



**APPLICATION FORM FOR ETHICAL REVIEW
University of Kelaniya**

APPLICATION PROCEDURE

Instructions for Research Candidates and the Respective Faculty/Staff members

Postgraduate Candidates: (MPhil, PhD and any other Research Degree)

Duly filled application form given below should be furnished by all research candidates attached to University of Kelaniya under the full guidance and purview of the respective supervisor. All candidates are expected to complete an Ethics Review Application Form prior to the commencement of the research or collecting any data after the enrolment as a Research Candidate.

Faculty/ Staff members: The Application form must be completed in full consultation with any supervisors/co-investigators/ research students/ prior to the commencement of the research or collecting any data.

This Application Form consists of Three Sections:

- SECTION A: GENRAL INFORMATION - CANDIDATE DETAILS**
- SECTION B: THE RESEARCH PROJECT - ETHICAL ISSUES**
- SECTION C: THE RESEARCH PROJECT - RISKS AND BENEFITS**

Candidate must complete the all three sections and attach the Research Proposal (according to the Guidelines provided by the Faculty of Graduate Studies).

For Office Use only		
Application No.		Date Received
ERC Submission for	Date	Decision
1.		
2.		
3.		
Names of Reviewers		
		Date forwarded
1.		
2.		
3.		

SECTION A – GENERAL INFORMATION- CANDIDATE DETAILS

1. TITLE OF THE RESEARCH PROJECT

Location of research (e.g. institutions, communities)	Date of Commencement of Research: Expected Date of Completion of Research:

2. INVESTIGATOR INFORMATION

a. Principal Investigator/ researcher (Should be the applicant of ethics approval):

Title (Rev./Dr./Mr./Mrs./Ms.)	Name:
Institution/ Department:	
Designation (Prof. Senior Lecturer, Research officer, student etc.)	
Mailing address:	
Phone:	Institutional e-mail:

b. Co-Investigators/ Co-researchers:

Are co-investigators/ co-researchers involved? Yes No

If Yes,

Co-Investigator 1	
Title: (Rev./Dr./Mr./Mrs./Ms.)	Name:
Institution/Department:	
Designation (Prof. Senior Lecturer, Research officer, student etc.)	
Mailing address:	
Phone:	e-mail:

Co-Investigator 2	
Title: (Rev./Dr./Mr./Mrs./Ms.)	Name:
Institution/Department:	
Designation (Prof. Senior Lecturer, Research officer, student etc.)	
Mailing address:	
Phone:	e-mail:

Please attach additional columns with the details of the co-investigators if necessary.

c. Alternate Contact (e.g., Research Coordinator):

Title:(Rev./Dr./Mr./Mrs./Ms.)	Name:
Phone:	e-mail:

3. Nature of the Research Project

3.1 Is the project for an academic degree? Yes No

3.2 If for an academic degree specify:

3.3 Nature of the study

- a. Science (Biological/ Physical)
- b. Social Science
- c. Humanities
- e. Language
- f. Education
- g. Commerce and Management
- h. Information Technology
- i. Other (Inter-disciplinary)

4. Advisor/s if any

Name of the advisor	
Phone (Mobile/ Home)	
E-mail	

SECTION B- RESEARCH PROJECT- ETHICAL ISSUES

Please provide answers to all of the following questions

INTRODUCTION

1. Provide a brief description of your research (Background of the study, aims & objectives, data collection, sampling, methodology, chronological/geographical distribution etc.) (At least 200 words) (Use additional sheets if necessary).

Sample Selection

2a. Who/what are the research subjects/ participants involved in your study? (e.g. Occupation, age range, gender, male/female ratio: plant species: artefacts: texts: manuscripts etc.,)

2b.i How will you contact your research participants? (e.g. Individual, through another organisation, internet, etc.)

and/or

2b.ii How will you get permission to access your research subjects (artefacts, archival materials, cultural objects etc.,)? (e.g. Site observation, museum/ gallery visits, laboratory/ archival investigation etc.,)

2c. Does the sample selection include disclosure of personal/object information (e.g., mailing list, names, contact details, location, collection details etc.) **from another party or organisation to the researchers?** Yes No

If YES, please provide details.

Note: Disclosure of personal information means that the particular information of another party or organisation, even if you use it for the purpose of seeking preliminary intention of using such data in your project, particular information must be ratified by each informant to whom the data relates to (except where the information is accessed through a public database which allows unrestricted access to its data and information). For example, organisations/ entities are not liable to provide any information about their employees/ clients/ members who might be the potential participants of the research project, without previously taken permission and the disclosure of information to the researchers.

3. COLLABORATIVE RESEARCH

3.1 List the collaborating Institutes/ Organizations/ participating entity/ entities (if any) and their role in your project

	Name of the Institution/Organization entity/ entities (if any)	Role of the Institution/Organization entity/ entities*				
		Recruitment	Lab Facilities	Logistics	Intellectual	Any other
1.						
2						
3						

* Please provide documentary evidence

3.2 Have you submitted this project for review by another ERC/ similar body in Sri Lanka/ overseas? Yes No

If yes, please specify

a.

Name and address of the reviewing authority	
Decision	
Date	

3.3 Give a brief description of the relevance of this study (e.g. New knowledge/ Scientific or Methodological knowledge/ policy planning/action research/ new approaches etc.) (about 200 words).

4. ETHICAL CONSIDERATIONS (Please specify the page No. of your research proposal relevant to each category- where applicable).

Note: For Science research involving animals and humans, please fill the relevant annex instead of 4a, and 4b).

4a. Provide a brief summary of the ethical considerations relating to the research. (e. g. confidentiality, informed consent/ ascent, vulnerability, plagiarism, and withdrawal etc.,)

4b. Provide a summary of procedures that you will apply to develop to address each of the ethical concerns identified in 4a above.

4c. Please attach evidence of ethical consideration where relevant (Information sheet, Permission letters, Institutional authorization, consent/ ascent forms etc.,)

5. INFORMED PARTICIPATION- AUTHENTICATION

5a. State how you will obtain the informed consent from your participants?

<input type="checkbox"/>	Verbally (Explain how you will obtain consent from non- literate participants: i.e. record their verbal consent)
<input type="checkbox"/>	In writing (Include consent form with your application)
<input type="checkbox"/>	Other (Please specify)

Check if it is not applicable

6. INFORMED PARTICIPATION- STORAGE AND TRANSPORTATION

You must be aware that all data, including those containing personal/confidential information that may help identifying a person or an object are well protected both at the point of storage and during transit. You must adhere to the relevant regulations/ordinances/guidelines/instructions governing privacy: e.g: Information Privacy Act, Privacy Act, Property rights, intellectual rights, copy rights or any other procedures/ guidelines that safeguard the privacy of a person, property, artefact, or an object).

Note: For Science research involving animals, skip 6a, 6b and 6c).

6a. How will you identify your participants/ subjects in your collected raw data?

- by name
- a code (Give details below).
- Anonymous

6b. How will you identify you participants/ subjects in your stored data

- name
- by a code
- Anonymous

6c. How will you identify you participants/ subjects in the contents of your report

- by name
- by organisation/ institution name
- by code (used in the stored data),
- by general description
- Other (please specify)

6d. Briefly explain how and where you will store your data and what measures you will take to ensure their security (i.e. Locked filing cabinets, laboratory cubicles, computer hard-drive protected by password/online storage/ encryption/application of code data system, etc.)

6e. Will you store/ transfer/ take the data into premises other than specified (i.e. home, consultant/s, specialist/s, analyst/s, a fieldwork location)? Yes No

If YES, what measures will you take to ensure the security of data?

6f. Do you expect to allow access to the data to the persons other than members specified in your project (i.e. technical assistant/s, clerical staff, transport assistants etc.,)? Yes No

If YES, please explain why these persons have access, and what provisions you have made arranged to ensure the confidentiality of data.

SECTION C: THE RESEARCH PROJECT - RISKS AND BENEFITS

1. RISK (Fill part V of the relevant annex for science research involving humans and animals)

1a. Indicate the level of risk affecting the prospective participants/ artefacts/ objects/ samples using the scale below according to your knowledge.

- Extreme risk
- High risk
- Some risk
- Minimal risk
- No foreseeable added risk above the risks of everyday life

Provide a brief justification for your grading

1b. Have you attached?	If 'no' briefly give reason ¹
1. Informed Consent Form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Research Information Sheet for Participants	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Inquiry Instrument ²	<input type="checkbox"/> Yes <input type="checkbox"/> No

2. Statement of Investigator

2a. I have reviewed the University's policy and guidelines on ethical research

Yes No

2b. In designing this research, I have paid particular attention to the ethical issues relevant to:

1. The procedures and protocols to be followed for this research

Yes No

2. The questionnaire/s, sampling to be applied in this research

Yes No Not applicable

3. The interviews (online or face to face) to be conducted for this research

Yes No Not applicable

4. The process of obtaining informed consent from participants

Yes No Not applicable

5. The process for safeguarding confidentiality and privacy

Yes No Not applicable

6. The means of providing feedback to participants

Yes No Not applicable

7. Other matters relevant to the ethical conduct of this research

Yes No Not applicable

I confirm that the proposed research meets the ethical requirements of the University of Kelaniya and that I have fully considered all foreseeable ethical implications of my research both intended and unintended.

Signature of the Candidate/ Investigator:

Date:

3. Statement of Principal Advisor

I have reviewed

1. The procedures and protocols to be followed for this research

Yes No

¹ The state of incompleteness of the task will not be accepted. i.e. "will be forwarded," "In the process," "in progress," "Have not completed as yet"

² Sample questionnaire, location etc.,)

2. The questionnaire/s, sampling to be applied in this research

Yes No Not applicable

3. The interviews (online or face to face) to be conducted for this research

Yes No Not applicable

4. The process of obtaining informed consent from participants

Yes No Not applicable

5. The process for safeguarding confidentiality and privacy

Yes No Not applicable

6. The means of providing feedback to participants

Yes No Not applicable

7. Other matters relevant to the ethical conduct of this research

Yes No Not applicable

I confirm that the proposed research project meets the ethical requirements of the University of Kelaniya and that this application adequately describes actual and potential ethical issues that might arise and how the candidate plans to coordinate with such issues.

Signature of Advisor/s:

Date:

Signature of Advisor/s:

Date: