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**Application for Ethics Review – Staff and Postgraduate Students**

**BLUE TEXT DENOTES GUIDANCE NOTES. PLEASE ENSURE THIS IS ALL DELETED PRIOR TO SUBMITTING THIS FORM TO YOUR RELEVANT FACULTY ETHICS COMMITTEE.**

**Who should complete this application form?**

a) This application form is for the use of staff or post-graduate research students who intend to conduct a research study (or innovation activity) that includes potential ethical concerns. On occasion undergraduates or taught postgraduates (e.g. MRes) may be required to complete this form. Key examples include all research involving human participants, research on sensitive issues, research that might have an impact on the environment or our cultural heritage and any research that risks the reputation of the University. ‘Research’ should be interpreted to include knowledge transfer and innovation projects where these include potential ethical issues. It is not possible to produce a definitive list of what comprises potential ethical issues. With regard to knowledge transfer or innovation projects obvious examples would include activities involving sensitive issues, work for organisations that might be regarded as ethically contentious (for instance the University specifically excludes any business with tobacco companies), where our reputation might be jeopardised, and/or any activity that might be regarded (perhaps covertly) as seeking UoP endorsement of a product or service. You should also use this form if you are undertaking a discrete component of a bigger programme of research. This is often the case when members of staff are contracted to undertake work for an external organisation.

b) It is not uncommon for funding agencies to require evidence that ethical issues have been considered as part of a grant/funding application. What funding bodies generally mean is that they need the researchers to confirm that ethics review will be undertaken, and a favourable ethics opinion achieved, before any work is undertaken. ***If you are in the process of writing a grant application you probably do not need to complete this form. Please contact your faculty ethics committee chair who will try to assist you as required.***

**Do I have to complete the form? My work does not involve any ethical issues.**

If you are sure that your research or planned work does not involve any ethical issues, for example it does not involve human participants and/or might be entirely theoretical drawing on data that is in the public domain, you should use the online reviewing system under step 1 on: <https://www.port.ac.uk/research/research-culture/research-ethics>

This system will issue a certificate providing a favourable opinion unless it detects any ethically significant issues, in which case the Ethics Committee Administrator will receive an automatic email alert and you will be required to complete and submit this form.

**Do I have to complete the form? I know that my research will have to be externally reviewed.**

If you intend to submit your research for external review by, for example, an NHS Research Ethics Committee, the National Social Care Research Ethics Committee, or the Ministry of Defence Research Ethics Committee, there is no need to complete this form: the University will accept the favourable opinion of these external committees**.** The faculty ethics committee can offer guidance, support and arrange sponsor authorisation. ONCE YOU HAVE RECEIVED THE EXTERNAL OPINION WILL NEED TO SEND A COPY OF THE DOCUMENTATION TO YOUR FACULTY ETHICS COMMITTEE. Some research requires formal application to other bodies e.g. Her Majesty’s Prisoner & Probation Service (previously the National Offender Management Service (NOMS)) **in addition to** the Faculty ethics committee.

**Do I have to complete the form? My research has already been reviewed at another University?**

If you are a collaborator in a study in another university that is sponsoring it, and has conducted the ethics review, there is no need to complete this form. However, please send a copy of the reviewed protocol along with the favourable opinion letter to your faculty ethics committee administrator. If you are a new member of staff who is intending to continue your previously reviewed research at the University of Portsmouth, it is not normally necessary to complete this form – but please discuss governance issues with your department research lead. If you have any doubts you should consult with your Head of Department or Associate Dean for Research.

**1. Study Title and Key Dates**

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| **1.1 Title** |
| Please insert title of study along with any additional abbreviated/simplified titles if necessary. Care should be taken that titles are consistent across all documentation. |
| **1.2 Key Dates** |
| Date of original submission to ethics committee: Version number of original submission: Ethics Committee Reference Number: If known  Intended Start Date of Data Collection: It is safest to allow at least a month for the ethics review process. After initial submission you will receive a reply within 15 working days but then need to factor in time to respond to the committee if any changes are required.  Expected Finish Date of Data Collection:  *When resubmitting an updated application (e.g. in response to ethics review, or an application for substantial amendment):*  Date of resubmission to ethics committee: Version number of resubmitted documents: |

1. **Applicant Details**

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| **2.1 Chief Investigator** | |
| Name: Title /Role /Course of study:  Department: Faculty:  Telephone: Email: | |
| Has the chief investigator attended a training session in the graduate school (for students) or researcher development programme (for staff) on research ethics? | Y/N. If yes please insert date attended |
| **2.2 Supervisor (if Chief Investigator is a student or a research assistant)** | |
| Supervisors need to be cc’ed into the email submitting this form to the ethics committee. Please ensure you have their approval before the form is submitted, as they are ultimately responsible for the work.  Name: Title /Role:  Department: Faculty:  Telephone: Email:  Names and email of any other supervisors:  Please also briefly describe their contribution to the project | |
| Has the supervisor attended the researcher development programme research ethics training session (NB this is not mandatory)? | Y/N If yes please insert date attended |
| **2.3 Others involved in the work/research including students and/or external collaborators (name, organisation/course, role in the project)** | |
| Please tabulate if necessary | |

1. **Details of Peer Review**

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| Please briefly summarise how this project has been peer-reviewed, ideally adding any peer reviews **and your response (ideally point by point) to the review** as an appendix or supporting document. The ethics committee may require further evidence of peer review if this is not included with the initial application. There is a peer review template available on the University’s ethics webpage.  If you are a Doctoral (PhD, Prof-Doc etc.) research student this peer review should not be from a member of your direct supervisory team. |

1. **Funding Details**

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| All research/ work is funded externally, through internal funds or in kind. Please describe the source of funding and any contractual obligations. Where relevant, please say what measures you will take to avoid any undue influence from funders or sponsors over the independence and integrity of data analysis, reporting or presentation of the research results. Please also ensure that all participants or external organisations involved in the research/ work are aware of the source of funding e.g. in the participant information sheet. If the funder has specifically requested evidence of ethics review please also describe their requirements here and attach any relevant guidance as an appendix if applicable. This is to help the ethics committee ensure they provide the review and evidence you need. |

1. **Sites/Locations**

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| Please provide addresses or description of where the work will take place. Please note if the intention is to conduct fieldwork, visit participants or work on commercial premises the university fieldwork policy needs to be referenced and adhered to. |

1. **Insurance/indemnity Arrangements**

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| Every project should have appropriate insurance(s) in place before it begins.  The University of Portsmouth holds a number of Insurance Policies that aim to cover the normal educational, research and trading needs of the University. This includes research sponsored, managed, designed or conducted by, or on behalf of, the University (including research undertaken by students under supervision).  **Details of insurance cover**   * Liability to research participants in most research studies is covered under the University's Public Liability insurance. * Legal Liability for breach of professional duty by reason of any negligent act or accidental error or omission is covered under the University’s Professional Indemnity Insurance.   Updated certificates can be found on the University’s insurance webpage:  <https://www.port.ac.uk/about-us/structure-and-governance/legal/insurance>  Some research activities may require to be referred to the University’s Insurers before the research can commence. General advice is to always refer anything which falls into the categories below to the University Insurance Officer:   * Clinical trials or medical research that requires authorisation from the Medicines and Healthcare Products Regulatory Agency under the Medicines for Human Use (clinical trials) regulations 2004 OR a clinical investigation requiring approval under the Medical Devices Regulations 2002. * Invasive investigations. (For the avoidance of doubt our public liability our insurers do not need to be advised of non-invasive investigation and /or venepuncture on human subjects including questionnaire or interview studies, taking blood samples, measurement of physiological processes using non-invasive methods, administration by mouth of foods or variation of diet, collection of body secretions or excretions for analysis by non-invasive methods, use of tissue samples.) * Aviation and aerospace projects * Oil rigs and refineries * Toxin, poison or pollutant research or products * Radioactivity or nuclear research or products * Asbestos research * Contracts where the governing law is outside of the UK in particular North America. * If you intend to travel to higher risk destinations or undertake higher risk activities. * Research in sanctioned territories which may require additional Treasury approval.   **If your study requires no fault compensation (non-negligent harm) cover please let the Insurance Officer know as soon as possible as we do not currently purchase this cover.** |

1. **Aims and Objectives/Hypothesis**

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| **7.1 Aims** |
| Please briefly outline the overall aim of your research/ work written in lay language. This may be a paragraph if required. Please do not duplicate sections 7.2 or 7.3. There will be space to add your scientific justification in section 8. |
| **7.2 Primary Objective** |
| The primary objective/hypothesis of a study should be the single main question that the research/ work is trying to answer. Your statistical test/ data analysis should primarily be targeted at this objective. |
| **7.3 Secondary Objective(s)** |
| You can have as many secondary objectives/hypotheses as you like (or your power calculation will allow). |

1. **Justification/Summary of Study (no more than one side)**

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| Please briefly describe, using references, the justification for this work. You do not need to outline the specific procedure or methodology for the study in this section as this will be asked for in section 9. |

1. **Description of Method/ Protocol and Risks**

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| **9.1 Please describe your main method(s) or describe your protocol here, although ensure you do not replicate sections 11, 12 or 13.** | |
| Examples might include:  A survey – you should describe the medium you intend to use e.g. paper, online using ‘Survey Monkey’ (or other software) etc. The draft survey, and if already prepared a link to the electronic survey, must be provided for the Ethics Committee to review.  Interviews – give an indication of duration, any special concerns about the sensitivity of the topic, theoretical approach e.g. Interpretative Phenomenology, Grounded Theory etc. (you will need to append the interview questions / topic list).  Observation – provide some detail – will it be overt or covert? Will you be using some sort of data collection instrument? How will you schedule the observation – a single period or some sort of sampling strategy?  Focus Group – give an indication of duration, questions or topic lists (to be appended to this application), any ground rules etc.  Ethnography – covert or overt? How will data be collected?  Experimental intervention – will it be a controlled trial?  The examples above do not comprise an exhaustive list – you may have chosen other methods  Note: the chosen method must have the capacity to test your hypothesis / address your research question / provide the data you need to meet your primary objective and any secondary objectives  Have you undertaken any necessary piloting? Have you consulted with any participant interest groups regarding your methods?  Sometimes a flow-chart outlining your research process can be helpful especially if you have a particularly complex or multi-step method. | |
| **9.2 Anticipated Ethical Issues** | |
| Please list anticipated ethical issues and describe how you will address them. It is not accurate to write “none” in this section. All projects will have ethical issues such as requirement for informed consent, potential conflicts of interest (e.g. around funding), handling confidential data etc. N.B. health and safety risks are covered in box 9.3. | |
| **9.3 Anticipated other Risks or Concerns** | |
| Have all risk assessments as required by relevant Health and Safety policies been completed? | YES/NO |
| It is required, as part of the University’s Health and Safety policies, that suitable risk assessments will be in place for all activities. Similarly, any fieldwork needs to comply with local health and safety policies (for instance research/work on commercial premises) and suitable health and safety briefings should be requested.  In addition, please confirm how you have taken into account:  Risks to participants: from interventions and including the psychological well-being of participants  Risks to researchers/ university staff/students: for instance lone working, travelling etc.  Reputational risks: specifically to you, the University and any organisations/funders you are working with. Consider the tabloid test: what would a newspaper say if the worst-case scenario from your research/ work came true?  Security risks: implications to national security, terrorism etc.  Other: | |
| **9.4 Medical Cover (if applicable)** | |
| Medical Information: This section is mainly for sports science or medical research. Please put N/A if necessary, or refer to the document “Guidelines for Medical Assessment and Medical Cover for Human Participants for Research and Taught Laboratories.”  a. Medical Category (1-5):  Category 1 Paramedic or medic in attendance as determined by the IMO.  Category 2 First aider present. A 12 lead ECG is required pre-testing if: participants are beyond their 30th birthday; they display any other questionable characteristics; they have a family history of sudden death; they have no previous experience of maximum exercise. The ECG is to be reviewed by the IMO.  Category 3 First aider present  Category 4 First aider available for consultation (present within the building)  Category 5 No first aid cover required  b. Independent Medical Officer (IMO):  c. Medical cover provided by:  d. All procedures within Schedule of Approved Procedures (e.g. DSES): Yes/No\*  If “No”, please give brief details here. | |

1. **Compliance with Laws, Codes, Guidance, Policies and Procedures**

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| **IT IS THE RESEARCHER’S RESPONSIBILITY TO COMPLY WITH ALL LEGAL REQUIREMENTS FOR THE PROPOSED RESEARCH.**  Similarly, although there are no specific legal requirements on researchers for reporting criminal activity that may be uncovered during the course of the research, there are legal reporting obligations linked to certain professional roles that a researcher may hold in parallel; for instance as a police officer, probation officer, registered healthcare professional, chartered accountant etc.  Are there any other specific subject specific guidance, codes or policies that will be followed? At the very least human participant research should be consistent with the Declaration of Helsinki. All research should also reflect the University’s adherence to the commitments set out in the Concordat to Support Research Integrity and the University’s ethics policy.  Other useful sources of guidance include:   * + University guidance on conducting research in your own place of work   + The UK Research Integrity Office Code of Practice for Research – the University has adopted this Code as its own. Any breach of the Code could invoke the University Procedure for the Investigation of Alleged Misconduct in Research   + Specific Research Ethics Guidance issued by research funding councils   + Discipline specific guidance – most subject disciplines publish guidance on the ethical conduct of research.   The 2018 Data Protection Act brings into UK law the provisions of the General Data Protection Regulations (GDPR), thus replacing the 1998 Data Protection Act. Guidance for researchers is available under the “Participant Information and other forms” tab on the Research Ethics webpage ( <https://www.port.ac.uk/research/research-culture/research-ethics> ) |

1. **Recruitment of Participants**

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| **11.1 Who are the Research/ Participant Population?** |
| Please state your population clearly – the population is the group comprising the source of potential participants e.g. children in year 11, victims of fraud, women voters, foreign students at the University of Portsmouth. Have you involved any members of the population in the research design? Have you invited members to review participant documents such as information sheets and consent forms? You should give an indication of the size of the total population. |
| **11.2 Inclusion/Exclusion Criteria** |
| How will you select your sample from the population? It is normal to use some clear criteria – please state them here.  **Inclusion Criteria:**  **Exclusion Criteria:** |
| **11.3 Number of participants (include rationale for sample size)** |
| Please provide a justification for the sample size selected. Details of the sample size calculation should be included if appropriate. |
| **11.4 Recruitment Strategy** (including details of any anticipated use of a gatekeeper in host organizations to arrange/distribute participant invitations) |
| How will you recruit your sample? If you intend to use posters or advertisements you must append them to this application.  If you propose to conduct a University of Portsmouth wide, or cross University survey where the sample size is >250 students, or the student sample is taken from more than one Department/School or Central Service, you will need to consult the Student Survey Request Group. However if the method of communication is passive, such as a poster, then this requirement is waived.  You might have lawful access to contact details of potential participants. If so you should append any letter of invitation (or email text). Similarly you may have conducted a previous study and sought consent from participants to be approached for future studies – if this is the case please give an explanation here and add appropriate evidence as an appendix to this form. |
| **11.5 Payments, rewards, reimbursements or compensation to participants** |
| It is acceptable to pay participants for their time and efforts, although any payments should be appropriate to the burden of participation. Often there are no funds for any payment – in which case participants need to be informed and asked to contribute without recompense. Some researchers offer a ‘thank you’ token in the form of a shopping voucher. Prize draws can be used to encourage participation but it should be recognised that they will inevitably compromise any anonymisation strategy and make promises of confidentiality more challenging. It is normal to reimburse any out of pocket expenses such as travel, including parking. Please make participants aware of any HMRC implications if applicable. |
| **11.6 What is the process for gaining *consent* from participants?** |
| This section should be used to address issues relating to the consent of individual participants; if you need the consent of any organisation please address this in 11.7, below.  Please give an overview of the approach you will use to gain consent. How will you distribute study information? How long will you give participants to consider the information before asking them to consent (24 hours is a good rule of thumb but not always appropriate)? Will you be explaining the research/ work and seeking consent in person? Consent needs to be explicit, informed, specific and freely-given.  Not all research/ work requires formal written consent, given after a reasonable period of time to read and reflect upon written information. A completed and returned survey questionnaire can normally be taken as implied consent, so long as the data is anonymous. Some research/work is so benign that oral consent is sufficient so long as only anonymous data is being collected. Some participants, particularly experts, are keen to assist with research but reluctant to provide written consent; in this case you should explain how you intend to gain oral consent and how you will keep a record of having done so. If you are intending to record an interview you might choose to record the oral consent of the participant – if you wish to do this you must append the script you will use to this application. If you receive anonymous data from an external organisation it will not be necessary to gain consent from the data subjects.  In many cases a formal consent form is necessary. Consent must be ‘informed’, usually ensured by the provision of an information sheet or sometimes using a video recording or other media. There is guidance available on the University Ethics website. Whatever the medium used to provide information, reasonable steps must always be taken to make sure that any potential participant is appropriately informed before signing the consent form and participating in the study.  Please add any participant documents to this application form as appendices – it will help the Ethics Committee to review your application more efficiently. If you intend to recruit more than one discrete group of participants in your study, you will need to provide examples of information sheets and consent forms for each group e.g. professionals and clients; experimental group and control group etc.  Will you be providing any feedback to participants? If so you will probably need consent to use contact details for this purpose. |
| **11.7 Has or will consent be gained from other organisations involved (if applicable)?** |
| If you intend to conduct your research/ work in any external organisation, either a public body or a private company, please add details here. You will also need to include information regarding use of any data that is not in the public domain. In some cases a record of formal consent is required, in others, a confirmatory letter or email is sufficient. The Ethics Committee will wish to see evidence of any consents or permissions. |
| **11.8 Arrangements for translation of any documentation into another language (if applicable)?** |
| A certified translation is not always required depending on the type of study, but at the minimum translations should be checked by at least one other person who is a native speaker of the language. |
| **11.9 Outline how participants can withdraw consent (if applicable), and how data collected up to this point will be handled. Also stop criteria for specific tests (if applicable)?** |
| Please explain any circumstances relating to participants withdrawing their consent, e.g.   * on the request of the participant – participants should be free to withdraw from the study at any time, although it is accepted that there may be time limits with regard to data analysis * on the decision of the researcher (and / or supervisor *if appropriate*) – the researcher should exercise their judgment in the event of physical or mental distress * (*if appropriate)* on the instruction of the independent medical officer (or any other independent monitor) or any supervising medical personnel |
| **11.10 Outline details of re-consent or debrief (if applicable)?** |
| Whilst it is often courteous to say a brief thank you to participants and perhaps provide further information for their interest, a formal debrief and re-consent process is only required if deception will be used. |

1. **Data Management**

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| **12.1 Description of data analysis** |
| What statistical tests or analysis will be performed on the data? Please specifically describe how this will relate to your primary and secondary objectives (sections 7.2 and 7.3). |
| **12.2 Where and how will data be stored DURING the project?** |
| Please give details of data storage arrangements DURING your project. Secure storage (particularly of personal data which will be confidential) is required.  The [research data information page](https://library.port.ac.uk/researchdata.html) gives details of the [storage options that you must use](https://library.port.ac.uk/researchdata.html#Data_storage_and_security_WHILE_my_research_project_is_taking_place).  This page also explains [where you should NOT store your data](https://library.port.ac.uk/researchdata.html#USB_sticks_external_hard_drives_and_similar). |
| **12.3 Destruction, Retention and Reuse of Data (often AFTER your project has finished)** |
| It’s anticipated that in most cases you will make the majority of your research data open access / publicly available (after anonymization) to enable others to re-use it. However, it is also anticipated that you might have collected some information that you want/need to retain securely without making it publicly available. Please ensure that your explanation of how your data will be managed after your project has finished addresses both ‘types’ of data.  In order to do this, you need to follow the following guidance and address each of these points in your explanation:  [Sharing and making research data open access](https://library.port.ac.uk/researchdata.html#Sharing_and_making_research_data_open_access) [Do I have to share my research data?](https://library.port.ac.uk/researchdata.html#Do_I_have_to_share_my_research_data) [Sharing personal data](https://library.port.ac.uk/researchdata.html#Sharing_personal_data) [Where can I share my research data?](https://library.port.ac.uk/researchdata.html#Where_can_I_share_my_research_data) [What else must I do to share my data?](https://library.port.ac.uk/researchdata.html#What_else_must_I_do_to_share_my_data) [Can I share my research data with some restrictions imposed?](https://library.port.ac.uk/researchdata.html#Can_I_share_my_research_data_with_some_restrictions_imposed) [How can I retain my research data without sharing it?](https://library.port.ac.uk/researchdata.html#How_can_I_retain_my_research_data_without_sharing_it) [How long after the project should I store my research data for?](https://library.port.ac.uk/researchdata.html#How_long_after_the_project_should_I_store_my_research_data_for) [Destruction](https://library.port.ac.uk/researchdata.html#Destruction) |
| **12.4 Personal Data – How will confidentiality be ensured?** |
| Please carefully read the [managing personal data](https://library.port.ac.uk/researchdata.html#Managing_personal_data) section of the research data information page and then explain how you will manage personal data.  Your explanation will overlap to some extent with you answers to questions 12.2 and 12.3 in terms of storage, however, it should also include:   * A statement of what special category (e.g. personal sensitive) data you will be storing * How you will ensure confidentiality, including storage, security and access arrangements. I.e. Where will the data be stored? Who will have access? * If you propose to anonymize data, please explain the strategy you will use here. If the data are to be linked-anonymized (pseudo-anonymized) please also explain the arrangements here. |
| **12.5 How will data belonging to organisations (publicly unavailable data) be handled (if applicable)?** |
| Confidential data belonging to organisations should be treated in much the same way as personal data. It is recognised that some data are in the public domain in which case they need only be appropriately referenced. Some data will be confidential for commercial or other reasons; please make your management plans clear if this is to be the case. Please explain how you will ensure confidentiality including storage and access arrangements. Where will the data be stored? Who will have access to them? If the organisation wishes to remain anonymous please explain the strategy you will deploy. |
| **12.6 How will security sensitive data be handled (if applicable)?** |
| It is recognised that some research requires access to security sensitive or other data which might be deemed as controversial, for example pornographic material, but which can nevertheless be lawfully accessed. There is useful UUK guidance regarding security sensitive research and the University has a guidance note available on the governance webpages. It is important for the University to be aware of access to any sensitive documents, for example terrorist manuals, so that police or other enquiries can be addressed. Whilst it is lawful to hold such material for research purposes it would be unlawful to pass it on to other individuals or organisations.  IT IS THE RESEARCHER’S RESPONSIBILITY TO ENSURE THAT THEY REMAIN WITHIN THE LAW AT ALL TIMES.  Stating, “it’s for research” does not excuse illegal activity. |

1. **Publication / Impact / Dissemination Plans**

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| Please add any publication and dissemination plans here, including details of any embargos by publishers, funders or sponsors if applicable. If funders or sponsors will have any other power to veto or otherwise restrict dissemination please also say so here. It should, however, be noted that there is an ethical imperative to publish and share research that might be of value to the academic community and society as a whole. This is particularly important if the research has been burdensome for participants as publication might well prevent the unnecessary repetition or work/experiments.  It is also important that you consider making your research publications Open Access (OA). This is now a formal requirement for all journal articles and articles published in conference proceedings. To be eligible for the next REF, HEFCE’s OA Policy requires that journal and conference articles are made OA.  To adhere to this policy, from 1st April 2016 authors must upload their articles to Pure immediately when they are accepted for publication.  Please also see question 12.3 above with regards to the public sharing of research data. |

1. **References**

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| Please ensure that you provide all references referred to in this application. |

1. **Appendices**

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| In addition to the completed application form you must submit all other relevant documents. Templates are provided on the university’s ethics website for letters of invitation to participants, participant information sheets, consent forms and surveys. If you intend to undertake interviews you must provide a schedule giving the questions to be asked or a broad topic list. Survey questionnaires should be presented in full, including any invitation paragraph and instructions – it is acceptable to provide a link to an electronic survey.  PLEASE SUBMIT APPLICATION FORM AND APPENDICES AS A SINGLE DOCUMENT WHERE POSSIBLE  Complete the table below, providing a list of all the documents appended to this application (if applicable).  The *date* you put in the table below for each document supplied should be the date that you last saved it or the date that is on the document, as appropriate. Such dates should not be in the future. The *version* number you provide for each document supplied will normally be version 1 in your initial submission. If you subsequently revise and resubmit a document to the ethics committee, you should update the version number for that amended document as appropriate (version 2, 3, and so on).  Please do not submit your ethics application with this table uncompleted. If in doubt, you can seek the advice of the relevant ethics administrator.   |  |  |  | | --- | --- | --- | | **Document** | **Date** | **Version No.** | | Application Form |  |  | | Invitation Letter |  |  | | Participant Information Sheet(s) (list if necessary) |  |  | | Consent Form(s) (list if necessary) |  |  | | Advertisement |  |  | | Peer / Independent Review |  |  | | Supervisor Email Confirming Application |  |  | | Evidence From External Organisation Showing Support |  |  | | Terms of Reference for Steering / Advisory Group |  |  | | Survey Instrument |  |  | | Interview Questions / Topic List |  |  | | Focus Group Questions / Topic List |  |  | | Focus Group Ground Rules |  |  | | Script for Oral Consent |  |  | | Questionnaire |  |  | | Observational Data Collection Form |  |  | | Risk Assessment Form(s) |  |  | | Other – please describe |  |  | |

1. **Declaration by Chief Investigator and Supervisor (if applicable)**

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| **BY SUBMITTING THIS FORM TO YOUR FACULTY ETHICS COMMITTEE THE CHIEF INVESTIGATOR (AND THEIR SUPERVISOR IF RELEVANT) DECLARE:**  **1.** The information in this form is accurate to the best of my/our knowledge and belief and I/we take full responsibility for it. **2.** I/we undertake to conduct the research/ work in compliance with the University of Portsmouth Ethics Policy, UUK Concordat to Support Research Integrity, the UKRIO Code of Practice and any other guidance I/we have referred to in this application. **3.** I/we confirm that all relevant risk assessments and Health and Safety requirements have been made/met. **4.** If the research/ work is given a favourable opinion I/we undertake to adhere to the study protocol, the terms of the full application as finally reviewed and any conditions set out by the Ethics Committee in giving its favourable opinion. **5.** I/we undertake to notify the Ethics Committee of substantial amendments to the protocol or the terms of the final application, and to seek a favourable opinion before implementing the amendment. **6.** I/we undertake to submit annual progress reports (if the study is of more than a year’s duration) setting out the progress of the research/ work, as required by the Ethics Committee. **7.** I/we undertake to inform the Ethics Committee when the study is complete and provide a declaration accordingly. **8.** I/we am/are aware of my/our responsibility to be up to date and comply with the requirements of the law and relevant guidelines relating to security and confidentiality of personal data, including the need to register, when necessary, with the appropriate Data Protection Officer. I/we understand that I/we am/are not permitted to disclose identifiable data to third parties unless the disclosure has the consent of the data subject. **9.** I/we undertake to comply with the University of Portsmouth Data Management Policy.  **10.** I /we understand that records/data may be subject to inspection by internal and external bodies for audit purposes if required. **11.** I/we understand that any personal data in this application will be held by the Ethics Committee, its Administrator and its operational managers and that this will be managed according to the principles established in the Data Protection Act 1998 (and after May 2018, the General Data Protection Regulation). **12.** I understand that the information contained in this application, any supporting documentation and all correspondence with the Ethics Committee and its Administrator relating to the application:   * Will be held by the Ethics Committee until at least 10 years after the end of the study * Will be subject to the provisions of the Freedom of Information Acts and may be disclosed in response to requests made under the Acts except where statutory exemptions apply. * May be sent by email or other electronic distribution to Ethics Committee members.   **13.** I/we understand that the favourable opinion of an ethics committee does not grant permission or approval to undertake the research/ work. Management permission or approval must be obtained from any host organisation, including the University of Portsmouth or supervisor, prior to the start of the study.  **EMAILING THIS FORM TO THE RELEVANT FACULTY EMAIL ADDRESS WILL BE CONSIDERED AS AGREEING WITH THIS DECLARATION. IF YOU ARE A STUDENT PLEASE ENSURE THAT YOUR SUPERVISOR ALSO AGREES TO THIS DECLARATION.** |

**Where should I send my completed application?**

A single document, incorporating all essential elements, should be sent to the faculty Ethics Committee of the faculty where the chief investigator or their supervisor is based. In rare cases the faculty ethics committee may feel they do not have the expertise to review the study, in which case they may transfer the project to a different faculty committee.

Faculty of Creative and Cultural Industries: [Ethics-cci@port.ac.uk](mailto:Ethics-cci@port.ac.uk)

Faculty of Humanities and Social Sciences: [Ethics-fhss@port.ac.uk](mailto:Ethics-fhss@port.ac.uk)

Faculty of Business and Law: Ethics-bal@port.ac.uk

Faculty of Science & Health: [Ethics-sci@port.ac.uk](mailto:Ethics-sci@port.ac.uk)

Faculty of Technology: [Ethics-tech@port.ac.uk](mailto:Ethics-tech@port.ac.uk)

**How long will the review take?**

Ethics review is normally undertaken within a period of 15 working days. Ethics committees will normally require a response and then need time to review your response, which again could take 15 working days. You should take account of university closure dates and check with the relevant committee if other closures are operating.

**What sort of response can I expect from the Committee?**

Faculty Ethics Committees can issue a favourable opinion, an unfavourable opinion or ask for further information. The most frequent initial response is to asked for further information normally in the form of amendments to your protocol. The subsequent resubmission must make responses to the Committee clear – **THIS SHOULD BE SHOWN IN THE FORM OF TRACKED CHANGES TO THE APPLICATION DOCUMENTS AND A DETAILED COVER LETTER EXPLAINING YOUR RESPONSE.** The Committee will review your amended documents, again within 15 working days. If all conditions are met you will be issued a formal favourable opinion letter. The letter will normally be sent to you as an email attachment, copies are sent to supervisors where relevant. PGR students should include the letter in their bound theses thereby providing evidence of ethics review.

**YOU MUST NOT ATTEMPT TO RECRUIT ANY PARTICIPANTS OR COLLECT DATA UNTIL A FAVOURABLE OPINION HAS BEEN ISSUED.**