews.ac.uk email address.
		- supervisor: add your name/ signature to the form and then forward it to the School Ethics administrator from your @st-andrews.ac.uk email address

Under **no circumstances** should this form, or supplementary documents, contain identifiable information about your participants i.e. completed consent forms. |

**Ethical Amendment Form – Document Checklist**

Please ensure that you have included copies of any of the documents listed below, if those documents are part of the project paperwork and have been amended, even if only slightly.

For online research, such as surveys, you may include relevant screenshots or excerpts of text instead of forms.

**If all relevant documents are not included, your amendment application will be returned without review.**

|  |  |
| --- | --- |
| Ethical Amendment Application Form  | **Click to select** |
| Amended advertisements (online/paper) | **Click to select** |
| Amended letters to parents/guardians/children | **Click to select** |
| Amended Participant Information Sheet | **Click to select** |
| Amended Participant Consent Form | **Click to select** |
| Amended Questionnaire/Survey (screenshot if online survey) | **Click to select** |
| Amended Semi/Structured interview questions/Focus Group guide | **Click to select** |
| Amended Participant Debriefing Form | **Click to select** |
| Amended Data Management Plan. If this exists, please email a copy to research-data@st-andrews.ac.uk  | **Click to select** |
| Amended external permissions: forms / emails / NHS approvals (in full) | **Click to select** |
| Amended DBS / PVG documents | **Click to select** |
| Amended security-sensitive research declaration | **Click to select** |
| Amended ethical funder approval | **Click to select** |

Please list below any other amended documents that are included with this amendment application:

|  |
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