SREP\_Appn\_Explanatory\_RevJul16

**THE UNIVERSITY OF HUDDERSFIELD**

**School of Human and Health Sciences – School Research Ethics Panel (SREP)**

**OUTLINE OF PROPOSAL**

**Please complete and return via email to:**

**Kirsty Thomson SREP Administrator: hss\_srep@hud.ac.uk**

Name of Applicant:

Title of Study:

Department: Date Sent:

|  |
| --- |
| Please provide sufficient detail below for SREP to assess the ethical conduct of your research. For some sections you may simply refer to attached documents, though it may be relevant to explain how these documents address particular ethical issues in your study. Throughout your application please explain how you are weighing up and addressing ethical issues, rather than assuming this is self-evident. Where your research involves tricky ethical issues or balancing opposing ethical principles, then feel free to cite and explain ethics codes or previous literature that support your proposed methods. |
| Researcher(s) details | Please state your name and whether you are a student, a member of staff undertaking a programme of study or a member of staff undertaking a research project that is not part of a research degree. |
| Supervisor(s) details | Please name your supervisors here if you are undertaking the research as part of a programme of study. |
| **All documentation has been read by supervisor (where applicable)** | Please confirm. This proposal will not be considered unless the Supervisor has completed a Supervisor Report (Report Form downloadable from the SREP website) confirming that (s)he has read all documents and supports their submission to SREP.  The completed Supervisor Report must accompany the SREP Application.  |
| Aim / objectives | Please state clear aims and objectives of your planned research. However, there is no need for a full explanation of how the rationale for your aims is linked to background literature. *Although reviewers are not primarily concerned with methodological issues, they will want to see that it is possible to meet your aims with the methods you propose and that you have a valid rationale for your study so that participants’ time will not be wasted. The focus should be on explaining your study, rather than on explaining previous literature.* |
| Brief overview of research methods | Please provide a brief overview of the methods you intend to use. The emphasis should be on what will happen to participants, rather than on methodological or epistemological underpinnings. At the end of reading this section SREP should understand not only your design but also the experience of your participants. Your methods should be appropriate to your aims, though there is no need for lengthy justification of methodology.*NB Postgraduate researchers – please note an SREP application is unlike other pieces of writing you will complete during your course of study. SREP is not assessing your command of the literature or your grasp of the complexities of methodology. SREP is concerned only with the ethical conduct of your research. There is usually no need for references unless you wish to cite particular ethical guidelines that are important for explaining your approach to managing ethical issues. This section and the above section should be as succinct as possible and provide only the information necessary to explain to SREP what you are aiming to do, why and how.* |
| Project start date | Please provide the proposed project start date.  |
| Project completion date | Please provide the project end date. This is not the date at which the data collection concludes, it is the anticipated project completion date. We are aware that this can change, but please give an estimate. |
| Permissions for study | Where possible, please confirm here that you have received the appropriate management and other permissions for undertaking the project if you are entering an organisation to undertake data collection or recruit participants. It is helpful if you can include evidence (e.g. emails or letters) that you have permission for recruiting from any host organisation, subject to approval from SREP. This includes the need to evidence permission from course/divisional leaders for inviting students at the University of Huddersfield to participate in research, or permission to recruit via SONA (Psychology division scheme for student participation in research). If a host organisation is not prepared to give permission for your research until you have ethical approval, then SREP will be able approve your research subject to later receipt of evidence of permissions from the organisation. However, you will not be able to collect data until SREP has received this evidence. For NHS research, management approvals will not be available at this stage as the IRAS application will be submitted *after* your SREP application.*Reviewers will note any conditions that are imposed in a permission letter (e.g. any limits on confidentiality imposed by the host organisation) and will want to see that you plan to meet these conditions in the documents and application form that you submit to SREP.* If you are simply planning to ask organisations to post an advert for your research and take no other part in data collection or recruitment, then it is not necessary for SREP to see a letter of permission as the organisation you eventually approach will retain the choice as to whether or not they distribute your advert. However, if you are hoping to display adverts yourself within the organisation or ask employees to approach potential participants on your behalf, then you should seek permission from the organisation, and where possible this should be in advance of your SREP application.*Where you are recruiting participants via a host organisation it is a good idea to discuss your recruitment procedures and research methods with them in some detail before applying to SREP (but let them know your study is subject to ethical approval) so that they can confirm they agree to you proceeding in the manner you propose. If an organisation asks for changes to your procedures after you have gained SREP approval, you will then need to apply to SREP to have your revisions approved.* |
| Access to participants and recruitment | Please explain your recruitment procedures and how you will access and approach participants. Will you invite participation directly or will you approach participants via a gatekeeper? The section above and accompanying documentation should show clearly that you have permission from any host organisation to access participants in the manner proposed in this section. *Reviewers will need to be clear about your means of approach e.g. the point at which participants are given an information sheet and whether this is via email, post, face-to-face or via a 3rd party. You will also need to explain who participants will inform that they want to take part in the study and how they will convey this (a contact number / a tear-off slip?).* *Reviewers will want to see that participants have time to make an informed decision on participation and that any approach via a 3rd party will not compromise informed consent (e.g. feeling under pressure to participate) or compromise confidentiality (e.g. 3rd party distributing & collecting questionnaires where answers are visible).* *Where parental consent is required, please explain how this will be obtained and show clearly the order in which assent from the young person and parental consent will be obtained. Similarly, please give careful consideration to how you will approach recruitment of those who may have limited or fluctuating capacity to consent, or be incarcerated, and whether gatekeepers will be approached first.* If you plan to use any adverts or flyers to generate initial interest from participants, then please include these with your application.  |
| Confidentiality | Please explain your approach to confidentiality. Please consider carefully any limitations you may need to impose on guarantees of confidentiality. For example, if you are collecting data from a group where you would be obliged to report issues they might mention, for example related to safeguarding children, you must show this clearly on your application form and information for participants.*Reviewers will be checking whether your information sheet and consent form make any limits on confidentiality crystal clear to participants (considering their age and likely reading comprehension), so participants know ahead of time exactly what they can and cannot discuss freely and confidentially with the researcher. For example you might explain that personal information will remain confidential unless they say that they or anyone else is at risk of serious harm or unless they reveal a criminal offence for which they have not been convicted, though these examples are not exhaustive and may not apply to your study. (Please see additional guidance on researchers’ obligations to disclose criminal activity). Clear information should also be provided about who the researcher would pass any information to.*Please also explain any measures you will put in place to prevent confidentiality being compromised while data is collected e.g. the location of interviews. *This will need some consideration for remote interviews e.g. Skype, phone, email.* Additionally, please consider how you will maintain confidentiality when storing data and explain this in the ‘data storage’ section below. |
| Anonymity | Please explain how you will maintain anonymity in your report of your findings, for example:• Will names be anonymised by the use of pseudonyms or numbers?• Will places be anonymised by giving them a different name andchanging the location?If you are not offering participants anonymity, please explain why not.*Where research is taking place within a small organisation, also consider whether others within the organisation could recognise participants from quotes you include in a final report. In this case you may wish to give participants the right to review their transcripts before analysis in order to check whether there is anything they don’t want quoting in a report. You might also consider writing your statement about anonymity so that it explains that although names etc will be changed, quotes will be included in a report made available to the organisation and it is possible that someone within the organisation will recognise the participant. Therefore the participant is consenting to take part with full understanding of possible limits to anonymity.* |

|  |  |
| --- | --- |
| Right to withdraw | Please explain whether you are offering your participants a right to withdraw from the study and/or to withdraw their data from the study, and how this will take place. If you are not offering a right to withdraw, please explain why not. *Reviewers will consider the clarity of the information to participants about withdrawal and whether this distinguishes clearly between the right to withdraw during data collection, the right to decline to answer certain questions and the right to withdraw data after it has been collected. Any right to withdraw data afterwards should indicate the time point at which it will no longer be possible to withdraw data. If data is collected anonymously you will need to explain to reviewers and participants how you will identify an individual’s data if you plan to give the right to withdraw (a code?). Alternatively, where data is such that participants are unlikely to have strong feelings about disclosure and be unlikely to wish to withdraw it, you may consider it preferable to preserve anonymity by informing participants beforehand that they will not be able to withdraw their data once it is submitted.* |
| Data Storage | The section should explain both *how* your data will be stored, with consideration of how you will maintain confidentiality, and the length of storage time. For example:• Will any electronic data be encrypted or password protected?• Will all information be kept in a locked drawer?• Who will have access to the data?• How will data be stored during transit?The University now recommends that data is stored for 10 years to aid transparency and integrity of research. Please explain who will act as custodian of the data and justify any decision to store for more or less than 10 years.*We recognise that there may be good reasons for storing some of the more sensitive data collected in the School of Human & Health Sciences for less than 10 years e.g. data collected via interviews about topics which participants may consider highly personal. When specifying a length of time for which data is stored, please consider where and how it will be stored and for how long you or your supervisor could be confident of ensuring that it is stored securely.* |
| Psychological support for participants | What support is available for participants should they require it during the data collection period? This may include the University’s counselling service; employee support within a host organisation; prior arrangement with practitioners (e.g. key workers, teachers) in a host organisation; or helplines available to the general public.*Please think carefully about this. If the Samaritans' phone number is automatically given out for every study then ‘support’ becomes rather meaningless. If there is no reasonable expectation of need for support after participation in the study then explain to SREP why support is not necessary. If there may be a need for support then consider carefully the most appropriate source of support, whether information about support will be supplied to everyone taking part and the form in which the information will be supplied. It is not generally a good idea for a researcher to rely on their ability to recognise that a particular participant needs support (reactive support). It is usually better to offer information on support proactively. If you plan to offer support information reactively instead, then please explain why.* |
| Researcher safety / support (attached completed University Risk Analysis and Management Form) | Unless there are no identifiable risks, you must complete a University Risk Analysis and Management Form and this must accompany the application to SREP. This form will also indicate that you have considered any risk to yourself. You will need to be clear where, for example, interviews will take place and who you will inform as to your whereabouts. This might, for example, include calling the nominated person when you have completed your interviews. You should also consider how you will mitigate risk of data loss, risk of distress and any other risks involved in experimental procedures. *Risks which are already present within the University environment and are not exacerbated by the research procedures do not need including on the risk assessment form (e.g. eye-strain working at a PC, tripping over cables already present).* |
| Information Sheet | Information Sheets should be provided for any person whom you wish to be involved in your project and might include:• Participants Information Sheet• Managers Information Sheet• Information for family / CarersThey should be printed on University of Huddersfield headed paper and include contact details for the researcher and, where relevant, the supervisor. Please provide version number and date on the information sheets as a header or footer. Any revisions to the information sheet following SREP approval should be resubmitted to SREP for further approval. This revised version should then carry a new version number and date.*Please think carefully about the reader’s prior assumptions and ability to comprehend written information. At the end of reading the information sheet participants should be completely clear about what they are being asked to consent to. It is often a good idea to get a lay person to read the information sheet to identify any phrases which are discipline-specific and not immediately understandable. Where participants are drawn from a group with particular difficulties comprehending written information then it is useful to ask someone familiar with this group to check the information sheet. Please consider any need for translation of documents for participants whose first language is not English. If your study has no funding for translation or interpreters, please explain why not.**If you have different groups of participants taking part in different elements of the study, or taking part in different contexts, then it may be best to produce several bespoke information sheets. Similarly, it may be useful to have separate information sheets for parents and children, with simpler language and less information on the children’s sheet. If you are including 16-18 year olds for whom you are not seeking parental consent, you could consider including a suggestion on the information sheet that they may find it helpful to discuss the study with a parent or other adult before they decide whether or not to take part.* *Unless participation places very low demands on participants (e.g. ticking a few non-contentious check boxes), then information about the study should be provided in advance of their participation in order for them to have sufficient time to decide whether or not to take part. It is not acceptable, for example, to recruit using a very brief advert and then provide a full information sheet about complex experimental procedures once the participant arrives for the experiment and feels too obliged or embarrassed to withdraw. If advance provision of information is not possible, then please explain why not and any additional measures you are using to ensure participants do not feel under pressure to participate.**If you are conducting online research using a survey, please do not submit a written information sheet to SREP if you will not be using one. Instead, show us any recruitment emails that you will send out, and show us the information about the study that you will provide at the beginning of the survey.*  |

|  |  |
| --- | --- |
| Consent and content form | A Consent Form is available on the SREP website. Guidance on producing information sheets and consent forms is also available on the Health Research Authority's website at: <http://www.hra.nhs.uk/resources/before-you-apply/consent-and-participation/consent-and-participant-information/>Please provide version number and date on consent form as a header or footer. Please also refer to the version number and date of the information sheet so that it is clear what the participant has agreed to. Any revisions to the consent form following SREP approval should be resubmitted to SREP for further approval. This revised version should then carry a new version number and date. Consent forms should also be on University of Huddersfield headed paper.*Reviewers will be checking that your consent form matches your information sheet with regard to issues such as rights to withdraw, any limits to confidentiality, data storage, and data use. If parental consent is being sought please ensure there is a clear place for parents to sign and consider producing separate consent and assent forms for parents and children.*Obtaining consent that is sufficiently informed is complex and requires considerable thought about the perspective of potential participants. Please read the following sections carefully where they are relevant to your project.*Consent when contact with participants is remote or via questionnaires**For any research where you will not have direct contact with your participants (e.g. Skype or email interviews, internet survey) explain how you will ask your participants to indicate consent. For example, it may be appropriate to include tick boxes at the beginning of a survey which participants need to check before they can move on to the rest of the survey. Tick boxes may also be used for paper questionnaires. It is not necessary to ask the participant to tick that they consent to take part as consent is self-evident from their completion of the questionnaire. However, it is good practice for participants to tick to indicate that they know how data will be stored and used and that they consent to this and that they know whether data will be confidential and/or anonymous. For Skype or email interviews where consent forms are returned by email, you should make it clear to participants how they indicate consent on the form. Do not ask them for a signature unless you think your participants will all have access to an electronic signature. Please also consider any issues around obtaining parental consent via email. How will you ensure this is the parent responding and could you obtain consent by some other means?**Consent and data collected from group observation**Where observational data is being collected in a group environment you will need to explain to reviewers how you will manage a situation where some individuals within the group (or their parents/carers) consent to the research and some do not. You should distinguish between consent to take part in the group activity (e.g. school lesson, workplace activity) which may not be needed if this is part of usual activities in agreement with a host organisation, and consent for research data to be collected. Researchers may agree not to collect data about some members of the group, though exactly how this will work will need explaining fully to SREP and participants and will need agreeing with any host organisation. Applicants should demonstrate to SREP that the research will not impact negatively on anyone who does not wish to take part.**Consent & publicly available data**If data is to be collected in a public environment it may not be necessary to obtain individual consent from participants if they would expect to be observed by strangers. If you consider this to be the case then please explain fully to SREP why you argue that this is a public environment and check ethics codes/guidelines (e.g. British Psychological Society) to inform your thinking about what is and is not reasonable to observe. Explain any resulting limits to your observations to SREP. Where data is collected from an internet forum, please give careful consideration to whether participants would consider their conversation to be taking place in public. If you consider the forum to be clearly ‘public’ and therefore do not consider it necessary to obtain the consent of those posting, then explain your reasons for this to SREP and explain why it is unlikely that there could be any negative consequences for the poster of your use of their post. If a forum requires membership then it is unlikely that those posting will consider it a public environment and you should usually seek consent to use the data both from those posting and from the forum moderator / owner. Consent should also be obtained if you considered that the person posting might suffer negative consequences from your use of their post.**Capacity to consent**Parental consent or consent from someone acting in locus parentis should generally be sought for children up to their 16th birthday unless there are very strong reasons for assuming that seeking consent from a parent or guardian would be damaging to the child’s wellbeing (e.g. where the research takes place in a sexual health service that deems potential participants to be Gillick competent i.e. able to give their own consent to treatment, without requiring parental consent). Full justification should be provided for not seeking parental consent for under 16s, considering both potential risks and benefits to the child and parents and referring to appropriate ethical guidelines (e.g. National Children’s Bureau). For participants who are between their 16th and 18th birthdays, researchers should consider carefully whether the young person can provide their own consent, weighing up the risks of this (e.g. of misunderstanding information or finding it difficult to say ‘no’ to an adult researcher) against benefits (e.g. increased autonomy of the young person). Any potential risks of the research procedures should also be considered. You should explain to SREP clearly how you have weighed up these concerns and what your rationale is for seeking or not seeking parental / guardian consent for 16-18s.**If participants may not have the capacity to consent to the research for other reasons (e.g. dementia, learning disability), then please explain how you will determine capacity to consent, particularly if this is likely to fluctuate. For example perhaps you could include consultation with a gatekeeper about capacity within your recruitment procedures but also revisit the decision yourself at the point of engaging the person in the research. Also explain whether you would allow someone else to consent on behalf of someone deemed not to have the capacity to consent and your rationale for assuming that this person can be considered to represent the participant’s interests, weighing up risks and benefits to this. Please refer to the Mental Capacity Act where relevant.* |
| Letters / posters / flyers | Any written information that you intend to distribute in relation to your research project must be included for the reviewers to see. *This includes letters of invitation to participants; letters to stakeholders e.g. managers, care workers involved in recruitment; letters explaining where interviews will be held, and materials advertising the research etc.* *If you are asking others to act as gatekeepers and recruit participants on your behalf (as agreed with managers), it is good practice to provide them with a full information sheet about the study and your contact details for any concerns they have.* All written materials should have University of Huddersfield logo, e.g. as a letterhead.  |

|  |  |
| --- | --- |
| Questionnaire / Interview guide | Please include the questionnaire or interview guide (also known as interview schedule) that you will be using to collect your data if applicable. For semi-structured or unstructured interviews it is acceptable to provide an indication of the topics that are likely to be covered. However, please ensure that your participants are also aware that they are consenting to take part in an interview where the exact questions cannot be predicted and that they have the right to decline to answer questions.*NB If you will be devising a questionnaire or interview for a second part of your project based on information gained in the first part of the project it is usually better to submit two separate SREP applications. It is very difficult for reviewers to make a decision about the ethical conduct of your research if they cannot see the kinds of questions that will be asked of participants.* |
| Dissemination of results | This will include planned publications in journals, books, university repository, reports to agencies or the internet. If the research is part of a programme of study you should state that the data will be presented in your dissertation/thesis. |
| Identify any potential conflicts of interest | Please identify if this research project has been funded by an outside agency. Identify if the research project will include participants with whom you work or teach etc and how you will manage any potential conflicts of interest. *Research by academic staff with students as participants will need careful consideration. Please explain how you will ensure students do not feel obliged to take part. Where the research involves evaluating teaching activities, please explain clearly to reviewers which activities are already required of participants as part of their course and which activities are additional voluntary research participation needing consent. Information provided for participants should also make this distinction clear and be phrased carefully so that there is no impression given that they are being asked for consent to take part in teaching which is already part of their course.* |
| Does the research involve accessing data or visiting websites that could constitute a legal and/or reputational risk to yourself or the University if misconstrued? Please state Yes/No If Yes, please explain how you will minimise this risk  | Please state whether or not your research involves accessing data or visiting websites that could constitute a legal or reputational risk to you or the University if misconstrued. Examples of this include accessing information or visiting websites that include images of child abuse or adult pornography. It is essential that you minimise this risk by informing your Supervisor or Line Manager of the intended research and, if this includes online data, ensuring that you inform IT services of this anticipated risk.  |

|  |  |
| --- | --- |
| Is the research commissioned by, or on behalf of the military or the intelligence services? Please state Yes/No If Yes, please outline the requirements from the funding body regarding the collection and storage of Security Sensitive Data  | This question relates to guidance contained within the University UK Guidance regarding security sensitive data. You are advised to read this before completing this section of the application Form. <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/oversight-of-security-sensitive-research-material.pdf>If you have stated Yes, you are likely to have been required to outline details regarding the collection and storage of data for the funding council. Please provide details in this section.  |
| Is the research commissioned under an EU security call?Please state Yes/No If Yes, please outline the requirements from the funding body regarding the collection and storage of Security Sensitive Data  | This question relates to guidance contained within the University UK Guidance regarding security sensitive data. You are advised to read this before completing this section of the application Form. <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/oversight-of-security-sensitive-research-material.pdf>If you have stated Yes, you are likely to have been required to outline details regarding the collection and storage of data for the funding council. Please provide details in this section. |
| Does the research involve the acquisition of security clearances? Please state Yes/No If Yes, please outline how your data collection and storages complies with the requirements of these clearances  | This question relates to guidance contained within the University UK Guidance regarding security sensitive data. You are advised to read this before completing this section of the application Form. <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/oversight-of-security-sensitive-research-material.pdf>You are asked to provide details regarding those clearances within this section and explain how you are complying with the requirements of these clearances.  |
| Does the research concern terrorist or extreme groups?Please state Yes/NoIf Yes, please complete a Security Sensitive Information Declaration Form | This question relates to guidance contained within the University UK Guidance regarding security sensitive data. You are advised to read this before completing this section of the application Form. <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/oversight-of-security-sensitive-research-material.pdf>**If your research does relate to terrorist or extreme groups, you are required to complete a Security ‘Sensitive Information – Declaration Form’** and to submit this with your SREP application form.  |
| Does the research involve covert information gathering or active deception?Please state Yes/No | This section allows the SREP Chair and Deputy Chair to make a decision regarding the level of risk involved in the research. Please state here whether the research will involve covert information gathering or active deception of participants. If you have answered yes to this then provide a justification for withholding aspects of your research from participants and explain what debriefing you will provide after the research. |

|  |  |
| --- | --- |
| Does the research involve children under 18 or participants who may be unable to give fully informed consent?Please state Yes/No | This section allows the SREP Chair and Deputy Chair to make a decision regarding the level of risk involved in the research.Please state the age range of your participants and/or whether they are unable to give fully informed consent to taking part in the research. Further information about your procedures for recruiting participants whose capacity to consent cannot be assumed should be provided under ‘access’ and ‘consent’ above. |
| Does the research involve prisoners or others in custodial care (e.g. young offenders)?Please state Yes/No | This section allows the SREP Chair and Deputy Chair to make a decision regarding the level of risk involved in the research.Please state whether your research includes prisoners or those in custodial care such as a Young Offenders Institute. |
| Does the research involve significantly increased danger of physical or psychological harm or risk of significant discomfort for the researcher(s) and/or the participant(s), either from the research process or from the publication of findings?Please state Yes/No | This section allows the SREP Chair and Deputy Chair to make a decision regarding the level of risk involved in the research.Please state whether the research itself or the publication of the findings are likely to pose a significant risk of physical or psychological harm or discomfort for the participant or the researcher.  |
| Does the research involve risk of unplanned disclosure of information you would be obliged to act on?Please state Yes/No | This section allows the SREP Chair and Deputy Chair to make a decision regarding the level of risk involved in the research.Please state whether you believe there to be any risk of unplanned disclosure of information you would be obliged to act on as part of the research. For example, interviews with children on personal topics may risk disclosure of safeguarding issues and interviews with offender groups may carry a risk of disclosure of planned criminal activities. Please ensure you have discussed any limits to confidentiality fully in the confidentiality section above and in your information for participants.  |
| Other issues | Please include here any issues that you believe are relevant to the project and that the reviewers should be aware of. There may be ethical issues raised by your methods that don’t fit easily under one of the boxes above. Additionally, if your research takes place in an unusual context that reviewers are unlikely to be familiar with, some additional information about the context and the implications for research ethics could be discussed here.If your methods involve direct contact with participants from whom you will collect sensitive data, it may be useful to explain something here about your own experience and qualifications which will equip you to handle this sensitively. This is particularly important if you are proposing to conduct research with a group such as children or people with learning disabilities where specialist communication skills may be needed, or where you are inviting participants to discuss a topic that may be distressing. |

|  |  |
| --- | --- |
| Where application is to be made to NHS Research Ethics Committee / other external agencies e.g. National Offender Management Scheme | Specify NHS REC documents included with application. If NHS ethical or research governance approval is required, you will need to complete an IRAS application available at: https://www.myresearchproject.org.uk/ |
| **Please supply copies of all relevant supporting documentation electronically. If this is not available electronically, please provide explanation and supply hard copy**  |

**All documentation must be submitted to the SREP Administrator. All proposals will be reviewed by two members of SREP.**

**If you have any queries relating to the completion of this form or any other queries relating to SREP’s consideration of this proposal, please contact the SREP Administrator (Kirsty Thomson) in the first instance – hhs\_srep@hud.ac.uk**