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| **UREC Form E2U (January 2019)**  **Committee Ref: UREC 19**  **UNIVERSITY RESEARCH ETHICS COMMITTEE**  APPLICATION FOR APPROVAL OF A PROJECT INVOLVING HUMAN PARTICIPANTS, DATA OR MATERIAL  **Registration No.** *(office use only)* |

This application form should be completed by Staff, MPhil/PhD and other professional doctoral researchers at

Oxford Brookes University and external researchers wishing to seek approval to recruit participants from the University.

Taught postgraduate and undergraduate students should seek approval via Faculty procedures: <https://www.brookes.ac.uk/Research/Research-ethics/Review/UG-Masters/>

Further details about the process, including deadline dates, templates for participant information sheets and consent forms are available at: <https://www.brookes.ac.uk/research/research-ethics/>

To ensure a high standard of research ethics review there is a limit of **12 applications** at each UREC meeting. Once this limit has been reached, applications will be held over to the next meeting date. A list of dates and deadlines are available at: <https://www.brookes.ac.uk/Research/Research-ethics/Review/Staff/University-research-ethics-committee#dates>

Applications must be completed on the form; answers in the form of attachments will not be accepted, except where indicated. Applicants should contact the appropriate Research Ethics Officer (REO) to establish procedures for ethics review in the Faculty: <https://www.brookes.ac.uk/Research/Research-ethics/Review/Research-ethics-officers/>

**Applicants must go through Faculty or Directorate procedures and applications must be signed off by the relevant Research Ethics Officer before being submitted to the University Research Ethics Committee.**

Once the application is complete and has been signed off by all parties (see page 2 of this form) it may then be submitted, along with the relevant accompanying documentation, to the UREC Administrator. **Please do not staple the original documents as they will be scanned for committee use.**

**Potential research participants must not be contacted until written approval has been received from the Committee**

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| --- | --- |
| **PROJECT TITLE:** |  |

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| **THIS PROJECT IS:** |  | **Staff Research Project** | |
| *(tick as many as apply)* |  | **Research Student Project**  Has your research degree programme already been approved by the relevant Research Degree sub-committee:  Yes No | |
|  |  | **Project by External Researcher**  *(please give details)* | |
|  | |  | Project by member of staff at another institution  (*please give details of Post and Institution, including address)* |
|  | |  | MPhil/PhD or professional doctorate student at another institution  (*please give details of Department and Institution, including address)* |
|  | |  | Masters student at another institution  (*please give details of Department and Institution, including address)* |

**RESEARCH TEAM:** *PhD and doctoral students SHOULD be listed after their supervisors. The Director of Studies should also be identified.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *TITLE & NAME* | *POST* | *DEPT & FACULTY / DIRECTORATE* | *PHONE* | *EMAIL* |
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**DECLARATION BY INVESTIGATORS**

The information contained herein is, to the best of my knowledge and belief, accurate. I have read the [University’s Code of Practice for Ethical Standards for Research Involving Human Participants](https://www.brookes.ac.uk/Documents/Research/Policies-and-codes-of-practice/ethics_codeofpractice/), and accept responsibility for the conduct of the procedures set out in the attached application in accordance with the University’s Procedures.

I and my co-investigators or supporting staff have the appropriate qualifications, experience and facilities to conduct the research set out in the attached application and to deal with any emergencies and contingencies related to the research that may arise.

**Signatures of the research team are required before submission to University Research Ethics Committee**

|  |  |  |  |
| --- | --- | --- | --- |
| Signature(s) of the Research Team: |  | Date | ....../....../………… |

# DECLARATION BY RESEARCH ETHICS OFFICER

|  |  |
| --- | --- |
| Date application received: | ....../......./………… |
| *DATE ETHICS REVIEW COMPLETED* | ....../......./………… |

*The Faculty/Directorate Research Ethics Officer or Committee has reviewed this project and considers the methodological/technical and research ethics aspects of the proposal to be appropriate to the tasks proposed and recommends approval of the project. The Faculty/Directorate REC or REO considers that the investigator(s) has/have the necessary qualifications, experience and facilities to conduct the research set out in the attached application, and to deal with any emergencies and contingencies that may arise.*

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| Comments/Provisos: |  | | |
| Signature of the  Research Ethics Officer |  | Date | ....../....../………… |

# university research ethics COMMITTEE USE ONLY

|  |  |
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| *Date application received:* | *....../....../…………* |
| *Date of meeting:* | *...../....../…………* |

**1. PROJECT DETAILS**

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| --- | --- | --- | --- | --- | --- |
| 1.1 | PROPOSED DURATION OF DATA COLLECTION COMPONENT OF PROJECT | From: |  | To: |  |

|  |  |
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| 1.2 | LAY DESCRIPTION, justification and aim of the research: Provide a brief outline of the project, including what participants will be required to do. This description must be in everyday language which is free from jargon. Please explain any technical terms or discipline-specific phrases and explain any acronyms or abbreviations. You should also state the aims and significance of the project and a justification as to why this research should proceed and an explanation of any expected benefits to the community. Please provide full references for any work referred to. (No more than 600 words): |
| 1.3 | PROPOSED METHOD: Provide an outline of the proposed method, including details of data collection techniques, tasks participants will be asked to do, the estimated time commitment involved, and how data will be analysed. If the project includes any procedure which is beyond already established and accepted techniques please include a description of it. (No more than 500 words): |
| 1.4 | **INVESTIGATORS’ RELEVANT RESEARCH EXPERIENCE AND SKILLS:** *List the relevant experience and outline the skills relevant to this project that the researchers, their supervisory team and any supporting staff have in carrying out the research and in dealing with any unexpected outcomes that may arise* (Please do not include links to profile pages or copies of CVs): |
| 1.5 | **Please explain when, how, where and to whom results will be disseminated,** *including whether participants will be provided with any information on the findings or outcomes of the study:* |
| 1.6 | **WILL THE RESEARCH BE UNDERTAKEN *ONLY* ON-SITE AT OXFORD BROOKES UNIVERSITY (including all campuses)?** |

|  |  |  |  |  |  |  |
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|  |  | **YES**, only on-site |  | **NO**, not only on-site |  | Overseas |
| *(****If NO****, give details of off-campus location, including other sites where research is being undertaken and other countries providing data):* | | | | | | |

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| **1.7** | **OTHER APPROVALS REQUIRED** |

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| **Has permission to conduct the research in, at or through another institution or organisation (e.g. a school or a business) been obtained?** | | | | |
|  |  | **YES** |  | **NOT APPLICABLE** |
| ***If YES****, please specify from whom and attach a copy:* | | | | |
| **Is clearance required from the Disclosure and Barring Service (DBS check)?**  (<https://www.brookes.ac.uk/human-resources/working-here/employment-policies/dbs-certificate-information/>) | | | | |
|  |  | **YES** |  | **NOT APPLICABLE** |
| *If Yes, confirm this has been undertaken by the Faculty / HR department:*  **Please note**: Due to the confidential nature of the DBS check, UREC does **not** require a copy of the application or certificate for DBS clearance and this should be stored securely by the researcher. | | | | |

# 2. PARTICIPANT DETAILS

# 2.1 DO YOU INTEND TO RECRUIT:

|  |  |  |
| --- | --- | --- |
|  | **YES** | **NO** |
| a) students or staff of this University (i.e. recruitment on-site at Brookes) |  |  |
| b) adults (over the age of 16 years and competent to give consent) |  |  |
| c) children/legal minors (anyone under the age of 16 years) |  |  |
| d) patients or clients of professionals |  |  |
| e) anyone who is in custody, custodial care, or for whom a court have assumed responsibility |  |  |
| f) any other person whose capacity to consent may be compromised |  |  |
| g) a member of an organisation where another individual may also need to give consent |  |  |

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| 2.2 | NUMBER, AGE RANGE AND SOURCE OF PARTICIPANTS  *Provide number, age range and source of participants and state any exclusion or inclusion criteria:* |
| 2.3 | MEANS BY WHICH PARTICIPANTS ARE TO BE RECRUITED  *Please provide specific details of how you will be recruiting participants. How will they be approached and asked if they are willing to participate?  Please explain how you have obtained or will obtain names and contact details. This information will need to be included in the participant information sheet. If a recruitment advertisement/poster is to be used, please ensure you attach a copy to this application:* |
| 2.4 | WILL PARTS OF THIS PROJECT BE CARRIED OUT BY INDEPENDENT CONTRACTORS? *(for example transcription of interviews)* |

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| --- | --- | --- | --- | --- |
|  |  | YES |  | NO |
| **If YES,** please explain who the independent contractors are, what their role will be and how their work will be monitored. Responsibility for proper conduct of the project remains with the lead researcher. The completion of the data compliance template may be required (<https://www.brookes.ac.uk/Documents/Research/Ethics/Confidentiality-template>) | | | | |

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| 2.5 | ARE ANY OF THE PARTICIPANTS IN A DEPENDENT RELATIONSHIP WITH ANY OF THE INVESTIGATORS, PARTICULARLY THOSE INVOLVED IN RECRUITING FOR OR CONDUCTING THE PROJECT?  Research involving persons in dependent or unequal relationships (for instance, teacher/student) may compromise a participant’s ability to give free consent. Therefore UREC recommends that, where possible, researchers choose participant cohorts where no dependent relationship exists. If, after due consideration, the investigator believes that research involving people in dependent relationships is justified, then UREC will require additional information detailing how risks inherent in the dependent relationship will be managed. UREC will also need to be reassured that refusal to take part will have no impact on a participant’s position or studies. |

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|  |  | YES |  | NO |
| **If YES,** please explain the relationship (e.g. teacher/student, student/lecturer, employer/employee) and the steps to be taken by the investigators to ensure that participation is purely voluntary: | | | | |
| 2.6 | PAYMENT OR INCENTIVES: Do you propose to pay or reward participants? | | | |
|  |  | YES |  | NO |
| **If YES**, what type of incentive and for how much? | | | | |

# 3. RISK AND RISK MANAGEMENT

|  |  |  |  |
| --- | --- | --- | --- |
| **3.1** | **DOES THE RESEARCH INVOLVE:** | **YES** | **NO** |
| 1. Accessing, using or downloading security sensitive material or activity?  **(If yes please complete section 3.2 below**) |  |  |
| 1. Research overseas? |  |  |
| 1. Use of a questionnaire or similar research instrument or measure? (attach copy) |  |  |
| 1. Use of written or computerised tests |  |  |
| 1. Interviews or focus groups? (attach interview questions) |  |  |
| 1. Diaries? (attach diary record form) |  |  |
| 1. Participant observation? |  |  |
| 1. Observation of participants (in a non-public place) without their knowledge? |  |  |
| 1. Wearable technology (e.g. bodyworn cameras, biometric devices etc.) |  |  |
| 1. Monitoring devices |  |  |
| 1. Audio-recording interviewees or events? |  |  |
| 1. Video-recording interviewees or events? |  |  |
| 1. Access to personal and/or confidential data (including student or client data) without the participant’s specific consent? |  |  |
| 1. Administration of any questions, tasks, investigations, procedures or stimuli which may be experienced by participants as physically or mentally painful, stressful or unpleasant during or after the research process? |  |  |
| 1. Performance of any acts which might diminish the self-esteem of participants or cause them to experience embarrassment, regret or depression? |  |  |
| 1. Investigation of participants involved in illegal activities? |  |  |
| 1. Procedures that involve deception of participants? |  |  |
| 1. Administration of any substance or agent? |  |  |
| 1. Collection of body tissues or fluid samples? (in line with the Human Tissue Act 2004) |  |  |
| 1. Collection and/or testing of DNA samples? (in line with Human Tissue Act 2004) |  |  |

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| **3.2** | **Security sensitive research or ACTIVITY:** | | | |
|  | *Security sensitive materials are defined here as materials that are covered by the Official Secrets Act 1989 and the Terrorism Act 2006, materials that could be considered ‘extremist’ according to the Counter Terrorism and Security Act 2015, defined as ‘vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs’, and materials that require security clearance before accessing.*  *The University guidelines and notification form are available at:* [*https://www.brookes.ac.uk/Research/Research-ethics/Review/Security-sensitive-research/*](https://www.brookes.ac.uk/Research/Research-ethics/Review/Security-sensitive-research/)  *If you are unsure whether or not your research falls into the security sensitive categories, please talk to your* [*Research Ethics Officer*](https://www.brookes.ac.uk/Research/Research-ethics/Review/Research-ethics-officers/) *before proceeding.* | | | |
|  |  | | **Yes** | **Not applicable** |
|  | If your research involves accessing, using, or downloading security sensitive material or activity, have you completed and attached the notification form (url given above). | |  |  |
| 3.3 | | POTENTIAL RISK TO PARTICIPANTS AND RISK MANAGEMENT PROCEDURES *Identify, as far as possible, potential risks to participants (e.g. physical, psychological, social, legal or economic), associated with the proposed research. Please explain what risk management procedures will be put in place:* | | |
| 3.3 | | **ARE THERE ANY SPECIFIC RISKS TO RESEARCHERS THAT ARE GREATER THAN THOSE ENCOUNTERED IN NORMAL DAY TO DAY LIFE?** (Where research is undertaken at an off-campus location, whether in the UK or abroad, researchers should consult the University guidelines regarding risk assessment. The Dean of Faculty or the Director has the overall responsibility for risk assessment regarding the health and safety of researchers. Useful advice for the safety of researchers is available on the Social Research Association website at: <http://the-sra.org.uk/sra_resources/safety-code/> or consult the guidelines of the relevant professional and/or academic organisation. | | |

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|  |  | YES |  | NO |
| ***If YES****, please describe:* | | | | |
| **3.4** | **ADVERSE / UNEXPECTED OUTCOMES**  *Please describe what measures you have in place in the event of any unexpected outcomes or adverse effects to participants arising from involvement in the project:* | | | |
| **3.5** | **DEBRIEFING, SUPPORT AND/OR FEEDBACK TO PARTICIPANTS (as appropriate)**  *What debriefing, support or feedback will participants receive following the study and when? Participants may need to talk about issues it has raised for them. The offer of additional support for participants during/after the study (e.g. external counseling may be advisable. How the results of the research will be disseminated to participants should be outlined).* | | | |
| **3.6** | MONITORING  *Please explain how the conduct of the study will be monitored, for example via your Associate Dean for Research and Knowledge Exchange or supervisory team, (especially where multiple people are involved) to ensure that it conforms with the University’s Code of Practice and any guidelines published by your professional association:* | | | |

# 4. INFORMED CONSENT

|  |  |
| --- | --- |
| 4.1 | HAVE YOU ATTACHED TO YOUR APPLICATION A COPY OF THE PARTICIPANT INFORMATION SHEET?  *Guidelines for drafting this are provided on the UREC web page at:* <https://www.brookes.ac.uk/Research/Research-ethics/Review/Guidelines-for-informed-consent/>. *Whenever possible, Oxford Brookes University letterhead or logo should be used for information sheets* |

|  |  |  |  |  |
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|  |  | YES |  | NO |
| **If NO**, please explain: | | | | |
| 4.2 | HAVE YOU ATTACHED TO YOUR APPLICATION A COPY OF THE CONSENT FORM? *if you are not obtaining consent in writing please explain how the informed consent process is to be documented. Guidelines for drafting this are provided on the UREC web page at* <https://www.brookes.ac.uk/Research/Research-ethics/Review/Guidelines-for-informed-consent/>. *Whenever possible, Oxford Brookes University letterhead or logo should be used for consent forms.*  Following the implementation of GDPR in May 2018, participants MUST give their active consent to take part. Opt-out consent is not an option. | | | | |

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|  |  | YES |  | NO |
|  |  |  |  | **If NO**, please explain how consent will be documented: |

# 5. DATA CONFIDENTIALITY / ANONYMITY AND PRIVACY

|  |  |  |  |
| --- | --- | --- | --- |
| **5.1** | **WILL THE RESEARCH INVOLVE:** | | |
|  | | **YES** | **NO** |
| 1. Complete anonymity of participants (i.e. researchers will not know the identity of participants as participants are part of a random sample)? | |  |  |
| 1. Anonymised samples or data (i.e. an irreversible process whereby identifiers are removed from data and replaced by a code, with no record retained of how the code relates to the identifiers? | |  |  |
| 1. De-identified samples or data (i.e. a reversible process in which the identifiers are removed and replaced by a code. Those handling the data subsequently do so using the code)? | |  |  |
| 1. Participants having the option of being identified in any publication arising from the research? | |  |  |
| 1. Participants being referred to by pseudonym in any publication arising from the research? | |  |  |
| 1. The use of personal data?  (If YES, please ensure that all processing of personal data is in accordance with UK law and specifically the Data Protection Act (2018), prior to any research commencing. It is essential that the processing of personal data is compliant with the University’s Data Protection Policy. | |  |  |
| Important considerations about data confidentiality:   1. Where the sample size is very small, it may be impossible to guarantee anonymity/confidentiality of the participant’s identity. Participants involved in such studies need to be advised of this limitation in the participant information sheet. 2. Where research studies involve the collection of large personally identifiable datasets or use privacy-intrusive technology (e.g. biometrics, bodyworn cameras, monitoring devices) it may be necessary to complete a privacy impact assessment. A template is available ([.brookes.ac.uk/WorkArea/DownloadAsset.aspx?id=2147586227](https://www.brookes.ac.uk/WorkArea/DownloadAsset.aspx?id=2147586227)). The IT Services Information Management Team will review these if needed to determine whether or not a comprehensive privacy impact assessment is required (contact [info.sec@brookes.ac.uk](mailto:info.sec@brookes.ac.uk)). | | | |

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| 5.2 | WHICH OF THE FOLLOWING METHODS OF ASSURING CONFIDENTIALITY OF DATA WILL BE IMPLEMENTED? Please select all relevant options. |

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| 1. data and codes and all identifying information to be kept in separate secure locations |  |
| 1. access to computer files to be available by password or other appropriate levels of protection |  |
| 1. other *(please describe)*: |  |

|  |  |
| --- | --- |
| 5.3 | LEGAL LIMITATIONS TO DATA CONFIDENTIALITY: Are p*articipants being informed that the confidentiality* *of the information they provide can only be protected within the limitations of the law - i.e. it is possible for data to be subject to subpoena, freedom of information claim or mandated reporting by some professions.* |

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|  |  | YES |  | Not applicable |  |
|  |  | NO (please explain): | | | |

# 6 DATA PROTECTION, ACCESS AND SECURITY

|  |  |
| --- | --- |
| 6.1 | WHO WILL BE RESPONSIBLE FOR THE SECURITY OF DATA COLLECTED?  (Provide details of who in the research team will have the overall responsibility for the security of the data collected during the life of the study): |

|  |  |  |
| --- | --- | --- |
| 6.2 | ACCESS TO DATA | |
| * Access by named researchers only | |  |
| * Access by people other than named researcher(s) *(Please explain and identify):* | |  |

|  |  |  |
| --- | --- | --- |
| 6.3 | STORAGE OF DATA | |
| By data, the University means not just datasets but artwork, recordings, images, videos or any other form of data that researchers collect in the course of undertaking their research. Staff and students should be aware of research data management information and tools, available at: <https://www.brookes.ac.uk/research/research-support/data-management/> | | |
| * Stored at Oxford Brookes University  If YES, please provide the following information: | |  |
| * How will the data be stored? | | |
| * Where will the data be stored? | | |
| * In what format will the data be stored? | | |
| * Stored at another site  *Please explain where and for what purpose. Data stored in the field should be on a password protected device or stored and shared via Google Drive for which the university has a security agreement.* See the [data sharing and file management matrix for advice](https://intranet.brookes.ac.uk/research-support/it/data-sharing-and-file-transfer/) | |  |
| * Stored in a secure shared repository – after completion of the project, e.g RADAR or a subject specific repository *(This should be explained to participants in the information sheet and privacy notice)* | |  |

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| 6.4 | DOES DATA STORAGE COMPLY WITH THE UNIVERSITY’S GUIDELINES FOR THE MANAGEMENT OF RESEARCH DATA AND RECORDS? *(See Oxford Brookes University Code of Practice for Academic Integrity, at:*  <https://www.brookes.ac.uk/Documents/Research/Policies-and-codes-of-practice/academic_integrity> |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | YES |  | No | **If NO**, please explain: |
| 6.5 | PRIVACY NOTICE | | | | |
|  | In line with the EU GDPR, now passed into UK law as the Data Protection Act 2018, research participants must be adequately informed about why they are providing information, how it will be used and who will have access to it. A privacy notice must be created for each research study and made available to participants. A template is available at: <https://www.brookes.ac.uk/Documents/Research/Ethics/Privacy-notice-for-researchers/> (If the data being collected is completely anonymous or does not include information that can be combined with other data to identify an individual, this privacy notice is *not r*equired).  Have you attached a copy of the privacy notice for this study? | | | | |
|  | |  |  |  |  | | --- | --- | --- | --- | |  | YES |  | Not required | | | | | |

# 7. FUNDING

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| --- | --- |
| 7.1 | **IS THIS PROJECT BEING EXTERNALLY FUNDED?** *(This does not include funded PhD programmes)* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | YES |  | NO *(skip the remaining questions in section 7)* |

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| 7.2 | SOURCE OF FUNDING *(This must be stated in the participant information sheet*): |
| 7.3 | DOES THE PROJECT REQUIRE APPROVAL BEFORE CONSIDERATION BY A FUNDING BODY? |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | YES |  | NO |
|  | **If YES**, what is the deadline for the funding body? | | | |

# 8. CHECKLIST

Please check that the following documents are attached to your application. Please note that where questionnaire or interview questions are submitted in draft form, a copy of the final documentation must be submitted for final approval when available.

|  |  |  |  |
| --- | --- | --- | --- |
|  | ATTACHED | | NOT APPLICABLE |
| * Recruitment advertisement (question 2.3) |  | |  |
| * Participant information sheet (question 4.1) |  | |  |
| * Consent form (question 4.2) |  | |  |
| * Privacy notice (question 6.5) |  | |  |
| * Evidence of external approvals related to the research (question 1.7) |  | |  |
| * Questionnaire (question 3.1) | draft | final |  |
| * Interview Schedule (question 3.1) | draft | final |  |
| * Other (please specify: |  | |  |

|  |
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| **For further details about completion of this form, please contact your** [**Research Ethics Officer**](https://www.brookes.ac.uk/Research/Research-ethics/Review/Research-ethics-officers/) **in the first instance.** |

UREC version: January 2019