**School of Sociology & Social Policy**

**Ethics Application Form for UG and PGT Students**

REIC Document (REIC = Research Ethics & Integrity Committee)

Last updated: September 2023

**You must wait until you receive FEO (Favourable Ethical Opinion) from the REIC before approaching potential participants and before commencing fieldwork. Thank you.**

**Section A: Researcher Details**

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| --- | --- |
| Name of student |  |
| Status | Undergraduate student  Postgraduate taught student |
| Student ID number |  |
| Degree programme (e.g., Sociology) |  |
| Module name and number |  |
| UoN email address |  |
| Name of supervisor (e.g., Dr Thomas Guiney) |  |

**Section B: Evidence Submitted**

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| --- | --- | --- |
| Questions about your application | Evidence required | Enclosed |
| Documentation included with this ethics application form | Ethics Application (i.e. this form) |  |
| Consent Form |  |
| Participant Information Sheet & GDPR Privacy Notice |  |
| Does the research involve fieldwork or data collection off-campus.  If yes, please complete the fieldwork record form and review the generic UGPGT Fieldwork travel risk assessment found on the website: (<https://www.nottingham.ac.uk/sociology/research/ethics/process.aspx)> | Fieldwork record form completed and shared with supervisor |  |
| Are you using a survey / questionnaire?  Where a survey data collection method is being used, please read the declaration below, tick the box, and provide a live link to the survey draft for REIC review.  Rather than submitting separate Consent Form and Privacy Notice and PIS forms, please select and edit the relevant Participant Information Sheet/Privacy Notice and Consent Form information from the School's templates and place this information at the beginning of the MS Form / survey, including a tick box to confirm research participants have read, understood, and agree to participate.  Please paste the survey link address here:  …………………………………………………………………………………………………………….. | |  |
| If your research is of a sensitive nature – i.e. involves vulnerable participants and/or is concerned with a sensitive topic – please also provide A & B | A = An exemplar of any communication inviting individuals to participate in the study |  |
| B = An indicative list of interview and/or focus group questions to be used in the research |  |
| Please see pages 5 to 8 only within the [Code of Research Conduct and Research Ethics](https://www.nottingham.ac.uk/research/resources/documents/code-of-research-conduct-and-research-ethics-v8.0-18-nov.-2021-.pdf) i.e. the Brief Summary of the UoN Code . | I confirm I have read the UoN Code of Research Conduct and Research Ethics |  |
| Please tick the acknowledgement box to confirm that you've considered carefully the video presentation available via this link and whether, or not, you should (re)watch it and the counsel therein regarding our UoN Code of Research Conduct: [Intro to Code Research conduct video v1 July 2020.mp4](https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/Video%20Presentations/Forms/AllItems.aspx?id=%2Fsites%2FResearchEthicsandIntegrity%2FVideo%20Presentations%2FIntro%20to%20Code%20Research%20conduct%20video%20v1%20July%202020%2Emp4&parent=%2Fsites%2FResearchEthicsandIntegrity%2FVideo%20Presentations)  Are you collecting/creating online data? If so, please tick box to confirm you’ve consulted this UG/PGT digital research flowchart and that your research adheres to the guidance:  [digital-data-ethics-policy-flowchart.pdf (nottingham.ac.uk)](https://www.nottingham.ac.uk/sociology/documents/ethics-documents/digital-data-ethics-policy-flowchart.pdf) | |  |

**Section C: Research Details**

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| **Research title or Dissertation aim** |  | |
| **Research outline (200 words max.)** | *[Please provide a summary of the research proposal – in lay language.]* | |
| **Research question(s)** | *[What is the research about? Why is it valuable/important? What type(s) of data are you collecting and from whom?]* | |
| **Method(s) of data collection**  Accepted remote/online methods of data collection for UoN students are: Telephone, Skype for Business, MS Teams, or MS Forms. | *[What method(s) are you using and why? How have you identified potential research participants? What will the participant(s) be asked to do, and expected duration?* | |
| **Proposed site(s) of data collection**  On-campus and/or public settings are advised. Please use School policy re. travel/risk/insurance, if off-campus or non-UK fieldwork is planned. | *[Where, when and why will data be collected at the site(s)? Are there any safety issues associated with the choice of site or time of access for you or the participants?]* | |
| **How will access to participants and/or sites be gained?**  Please provide evidence of gatekeeper consent, if a gatekeeper is being involved. | *[Do you need to go through a gatekeeper? How will this be arranged? What is your personal/professional relationship to the gatekeeper? Are you able to provide evidence of the gatekeeper’s willingness to help (e.g. email thread)? Will participants need permission from a parent/guardian/organisation to be involved?]* | |
| **Research Data Management Plan**  All UG/PGT research data should be stored securely using student’s UoN OneDrive.  We support mobile ‘phone audio-only recordings, on mobiles with access security (e.g. PIN or password). The audio recording should then be \*immediately\* transferred and retained on OneDrive. The audio recording should then be deleted from the mobile device. | I will use my UoN OneDrive to secure all research data. | Yes |
| Only audio interview recordings are permitted. (No video.) If using a mobile to make audio recordings, I will immediately transfer audio recordings to UoN OneDrive and delete the interviews off my mobile. I will retain both audio and transcript on my UoN OneDrive. This will all be deleted after graduation. No data will be retained post-graduation. | Yes  Not recording interviews |
| **Data Retention Period:**  Important: UG/PGT research is not intended for publication. UG/PGT research data must be stored on OneDrive. Please note that all student research data will be deleted upon completion of studies, when university email account and OneDrive end for students. Please ensure your ethics application, participant information sheet, and consent form (or MS Form if survey is your method of data collection) make this data management element clear.  Please tick below to **agree with one** of the following statements:   1. "I confirm I will keep data generated by the research securely on my UoN OneDrive, until the completion of my studies. It will then be deleted when my UoN email account is closed post-graduation. Further, I understand this UG/PGT ethics application route is not set-up for publishing from this research."   Yes   1. “I am a PGT student; my Dissertation Supervisor and I have discussed and agreed that my research may be published or used as part of ongoing research in the future (e.g. ESRC 1+3 PhD). I am aware that my data must be retained securely for a minimum of 7 years. I will ensure this retention period is included as appropriate within the supporting documents. My participants will be aware and will agree to this data usage. As my UoN OneDrive account will be deleted after graduation, I will need to anonymise and then transfer the data to another secure location outside of the University before graduation, then return it to the UoN system when PhD or likewise commences. It is then my responsibility to manage and then delete the data correctly. I will contact the REIC Chair now for the PGR Research Data Management Plan policy.”   Yes | | |

**Section D: Questions about consent and potential harm**

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|  | **Yes** | **No** |
| Will the research give rise to evident and significant risk of reputational damage to, or legal liability on the part of the University of Nottingham, the Researcher/s, participants, or others directly or indirectly involved in the research project. |  |  |
| Will the research involve discussion of sensitive topics the nature of which might be offensive, distressing or deeply personal for research participants (e.g., sexual activity, mental health, racism, harm to self, past traumatic experiences)? |  |  |
| Will the research involve people taking part in the study without their knowledge and consent at the time? |  |  |
| Will the research place participants at any greater physical or emotional risk than they experience during their normal lifestyles (e.g. triggering conversations/questions)? |  |  |
| Does the research involve potentially vulnerable groups such as children (**aged under 16**) or those in unequal relationships with the researcher? (e.g. your own students)? More information can be found in the [**Code of Research Conduct and Research Ethics**](https://www.nottingham.ac.uk/research/resources/documents/code-of-research-conduct-and-research-ethics-v8.0-18-nov.-2021-.pdf) |  |  |
| Will the research involve the police, probation services, or those involved in the criminal justice system, either adult or young person. |  |  |
| Will the research expose the researcher to any significant risk of physical or emotional harm |  |  |

**If you have answered ‘yes’ to any of the questions above about potential harm, you will need to describe more fully how you plan to deal with the ethical issues raised by your research in the box below.**

**Please explain in full with reference to the ethical principles set out in the** [**Code of Research Conduct and Research Ethics**](https://www.nottingham.ac.uk/research/documents/ethics-and-integrity/code-of-research-conduct-and-research-ethics-v9.0-27-march-2023.pdf) **(max 250 words):**

**1. Maximising Benefit**

**2. Minimising Harm**

**3. Respecting Autonomy**

**4. Fairness and Accountability**

**5. Integrity and Transparency**

Please also reflect carefully on whether/how your research may represent a risk of emotional harm, both to your research participants and to you as researcher. In such cases you may wish to consult our [Distress Protocol](https://www.nottingham.ac.uk/sociology/documents/ethics-documents/nicholson-distress-protocol.pdf), [UON Counselling service](https://www.nottingham.ac.uk/counselling/?dm_t=0,0,0,0,0) and [Student mental health and wellbeing](https://www.nottingham.ac.uk/currentstudents/healthyu/mental-health/bodymind.aspx).

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**Section E: Questions about data collection, confidentiality, and storage**

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|  | **Yes** | **No** |
| Will the personal data of research participants (e.g. name, age, gender, ethnicity, religious or other beliefs, sexuality, physical or mental health conditions) be revealed in research outputs or stored data? |  |  |
| Will the research involve administrative or secure data that requires permission from the appropriate authorities before use? |  |  |
| Will the research involve respondents via the internet or other visual/vocal methods where participants may be identified? (If so, please discuss consent, or absence of informed consent below.) |  |  |
| Will data collection take place somewhere other than public and/or professional spaces (e.g. university campus or work setting or library or cafe)? |  |  |
| Will you be translating the REC reviewed English language docs into another language for the fieldwork? If yes, please tick the box to indicate you understand the responsibility lies with the student to check the accuracy of translation (and not the supervisor). |  |  |

**If you have answered ‘yes’ to any of the questions above about data, you will need to describe more fully how you plan to deal with the ethical issues raised by your research in the box below. Please explain in full (max 150 words)**

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**Section G: Checklist, Declaration, and Signatures**

**Ethics Application Checklist**

* I understand I must not begin data collection/creation or approach potential research participants (gatekeepers excepted) until I have received Favourable Ethical Opinion (FEO) from the School’s REIC.
* I can confirm that the ethical implications of this study have been discussed with my Dissertation Supervisor and they are now happy for it to be submitted for review.
* I have reviewed this flowchart and I understand that my work does require ethical review:

[flowchart-does-my-research-need-ethical-review.pdf (nottingham.ac.uk)](https://www.nottingham.ac.uk/sociology/documents/ethics-documents/flowchart-does-my-research-need-ethical-review.pdf)

* I understand research data is to be stored on my UoN OneDrive, and that it will be deleted alongside my UoN email account after graduation.
* I have adapted the participant information sheet and consent form templates to suit my study and will submit these with this ethics application. (Templates are here: [Research Ethics website.](http://www.nottingham.ac.uk/sociology/research/ethics/process.aspx))
* I understand that any off-campus fieldwork must follow the School’s travel / risk / insurance policy, and that this is not related to the REIC.
* I understand UG/PGT dissertations are not for publication. (Please contact the REIC if publication or onward data usage is desired.)
* I understand I cannot share/use data or confidential information beyond the initial consent given.
* I am using only UoN supported research collection/creation online platforms for students – e.g. MS Forms or telephone or MS Teams or Skype for Business.
* I understand I cannot intentionally collect/create data about ongoing illegal activities being undertaken by my participants.
* I understand I cannot collect/create data re. terrorist activities, money laundering, intended harm to self or others, neglect and/or abuse of children or vulnerable adults.
* I cannot work with participants under the age of 16, due to no DBS check.
* I understand that I will not permanently store research data on my mobile phone
* I understand that external REIC approvals are not possible for student research, and thus I cannot access sites such as prisons, probation, NHS, social care, secure sites, HMPPS etc
* I understand I cannot involve any participants who are unable to give their own informed/valid consent.
* I understand that if a gatekeeper is being involved, I need to submit confirmation of this set-up as a supporting document – e.g. an email thread with the gatekeeper.
* I understand that, regarding illegal activities, confidentiality will be breached and relevant authorities may be informed where offences related to the following are disclosed: terrorist activities; money laundering; treason; neglect and/or abuse of children or vulnerable adults. Contact the REIC Chair for further guidance, if required.
* I understand I must also raise any safeguarding issues that arise during fieldwork with the REIC Chair – e.g. reported intended harm to self or others.
* I understand that any change in the research design, question, or practice over the course of the research should be reported to the REIC and may require a resubmission.

**Student declaration section**

By signing this form, I confirm that I have read the ethics application checklist and agree to undertake fieldwork in-line with this ethics application.

Signature of student Date