

**LONDON’S GLOBAL UNIVERSITY**

**UCL Research Ethics Committee**

**Note to Applicants:** It is important for you to include all relevant information about your research in this application form as your ethical approval will be based on this form. Therefore anything not included will not be part of any ethical approval.

*You are advised to read the Guidance for Applicants when completing this form.*

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| **Application For Ethical Review: Low Risk** |

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| Are you applying for an urgent accelerated review? Yes  No  If yes, please state your reasons below. Note: Accelerated reviews are for exceptional circumstances only and need to be justified in detail. | |
| Is this application for a continuation of a research project that already has ethical approval? *For example, a preliminary/pilot study has been completed and is this an application for a follow-up project?* | Yes  No |
| **If yes,** provide brief details (see guidelines) including the title and ethics id number for the previous study: | |

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| **Section A: Application details** | | | |
| **1** | **Title of Project** | XXX | |
| **2** | **Proposed data collection start date** | | **XXX** |
| **3** | **Proposed data collection end date** | | XXX |
| **4** | **Project Ethics Identification Number** | | When you register your project on <https://ethics.grad.ucl.ac.uk/> you will get an id no |
| **5** | **Principal Investigator**  **(\*for student projects, your supervisor should be identified as the PI)** | | Your supervisor |
| **6** | **Position held** | | Supervisor’s job title |
| **7** | **Faculty/Department** | | Supervisor’s department |
| **9** | **Contact Details**  Email:  Telephone: | | Supervisor’s details |
| **10** | **Provide details of other Co-Investigators/Partners/Collaborators who will work on the project.**  ***Note:*** *This includes those with access to the data such as transcribers.*  Usually student projects will not have anything here – unless you have a budget for transcription. | | |
| Name:  Position held:  Faculty/Department:  Location (UCL/overseas/other UK institution):  Email: | | | Name:  Position held:  Faculty/Department:  Location (UCL/overseas/other UK institution):  Email: |
| If you **do not know** the names of all collaborators, please write their roles in the research. | | | |

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| **11** | **If the project is funded *(this includes non-monetary awards such as laboratory facilities)*** | |
| Name of Funder | | For undergrads likely to be blank – postgrads may have funding |
| Is the funding confirmed? | |  |

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| **12** | **Name of Sponsor** |
| The Sponsor is the organisation taking responsibility for the project, which will usually be UCL. If the Sponsor is not UCL, please state the name of the sponsor.  For student projects in History, this will usually be UCL. | |

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| **13** | **If this is a student project** | |
| Name | | XXX |
| Faculty/Department | | XXX |
| Position Held (please tick) | | Undergraduate/Bachelor project (if so, provide course title/number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Master’s project (if so, provide course title/number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  PhD  staff led research project which may involve one or more students |
| Contact details | | XXX |

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| **Section B: Project details** |

The following questions relate to the objectives, methods, methodology and location of the study. Please ensure that you answer each question in lay language.

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| **14** | **Provide a *brief* (300 words max) background to the project, including its intended aims.** |
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| **15** | **Methodology & Methods** (tick all that apply) | | |
| Interviews\*  Focus groups\*  Questionnaires (including oral questions)\*  Action Research  Observation  Participant Observation  Documentary analysis (including use of personal records)  Audio/visual recordings (including photographs)  *\*Attach copies to application (see below).*  Oral history projects will involve interviews as their methodology, and usually record those using audio or video. | | | Collection/use of sensor or locational data  Controlled Trial  Intervention study (including changing environments)  Systematic review  Secondary data analysis – ***(See Section D)***  Advisory/consultation groups  Other, give details: |
| **16a** | | **Provide – in lay person’s language - an overview of the project;** focusing on your methodology and including information on what data/samples will be taken (including a description of the topics/questions to be asked), how data collection will occur and what (if relevant) participants will be asked to do. This should include a justification for the methods chosen. **(500 words max)**  Please **do not** attach or copy and paste a research proposal or case for support.  XXX | |
| **16b** | | **Attachments**  If applicable, please attach a copy of any interview questions/workshop topic guides/questionnaires/test (such as psychometric), etc and state whether they are in final or draft form.  Since oral history interviews are usually only semi-structured, it is expected your schedule will not include every question you intend to ask. You will certainly need to outline the key questions and topics to be discussed. Make clear on the interview schedule that it is a semi-structured oral history interview, and the questions are only a starting point as the interview will be guided by the interviewee. | |

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| **17** | **Please state which code of ethics (see Guidelines) will be adhered to for this research (for example, BERA, BPS, etc).** |
| For History projects using oral history methodology you will usually follow the ethical guidelines of the Oral History Society: <https://www.ohs.org.uk/advice/ethical-and-legal/> | |

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| **Location of Research** | |
| **18** | **Please indicate where this research is taking place.**  UK only (Skip to ‘location of fieldwork’)  Overseas only  UK & overseas |
| **19** | **If the research includes work outside the UK, is ethical approval in the host country (local ethical approval) required? *(See Guidelines.)***  Yes  No  **If no,** please explain why local ethical approval is not necessary.  **If yes,** provide details below including whether the ethical approval has been received.  **Note:** Full UCL ethical approval will not be granted until local ethical approval (if required) has been evidenced. |
| **20** | **If you (or any members of your research team) are travelling overseas in person are there any concerns based on governmental travel advice (**[***www.fco.gov.uk***](http://www.fco.gov.uk)***)*** **for the region of travel?** Yes  No  **Note:** C*heck* [*www.fco.gov.uk*](http://www.fco.gov.uk) *and submit a travel insurance form to UCL Finance (see application guidelines for more details). This can be accessed here:* <https://www.ucl.ac.uk/finance/secure/fin_acc/insurance.htm> (You will need your UCL login details.) |

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| **21** | **State the location(s) where the research will be conducted and data collected*.* For example public spaces, schools, private company, using online methods, postal mail or telephone communications.**  Most oral history interviews take place in interviewees’ homes or offices, or in public places like libraries or cafes, or on UCL premises.  Sole interviewing in such spaces will require consideration in your risk register: have you thought about who will know you are doing an interview, where you’re doing it, and who you’ll check in with after each interview? Make sure you make clear you’ve thought about the risks. |
| **22** | **Does the research location require any additional permissions (e.g. obtaining access to schools, hospitals, private property, non-disclosure agreements, access to biodiversity permits (CBD), etc.)?**  Yes  No  **If yes,** please state the permissions required.  This will usually be no for oral history projects. |
| **23** | **Have the above approvals been obtained?**  Yes  No  **If yes,** please attach a copy of the approval correspondence.  **If not,** confirm they will be obtained prior to data collection. Yes  No |

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| **Section C: Details of Participants** |

In this form ‘participants’ means human participants and their data (including sensor/locational data, observational notes/images, tissue and blood samples, as well as DNA).

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| **24** | **Does the project involve the recruitment of participants?** |
| **Yes**  Complete all parts of this Section.  **No**  Move to Section D.  All oral history projects will answer yes. | |

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| **Participant Details** | |
| **25** | Approximate maximum number of participants required:  Approximate upper age limit: Lower age limit:  Justification for the age range and sample size: |
| **Recruitment/Sampling** | |
| **26** | Describe how potential participants will be recruited into the study.  **Note:** This should include reference to how you will identify and approach participants. For example, will participants self-identify themselves by responding to an advert for the study or will you approach them directly (such as in person or via email)?  XXX |
| **Informed Consent** | |
| **27a** | Describe the process you will use when seeking to obtain consent.  **Note:** This should include reference to what participants are being asked to consent to, such as whether their contribution will be identifiable/anonymous, limits to confidentiality and whether their data can be withdrawn at a later date.  *(An annotated template information sheet and consent form have been provided for your use.)*  You should produce information sheets and consent forms based on the examples provided. There are templates specific to oral history to help you on the history department website. |
| **27b** | **Attachments** Please list them below:  *Ensure that a copy of all recruitment documentation (recruitment emails/posters, information sheet/s, consent form/s) have been attached to the application.*  For oral history projects you will need to include information sheet and consent form. You will sometimes need to include recruitment materials. |
| **27c** | If you are ***not*** intending to seek consent from participants, clarify why below: |

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| **28** | How will the results be disseminated (including communication of results with participants)?  XXX |

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| **Section D: Accessing/Using Pre-collected Data** |

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| **Access to data** | |
| **29** | If you are using data or information held by third party, please explain how you will obtain this. You should confirm that the information has been obtained in accordance with the General Data Protection Regulation 2018.  **Oral history projects will usually skip this section.** |

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| **Accessing pre-collected data** | |
| **30** | **Does your study involve the use of previously collected data?**  **No** Move to Section E.  **Yes** Complete all parts of this Section. **Note:** If you ticked any boxes with an asterisk (\*),ensure further details are provided in Section E:Ethical Issues. |

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| **31** | **Name of dataset/s:** | |
| **32** | **Owner of dataset/s (if applicable):** | |
| **33** | **Is the data in the public domain?** Yes  No  **If not,** do you have the owner’s permission/license? Yes  No\* | |
| **33** | **Is the data anonymised?** Yes  No  **If not:**   1. Do you plan to anonymise the data? Yes  No\* 2. Do you plan to use individual level data? Yes\*  No 3. Will you be linking data to individuals? Yes\*  No | |
| **34** | Is the data sensitive? | Yes\*  No |
| **35** | Will you be conducting analysis within the remit it was originally collected for? | Yes  No\* |
| **36** | If not, was consent gained from participants for subsequent/future analysis? | Yes  No\* |

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| **Section E: Ethical Issues** |

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| **Ethical Issues** | |
| **37** | Please address clearly any ethical issues that may arise in the course of this research and how they will be addressed. Further information and advice can be found in the guidelines.  **Note:** All ethical issues should be addressed - **do not leave this section blank**. All projects give rise to ethical issues. If you think there are no ethical issues, you need to provide an explanation as to why.  This section is very important. Make sure you give enough detail.  You may well have to discuss the question of anonymity here. You can make clear that in oral history, standard practice has long been to offer interviewees the option to have their name associated with their testimony. You could talk about how this is an important ethical imperative for this work: it is often about offering ‘ordinary’ people the chance to have their testimony form a permanent part of the historical record.  You should detail how you will capture what interviewees want in relation to anonymity.  You will also probably need to detail how you are using the term “anonymity”. In scientific and medical research, “anonymity” has a specific definition, meaning it is impossible to trace data back to individuals. It may be impossible to do this in an oral history project. (For example, someone’s close family member might recognise a particular story, even if identifying details were changed.) You should make clear you are aware of this and will explain this to interviewees.  You should also note what you will do if material comes to light that requires further action, eg evidence of crime or child abuse.  You should also note how you will ensure all have the right to withdraw at any time until the research is made public.  And you should detail how you would deal with an interviewee who became upset and/or needed support. |

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| **Risks & Benefits** | |
| **38** | Please state any *benefits* to participants in taking part in the study (this includes feedback, access to services or incentives),  XXX |
| **39** | Do you intend to offer incentives or compensation, including access to free services)?  Yes  No  **If yes,** specify the amount to be paid and/or service to be offered **as well as a justification for this**.  Oral history projects usually do not involve payment. |
| **40** | Please state any *risks* to participants and how these risks will be managed.  XXX |
| **41** | Please state any *risks* to you or your research team and how these risks will be managed.  This is a key place to note that you have considered and mitigated risk relating to interviewing on your own, and in interviewees’ homes, where applicable. |

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| **Section F: Appropriate Safeguards, Data Storage & Security** |

Please ensure that you answer each question and include all hard and electronic data.

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| **42** | **Will the research involve the collection and/or use of personal data?**  Yes  No  ***Personal data*** *is data which relates to a living individual who can be identified from that data OR from the data and other information that is either currently held, or will be held by the data controller (the researcher).*  *This includes:*   * *any expression of opinion about the individual and any intentions of the data controller or any other person toward the individual.* * *sensor, location or visual data which may reveal information that enables the identification of a face, address, etc (some postcodes cover only one property).* * *combinations of data which may reveal identifiable data, such as names, email/postal addresses, date of birth, ethnicity, descriptions of health diagnosis or conditions, computer IP address (if relating to a device with a single user).*   If you do not have a registration number from Legal Services, please clarify why not: |
| **43** | **Is the research collecting or using**   * special category data as defined by the General Data Protection Regulation and/or * data which might be considered sensitive in some countries, cultures or contexts.   **If yes,** state whether explicit consent will be sought for its use and what data management measures are in place to adequately manage and protect the data.  Oral history projects will usually answer yes to this. Most gather data on some topics which are ‘special category’ data:  • personal data revealing **racial or ethnic origin**; • personal data revealing **political opinions**; • personal data revealing **religious or philosophical beliefs**; • personal data revealing **trade union membership**; • **genetic data**; • **biometric data** (where used for identification purposes); • data concerning **health**; • data concerning a person’s **sex life**; and • data concerning a person’s **sexual orientation**.  You will need to state that explicit consent is being gained, and outline data protection measures. |

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|  | **All research projects using personal data must be registered with Legal Services before the data is collected, please provide the Data Protection Registration Number:**  If you do not have a registration number from Legal Services, please clarify why not:  You will have to register with Legal Services |

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| **During the project** *(including the write up and dissemination period)* | |
| **45** | **State what types of data will be generated from this project** (i.e. transcripts, videos, photos, audio tapes, field notes, etc).  For oral history this will usually be audio files, summaries/transcripts, and other documentation, eg. spreadsheet of contact details, consent forms.  **How will data be stored, including where and for how long?** This includes all hard copy and electronic data on laptops, share drives, usb/mobile devices.  XXX  **Who will have access to the data, including advisory groups and during transcription?**  Usually the student and supervisor(s), unless you have access to funding for transcription. |
| **46** | **Do you confirm that all personal data will be stored and processed in compliance with the General Data Protection Regulation (GDPR 2018).**  Yes  No  **If not,** please clarify why. |
| **47** | **Will personal data be processed or be sent outside of the European Economic Area (EEA)?\***  Yes  No  **If yes,** please confirm that there are adequate levels of protection in compliance with the GDPR 2018 and state what the arrangements are below. |

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| **After the project** | |
| **48** | **What data will be stored and how will you keep it secure?**  Copy answer from relevant section of q 45 above  **Where will the data be stored and who will have access?**  Copy answer from relevant section of q 45 above  **Will the data be securely deleted?**  Yes  No  **If yes,** please state when this will occur:  Oral history projects may end in the interviews being deleted. Alternatively you may have arranged to make an archival deposit to give the interviews a permanent home (more likely with PhD or post-PhD research). |
| **49** | **Will the data be archived for use by other researchers?** Yes  No  **If yes,** please provide further details including whether researchers outside the European Economic Area will be given access.  Oral history projects may end in the interviews being deleted. Alternatively you may have arranged to make an archival deposit to give the interviews a permanent home. |

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| **Section G: Declaration to be Signed by the Principal Researcher**  **I confirm that the information in this form is accurate to the best of my knowledge.** | |
| ***For staff project:***  Signature |  |
| Date |  |
| ***For student project:***  **I have met with and advised the student on the ethical aspects of this project design.** | |
| Signature |  |
| Date: |  |

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| **Signature of your Head of Department (or Chair of your Departmental Ethics Committee or Departmental Ethics Lead)** | |
| **Part A**  I have read the ‘criteria of minimal risk’ as defined on page 3 of the Guidelines (<http://ethics.grad.ucl.ac.uk/forms/guidelines.pdf>) and I recommend that this application be considered by the Chair of the UCL REC.  Yes  No | |
| **Part B**  **I have discussed this project with the principal researcher who is suitably qualified to carry out this research and I approve it. I am satisfied that\*\* (highlight as appropriate):**   1. **Data Protection registration:**  * has been satisfactorily completed * has been initiated * is not required  1. **A risk assessment:**  * has been satisfactorily completed * has been initiated  1. **Appropriate insurance arrangements are in place and appropriate sponsorship [funding] has been approved and is in place to complete the study.**   Yes  No   1. **A Disclosure and Barring Service check(s):**  * has been satisfactorily completed * has been initiated * is not required   **Note:** Links to details of UCL's policies on the above can be found at: <http://ethics.grad.ucl.ac.uk/procedures.php>  **\*\*If any of the above checks are not required please clarify why below.** | |
| Name: |  |
| Signature: |  |
| Date: |  |

Updated March 2019

Updated by History Department to give guidance specific to Oral History Feb. 2020