**School of Sociology & Social Policy**

**Ethics Application Form for Staff and PGR Students**

REIC Document (REIC = Research Ethics & Integrity Committee)

Last updated: September 2023

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

If you have any queries, please email: lq-researchethicssp@exmail.nottingham.ac.uk

**Section A: Applicant details**

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| --- | --- |
| Name of researcher |  |
| Role | [ ]  PGR[ ]  Staff |
| Email address  |  |
| **To be completed by PGR students only** |
| Student ID number |  |
| Degree programme |  |
| Name of Supervisor(s) |  |

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| Names, roles and responsibilities of the project team |  |
| Please provide details re. funding – unfunded, internal or external (e.g., ESRC, AHRC, NIHR, HMPPS) |  |
| Is this project a collaboration with an external organisation?  | Yes [ ]  No [ ]  Please note: A UoN PI who is undertaking a funded research project with a partner organisation will require a signed contract/agreement which covers partner professional indemnity insurance and sub-contractor agreements (incl. RDMP). |
| Does the research require approval from a UK REIC other than the SSP REIC (e.g. IRAS NHS / HRA.If yes, there is no need to complete this form. Please stop completing this form now and contact the REIC Chair for guidance. | External REIC approval required? Yes [ ]  No [ ] *[Please note: The HMPPS NRC is no longer a recognised Ethics Committee. Your application will therefore require ethical review by a UK REIC (internal or external) before you apply to the HMPPS NRC for research access to HMPPS staff, custodial establishments, prisoners, or those under supervision in the community].*  |
| Will the proposed research be conducted outside the UK or involve international partners?  | Is ethical approval required from a non-UK REIC? Yes [ ]  No [ ] If yes, please provide more information here: |
| Trusted Research and Knowledge Exchange | Please note: Before you undertake any research or knowledge exchange activity that involves international partners or collaborators, you must:1) Read the contents of the [Trusted Research toolkit](https://www.nottingham.ac.uk/research/global-reach/trusted-research.aspx)2) Complete the project notification form as soon as possible |
| Expected start & end date of fieldwork? (Month and Year format (e.g., May, 2023)  | Research project start date:Research project end date: Proposed fieldwork start date:Proposed fieldwork end date: |
| Do you have a PhD (in the social sciences, broadly defined, with an empirical element)?  | Yes [ ]  No [ ]  *If no please detail relevant research training and experience in the next question)* |
| In order to secure FEO from this university's REIC, the researcher must demonstrate past experience in undertaking other similar projects, their research skills, training and any other professional experience. | Please provide evidence of training and skills to support the proposed fieldwork (200 words max): |
| Conflicts of interest in relation to this research? See guidance [here](https://www.nottingham.ac.uk/hr/guidesandsupport/universitycodesofpracticeandrules/conflictsofinterest%2Cgiftsandhospitality.aspx) | Do you or any member of the Research Team have any conflict of interest? Yes [ ]  No [ ]  If Yes, please describe: |
| 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)Please tick to confirm completion Yes [ ]  |
| Researchers should complete this Researcher Academy Research Integrity course: [Research Integrity: CONCISE (Standalone online learning course) (nottingham.ac.uk)](https://training.nottingham.ac.uk/Course?dates=0&courseref=GSTRIOC)Please tick to confirm completion Yes [ ]  |

**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 your research involve fieldwork off campus?If yes, please see [the Travel pages on the SSP Hub](https://uniofnottm.sharepoint.com/sites/SSPHub/SitePages/Travel-and-Off-site-working-guidance.aspx) for guidance and support.**Note**: all approvals for travel must be in place before commencing fieldwork and may take some time. | If fieldwork is required please confirm that you are completing the necessary documentation and seeking appropriate approvals, as per the UoN Travel Guidance | [ ]  |
| 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:……………………………………………………………………………………………………………..Acceptable survey methods: MS Forms, JISC, Qualtrics. | [ ]  |
| Please review the Brief Summary of the UoN Code contained 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) and confirm you have reviewed these pages. | I confirm I have read the UoN Code of Research Conduct and Research Ethics | [ ]  |
| Research Data Management Plan (RDMP)Researchers are required to have a Research Data Management Plan. Please confirm one is in place for this research. The following links may assist you with your RDMP:* [Research Data Management Policy](https://uniofnottm.sharepoint.com/sites/DigitalResearch/SitePages/Research-Data-Management-Policy.aspx)
* [RDM Policy: At a glance](https://uniofnottm.sharepoint.com/sites/DigitalResearch/SitePages/RDM-Policy-obligations--at-a-glance.aspx)
* [DMP Online [External]](https://dmponline.dcc.ac.uk/)
 | I confirm I have a RDMP in place. | [ ]  |

**Section C: Research Details**

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| **Research title or 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**Please note 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?]*  |
| **Benefit to Research Participants** | *[Highlight the potential impact of your research directly on the participants, the participant group, to further knowledge or change policy]* |
| **Dissemination** | *[Describe how you will ensure your research gets to the appropriate and widest audience possible and indicate any potential risks of participants being identified in any form of dissemination]* |

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| Data security: All research data should be stored securely using UoN log-in OneDrive, SharePoint, or Teams - with restricted ownership and access.  | Yes, I will use my UoN log-in OneDrive, SharePoint, or Teams - with restricted ownership and access. to secure all research data. No, I am providing additional information detailing my data security measures – here: ………………………………………………………. | [ ]  Yes[ ]  No |
| Only ‘audio-only’ interview recordings are permitted (if video/visual is not an intended/required element of research design). I will immediately transfer audio recordings to O366 for transcription. | [ ] Yes[ ] Not recording interviews |

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| A DBS check is required if the research involves children under the age of 16 and/or vulnerable adults  | [ ]  DBS Not required |
| [ ]  DBS Required. Please tick to confirm that this will be acquired before the relevant project activity commences.DBS Number (if known at this point) is: |

**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, such as prisoners or young offenders? | [ ]  | [ ]  |
| 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) **where appropriate:**

**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), speak to your Supervisor / member of staff or approach the [UON Counselling service](https://www.nottingham.ac.uk/counselling/?dm_t=0,0,0,0,0).

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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 the research use or produces images of people or places? (If so, please discuss consent, or absence of informed consent below.)  | [ ]  | [ ]  |
| Will the research involve respondents via the internet or other visual/vocal methods where participants may be identified? | [ ]  | [ ]  |
| 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 financial inducements (other than reasonable expenses and compensation for time) be offered to participants?**Please note that participant vouchers need HoS sign-off beforehand, and usage of the voucher request form and central system.** | [ ]  | [ ]  |

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| **If you have answered ‘yes’ to any of the questions about data collection, confidentiality and storage, you will need to describe more fully how you plan to deal with the ethics issues raised by your research in the box below:** |
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| **Translation of research documents** |  |
| Will you be translating the REC reviewed English language docs into another language for the fieldwork?If yes, please indicate below which category this application falls within: | Yes [ ] No [ ]  |
| For staff:The responsibility lies with the staff researcher to check the translation - please tick this box to confirm. | Staff [ ]  |
| For PGRs:The responsibility lies with the PGR, to check the translation and confirm accuracy of the translation to supervisors - please tick this box to confirm | PGR [ ]  |

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

**Ethics Application Checklist**

* By signing this form I agree to work within the protocol outlined and the University of Nottingham Code of Research Conduct and Research Ethics and UoN Policies and Guidance.
* I understand the Principal Investigator (or PGR Supervisor) must ensure all researchers are suitably qualified and trained and prepared and supervised to conduct the research described herein.
* I agree to maintain the confidentiality and/or anonymity (whichever promised) of the research participants and will grant access to data only to researchers named on this application.
* I understand research data are to be stored in accordance with the RDMP in this ethics application.
* 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)
* 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 (see SSP Hub Travel).
* For file and/or emergency usage only, a Fieldwork Record is submitted here to the REIC, if off-campus fieldwork is planned.
* I understand I cannot share/use data or confidential information beyond the initial consent given.
* I am using only UoN supported research collection/creation methods, if online platforms are being used – e.g. MS Forms / Jisc / Qualtacs / MS Teams / Skype for Business. You may use Audacity to convert interview recordings to audio only - <https://blogs.nottingham.ac.uk/digitalresearch/2021/02/25/conducting-research-interviews-online/>
* 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 understand I cannot intentionally collect/create data about certain ongoing illegal activities being undertaken by my participants – see UoN Byte on Illegal Activities research at UoN, re. data re. terrorist activities, money laundering, intended harm to self or others, neglect and/or abuse of children or vulnerable adults. Contact the REIC Chair for guidance, if desired.
* I understand that I will not store research data on my mobile ‘phone or non-UoN systems.
* 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 or amendment. (This is crucial, as audit will occur against REIC docs.)
* What’s happens next? I understand that the School’s REIC will work with me in order to reach a Favourable Ethical Opinion (FEO). Once the requirements for a Favourable Ethical Opinion are met, REIC will submit a Completion Letter. Data collection may then commence, once FEO letter/email is received.

**Staff / PGR 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 applicant / researcher Date