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|  | **ETHICS**  **APPLICATION FORM**  **(Staff and Research Students)**  Sept 2018 |



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| **PLEASE CHECK THE RELEVANT BOX**  *(NB. double click on the check box and select ‘checked’)*  MEMBER OF STAFF  RESEARCH STUDENT  (MPhil, PhD, EdD, PsychD)  EXTERNAL INVESTIGATOR  STUDENT (Other)\*\*  *If you are a transfer student or conducting collaborative research you may not need to complete this form: please see Section 2.2. of the Guidelines. \*\*If you are on a taught course you do not need to complete this form unless your project is worth more than 50% of your total credits or you have been asked to do so by your supervisor* | |
| **SECTION 1: PERSONAL DETAILS**  *Please complete the header with your name and Department* | |
| Name (lead): |  |
| Other investigators: |  |
| Correspondence address: |  |
| Telephone no: |  |
| Email:*(all correspondence will be sent by email unless otherwise requested)* |  |
| *FOR STUDENTS ONLY:* | |
| Programme of Study & Department: |  |
| Mode of study (full-time/part-time) |  |
| Director of Studies & Supervisor:  (If you are on a taught course please just give the name of your supervisor) | Director of Studies:  Supervisor: |
| *FOR EXTERNAL INVESTIGATORS ONLY (please see Section 4.5 of the Ethical Guidelines):* | |
| Name of Academic Assessor: |  |

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| **SECTION 2: PROJECT DETAILS** | |
| Title of project: | (Please include name of project on participant documentation if different) |
| Proposed start date (plus start data of actual data collection if different):  *Please note that approval can take some time. Please submit applications in a timely manner. Reasons should be given for late or retrospective submissions in order to secure approval.* | *(Applications should only be submitted retrospectively in exceptional circumstances. These will require the approval of the Chair of the Ethics Committee).* |
| Duration: |  |
| Purpose of the proposed investigation (500 words):  This section should include the material which concisely outlines the rationale for the project, i.e. why this study needs to be done. This should be done in a way that is both accessible and scholarly, i.e. have proper cited sources. Please use language that is easily understood by a non-academic/lay person. (Research Students – please do not just repeat the whole of your RBD2). | |
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| Outline of the project:  This section should include the details of the methods i.e. what will be done and how. Please start by giving a brief summary (one paragraph) including how many participants there are likely to be, where the research will take place and an indication of how long participation will take for each section (interviews, questionnaires etc.) and in total. Please also advise whether, for any questionnaires/scales being used, we have a current licence (if required), the researchers have the necessary training (if required) and whether any are clinical diagnostic scales. | |
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| Outline of the project (continued):  Please continue on extra sheets if necessary. |
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| Ethical issues raised by the project and how these will be addressed:  (Points that should be considered include: participants and consent; permissions from organisations involved; confidentiality and anonymity; whether any inclusion / exclusion criteria or special / vulnerable populations are involved (including under 18s); right to withdrawal; deception; potential risks to participants or researchers) |
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| **SECTION 3: RESEARCH INVOLVING PARTICIPANTS** |
| * You should download the Participant Consent Form template and amend as required * You should also attach any other information to be given to participants * You should consider carefully what information you provide to participants, e.g. scope of study, number of participants, duration of study, risks/benefits of the project. It is recommended that the participant has two copies of the consent form so they can retain one for information. * If images or anything else which might allow the identification of participants is to be publicly accessible (e.g. on the web), further written consent must be secured. A separate section regarding this should be included on the participant consent form. |
| Give details of 1) the method of recruitment, and 2) potential benefits or incentives to participants if any (include any financial benefits where appropriate).  *(NB: Please remember that written permission – or in some cases ethics approval – will have to be sought from any organisations where recruitment is carried out or posters placed (e.g. if you recruit in GP’s surgeries you will require NHS approval)* |
| **Research Training**:  If your research involves **human participants** please give details of Good Clinical Practice (GCP) Training:  Date Training Completed:  Expiry Date of Training:  Training Certificate is available on request: YES  NO  N/A  \* Further information on GCP Training available from UOR is listed on <https://www.roehampton.ac.uk/Research/Ethics/Ethics-Forms/>  You may also provide any other relevant training in the design or conduct of research, e.g. in the Clinical Trials Regulations, Consent or any other training appropriate to non-clinical research. |
| Will your research involve participants who are aged under 18?  YES  NO  Will you be approaching participants who might be considered to be vulnerable (please give details if not addressed elsewhere on this form)?  YES  NO  If you have answered Yes please refer to the Ethics Guidelines (especially section 3.4.j if your research involves participants who are aged under 18) and highlight the particular issues raised by working with these participants and how these issues have been addressed.    Is DBS clearance required for this research?  (Please note: if you are unsure whether this is required, please check with HR and advise us accordingly).  YES  NO  Details of DBS check (date, disclosure number, issuing organisation (University of Roehampton or another organisation if applicable) and place of issue).  If issued by another organisation please advise if you have registered this with the DBS Update Service and provide reference number and date. |

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| **SECTION 4: HEALTH AND SAFETY** |
| * You must download and complete 1) the Health & Safety Risk Assessment Form for Ethics Applications and 2) the Health & Safety Compliance Declaration for Ethics Applications (and 3) Overseas Background Information Form if applicable) and attach this to your application. * Please note that 1) and 2) are mandatory documents for all ethics applications. * You should be able to demonstrate that appropriate mechanisms are in place for the research to be carried out safely. * Please refer to the Roehampton Lone Working Policy if applicable, and also confirm that you will follow any Health & Safety procedures in the venues where the research is to take place. If necessary, the Health, Safety & Environment Office should be consulted before the application is submitted. * Please note that new or novel procedures may need to be reviewed by the Ethics Committee.   **Please give a brief overview of the main risks involved in the project and what will be done to mitigate against these**: |
| Will any of your project take place outside the UK?    YES  NO  **Country:**  If you have answered yes please refer to Section 4.2 of the Ethics Guidelines, complete the Overseas Background Information form and consult with the Health, Safety & Environment Office if necessary. Applicants should adhere to University Guidelines on Foreign Travel. If you are conducting research out of the UK but in your home country or the country in which you reside you should still complete this form.  PLEASE NOTE: it is your responsibility contact Finance Department regarding 1) travel assistance and medical cover, and 2) to submit an ATO (Authority to Travel Overseas).  **Translations:**  Please advise whether translations of participant facing documents are required, and, if so, please provide these (for student applications, these should be checked by your supervisor prior to submission)  YES  NO |
| Is this a clinical trial or a project which may involve abnormal risk to participants?  YES  NO  Will ‘human tissue’ samples need to be stored?  YES  NO  If you have answered Yes please contact the Ethics Officer who will be able to direct you to the appropriate member of staff dealing with this. Please also refer to Sections 3.3, 3.7 and 4.2 of the Ethics Guidelines.  Are blood/saliva samples to be taken?  YES  NO  If you have answered yes please ensure that full details of the procedures and disposal of the samples are included in your application, and that the participant consent form informs participants that the blood/saliva they have donated will be destroyed after analysis or upon withdrawal from the project. Please check and reference any Departmental Standard Operating Procedures (SOPs) regarding these procedures. |

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| **SECTION 5: PUBLICATION OF RESULTS** |
| How will you disseminate your findings? (e.g. publication) |
| How will you ensure the anonymity of your participants?  (Anonymity is the default position. If your participants do not wish to remain anonymous and thus waive their right to anonymity you must obtain their written consent – perhaps by adding a tick box to the consent form. Even in cases where anonymity has been waived, you must still ensure compliance with all relevant data protection policies and legislation) |

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| **SECTION 6: DATA PROTECTION** |
| Before completing this section of the form, you should read the [Data Protection and Storage Guidance for Researchers](http://www.roehampton.ac.uk/corporate-information/policies). It is the responsibility of researchers to ensure that they comply with the University’s policies and procedures regarding data protection.  All research data must also be processed in line with the University’s IT Policy, which states,  You must not, unless exempted through the University’s ethics procedures, create, download, store or transmit unlawful material, or material that is indecent, offensive, threatening or discriminatory or extremist. Following such approval, the University of Roehampton has procedures to enable staff and students to access and store downloaded research materials and data into a specially provisioned university secure safe storage area. |
| Questions relating to personal data processing: |
| Will the research project involve collecting, storing or processing personal data relating to research participants?  YES  NO  If yes, what types of personal data will be collected/stored/processed as part of the research project?    Will the research data be stored in line with the University’s [Record Retention Schedule](http://www.roehampton.ac.uk/corporate-information/information-compliance/records-management/) (anonymised data can be kept indefinitely)?      Will the research project result in any automated decision-making that is likely to result in significant or legal effects on the research participant?  YES  NO  If you have answered yes to this question, please contact the Research Office for advice.  Is your research subject to the data requirements of a third party e.g. the NHS/ funders/ Professional bodies?  YES  NO  If Yes have you read and familiarised yourself with their requirements?  YES  NO |
| All research participants should be provided with information about how their personal data will be used. The model Participant Consent Form has been designed to include the necessary information where personal data is collected directly from a research participant.  Questions relating to the information provided to research participants: |
| Is the research being sponsored by a commercial organisation or being conducted for commercial purposes?  YES  NO  If yes, please complete the following:  Identify the legitimate interest (normally the purpose of the project):  Consider whether the processing of personal data is necessary to meet those interests:  Determine whether those interests are outweighed by the rights and interests of the research participants:  Will personal data be supplied by any person or organisation other than the data subject (including where the researcher has brought research data with them upon starting employment at the University)?  YES  NO  If yes, please provide the name of the person/organisation responsible for collecting the personal data, and their contact details.    If yes, the research participant will need to be provided with information about how their personal data will be processed within 1 month of it being received, unless an exemption applies (see Section 13 of the [Guidance](http://www.roehampton.ac.uk/corporate-information/policies)). A template for this is available (Research Participant Information Sheet for Indirectly Collected or Re-Used Personal Data – available [here](https://www.roehampton.ac.uk/research/ethics/ethics-forms/)).  Will the project be making use of existing personal data captured as part of an earlier study?  YES  NO  If yes, the research participant will need to be provided with information about the new research project, unless an exemption applies (see Section 13 of the [Guidance](http://www.roehampton.ac.uk/corporate-information/policies)). A template for this is available. |
| Questions relating to personal data transfers: |
| Will the personal data be transferred to any party or organisation outside of the University?  YES  NO  If yes, please specify.    Are any of these third party recipients based outside of the UK or European Union?  YES  NO  If yes, you will need to ensure that you comply with Section 18 of the [Guidance](http://www.roehampton.ac.uk/corporate-information/policies). |
| All research data should be held securely. Researchers are expected to consider anonymising personal data, or where this would be impractical they are expected to use pseudonymisation as standard practice (see Section 16 of the [Guidance](http://www.roehampton.ac.uk/corporate-information/policies)).  Questions relating to personal data security: |
| How many research participants do you anticipate will be part of the research project?    Will you be storing your research data using University IT facilities (see Section 17 of the Guidance)?  YES  NO  If no, please specify the storage medium you intend to use.    Will the research project involve collecting, storing or processing special categories of personal data or criminal convictions relating to research participants (see Section 7 of the Guidance)?    YES  NO  Have you completed the University’s Data Protection training and read the [Data Protection and Storage Guidance for Researchers](http://www.roehampton.ac.uk/corporate-information/policies)? Please note that your application will not be processed if these have not been done.  YES  NO  Depending on the answers you have provided in this section, you may be required to complete a Data Protection Impact Assessment before the project can begin.  Is a Data Protection Impact Assessment required for your research (if Yes please submit along with this application)?  YES  NO  The ICO checklist relating to this and the DPIA document are at the link below:  <https://www.roehampton.ac.uk/research/ethics/ethics-forms/> |

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| **SECTION 7: EXTERNAL GUIDELINES, APPROVAL & FUNDING** |
| Please mention any relevant subject-specific ethics guidelines (e.g. from a professional society)? If so how will these inform your research process? |
| Has/will the project be submitted for approval to the ethics committee of any other organisation, e.g. NHS ethics approval (Please see Section 2.3, i) Ethics Guidelines) or another University if a collaborative project?    What is the outcome of this? |
| Is your project externally funded?  (Please note: you do not need to submit an ethics application or gain ethics approval for a project when applying for funding – this can be done when you receive confirmation that the application for funding has been successful)  YES  NO  If you have answered yes you must complete a P1 form and submit this to your Departmental Research Facilitator before you complete your ethics application.  Please state the name of the funding organisation/company below and provide any other relevant information:    Has your P1 form been approved by your Head of Department?  YES  NO |

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| **SECTION 8: CHECKLIST** | |
| Please read through the checklist and check the box to confirm:  *NB. this checklist is part of the Ethics Application and must be completed* |  |
| **Project Details** |  |
| Have you completed your personal details? (Section 1) | Yes |
| Have you outlined the project and ethical issues? (Section 2) | Yes |
| Have you described your project in laymen’s terms and avoided using too much technical jargon? | Yes |
| Have you focussed on the ethical issues and practical steps of carrying out the project rather than methodological arguments which are not relevant to this application? | Yes |
| **Working with Participants** |  |
| Have you completed details of how you intend to recruit participants and whether they will receive any reimbursement? (Section 3) | Yes |
| If you are working with under 18s or participants who might be considered to be vulnerable have you addressed the particular ethical issues involved in working with these participants? (Section 3) | Yes  NA |
| Have you amended the Participant Consent Form (Template) for your project? | Yes |
| Have you attached any other information to your form that may be needed for participants, e.g. Debriefing Letter, Information Sheet? | Yes |
| Have you attached any other participant-facing materials to your form, e.g. recruitment posters, questionnaire, interview questions? | Yes |
| Have you confirmed that the relevant permissions to recruit/carry out the project have or will be obtained? | Yes |
| If your project involves clinical trial/s, abnormal level of risk or working with animals have you read University Guidelines carefully? | Yes  NA |
| **Health and Safety** |  |
| If your project is taking place outside the UK have you noted on the form where the project will take place, read section 4.2 of the guidelines and completed an Overseas Background Information Form? | Yes  NA |
| If your project is taking place outside the UK, have you provided translations of participant facing documentation if required? | Yes  NA |
| Have you completed the Health & Safety Risk Assessment Form for Ethics Applications describing the risks associated with your project and how you will implement control measures to address these? | Yes |
| Have you completed and attached the Health & Safety Compliance Declaration for Ethics Applications? | Yes |
| If your project involves interviews in a participant’s home or lone-working have you considered the risks and control measures in the risk assessment? (E.g. advising a colleague/supervisor of the timings of visits, ringing before/after interview and developing a contingency plan if contact is not made)? | Yes |
| If your project involves clinical trial/s, abnormal level of risk, working overseas or working with animals, have you consulted with the Health, Safety & Environment Office in drawing up your risk assessment? | Yes  NA |
| If your project involves clinical trial/s, abnormal level of risk, working overseas or working with animals have you marked this clearly on the form (Section 4) and read sections 3.7 and 4.2 of the guidelines? | Yes  NA |
| If observing animals, have you mentioned the possibility of attack (bites/scratches) and precautions taken in respect of this? | Yes  NA |
| If working with animals, have you stated whether they are captive / wild / a captive group within a national park / a wild group within a national park etc. |  |

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| If working off site, have you confirmed that local health & safety guidelines and regulations will be complied with, and have you checked and referenced the University of Roehampton Lone Working Policy?  **Publication of Results** | Yes  NA |
| Have you described on the form how you will publish your findings? (Section 5) | Yes |
| Have you described how you will ensure the anonymity of your participants or asked your participants for explicit consent in your consent form to identify them in your research? | Yes |
| **Storage of Data** |  |
| Will you retain your research data in line with the University’s [Record Retention Schedule](http://www.roehampton.ac.uk/corporate-information/information-compliance/records-management/)? | Yes |
| If a transcription service is to be used, have you included a copy of the confidentiality agreement with your application? | Yes  NA |
| Have you described how and where your data will be stored at the University and how this will be kept secure in accordance with the General Data Protection Regulation, the Data Protection Act 2018, the University’s Data Protection Policy and Section 17 of the [Data Protection Guidance for Researchers](http://www.roehampton.ac.uk/corporate-information/policies)? (Section 6) | Yes |
| **External Guidelines & Funding** |  |
| Have you noted any relevant subject-specific ethics guidelines (e.g. from a professional society) and considered how these will inform your research? (Section 7) | Yes |
| Have you considered whether you need ethical approval from another organisation (e.g. NHS, another University)? (Section 7) | Yes  NA |
| Have you provided full details of any external funding and the approval stage of your P1 form (usually staff only)? (Section 7) | Yes  NA |
| **Applicant’s Confirmation** |  |
| Have you added an electronic signature or typed your name and date in the applicant’s signature box? | Yes |
| If you are a student has your supervisor checked your application form before submission? | Yes  NA |
| If you are a student has your Director of Studies checked your application form and added an electronic signature or typed their name and date on the form? | Yes  NA |
| Will you email the Ethics Officer and make sure you attach your Ethics Application and all documents, e.g. Participant Consent Form, Risk Assessment, Compliance Declaration and any additional information for participants or for other purposes? | Yes |
| **Presentation** |  |
| Have you completed the form using size 12 black font, using one font (e.g. Arial) throughout the form? | Yes |
| Have you proof-read your application form and attached documents? | Yes |
| **Ethics Approval Process** |  |
| Please note the following:   * the ethics approval process can take several weeks * that you must not begin your project, start data collection or enter into any agreement or contract until you have received email confirmation from the Ethics Officer of final ethics approval (confirming that all conditions have been met) * that the Ethics Application Form will be approved by your Department and the Ethics Committee may be asked to advise on problematic cases * that you may be asked by the Ethics Officer to make revisions to your form and you will be asked to make these revisions within two weeks. | Yes  Yes  Yes  Yes |

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| **SECTION 9: APPLICANT’S CONFIRMATION** | |
| *I confirm that the information supplied on this form is correct and confirm that the above checklist has been fully completed.* | |
| Applicant’s signature: | *Please use an electronic signature or type your name* |
| Date: |  |
| **FOR STUDENTS ONLY: DIRECTOR OF STUDIES SIGNATURE**  (Where there is not a Director of Studies this should be completed by the Academic Supervisor) | |
| *The Director of Studies is required to:*   * *scrutinise the Ethics Application and all participant-facing documentation* * *suggest and check any changes which need making before the form is submitted*   *Please tick the box to confirm that you have approved the application and participant-facing documentation* | |
| Signature: | *Please use an electronic signature or type your name* |
| Print name: |  |
| Date: |  |

The Application Form does **not** need to be printed out. The form and attachments should be sent by email to the Ethics Officer, Jan Harrison:

[Jan.Harrison@roehampton.ac.uk](mailto:Jan.Harrison@roehampton.ac.uk), 0208 392 5785

* Ethics Application Form
* Participant Consent Form
* Health & Safety Risk Assessment Form for Ethics Applications
* Health & Safety Compliance Declaration for Ethics Applications
* Any other information

(e.g. information sheet, advertising material, questionnaires, debriefing letter, overseas form)

***PLEASE NOTE: YOU MUST NOT BEGIN YOUR PROJECT OR START ANY DATA COLLECTION UNTIL YOUR ETHICS APPLICATION HAS BEEN GIVEN FINAL APPROVAL (CONFIRMING THAT ANY CONDITIONS HAVE BEEN MET).***