

**Application for Ethics Review Form**

# Guidance Notes:

**What is the purpose of this form?**  
This form should be completed to seek ethics review for research projects to be undertaken by University of Birmingham staff, PGR students or visiting/emeritus researchers who will be carrying out research which will be attributed to the University.

**Who should complete it?**  
For a staff project – the lead researcher/Principal Investigator on the project.  
For a PGR student project – the student’s academic supervisor, in discussion with the student.  
  
Students undertaking undergraduate projects and taught postgraduate (PGT) students should refer to their Department/School for advice

**When should it be completed?**  
After you have completed the University’s online ethics self-assessment form (SAF), **IF** the SAF indicates that ethics review is required. You should apply in good time to ensure that you receive a favourable ethics opinion prior to the commencement of the project and it is recommended that you allow at least 60 working days for the ethics process to be completed.

**How should it be submitted?**  
An electronic version of the completed form should be submitted to the Research Ethics Officer, at the following email address: aer-ethics@contacts.bham.ac.uk.

**What should be included with it?**  
Copies of any relevant supporting information and participant documentation, research tools (e.g. interview topic guides, questionnaires, etc) and where appropriate a health & safety risk assessment for the project (see section 10 of this form for further information about risk assessments).

**What should applicants read before submitting this form?**  
Before submitting, you should ensure that you have read and understood the following information and guidance and that you have taken it into account when completing your application:

* The information and guidance provided on the University’s ethics webpages (<https://intranet.birmingham.ac.uk/finance/accounting/Research-Support-Group/Research-Ethics/Ethical-Review-of-Research.aspx>)
* The University’s Code of Practice for Research (<https://www.birmingham.ac.uk/Documents/university/legal/research.pdf>)
* The guidance on Data Protection for researchers provided by the University’s Legal Services team at  [https://intranet.birmingham.ac.uk/legal-services/What-we-do/Data-Protection/resources.aspx](https://mail.bham.ac.uk/owa/redir.aspx?C=LTQ9IWbUuWQM_lucrdpGKwuM9bGwzORQSLFN7aSQvhi3N_JHBLLWCA..&URL=https%3a%2f%2fintranet.birmingham.ac.uk%2flegal-services%2fWhat-we-do%2fData-Protection%2fresources.aspx).

# Section 1: Basic Project Details

**Project Title:** Click or tap here to enter text.

**Is this project a:**

University of Birmingham Staff Research project

University of Birmingham Postgraduate Research (PGR) Student project

Other (Please specify below)

Click or tap here to enter text.

**Details of the Principal Investigator or Lead Supervisor (for PGR student projects):**

Title: Click or tap here to enter text.

First name: Click or tap here to enter text.

Last name: Click or tap here to enter text.

Position held: Click or tap here to enter text.

School/Department Click or tap here to enter text.

Telephone: Click or tap here to enter text.

Email address: Click or tap here to enter text.

**Details of any Co-Investigators or Co-Supervisors (for PGR student projects):**

Title: Click or tap here to enter text.

First name: Click or tap here to enter text.

Last name: Click or tap here to enter text.

Position held: Click or tap here to enter text.

School/Department Click or tap here to enter text.

Telephone: Click or tap here to enter text.

Email address: Click or tap here to enter text.

**Details of the student for PGR student projects:**

Title: Click or tap here to enter text.

First name: Click or tap here to enter text.

Last name: Click or tap here to enter text.

Course of study: Click or tap here to enter text.

Email address: Click or tap here to enter text.

**Project start and end dates:**

Estimated start date of project: Click or tap to enter a date.  
Estimated end date of project: Click or tap to enter a date.

**Funding:**

Sources of funding: Click or tap here to enter text.

# Section 2: Summary of Project

Describe the purpose, background rationale for the proposed project, as well as the hypotheses/research questions to be examined and expected outcomes. This description should be in everyday language that is free from jargon - please explain any technical terms or discipline-specific phrases. Please do not provide extensive academic background material or references.

Click or tap here to enter text.

# Section 3: Conduct and location of Project

## **Conduct of project**

## Please give a description of the research methodology that will be used. If more than one methodology or phase will be involved, please separate these out clearly and refer to them consistently throughout the rest of this form.

Click or tap here to enter text.

**Geographic location of project**

State the geographic locations where the project and all associated fieldwork will be carried out. If the project will involve travel to areas which may be considered unsafe, either in the UK or overseas, please ensure that the risks of this (or any other non-trivial health and safety risks associated with the research) are addressed by a documented health and safety risk assessment, as described in section 10 of this form.

Click or tap here to enter text.

# Section 4: Research Participants and Recruitment

**Does the project involve human participants?**

Note: ‘Participation’ includes both active participation (such as when participants take part in an interview) and cases where participants take part in the study without their knowledge and consent at the time (for example, in crowd behaviour research).

Yes

No

*If you have answered NO please go on to Section 8 of this form. If you have answered YES please complete the rest of this section and then continue on to section 5.*

**Who will the participants be?**Describe the number of participants and important characteristics (such as age, gender, location, affiliation, level of fitness, intellectual ability etc.). Specify any inclusion/exclusion criteria to be used.

Click or tap here to enter text.

**How will the participants be recruited?**

Please state clearly how the participants will be identified, approached and recruited. Include any relationship between the investigator(s) and participant(s) (e.g. instructor-student). Please ensure that you attach a copy of any poster(s), advertisement(s) or letter(s) to be used for recruitment.

Click or tap here to enter text.

## Section 5: Consent

**What process will be used to obtain consent?**

*Describe the process that the investigator(s) will be using to obtain valid consent. If consent is not to be obtained explain why. If the participants are under the age of 16 it would usually be necessary to obtain parental consent and the process for this should be described in full, including whether parental consent will be opt-in or opt-out.*

Click or tap here to enter text.

*Please be aware that if the project involves over 16s who lack capacity to consent, separate approval will be required from the Health Research Authority (HRA) in line with the Mental Capacity Act.*

*Please attach a copy of the Participant Information Sheet (if applicable), the Consent Form (if applicable), the content of any telephone script (if applicable) and any other material that will be used in the consent process.*

*Note: Guidance from Legal Services on wording relating to the Data Protection Act 2018 can be accessed at* [*https://intranet.birmingham.ac.uk/legal-services/What-we-do/Data-Protection/resources.aspx*](https://intranet.birmingham.ac.uk/legal-services/What-we-do/Data-Protection/resources.aspx)*.*

**Use of deception?**

*Will the participants be deceived in any way about the purpose of the study?*

Yes

No

*If yes, please describe the nature and extent of the deception involved. Include how and when the deception will be revealed, and the nature of any explanation/debrief will be provided to the participants after the study has taken place.*

Click or tap here to enter text.

## Section 6: Participant compensation, withdrawal and feedback to participants

**What, if any, feedback will be provided to participants?**

*Explain any feedback/ information that will be provided to the participants after participation in the research (e.g. a more complete description of the purpose of the research, or access to the results of the research).*

Click or tap here to enter text.

**What arrangements will be in place for participant withdrawal?**

*Describe how the participants will be informed of their right to withdraw from the project, explain any consequences for the participant of withdrawing from the study and indicate what will be done with the participant’s data if they withdraw.*

Click or tap here to enter text.

*Please confirm the specific date/timescale to be used as the deadline for participant withdrawal and ensure that this is consistently stated across all participant documentation. This is considered preferable to allowing participants to ‘withdraw at any time’ as presumably there will be a point beyond which it will not be possible to remove their data from the study (e.g. because analysis has started, the findings have been published, etc).*

Click or tap here to enter text.

**What arrangements will be in place for participant compensation?**

*Will participants receive compensation for participation?*

Yes

No

*If yes, please provide further information about the nature and value of any compensation and clarify whether it will be financial or non-financial.*

Click or tap here to enter text.

*If participants choose to withdraw, how will you deal with compensation?*

Click or tap here to enter text.

# Section 7: Confidentiality/anonymity

**Will the identity of the participants be known to the researcher?**

*Will participants be truly anonymous (i.e. their identity will not be known to the researcher)?*

Yes

No

**In what format will data be stored?**

*Will participants’ data be stored in identifiable format, or will it be anonymised or pseudo-anonymised (i.e. an assigned ID code or number will be used instead of the participant’s name and a key will kept allowing the researcher to identify a participant’s data)?*

Click or tap here to enter text.

**Will participants’ data be treated as confidential?**

*Will participants’ data be treated as confidential (i.e. they will not be identified in any outputs from the study and their identity will not be disclosed to any third party)?*

Yes

No

*If you have answered no to the question above, meaning that participants’ data will not be treated as confidential (i.e. their data and/or identities may be revealed in the research outputs or otherwise to third parties), please provide further information and justification for this:*

Click or tap here to enter text.

# Section 8: Storage, access and disposal of data

**How and where will the data (both paper and electronic) be stored, what arrangements will be in place to keep it secure and who will have access to it?**

*Please note that for long-term storage, data should usually be held on a secure University of Birmingham IT system, for example BEAR (see* [*https://intranet.birmingham.ac.uk/it/teams/infrastructure/research/bear/index.aspx*](https://intranet.birmingham.ac.uk/it/teams/infrastructure/research/bear/index.aspx)*).*

Click or tap here to enter text.

**Data retention and disposal**

*The University usually requires data to be held for a minimum of 10 years to allow for verification. Will you retain your data for at least 10 years?*

Yes

No

*If data will be held for less than 10 years, please provide further justification:*

Click or tap here to enter text.

*What arrangements will be in place for the secure disposal of data?*

Click or tap here to enter text.

# Section 9: Other approvals required

**Are you aware of any other national or local approvals required to carry out this research?**

*E.g. clearance from the Disclosure and Barring Service (DBS), Local Authority approval for work involving Social Care, local ethics/governance approvals if the work will be carried out overseas, or approval from NOMS or HMPPS for work involving police or prisons? If so, please provide further details:*

Click or tap here to enter text.

**For projects involving NHS staff, is approval from the Health Research Authority (HRA) needed in addition to University ethics approval?**

*If your project will involve NHS staff, please go to the HRA decision tool at* [*http://www.hra-decisiontools.org.uk/research/*](http://www.hra-decisiontools.org.uk/research/) *to establish whether the NHS would consider your project to be research, thus requiring HRA approval in addition to University ethics approval. Is HRA approval required?*

Yes

No

*Please include a print out of the HRA decision tool outcome with your application.*

# Section 10: Risks and benefits/significance

**Benefits/significance of the research**

*Outline the potential significance and/or benefits of the research*

Click or tap here to enter text.

**Risks of the research**

*Outline any potential risks (including risks to research staff, research participants, other individuals not involved in the research, the environment and/or society and the measures that will be taken to minimise any risks and the procedures to be adopted in the event of mishap.)* ***Please ensure that you include any risks relating to overseas travel and working in overseas locations as part of the study, particularly if the work will involve travel to/working in areas considered unsafe and/or subject to travel warnings from the Foreign and Commonwealth Office (see*** https://www.gov.uk/foreign-travel-advice)***. Please also be aware that the University insurer, UMAL, offers access to RiskMonitor Traveller, a service which provides 24/7/365 security advice for all travellers and you are advised to make use of this service (see*** [***https://umal.co.uk/travel/pre-travel-advice/***](https://umal.co.uk/travel/pre-travel-advice/)***).***

***The outlining of the risks in this section does not circumvent the need to carry out and document a detailed Health and Safety risk assessment where appropriate – see below.***

Click or tap here to enter text.

**University Health & Safety (H&S) risk assessment**

*For projects of more than minimal H&S risk it is essential that a H&S risk assessment is carried out and signed off in accordance with the process in place within your School/College and you must provide a copy of this with your application. The risk may be non-trivial because of travel to, or working in, a potentially unsafe location, or because of the nature of research that will carried out there. It could also involve (irrespective of location) H&S risks to research participants, or other individuals not involved directly in the research. Further information about the risk assessment process for research can be found at* [*https://intranet.birmingham.ac.uk/hr/wellbeing/worksafe/policy/Research-Risk-Assessment-and-Mitigation-Plans-RAMPs.aspx*](https://intranet.birmingham.ac.uk/hr/wellbeing/worksafe/policy/Research-Risk-Assessment-and-Mitigation-Plans-RAMPs.aspx)*.*

Please note that travel to (or through) ‘FCO Red zones’ requires approval by the University’s Research Travel Approval Panel, and will only be approved in exceptional circumstances where sufficient mitigation of risk can be demonstrated.

# Section 11: Any other issues

**Does the research raise any ethical issues not dealt with elsewhere in this form?**

*If yes, please provide further information:*

Click or tap here to enter text.

**Do you wish to provide any other information about this research not already provided, or to seek the opinion of the Ethics Committee on any particular issue?**

*If yes, please provide further information:*

Click or tap here to enter text.

# Section 12: Peer review

**Has your project received scientific peer review?**

Yes

No

*If yes, please provide further details about the source of the review (e.g. independent peer review as part of the funding process or peer review from supervisors for PGR student projects):*

Click or tap here to enter text.

# Section 13: Nominate an expert reviewer

*For certain types of project, including those of an interventional nature or those involving significant risks, it may be helpful (and you may be asked) to nominate an expert reviewer for your project. If you anticipate that this may apply to your work and you would like to nominate an expert reviewer at this stage, please provide details below.*

Title: Click or tap here to enter text.

First name: Click or tap here to enter text.

Last name: Click or tap here to enter text.

Email address: Click or tap here to enter text.

Phone number: Click or tap here to enter text.

*Brief explanation of reasons for nominating and/or nominee’s suitability:*

Click or tap here to enter text.

# Section 14: Document checklist

*Please check that the following documents, where applicable, are attached to your application:*

Recruitment advertisement

Participant information sheet

Consent form

Questionnaire

Interview/focus group topic guide

*Please proof-read study documentation and ensure that it is appropriate for the intended audience before submission.*

# Section 15: Applicant declaration

*Please read the statements below and tick the boxes to indicate your agreement:*

I submit this application on the basis that the information it contains is confidential and will be used by the University of Birmingham for the purposes of ethical review and monitoring of the research project described herein, and to satisfy reporting requirements to regulatory bodies. The information will not be used for any other purpose without my prior consent.

The information in this form together with any accompanying information is complete and correct to the best of my knowledge and belief and I take full responsibility for it.

I undertake to abide by University Code of Practice for Research (https://www.birmingham.ac.uk/Documents/university/legal/research.pdf) alongside any other relevant professional bodies’ codes of conduct and/or ethical guidelines.

I will report any changes affecting the ethical aspects of the project to the University of Birmingham Research Ethics Officer.

I will report any adverse or unforeseen events which occur to the relevant Ethics Committee via the University of Birmingham Research Ethics Officer.

**Please now save your completed form and email a copy to the Research Ethics Officer, at aer-ethics@contacts.bham.ac.uk. As noted above, please do not submit a paper copy.**