HUDDERSFIELD BUSINESS SCHOOL enriching lives enhancing organisations engaging communities

Research Ethics and Integrity Committee

APPLICATION FOR ETHICAL REVIEW - GUIDANCE

- Please complete and return via email to **HBSethics@hud.ac.uk** along with the required documents.
- Before completing this application, please refer to the Huddersfield Business School Research Ethics web pages. Applicants should consult the appropriate ethical guidelines.
- ALL Sections must be completed. You will only be able to start the research when you have been granted permission to use the specified material.
- Please provide sufficient detail to assess strategies used to address ethical issues in the research proposal. Forms with insufficient detail will need to be resubmitted.
- This form should be completed and kept by the principal investigator.
- The final responsibility for ensuring that ethical research practices are followed rests with the principal investigator for staff research projects.

GENERAL GUIDANCE NOTES:

- Complete all sections of the form.
- Complete the form in 'plain English' so the information is understandable to non-specialists.

Consider carefully how to respond to the questions on this form. Errors or omissions may result in your application being rejected, or further information being required which will cause delays to being able to begin your research.

SECTION A: APPLICANT(S) DETAILS

This application is for:

Staff	☐
Student	☐

Name of the Applicant (Principal Investigator/PGR)	
Student number (if applicable)	
Names of the other Researchers in the project	
Names of supervisors (if applicable)	
Title of research	
Proposed project start date	

SECTION B: DECLARATIONS

I confirm that I have read, understood and followed the guidance in the Ethical Review Guidance document: available here	☐
I confirm that I have read and understood the University Research Ethics Policy: available here	☐
I confirm that I have read and understood the University of Huddersfield research data management policy: available here	☐

I confirm that I will respect and adhere to the decision and guidance that result from this application	☐
I confirm that if the circumstances and/or methods of my research change, I will seek further advice/approval from the Huddersfield Business School Research Ethics Committee	☐

SECTION C: RESEARCH STUDY DETAILS

Rationale, aims and objectives	The purpose of this section is to inform the reviewers about what you are planning to study. It helps to provide context to the reviewer. Although the ethical review process is not intended to make judgements on the 'quality' of the research, it is Research Ethics and Integrity Committee policy to identify to researchers issues that reviewers have concerns about.
Brief overview of methodology Needs to be explained in sufficient detail to show the approach used (e.g. survey) and explain the research methods to be used during the study.	This section should be completed succinctly and specifically for the Ethical Review process. For PGR students, you should **not** submit your methods chapter. The section does not need to include extensive discussion of the philosophical underpinnings of your study. You should be clear about the data collections methods. If you are using more than one form of data collection, this should be clear and details provided for each one, and complete the sections below for each method. For example, if you intend to use questionnaires and interviews, you should respond to the sections on participants for both methods of data collection.
Is this a retrospective application? If Yes, please provide details of why it was not possible to obtain ethical approval before the project started.	You should always try to obtain ethical approval **before** commencing data collection, but if this has not been possible, use this section provide details of why this has been the case.
Has this research received funding?	If yes, please provide details of funding bodies and grants awarded.

SECTION D: DATA COLLECTION AND PARTICIPANT DETAILS

Does the research involve any of the following? • Patients recruited because of their past or present use of the NHS or Social Care • Relatives/carers of patients recruited because of their past or present use of the NHS or Social Care • Access to data, organs or other bodily material of past or present NHS patients • Foetal material and IVF involving NHS patients	If you have answered yes then you must seek the appropriate external approvals from the NHS, Social Care or the National Offender Management Service (NOMS) under their independent Research Governance schemes. Contact HBSethics@hud.ac.uk for information and support.

• NHS Staff • The recently dead in NHS premises • Prisoners or others within the criminal justice system recruited for health-related research • Police, court officials, prisoners or others within the criminal justice system • Participants who are unable to provide informed consent due to their incapacity even if the project is not health related	
Who will be the participants of your research?	You should explain exactly who your participants are likely to be (for example, managers, students, scheme participants, employees etc.). There should be a clear link with the rationale, aims and objectives of the study. If you are planning to collect data from more than one type of respondent (for example managers and employees), this must be made clear.
What are the arrangements for selecting/sampling and contacting potential participants?	Please provide details of how you intend to define your sample and recruit your participants (for example via an organisation, snowball sampling, public databases etc.). You should take particular care if your participants might considered 'vulnerable' (see below).
Will any of the participants be vulnerable? 'Vulnerable' people include children and young people, people with learning disabilities, people who may be limited by age or sickness or disability, etc.	You should identify whether any of your intended participants might be considered 'vulnerable', and what measures you will take to ensure their safety. Guidance on working with vulnerable participants is available from the Economic and Social Research Council here.
Will the research involve working with/within an organisation, and require their approval (e.g. business, charity, government department, international agency, etc.)?	You should identify if you require any management permissions to undertake your study. For example, if you are undertaking data collection in a company, you may need to obtain approval from senior management. You should include with your application any forms/letters/emails providing evidence of permission. A consent form and sample letter are available here.
Is there any reasonable and foreseeable risk of physical or emotional harm to any of the participants? Harm may be caused by distressing or intrusive interview questions, uncomfortable procedures involving the participant, invasion of privacy, topics relating to highly personal information, topics relating to illegal activity, etc.	Provide details of potential harm that your participants might incur as a result of taking part in your research. 'Harm' can take many forms, including psychological distress due to the content or methods of your research. These harms can be difficult to predict, but you should consider them in depth for your research and attempt to avoid harm, or provide information and support for participants who may incur harm as a result of

	your research. Full informed consent and the right to withdraw are especially important. Information on harm in social research is available from the Economic and Social Research Council here.
Are any of the below questions relevant to the research? • Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind? • Will tissue samples (including blood) be obtained from participants? • Is pain or more than mild discomfort likely to result from the study? • Will the study involve prolonged or repetitive testing?	If you answer 'yes' to any of these questions, further ethical approval may be required. Contact hbsethics@hud.ac.uk for information and support.
Are any of the below questions relevant to the research? • Is it covert research? ('Covert research' refers to research that is conducted without the knowledge of participants). Please give details of why this is the only approach possible. • Will anyone be taking part without giving their informed consent? • Will the research output allow identification of any individual who has not given their express consent to be identified?	Carrying out research with participants who have not provided informed consent should only be done where there is no option for gathering data in another way. If you plan to conduct covert research, please provide details of why this is the only reasonable option. Please also provide how you plan to adhere to the University Research Ethics Policy, and how you plan to reduce/remove the risk of harm to participants, and ensure they are not identified through your results.
Describe the arrangements for obtaining participants' consent. Please explain how you will inform your participants about the study and whether they will be in a position to give informed consent. Please attach the forms you plan to use.	Please provide details of how you will obtain informed consent from your research participants. Carefully thought-out processes for obtaining informed consent are essential for ethical research, and as such are especially important for ethical approval. Provide details of how you will ensure your participants are fully informed about the research and how it might affect them, and how you will obtain consent. Information on covert research is included in the section above. Templates for information sheets and consent forms are available here, but you may prefer to develop your own materials. In this case, consider carefully what is most appropriate for your research. Please include copies of these forms with your application.

Describe how participants will be made aware of their right to withdraw from the research. This should also include information about participants' right to withhold information and a reasonable time span (such as a clear point in the research process) for withdrawal should be specified.	Participants should be given the right to withdraw any data they have provided from the research, at any stage of the process, providing it is feasible. There may be a stage in your research at which it is no longer feasible to withdraw participants' data, for example when it has been pooled with other responses, or anonymised, or if it has been included in a publication. Please provide details of how you have considered these issues, and how you plan to inform your participants.
Describe the arrangements for ensuring participant confidentiality. This should include details of: • how the data will be recorded • how data will be stored to ensure compliance with University of Huddersfield data protection procedures and other relevant wider legislation • how results will be presented • exceptional circumstances where confidentiality may not be preserved • how and when confidential data will be disposed of	Please provide details of the extent to which you will be able to guarantee anonymity to your participants, and what measures you will take to ensure and maintain confidentiality. Consider: • What methods you will use to record data (for example, audio recording, video) • How you will store research data and who will have access to it • How you will describe the data and participants in the write-up of the research and any subsequent publications/other uses of the data • When it will not be possible to maintain confidentiality and how your participants will be made aware of this
Will you offer anonymity to your participants?	If you plan to offer anonymity to your participants, please provide details of how you will maintain this. You should consider: • Whether you plan to anonymise names or use pseudonyms • Whether you plan to anonymise places, giving them a different name and/or changing the location. You should also carefully consider the potential for 'jigsaw identification', where a person may be identifiable through drawing together pieces of information that do not immediately appear to be connected. Keep this in mind when considering how you approach anonymisation, especially if you are working with 'vulnerable' participants.
Are there any conflicts of interest in you undertaking this research? (E.g. are you undertaking research on work colleagues or in an organisation where you are a consultant?)	If your research will feature colleagues from inside or outside of the University, or is carried out with partners who have a vested interest in the research, you should declare the potential conflicts here.
Are there any potential risks to researchers' (i.e. your and other	If you anticipate there being risk to researchers as part of your project, please provide a brief

investigators') health and wellbeing associated with: a. the venue where the research will take place b. traveling to the research venue and/or c. the research topic itself? d. Time of day research is taking place e. Lone working **IMPORTANT NOTE**: The Research Ethics and Integrity Committee cannot evaluate the changing risks arisen from travelling to other countries. Appropriate Huddersfield Business School risk assessment procedures has to be followed and permission has to be obtained at the time of travel.	summary and complete the relevant risk assessment form, available here. If your research will involve travel to other countries, you should read the University Overseas Travel policy (available here), and discuss the potential risks with line managers/supervisors as appropriate.
Please provide a summary of the ethical issues that you envisage and any action that will be taken to address the issues	Consider the issues that you have detailed in this form, as well as any other ethical issues you feel may occur during the course of the research. Contact hbsethics@hud.ac.uk for information and support.

SECTION E - STORAGE OF RESEARCH DATA

Please provide details of how you will store data gathered during the research Include information about the length of time the data will be stored.	Please explain here how you will store the data you gather over the course of your research. Consider: • Where the data will be stored • Whether electronic data will be encrypted/password protected • How hard copies of data will be stored (for example in a locked drawer) • Who might have access to the data aside from the researchers named on this application • How long you plan to store the data, and why The Research Ethics and Integrity Committee requires that data is stored in line with University regulations, including GDPR compliance. The University Research Data Management policy can be found here.
Do you plan to store the research data into a research data repository? If there are requirements from funders or other bodies to store data in a repository (for example, data from ESRC funded projects must be stored in the ReShare data archive), please give details here.	Some funders or other bodies require you to submit your research data to a repository, or you may wish to contribute to a repository. If you plan to store your research data in a repository, please provide information about the repository and its data management policies.

Will the research involve working with copyrighted documents, films, broadcasts, photographs, artworks, designs, products, programmes, databases, networks, processes, existing datasets or secure data?	If Yes, are the materials you intend to use in the public domain? Be aware that you may need to consider other ethics codes (such as code of the Association of Internet Researchers). If the material is copyrighted please explain here how you have explicit permission to use these materials as data.

SECTION F – DOCUMENTS CHECKLIST (TO BE COMPLETED BY THE APPLICANT)

Please supply copies of all relevant supporting documentation electronically. If this is not available electronically, please provide explanation and supply hard copy.

I have included the following documents	
• **Participant Information Sheet**	☐ Yes ☐ No ☐ N/A
• **Participant Consent Form**	☐ Yes ☐ No ☐ N/A
• **Organisational Consent Form/letter**	☐ Yes ☐ No ☐ N/A
• **Letters (and other)**	☐ Yes ☐ No ☐ N/A
• **Any recruitment materials (e.g. posters, letters, etc.)**	☐ Yes ☐ No ☐ N/A
• **Details of measures to be used (e.g. questionnaires, survey interview questions etc.)**	☐ Yes ☐ No ☐ N/A
• **Outline survey interview schedule / focus group schedule**	☐ Yes ☐ No ☐ N/A
• **Fieldwork risk assessment**	☐ Yes ☐ No ☐ N/A

SECTION G – STATEMENT BY APPLICANT

Please complete the relevant section below.

Staff
I, as the principal investigator undertaking this research, confirm that: • this research will conform to the principles outlined in the University of Huddersfield and Huddersfield Business School research procedures, • the information I have given in this form on ethical issues is correct. **Applicant Signature** (Electronic is acceptable)**:** _____ **Date:** _____

Student
I, as the PGR undertaking this research, confirm that:

- this research will conform to the principles outlined in the University of Huddersfield and Huddersfield Business School research procedures,
- the information I have given in this form on ethical issues is correct.

PGR (i.e. applicant) Signature (Electronic is acceptable)**:** _____

Date: _____

Affirmation by Supervisor (where applicable)

I can confirm that, to the best of my understanding, the information presented by the applicant is correct and appropriate to allow an informed judgement on whether further ethical approval is required

Supervisor Signature (Electronic is acceptable)**:** _____

Date: _____