Ethics Application Form: Student Research

Anyone conducting research under the auspices of the Institute (staff, students or visitors) where the research involves human participants or the use of data collected from human participants, is required to gain ethical approval before starting. This includes preliminary and pilot studies. Please answer all relevant questions in terms that can be understood by a lay person and note that your form may be returned if incomplete.

For further support and guidance please see accompanying guidelines and the Ethics Review Procedures for Student Research or contact your supervisor.

**Before completing this form you will need to discuss your proposal fully with your supervisor(s).**

**Please attach all supporting documents and letters.**

*For all Psychology students, this form should be completed with reference to the British Psychological Society (BPS) Code of Human Research Ethics and Code of Ethics and Conduct.*

# Section 1: Project Details

1. Project title: Enter text
2. Student name: Enter text
3. Supervisor/Personal Tutor: Enter text
4. Department: Enter text
5. Course category (tick one):

PhD/MPhil [ ]

EdD [ ]

MRes [ ]

DEdPsy [ ]

MTeach [ ]

MA/MSc [ ]

ITE [ ]

Diploma (state which) [ ]  Enter text

Other (state which) [ ]  Enter text

1. Course/module title: Enter text
2. If applicable, state who the funder is and if funding has been confirmed: Enter text
3. Intended research start date: Enter text
4. Intended research end date: Enter text
5. Country fieldwork will be conducted in: Enter text

*If research to be conducted abroad please check the* [*Foreign and Commonwealth Office (FCO)*](http://www.fco.gov.uk) *and submit a completed travel risk assessment form (see guidelines). If the FCO advice is against travel this will be required before ethical approval can be granted:* [*UCL travel advice webpage*](http://www.ucl.ac.uk/finance/insurance/travel)

1. Has this project been considered by another (external) Research Ethics Committee?

Yes [ ]

External Committee Name: Enter text

Date of Approval: Enter text

No [ ]  ***go to Section 2***

***If yes:***

* Submit a copy of the approval letter with this application.
* Proceed to Section 10 Attachments.

**Note**: Ensure that you check the guidelines carefully as research with some participants will require ethical approval from a different ethics committee such as the [National Research Ethics Service](http://www.nres.nhs.uk/) (NRES) or [Social Care Research Ethics Committee](http://www.scie.org.uk/research/ethics-committee/) (SCREC). In addition, if your research is based in another institution then you may be required to apply to their research ethics committee.

# Section 2 - Research methods summary (tick all that apply)

[ ]  Interviews

[ ]  Focus Groups

[ ]  Questionnaires

[ ]  Action Research

[ ]  Observation

[ ]  Literature Review

[ ]  Controlled trial/other intervention study

[ ]  Use of personal records

[ ]  Systematic review **– if only method used go to Section 5**

[ ]  Secondary data analysis ***– if secondary analysis used go to Section 6***

[ ]  Advisory/consultation/collaborative groups

[ ]  Other, give details: Enter text

Please provide an overview of the project, focusing on your methodology. This should include some or all of the following: purpose of the research, aims, main research questions, research design, participants, sampling, data collection (including justifications for methods chosen and description of topics/questions to be asked), reporting and dissemination. Please focus on your methodology; the theory, policy, or literary background of your work can be provided in an attached document (i.e. a full research proposal or case for support document). *Minimum 150 words* *required.*

Click or tap here to enter text.

# Section 3 – research Participants (tick all that apply)

1. Will your research involve human participants?

Yes [ ]

No [ ]  (**if ‘No’**, go to Section 4)

1. Who are the participants for this project (i.e. what sorts of people will be involved)? Tick all that apply

[ ]  Early years/pre-school

[ ]  Ages 5-11

[ ]  Ages 12-16

[ ]  Young people aged 17-18

[ ]  Adults please specify below

[ ]  Unknown – specify below

[ ]  No participants

 Enter text

**Note**: Ensure that you check the guidelines carefully as research with some participants will require ethical approval from a different ethics committee such as the [National Research Ethics Service](http://www.nres.nhs.uk/) (NRES) or [Social Care Research Ethics Committee](http://www.scie.org.uk/research/ethics-committee/) (SCREC).

1. If participants are under the responsibility of others (such as parents, teachers or medical staff) how do you intend to obtain permission to approach the participants to take part in the study? *(Please attach approach letters or details of permission procedures - see Section 9)*

Enter text

1. How will participants be recruited (identified and approached)?

Enter text

1. Describe the process you will use to inform participants about what you are doing

Enter text

1. How will you obtain the consent of participants? Will this be written? How will it be made clear to participants that they may withdraw consent to participate at any time?

Enter text

1. **Studies involving questionnaires**: will participants be given the option of omitting questions they do not wish to answer?

Yes [ ]

No\* [ ]

**\*If no**, please explain why below, and ensure that you cover any ethical issues arising from this in Section 8

Enter text

1. **Studies involving observation**: please confirm whether participants will be asked for their informed consent to be observed

Yes [ ]

No\* [ ]

**\*If no**, read the guidelines (Ethical Issues section) and explain why below and ensure that you cover any ethical issues arising from this in section 8

Enter text

1. Might participants experience anxiety, discomfort, or embarrassment as a result of your study?

Yes\* [ ]

No\* [ ]

**\*If yes**, what steps will you take to explain and minimise this?

Enter text

**\*If no**, explain how you can be sure that no discomfort or embarrassment will arise?

Enter text

1. Will your project involve deliberately misleading participants (deception) in any way?

Yes\* [ ]

No [ ]

**If yes**, please provide further details below and ensure that you cover any ethical issues arising from this in Section 8

Enter text

1. Will you debrief participants at the end of their participation (i.e. give them a brief explanation of the study)?

Yes [ ]

No\* [ ]

**\*If no**, please explain why below and ensure that you cover any ethical issues arising from this in section 8

Enter text

1. Will participants be given information about the findings of your study? (This could be a brief summary of your findings in general; it is not the same as an individual debriefing)

Yes [ ]

No\* [ ]

**If no**, why not?

Enter text

# Section 4 - Security-sensitive material (only complete if applicable)

Security sensitive research includes: commissioned by the military; commissioned under an EU security call; involves the acquisition of security clearances; concerns terrorist or extreme groups.

1. Will your project consider or encounter security-sensitive material?

Yes\* [ ]  No [ ]

1. Will you be visiting websites associated with extreme or terrorist organisations?

Yes\* [ ]  No [ ]

1. Will you be storing or transmitting any materials that could be interpreted as promoting or endorsing terrorist acts?

Yes\* [ ]  No [ ]

*\* Give further details in* ***Section 8 Ethical Issues***

# Section 5 – Systematic reviews of research (only complete if applicable)

1. Will you be collecting any new data from participants?

Yes\* [ ]  No [ ]

1. Will you be analysing any secondary data?

Yes\* [ ]  No [ ]

*\* Give further details in* ***Section 8 Ethical Issues***

*If your methods do not involve engagement with participants (e.g. systematic review, literature review)* ***and*** *if you have answered* ***No*** *to both questions,**please go to* ***Section 10 Attachments.***

# Section 6 - Secondary data analysis (only complete if applicable)

1. Name of dataset/s: Enter text
2. Owner of dataset/s: Enter text
3. Are the data in the public domain?

Yes [ ]  No [ ]

***If no,*** *do you have the owner’s permission/license?*

Yes [ ]  No\* [ ]

1. Are the data special category personal data (i.e. personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation)?

Yes\* [ ]  No [ ]

1. Will you be conducting analysis within the remit it was originally collected for?

Yes [ ]  No\* [ ]

1. **If no**, was consent gained from participants for subsequent/future analysis?

Yes [ ]  No\* [ ]

1. **If no,** was data collected prior to ethics approval process?

Yes [ ]  No\* [ ]

*\* Give further details in* ***Section 8 Ethical Issues***

*If secondary analysis is only method used* ***and*** *no answers with asterisks are ticked, go to* ***Section 9 Attachments.***

# Section 7 – Data storage and security

1. Confirm that all personal data will be stored and processed in compliance with the General Data Protection Registration (GDPR). *(See the* [*Guidelines*](https://www.ucl.ac.uk/legal-services/sites/legal-services/files/guidance_paper_for_researchers_0.pdf) *and the Institute’s Data Protection & Records Management Policy for more detail.)*

Yes [ ]

1. 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 protections in compliance with the DPA 2018 and state what these arrangements are below

Enter text

1. Who will have access to the data and personal information, including advisory/consultation groups, and during transcription?

Enter text

**During the research**

1. Where will the data be stored?

Enter text

1. Will mobile devices such as USB storage and laptops be used?

Yes [ ]

No [ ]

\***If yes**, state what mobile devices will be used

Enter text

**After the research**

1. Where will the data be stored?

Enter text

1. How long will the data and records be kept for, and in what format?

Enter text

1. Will the data be archived for use by other researchers?

Yes [ ]

No [ ]

\***If yes**, please provide details

Enter text

# Section 8 – Ethical Issues

Are there particular features of the proposed work which may raise ethical concerns or add to the complexity of ethical decision making? If so, please outline how you will deal with these below.

It is important that you demonstrate your awareness of potential risks or harm that may arise as a result of your research. You should then demonstrate that you have considered ways to minimise the likelihood and impact of each potential harm that you have identified. Please be as specific as possible in describing the ethical issues you will have to address.  Please consider / address ALL issues that may apply from the below.

*Ethical concerns may include, but not be limited to, the following areas:*

* Methods
* Sampling
* Recruitment
* Gatekeepers
* Informed consent
* Potentially vulnerable participants
* Safeguarding/child protection
* Sensitive topics
* International research
* Risks to participants and/or researchers
* Confidentiality/Anonymity
* Disclosures/limits to confidentiality
* Data storage and security both during and after the research (including transfer, sharing, encryption, protection)
* Reporting
* Dissemination and use of findings

Enter text

# Section 9 – Further information

Outline any other information you feel is relevant to this submission, using a separate sheet or attachments if necessary

Enter text

**Section 10 – Face to Face data collection (only complete if you will be collecting face to face data outside of the UK)**

Provide details of your back-up plan for online data collection methods or secondary data analysis, which will be put into action should you need to cease F2F data collection (max 150 words).

Please note that should you need to change your data collection methods due to a change in Covid19 regulations in the country context of your research (for example, if lockdown is re-introduced) you will need to submit to your supervisor:

a) a revised information sheet

b) consent form

c) details of any additional/different risks linked to online data collection.

In cases where back-up plans have to be implemented, students must not proceed with online data collection until they have received written approval (via email) from their tutor/supervisor.

Enter text

# Section 11 – Attachments

Please attach the following items to this form, or explain if not attached:

1. Information sheets and other materials to be used to inform potential participants about the research, including approach letters

Yes [ ]  No [ ]  N/A [ ]

1. Consent form

Yes [ ]  No [ ]  N/A [ ]

1. The proposal for the project

Yes [ ]  No [ ]  N/A [ ]

1. Approval Letter from external Research Ethics Committee

Yes [ ]  No [ ]  N/A [ ]

1. Full risk assessment

Yes [ ]  No [ ]  N/A [ ]

# Section 12 – Declaration

I have read, understood, and will abide by the following set of guidelines:

Yes [ ]  No [ ]

Please select guidelines this project will be abiding by:

BPS [ ]

BERA [ ]

BSA [ ]

Other (please state) [ ]  Enter text

I have discussed the ethics issues relation to my research with my supervisor

Yes [ ]  No [ ]

I have attended the appropriate ethics training provided by my course

Yes [ ]  No [ ]

**I confirm that to the best of my knowledge:**

The above information is correct and this is a full description of the ethics issues that may arise in the course of this project

Name: Enter text

Date: Enter text

**Once complete, please submit your complete ethics forms to your supervisor**

# Notes & References

# Useful links & information

**Professional code of ethics**

You should read and understand relevant ethics guidelines, for example:

[British Psychological Society](https://www.bps.org.uk/news-and-policy/bps-code-ethics-and-conduct) (2018) *Code of Ethics and Conduct*

or

[British Educational Research Association](https://www.bera.ac.uk/wp-content/uploads/2018/06/BERA-Ethical-Guidelines-for-Educational-Research_4thEdn_2018.pdf?noredirect=1) (2018) *Ethical Guidelines*

or

[British Sociological Association](https://www.britsoc.co.uk/media/24310/bsa_statement_of_ethical_practice.pdf) (2017) *Statement of Ethical Practice*

Please see the respective websites for these or later versions; direct links to the latest versions are available on the [Institute of Education Research Ethics webpage](http://www.ucl.ac.uk/ioe/research/research-ethics)

**Disclosure and Barring Service checks**

If you are planning to carry out research in regulated Education environments such as Schools, or if your research will bring you into contact with children and young people (under the age of 18), you will need to have a Disclosure and Barring Service (DBS) CHECK, before you start. The DBS was previously known as the Criminal Records Bureau (CRB)). If you do not already hold a current DBS check, and have not registered with the DBS update service, you will need to obtain one through UCL.

Ensure that you apply for the DBS check in plenty of time as will take around 4 weeks, though can take longer depending on the circumstances.

**Further references**

Robson, Colin (2011). *Real world research: a resource for social scientists and practitioner researchers* (3rd edition). Oxford: Blackwell.

This text has a helpful section on ethical considerations.

Alderson, P. and Morrow, V. (2011) *The Ethics of Research with Children and Young People: A Practical Handbook.* London: Sage.

This text has useful suggestions if you are conducting research with children and young people.

Wiles, R. (2013) What are Qualitative Research Ethics? Bloomsbury.

A useful and short text covering areas including informed consent, approaches to research ethics including examples of ethical dilemmas.

# Departmental use

If a project raises particularly challenging ethics issues, or a more detailed review would be appropriate, the supervisor must refer the application to the Research Development Administrator via email so that it can be submitted to the IOE Research Ethics Committee for consideration. A departmental research ethics coordinator or representative can advise you, either to support your review process, or help decide whether an application should be referred to the REC. If unsure please refer to the guidelines explaining when to refer the ethics application to the IOE Research Ethics Committee, posted on the committee’s website.

Student name: Enter text

Course: Enter text

Project Title: Enter text

**Reviewer 1**

Supervisor name: Enter text

Supervisor comments:

Enter text

Supervisor/first reviewer signature: Enter text

Date: Enter text

**Reviewer 2**

Advisory committee/course team member name: Enter text

Advisory committee/course team member coments:

Enter text

Advisory committee/course team member signature: Enter text

Date: Enter text

**Decision on behalf of reviewers**

Approved [ ]

Referred back to applicant and supervisor [ ]

Referred to the REC for review [ ]

**Recording**

Recorded in the student information system[ ]

Once completed and approved, please send this form and associated documents to the relevant programme administrator to record on the student information system and to securely store.

Further guidance on ethical issues can be found on the UCL Institute of Education Research Ethics Committee website