|  |  |
| --- | --- |
| **Ethics reference** |  |

**ER2 – APPLICATION FORM FOR ETHICAL APPROVAL TO USE HUMAN PARTICIPANTS IN RESEARCH (INTERNAL APPLICANTS)**

*Please submit this document in Word format*

Please ensure that ALL relevant sections of this form are fully completed. You must provide sufficient details in all sections to ensure a thorough ethics assessment can be made.

For further guidance, please refer to the Research – Ethics Statement of Practice and any School specific guidance you have been provided with.

1. **APPLICANT DETAILS**

|  |  |
| --- | --- |
| Name (researcher) |  |
| Student Number |  |
| Campus |  |
| Programme |  |
| Email |  |
| Phone number |  |

Are you undertaking your research in collaboration with any other person?

Yes   
 No

If yes, please ensure you complete the below table

|  |  |  |
| --- | --- | --- |
|  | Name | Email (**institutional**) |
| Other researcher(s) |  |  |
| External collaborator(s) |  |  |
| Details of the principal funding body (internal or external) if applicable, and amount of award. |  | |

1. **SUPERVISOR OR SUPPORTING MEMBER OF ACADEMIC STAFF**

|  |  |
| --- | --- |
| Name |  |
| Email |  |
| Has your supervisor or supporter signed off your application and supporting documents? | Yes  No |

1. **RESEARCH OVERVIEW**

|  |  |
| --- | --- |
| What is the proposed title of the research report? |  |
| In no more than 300 words and avoiding jargon, provide a summary of the objectives and justification for the research |  |
| On what date do you intend to start work with participants? (Note that approval must cover the duration of the research and the Ethics Committee’s 15 working day application window) |  |
| On what date do you intend to complete the work with participants? |  |
| What is the proposed location of the work with the participants? |  |
| Please detail any methods that will be used to analyse the data (if applicable) |  |

1. **METHODOLOGY**

Which method(s) for data collection do you intend to use? Please tick below which are applicable:

Questionnaires (which are to be returned anonymously)

Structured interviews

Unstructured interviews

Focus groups

Observation

Audio/video recording in a public place

Audio/video recording in a private place

Other – please specify

Please detail the method(s) you intend to use for data analysis:

**Please note, if you are a student-researcher, you should normally conduct online questionnaires or surveys via Microsoft Forms unless a more appropriate software/platform is required. Please provide a brief explanation of the software/platform that you intend and reasoning for this in the box above.**

**If you are a University of Law employee, you must conduct questionnaires or surveys via KeySurvey (please contact the University’s Head of Commercial Insight for further guidance).**

1. **PARTICIPANTS**

|  |  |
| --- | --- |
| By what criteria will you select a participant for the research and why? | [For example: age range, important characteristics, and any inclusion/exclusion criteria] |
| How many participants are required (sample size)? | [For example: minimum and maximum] |

**How will participants be recruited? Please tick those below which are applicable**:

Letter

Email

Social media (please list the social media channels you intend to use)

*E.g., LinkedIn*

Phone

Flyer

Other – please specify

**Please ensure that your recruitment material is sent to the Ethics Committee along with the remainder of your forms.**

**Are your participants employees of The University of Law?**

Yes                      No

**Are your participants students at The University of Law?**

Yes                      No

If you have answered yes to either of the above questions, then **one week prior to the commencement of your research, you must obtain the appropriate email distribution list**. If your participants are students, you need to complete an IT request form. If your participants are employees of The University of Law, you will need to email [HR@law.ac.uk](mailto:HR@law.ac.uk) to request a staff distribution list.

In either case you need indicate clearly which student or employee cohort should be included in the email distribution list. Please see examples below:

Example 1: All 2nd year LLB students at Birmingham

Example 2: All Academic staff at Moorgate

Example 3: All LPC Part-time Weekend students

**Could the research be considered sensitive as described in paragraph 2.3.5 of the Ethics Statement of Practice?**

Yes                      No

|  |  |
| --- | --- |
| **If you have answered yes, please detail what mitigating steps you intend to take** |  |

**Could any participant feel obliged to participate in the research (they are colleagues, friends, fellow students, or family members)?**

Yes                     No

|  |  |
| --- | --- |
| **If you have answered yes, please explain what steps will be taken to mitigate this issue** |  |

**Will any of the participants be under the age of 18?**

Yes                      No

**If you have answered yes, please confirm that**

1. you have informed consent from the parents or carers; and
2. you have clearance from the Disclosure and Barring Service

I confirm (a) and (b) above

**Could any of the participants be considered vulnerable (e.g., a medical or mental health condition)?**

Yes                      No

**If you have answered yes, please**

1. explain why vulnerable participants are necessary for the research; and
2. confirm that you have clearance from the Disclosure and Barring Service

|  |  |
| --- | --- |
|  |  |

**Are any incentives being offered to encourage participation in the research?**

Yes                      No

|  |  |
| --- | --- |
| **If you have answered Yes, what is the nature and value of the incentive?** |  |

|  |  |
| --- | --- |
| **If you have answered Yes, what is the justification for the use of these incentives?** |  |

1. **CONSENT**

Please consider the following:

**Do you intend to use a company/organisation within your research?**

1. **As a case-study, or**
2. **Their employees as participants within your research.**

**If yes to either of the questions above, please complete a** [**Research – Permissions Letter**](https://www.law.ac.uk/globalassets/13.-media--doc-repo/08.-policies/doc_policies_research-permissions-letter.docx) **on company headed paper**

**Please ONLY answer the following questions if you intend to use non-anonymous research methods**

All participants will be given an information sheet explaining the nature and methodology of the research and be given at least 24 hours to read it before being asked to agree to participate

Yes                      No

|  |  |
| --- | --- |
| If you have answered No, please explain why not |  |

Will all participants be asked to sign a consent form?

Yes                      No

|  |  |
| --- | --- |
| If you have answered no, please explain why not |  |

Will all participants be told that they can withdraw at any time and ask for their data to be destroyed?

Yes                      No

|  |  |
| --- | --- |
| If you have answered No, please explain why not |  |

**Please ONLY answer the following questions if you intend to use anonymous research methods (e.g., questionnaire)**

If you are using questionnaires, please describe how participants will access the explanatory statement (for example, it could be attached as a cover page to an online questionnaire)

|  |  |
| --- | --- |
|  |  |

Will you participants indicate consent anonymously

Yes                      No

|  |  |
| --- | --- |
| Please explain how participants will indicate consent |  |

If you are using an anonymous research method, please indicate how participants can withdraw their consent (e.g., participants will be told that they can withdraw up to the time of the submission of the questionnaire)

|  |  |
| --- | --- |
|  |  |

1. **PRIVACY & DATA**

**Will any other person(s) be able to access the data?**

Yes                      No

|  |  |
| --- | --- |
| If you have answered yes, please explain who |  |

|  |  |
| --- | --- |
| If you have answered yes, please explain what steps will be taken to mitigate this issue |  |

**Please ONLY answer the following questions if you intend to use non-anonymous research methods**

Will transcripts of interviews only be identifiable by a code or pseudonym?

Yes                      No

|  |  |
| --- | --- |
| If you have answered no, please explain why not |  |

Will lists of codes and/or pseudonyms linked to names and/or addresses of participants be stored securely and separately from research data?

Yes                      No

|  |  |
| --- | --- |
| If you have answered no, please explain why not |  |

Please describe how you will store the lists of codes and/or pseudonyms to ensure that it is securely stored:

|  |  |
| --- | --- |
|  |  |

Will all place names and institutions which could lead to identification of individuals and/or organisations be changed?

Yes                      No

|  |  |
| --- | --- |
| If you have answered no, please explain why not |  |

Please describe how you will store the research data to ensure that it is securely stored (for example, password protection, location, device used etc.):

|  |  |
| --- | --- |
|  |  |

Please state the date by which the data will be destroyed

|  |  |
| --- | --- |
|  |  |

**Please ONLY answer the following questions if you intend to use anonymous research methods (e.g., questionnaire)**

Please describe how you will store the research data to ensure that it is securely stored (for example, password protection, location, device used etc.):

|  |  |
| --- | --- |
|  |  |

Please state the date by which the data will be destroyed

|  |  |
| --- | --- |
|  |  |

1. **RISKS**

**Please refer to your completed ER1 Checklist and Notification Form when completing this section.**

**Are there any potential risks (e.g., physical, psychological, social, legal or economic) to participants in the research?**

Yes                      No

|  |  |
| --- | --- |
| If you have answered yes, please explain how those risks will be managed |  |

**Will it be necessary for participants to partake in the study without their knowledge/consent prior to data collection (e.g., observations of group behaviour)?**

Yes                      No

**Will your project involve deliberately misleading participants or withholding details about the project?**

Yes                      No

**Will the research involve a significant and necessary element of deception which is different from those identified above?**

Yes                      No

|  |  |
| --- | --- |
| If you have answered yes to the three questions above, please provide a justification |  |

1. **SUPPORTING DOCUMENTS**

**IMPORTANT – for your application to be considered, the following documents must be attached (please tick against each document):**

**A completed ER4 Explanatory Statement** **A completed ER5 Informed Consent Form**  
 **Recruitment documents (e.g., letter, email, flyer, poster, this has been indicated above under Section 5 – Participants)** **Questionnaire or list of questions to be used** **Evidence of clearance from the disclosure and barring Service (if required)**  
 **Evidence of other approvals (e.g., from a company/organisation)** **A completed Prevent/Safeguarding training certificate**

1. **DECLARATION**

I understand that failure to follow my approved protocol constitutes academic misconduct which is subject to the University of Law’s Student Discipline Regulations.

I confirm that my supervisor or supporter approves the use of human participants in my research.

I confirm that all processing of personal information related to the participant will be in full compliance with the General Data Protection Regulation.

I confirm that I will not use the data for any other purpose than for my University research report.

I understand that if I am conducting research with human participants from another body (whether it is an academic institution, organisation, company, or firm), I must obtain permission from that body before I commence my research.

Signed:

Date:

**RECORD OF APPROVAL – OFFICE USE ONLY**

|  |  |  |
| --- | --- | --- |
| **Decision** | | |
| Researcher name |  | |
| Project title |  | |
| Ethical Assessor names | 1.  2. | |
| Date |  | |
| **Approved** | | |
| The above project has been granted ethical approval based on the details described in the application form, including the related research protocol, and all supporting documentation. | |  |
| **Approved subject to minor amendments** | | |
| The above project has been granted ethical approval on the basis of the minor amendments as outlined below.  In this circumstance, re-submission of an ethics application is not required but the researcher and supervisor must confirm that all minor amendments have been made before the research commences. Confirmation of the amendments must be forwarded to the relevant School Sub-Committee for recording.  In this circumstance, re-submission of an  ethics application is not required but the student must confirm with their supervisor that all  minor amendments have been made before the research commences. Students are to do this  by filling in the confirmation box below when all amendments have been attended to and  emailing a copy of this decision notice to her/his supervisor for their records. The supervisor  will then forward the student’s confirmation to the School for its records.  In this circumstance, re-submission of an  ethics application is not required but the student must confirm with their supervisor that all  minor amendments have been made before the research commences. Students are to do this  by filling in the confirmation box below when all amendments have been attended to and  emailing a copy of this decision notice to her/his supervisor for their records. The supervisor  will then forward the student’s confirmation to the School for its records. | |  |
| **Not Approved: Major amendments and re-submission required** | | |
| The above project has NOT been granted ethical approval based on the major amendments as outlined below.  In this circumstance, a revised ethics application must be submitted and approved before any research can commence.  Student-researchers should consult with their supervisor for support in revising their ethics application. | |  |
| **Rejection** | | |
| NOT APPROVED: The above project has been deemed unethical and is outrightly rejected. For a full explanation, please refer to reasons below  In this circumstance, a new ethics application must be submitted and approved before any research can commence.  Student researchers should consult with their supervisor for support in completing a new ethics application. | |  |

Any further modifications required? If yes, please detail?

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**Version history**

|  |  |  |  |
| --- | --- | --- | --- |
| Version | Amended by | Revision summary | Date |
| V1.0 |  | Publication |  |
| V1.1 | Deputy Academic Registrar and Senior Quality Officer | Review | April 2020 |
| V1.2 | Deputy Academic Registrar and Senior Quality Officer | Amendments to Record of Approval Section | April 2020 |
| V1.3 | Senior Quality Officer and Apprenticeship Compliance and Data Administrator | Amendments to supervisor section (section 2) | March 2021 |
| V1.4 | Senior Quality Officer | Amendments to sections 4 and 5 and Assessor Approval section | November 2021 |
| V1.5 | Registry Officer (Casework) and Quality Assurance Manager | Review and consolidation throughout | January 2023 |
| V1.6 | Quality Assurance Manager | Amendment to use of MS Forms | May 2023 |
| V1.7 | Quality Assurance Manager | Inclusion of Prevent/Safeguarding training | January 2024 |