

**AF/15-08/02.0**

**Memorandum**

**Suranaree University of Technology**

**Office of** **Tel/Fax.**

**Reference No. Date**

**Subject: HREC-SUT Submission Form for** **Social/Anthropological Studies**

**To** The Chair of the Human Research Ethics Committee

I, , a student at the school of , Institute of , Suranaree University of Technology, would like to submit a research proposal titled (in Thai ) for approval of ethics in human research. I have attached a copy of the following documents for your consideration:

|  |  |  |
| --- | --- | --- |
| Document List | Yes | No |
| 1. Protocol Form for Social/Anthropological Studies |  |  |
| 2. Thesis Proposal (In case of graduate students) |  |  |
| 3. Thesis Proposal Approval |  |  |
| 4. Principal Investigator’s and Thesis Advisor’s Curriculum Vitae in English |  |  |
| 5. Certificate of Participation in a Workshop for Ethics in Human Research |  |  |
| 6. Self-Assessment Form |  |  |
| 7. Conflict of Interest Form |  |  |
| 8. Participant Information Sheet |  |  |
| 9. Informed Consent Form |  |  |
| 10. Case Record Form (if any) |  |  |
| 11. Questionnaires for Students (Thai Version) |  |  |
| 12. Investigator’s Brochure (If Any) |  |  |
| 13. Others (Please specify) |  |  |

Thank you for your kind consideration.

|  |  |
| --- | --- |
| Signature……………………………...  ( ............................................................. )  Thesis advisor | Signature ……………………………...  (.................................................)  Principal investigator |
| (In case principal investigator is a student/resident) |  |
| Signature……………………………………….……….......... | |
| (……………………………..……….……………......…………….) | |
| Head of Department/Office or Dean of Faculty | |



**HRES-SUT’s submission Form for Ethics in Human Research for**

**Social/Anthropological studies**

The applicant must submit details for all the items below.

1. Research title: (in both Thai and English)

2. Principal investigator and affiliation: (in both Thai and English) Phone number ………………….

E-mail……………………

3. Co- investigator(s) and affiliation(s): (in both Thai and English)

4. Significance of problems to be studied (executive summary)

5. Objectives (Write clearly)

6. Concrete benefits of the project once completed.

7. Research methodology (Make a check mark (√) in the boxes where applicable. In case mixed methods are used, check both qualitative and quantitative methods used).

* a. Qualitative
* Phenomenology
* Ethnography/Anthropology
* Grounded Theory
* Case Study
* Narrative Approach
* Others (Please specify) ...................
* b. Quantitative
* Non-experimental Research
* Descriptive Research
* Observational Research
* Survey Research
* Correlational Research
* Predictive Research
* Causal-Comparative Research
* Experimental Research
* Pre-experimental Research
* Quasi-experimental Research
* True Experimental Research
* c. Action Research/ Participatory Action Research
* d. Research and Development
* Others (please specify) .........................................................

8. Methods of data collection and research tools (Please specify both data collection method and research tools as well as attaching documents relating to data collection).

* 1. Data collected by
* Self-response questionnaires (Responses made by the subjects)
* Interviews (Data recorded by the researcher/co-researcher)
* 2. In-depth interviews
* Interview questions
* 3. Focus Group Discussion
* Guidelines or issues for the discussions
* 4. Observation
* Participatory observation guidelines
* Non-Participatory observation guidelines
* 5. Others (Please specify both data collection methods and research tools) ........................

9. Background and review literature

- Rationale/research questions (summarized with references, not to exceed 2 pages)

10. Population/Target Groups

a. Please indicate population (quantitative study), target groups (qualitative study), number of subjects, and rationale for the sample size (quantitative study) and/or informants (qualitative study)

b. For quantitative studies: please demonstrate how the sample size is calculated, indicate sampling techniques, how subjects are divided into experimental and control groups (if applicable), and inclusion and exclusion criteria.

c. For qualitative studies: please indicate how informants are selected and their characteristics. If more than one data collection method is used, e.g., in-depth interviews and focus group discussions, please indicate how informants for both methods are selected as well as their characteristics.

d. Are the following vulnerable volunteers (who cannot make decisions in critical situations) used in the study?

No

Yes (Please make a check mark (√) where appropriate)

* Infants, children
* Pregnant women
* The elderly
* Patients with chronic diseases
* Those who cannot give consents on their own behalf.
* The disabled
* Prisoners, alien labors, the socially disadvantaged
* School pupils/students, subordinates
* Others (please specify) .........................................

If there are vulnerable subjects, 1) please state reasons why this group of subjects must be included in the study. 2) Please also suggest how you plan to protect these vulnerable subjects. ..................................................................................................................................................................................................

e. How are the volunteers approached? (Please indicate methods of contacting the people that the researcher would like to include in the research study. The methods should reflect respect for a person).

f. If there is compensation for the volunteers’ time or their travel expenses, please specify the amount and other details. If there are souvenirs, please indicate the details of the souvenirs and their prices. (The information given here must be the same as that in the Information Sheet).

11. What method is used in obtaining the volunteers’ consent? (Please specify clearly)

🞎 a. Signed written consent (as in the attached subject’s Information Sheet and Informed Consent Form)

🞎 b. Verbal consent (as in the attached subject’s Information Sheet)

1) The research study contains risk no greater than that the research subjects receive in carrying out their daily life because …………….., and does not involve treatment on the subjects that necessitates written consent from the subject (e.g., diagnostic examination and medical treatment)

2) Signing the informed consent form is the only information that link the identity of the subjects with the research study, and the major risk from the study can put the subjects in danger if their identity is revealed because…………………………………………………………………………….

\*\*\* In a situation like a pandemic when the research cannot travel to personally collect data, and when data is collected via phone calls or various forms of online communication, verbal consent is permitted. In this case the researcher must explain/read details in the Information Sheet to the people approached to be volunteers, ask them questions, and give sufficient time for decision making. Once the person agrees to join the study, he/she then gives verbal consent. The researcher is to record date, time, and place where the verbal consent is obtained.

🞎 c. By action, that is, anonymously completing a self-response questionnaire and returning the questionnaire to the researcher either or paper or online (Returning a questionnaire or responding to a questionnaire online is considered as giving consent by action).

🞎 d. Waiver of Informed Consent: please specify all the following 4 reasons.

1) The research study contains risks no greater than those the research subjects receive in their daily life because..........................................................................................................................................

2) Waiving the informed consent does not affect the subjects’ rights and well-being because........................................................................................................................................

3) The research study cannot be carried out if the informed consent is not waived because..............................................................................................................................................

4) Wil the research subjects be notified further about the research study and how will they receive the information?

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(If Item 11 e. has been chosen, please skip Item 12)

12. Explain the process of obtaining subject’s consent:

12.1) Who is the person who asks for consent? (In case the research is in a position to coerce the volunteers to join the study under undue influence, the research can personally explain the details of the study but should entrust others who understand the procedure of obtaining ethical consent to ask for consent on his behalf). .........................................................................................

12.2) When are the volunteers asked for consent? (Consents should be obtained after the study details have been explained, all of the volunteers’ questions have been answered, and sufficient time has been given for decision making). ..........................................................................................................................................................................

12.3) Where does the process of consent take place?

(1. Consider that the place provides privacy and keep the confidentiality of the subjects as well as convenience for the subjects asking questions about becoming a research subject for example, house or other places that are safe, provide privacy, and are convenient for the volunteers. 2. In case of multiple groups of volunteers, please indicate the place where consent is obtained that is appropriate for the status and role of each volunteer group).

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13. What are the direct benefits to the volunteers and/or benefits to the community involved in the study including community empowerment? (Please indicate direct benefits that the volunteers will receive. If there is no direct benefit, please indicate that the study bears no direct benefits to the volunteers, followed by benefits to the participating community, related organizations, and academic circles).

14. What are (if any) the negative/undesirable effects that may happen to the people or community involved in the study? For example,

a. Are there any risks (physical, mental, social, and economic) or inconveniences. What measures has the researcher planned to prevent any harmful effects or to remedy such harmful effects? (Causing volunteers to waste time or feel uneasy with interview questions, issues in focus group discussions, or being observed in both participatory or non-participatory observations, or attending other research activities e.g., an elderly being interviewed for a long time, is considered as one kind of risks).

b. In the case of effects on the community, how does the researcher plan to approach or consult with the community?

15. What method is used in protecting the volunteers’/community’s privacy and confidentiality?

(Please indicate the following details in the Information Sheet)

a. Privacy protection (e.g. using pseudonyms for volunteers or education institutes, not taking pictures or videotaping if photographs and videos are not necessary for data analysis, the Ethics Committee will not give its approval, If they are necessary, please give an explanation. In case where the volunteers are famous persons and the researcher needs to give their names, please prepare Information Sheet especially for these volunteers to notify them that their real names will be mentioned in the study, a journal article, or academic performance in other forms).

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b. Confidentiality protection

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16. Is the researcher involved with the research tool e.g., designed program, study syllabus, or product or service to be tasted?

🗌 Yes. Please specify the involvement ………………………………………………………………………………………

And Measure (s) that the researcher has planned to guard against the unreliability of data and undue risks to the volunteers is (are) ...................................................................................................................................

( For example, if the researcher is the owner of the product or service, the assessor of the outcome should be a person who Does not have a stake in the product or service ; if the researcher is course teacher, data from the volunteers must not have any influence on their academic performance ; or if the researcher is head of the office, data from the volunteers must not have any influence on their work performance.

🗌 No.

17. What are the budget details for this research study? What is the source of the budget for the research? (If the researcher’s private fund is used, there is no need to answer these two questions).

18. What is the length of time for this research study? Expected length of time for the research study is………. years………months.

19. Examination of the research methodology from the affiliated faculty

* The research proposal was approved by the research proposal committee for the faculty of ……………… on (date)………. (month)……………(year)………..
* The research proposal was approved by the thesis advisor on (date)…………(month)…………. (year)………..
* Others………………………….…………………………………………………………………

I hereby certify that the above information is truthful, and I fully and clearly understand every piece of the information given.

|  |  |
| --- | --- |
| Signature………………………………….…………. | Signature ………………………………….…… |
| (……………………………….…………) | (……………………………….……) |
| Project Advisor  In case the principal investigator is a student/resident | principal investigator |

Signature …………………………

(……………………………….)

Co-investigator

Signature ……………………………

(……………………………….)

Co-investigator

This protocol has been approved by the affiliated organization.

Signature ………………………………….………….……………

(……………………………….……………)

Chair, School of …………………………

Signature ………………………………….………….……………

(……………………………….……………)

Head, research department

Signature ………………………………….………….……………

(……………………………….……………)

Dean, Institute of……………………………………….