**HRC School of Law and School of Social Science, SWANSEA UNIVERSITY**

**FULL ETHICAL REVIEW FORM**

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| **Name of PI or Student** |  |
| **Email of PI or Student** |  |
| **Staff/PhD/Post-Doctoral Researcher/Postgraduate Taught (Level M)/Undergraduate** |  |
| **Faculty/College/Department** |  |
| **Co-applinats Name(s)**  **and Email** |  |
| **Supervisors\*** |  |
| **Date Submitted** |  |
| **Title of Project** |  |
| **Name of Funder / Sponsor\*** |  |
| **AMS Number**  **(if funded project)** |  |
| **Finance Code / Reference\*** |  |
| **CLC-REC Reference Number** |  |
| **Duration of Project** |  |

\* *Complete if appropriate*

***✓ Tick*** *those boxes which apply*

🞏 Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited? (e.g. students at school, members of self-help group or residents of nursing home?)

Does the research involve members of the public in a research capacity (e.g. participant research)?

🞏 Is there a possibility that the safety of the researcher may be in question? (e.g. in international research: locally employed researchers)

🞏 Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?

🞏 Will it be necessary for participants to take part in the study without their knowledge and consent at the time? (e.g. covert observation of people in non-public places)

🞏 Will the research involve respondents to the Internet or other visual/vocal methods where respondents may be identified?

🞏 Will *research* involve the sharing of data or confidential information beyond the initial consent given?

🞏 Will financial *inducements* (other than reasonable expenses and compensation for time) be offered to participants?

🞏 Are drugs, placebos or other substances (e.g. foods or vitamins) to be administered to study participants, or will the study involve invasive, intrusive or potentially harmful procedures of any kind? (If any substance is to be administered, this **may** fall under the auspices of the Medicines for Human Use (Clinical Trials) Regulations 2004, and require review by the NHS NRES.)

🞏 Is pain or more than mild discomfort likely to result from the study?

🞏 Will the study involve prolonged or repetitive testing?

🞏 Other significant ethical issues or concerns?

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| ***Declaration:*** *The project will be conducted in compliance with the ethical policy of the University and the College. This includes securing informed consent from participants, minimizing the potential for harm and compliance with data-protection obligations. Any significant change in the purpose, design or conduct of the research will be reported to the Chair of the CLC-REC and, if appropriate, a new application for ethical approval will be made to the CLC-REC.* | |
| **Signature of PI or Student** |  |

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| 1. Briefly describe **in 500 words** the main aims of the research you wish to undertake, including a statement of the intended benefits of the research. Please use non-technical language wherever possible. |
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| 1. Indicators of risk questions | | |
| Is the research been undertaken in the NHS? Is it healthcare research? | If yes, please note that any Healthcare research has to be undertaken in accordance with the Healthcare Research Authority guidelines  <https://www.hra.nhs.uk/>  If the answer to the question is yes, then please contact [researchgovernance@swansea.ac.uk](mailto:researchgovernance@swansea.ac.uk) for further advice and guidance | Further details |
| 1. Is the research being led by another UK institute? 2. Is the research being undertaken in another country | If yes, then the ethics review procedure of the lead institution should apply. Please provide name and main contact details of the partner institute.  If yes, please provide details /outcomes of any ethics application in the country in which data collection is to be undertaken. |  |
| Does the research involve human tissue? | If yes, then the Human Tissue Authority protocols must be followed. Please contact [researchgovernance@swansea.ac.uk](mailto:researchgovernance@swansea.ac.uk) for further information and guidance. |  |
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| 1. Briefly describe the overall design of the project |
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| 1. Briefly describe the methods of data collection and analysis. Please describe all measures to be employed. If questionnaire or interviews are to be used, please provide the questionnaire / interview questions and schedule – if available. |
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| 1. Location of the proposed research (i.e., Departmental labs, schools, etc) |
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| 1. Describe the participants: information on participants should be included like age, vulnerabilities, cultural sensitivities and other identifying characters   Risk assessment matrix should be enclosed and information that requirements of Disclosure & Barring Services checks have been met. Please consult the University DBS guidance |
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| 1. How will the participants be selected and recruited?   Impact and aspects of unconscious bias must be considered in the selection of participants for research) | | |
| Will informed consent be obtained from participants? How do you plan to obtain informed consent? | <https://staff.swansea.ac.uk/media/P1415-956-Research-Integrity---Policy-Framework-updated-Jan-2020.pdf>)  If yes, then please provide a copy of the consent form. Consent forms should contain the details of the Principle Investigator (PI) and an alternative contact. The contact details (email address) for making complaints should also be included in the consent form or [researchintegrity@swansea.ac.uk](mailto:researchintegrity@swansea.ac.uk) should be used as the default email address.  If no, then explain and justify why you will not be obtaining informed consent. |  |
| Have participants been given enough time to permit making an informed decision? Are eligibility criteria clearly set out? |  |  |
| Is there any possibility of coercion? Are there any ‘power’ relationships where the participants are known to the researcher either personally or professionally? Have these relationships been recognised and steps taken to avoid or taken into account?  Will financial/in kind payments be offered to participants?  Is the intention to share research findings with participants? Consider options for informing participants. | If yes, then how has this been addressed?  If no, then provide evidence that there is no conflict of interest.  If yes, then kindly specify the type and kind of payment with reasons. |  |
| Does the research involve potentially vulnerable participants:  (e.g. People whose competence to exercise informed consent is in doubt, like children under 18, people who lack mental capacity, people who suffer from psychiatric or personality disorders, people who may have only elementary knowledge of the language in which the research is conducted, people who are frail or in poor health, people with disabilities etc.) | If yes, then please read the University Policy on undertaking research with Vulnerable Adults and University Policy of working with Children and Young people included in the Research Integrity Policy Framework  (<https://staff.swansea.ac.uk/media/P1415-956-Research-Integrity---Policy-Framework-updated-Jan-2020.pdf>)  and provide evidence of how any issues arising within the policies may have been addressed.  Researchers are expected to undertake the online training on Safeguarding by contacting the Research Integrity Manager [researchintegrity@swansea.ac.uk](mailto:researchintegrity@swansea.ac.uk) |  |

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| 1. What procedures (e.g., interviews, computer-based learning tasks, etc.) will be carried out on the participants? |
| 1. What potential risks to the participants do you foresee and how do you propose to ameliorate/deal with potential risks? |
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| 1. What potential risks to the interests of the researchers do you foresee and how will you ameliorate/deal with potential risks? |
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| 1. How will you brief and debrief participants? *(Please attach copy of debrief information to be given to participants)* |

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| 1. Will informed consent be sought from participants? | Yes *(Please attach a copy of the consent form)* YES |  |
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| *If no, please explain below:* | | |

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| 1. How will consent be recorded? |
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| 1. Will participants be informed of the right to withdraw without penalty? | Yes YES |  |
| No |  |
| *If no, please detail the reasons for this:* | | |

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| 1. How do you propose to ensure participants’ confidentiality and anonymity? |
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| 1. Is it research security sensitive?   (Does the research involve groups that are on the Home Office list of 'Prescribed terrorist groups or organisations) | A list of terrorist groups is available here: (<https://www.gov.uk/government/publications/proscribed-terror-groups-or-organisations>)  If yes, then the **PREVENT** Lead for the University to be notified.  Please consult <https://staff.swansea.ac.uk/media/Swansea-University-Prevent-Policy.pdf> |  |

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| 1. Will the research involve accessing potentially dangerous and/or illegal internet sites? | If yes, then please contact University Information Security Manager. <https://staff.swansea.ac.uk/it-services/infosec/> |  |

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| 1. Will the research involve highly sensitive topics (e.g. race, ethnicity, political opinion, trade union membership, religious, spiritual or other beliefs, physical or mental health conditions, sexual orientation or sex life, abuse (child, adult), nudity and the body, criminal or illegal activities, political asylum, conflict situations, personal violence, personal finances, genetics, biometrics (where this is used to identify someone)   (**To note**: Researchers are expected to be mindful of cultural sensitivities (including times chosen to collect data) while conducting research particularly in a foreign land). | If yes, then a review of the ‘risks of the research’ will have to be undertaken.  Policies to be consulted:  GDPR and Research data protection,  assessing ethical risks,  Legal and HR policies.  Please contact the following webpages for further information:  <https://staff.swansea.ac.uk/professional-services/vco/data-protection/>  <https://staff.swansea.ac.uk/professional-services/vco/legal-services/> |  |

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| 1. Will the research involve culturally sensitive objects or artefacts? | If yes, then contact the legal services department <https://staff.swansea.ac.uk/professional-services/vco/legal-services/>  or email [legalservices@swansea.ac.uk](mailto:legalservices@swansea.ac.uk) |  |

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| 1. Fieldwork security risks: Have relevant Health & Safety risks and harm to researchers and participants been considered for fieldwork research? What potential risks to the participants do you foresee and how do you propose to ameliorate/deal with potential risks? | If yes, then attach risk assessment, travel safety and security form. Please provide details of how physical, emotional and psychological risks of research to both the participant and the researcher have been considered with methods and processes for mitigating such risks. |  |

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| 1. Will the research involve animals or any interventions on animals? | If yes, then please contact the AWERB representative (AWERB = interventions with live animals on the campuses or in the field) [erp@swansea.ac.uk](mailto:erp@swansea.ac.uk) |  |

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| 1. Will the research involve Biological or Genetically Modified organisms? | If yes, then kindly provide details of the type of modified organism. In case of queries, contact either the Chair of the Faculty /College/Department Ethics committee or email your query to [researchgovernance@swansea.ac.uk](mailto:researchgovernance@swansea.ac.uk) |  |

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| 1. Will the research have any environmental impact? | If yes, then provide details of the level and kind of expected environmental impact of the research, and contact the Faculty/Department Health & Safety Committee for further guidance. (Mailto: [healthandsafety@swansea.ac.uk](mailto:healthandsafety@swansea.ac.uk)) |  |

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| 1. Is this pedagogic research?   (Definition of pedagogic research: Research into the processes and practices of learning, teaching and assessment, which may involve systematic empirical research as well as contributions to pedagogic theory (<https://www.heacademy.ac.uk/blog/higher-education-teachers-pedagogic-researchers>). | If yes, then get the research ethically approved by the relevant Faculty/College Department REC. |  |

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| 1. Will research participants be used as co-researchers? | If yes, then kindly provide details of how consent will be negotiated and authorship for future publications agreed. |  |

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| 1. Is this research on Artificial Intelligence?   (Definition: "artificial intelligence" is used to describe intelligence exhibited by machines (or computers) which is unlike the intelligence displayed by humans and animals) | If yes, then get approval of the research by the Faculty/College/School Research Ethics committee. |  |

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| 1. Have you and your co-researchers undertaken the University Research Integrity online training? | If yes, then provide a copy of completion certificate with date. If no, then undertake training and provide evidence via logging onto Canvas <https://canvas.swansea.ac.uk> Statutory & Essential Training. |  |

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| 1. Is the personal data used for the research a pre-existing data set or already anonymised? Will there be any additional security measures required that relate to collection, access and storage of the data? Has permission to use the data been obtained from the owner/authority prior to use? | If yes, to any of the questions then a full data management plan would require to be submitted for the proposed research. Please contact [dataprotection@swansea.ac.uk](mailto:dataprotection@swansea.ac.uk) with any further queries.  If no, then kindly submit the application form for ethical approval from the relevant Faculty/College/School/Department REC. |  |

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| 1. Will the research involve the collection of personal or special data? If so in addition to reviewing the webpages, please provide details of the use that will be made of the data, who will see it, and how long it will be retained. | If yes, then please review the information on the Data Protection webpages, specifically in relation to gathering personal data for research purposes and ensure that all processing is carried out in line with the University Data Protection Policy and procedures.  <https://staff.swansea.ac.uk/professional-services/vco/data-protection/data-protection-policy/>  <https://staff.swansea.ac.uk/professional-services/vco/data-protection/>  https://staff.swansea.ac.uk/professional-services/vco/data-protection/use-of-personal-data-in-research/ |  |

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| 1. Please describe the arrangements for storing data: |
| Please explain, for each of the above, the arrangements you will make for the security of the data |

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| 1. Does your research require the written consent of a public or private body, e.g. school, local authority or company? If so, please attach letter of consent |
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| 1. Upon completion of research, the University would expect outcomes of the research to be made publicly available? Would there be any embargo or restrictions upon publication that needs to be applied for?   (To note: This may not be applicable for Undergraduate and some Postgraduate Taught Masters dissertations) | If yes, then please contact the open access team [iss-research@swansea.ac.uk](mailto:iss-research@swansea.ac.uk) |  |

*Attach the following to your application* ***where appropriate.***

🞏 Written consent from gatekeepers / stakeholders.

🞏 Informed Consent form to be given to potential research participants.

🞏 Information Sheet to be given to potential research participants

🞏 Research instruments (e.g. interview schedule, questionnaire).

🞏 Data Management Plan (may be required by external funding body)

🞏 Clearance letter from the Disclosure and Barring Service (DBS) or equivalent.

🞏 Letter of ethical approval where required from another Research Ethics Committee.

**Once completed, please print this form, sign the hard copy, scan the form in pdf format and submit as required.**

**Research must not commence without the approval of the CLC-REC**