Institutional Approval Form for Research Ethical Review & Assessment

Authored	Research Office
Date	Oct-2019
Approved	Research Ethics Panel, Research & Enterprise Committee
Version	2

Part I

Name:
Department:
Project Title:
Abstract: (*Limited to 250 words*)

Status: **Staff** ☐ **Doctoral Researcher** ☐ **Postgrad (taught)** ☐ **Undergrad** ☐

Externally funded: **Yes** ☐ **No** ☐

- Certain areas of research can raise ethical issues that must be given the appropriate level of consideration and scrutiny. Any proposed research that broadly falls within the categories outlined in Table 1 (below) must be referred to the Research Ethics Panel (REP) for review.

- Approval must be authorised prior to any substantive research being undertaken.

Table 1: *Areas of Research requiring formal approval from the Research Ethics Panel (REP)*

Nature of Research	Details
1. Security sensitive	All terrorism related research.
2. Culturally sensitive	Research involving culturally sensitive objects and / or artefacts.
3. Participant sensitive	Research involving potentially vulnerable participant groups including but not limited to: children, individuals lacking mental capacity etc. [whether in the UK or overseas][1]
4. Fieldwork security risks	Proposed fieldwork that may potentially give rise to adverse risks including potential/actual physical harm to either the researcher and/or research participant(s).

[1] An enhanced DBS (disclosure and barring service) check may be required before any research project can be undertaken.

5. Gatekeeper	A single authority figure, (domestically or internationally), with the power or ability to grant / deny access to research participants and being remunerated financially.
6. Conflict of Interest	Including: direct/indirect financial interest; non-financial personal interests
7. Embargoing	Requests to embargo PhD thesis
8. Significant / material change of circumstances	Where research plans have changed materially (e.g. research methodology has substantially changed)
(9. Approval sought)	(Self-referral: potential/likely significant ethical issues arising)

		Yes	No
1.	Does the proposed research fall within any of the areas listed in Table 1?	☐	☐

a. If yes, please detail below which category from the table above it falls into and a brief synopsis of the issue(s) involved; then complete the remainder of the assessment sections:

▪ ▪ ▪

2. Please confirm that you have completed the Epigeum Research Integrity Course and enclose a copy of your certification reference number:

Completion date: _____

Certificate reference: _____

		Yes	No
3.	(*If applicable*) Have you completed the online Risk assessment, travel safety and security form?	☐	☐
4.	Is a Data Protection Impact Assessment (DPIA) required for the project?	☐	☐

Part II

Ethics Review and Assessment

The Ethics Assessment Toolkit is designed to help the Researcher think-through each of the various ethical aspects to the Research Project. Further detail is provided in the guidance document accompanying this form as well as the Code of Practice. Where a 'yes' response (marked with ✓, no marked as ✗) is made, please refer to Part III to complete the risk assessment, where applicable. The online version in Worktribe[2] provides for drop-down boxes to record this detail.

Part A: Nature of Proposed Research	**Yes**	**No**
1. Does the proposed research fall within any of the areas listed in Table 1?		
2. Are there any ethical issues that potentially may arise with regards to:		
a) Research objective(s)		
b) Research methodology (including research partners, third-parties)		
c) Potential impact of the research		
Part B: Research Participants: Personal Data	**Yes**	**No**
1. Does the proposed research project involve human participants and the gathering/use of their personal data? [*If yes, the lawful basis will need to be recorded*]		
2. Does the proposed research project involve the gathering/use of special category data? [*If yes, the lawful basis will need to be recorded*]		
3. Does the proposed research project involve personal data relating to criminal offences and / or convictions? [*If yes, the lawful basis will need to be recorded*]		
Part C: Consent and Compliance	**Yes**	**No**
1. Is it envisaged that there could be specific ethical problems or other significant issues arising from obtaining the informed consent of research participants?		
2. Does the proposed research require appropriate safeguards to be considered / put in place to ensure participant(s) anonymity is protected?		

[2] Only for externally funded research projects

3. Does the proposed research have to enable compliance with any specific monitoring and/or audit requirements?		
4. Is a Conflict of Interest declaration required in accordance with any specific funding terms and / or a relevant professional body?		
Part D: Data Management	**Yes**	**No**
1. Is any personal data used for research purposes a pre-existing data-set and/or already anonymised?		
2. Are any *additional* security measures required that relate to the collection, storage, access etc of personal/special category data?		
3. Is a risk assessment required to ensure the appropriate security measures are in place for collection, use, storage and access of data?		
4. Is a full data management plan required for the proposed research?		
5. Will the research use data that requires permission to be obtained from an owner/authority prior to access/use?		
Part E: Transparency and Publication	**Yes**	**No**
1. Upon completion, SOAS practice is to make research publicly available. Would any restrictions upon publication (including embargoing PhD theses) need to apply?		
2. Is there a requirement for additional procedural protocols to be put in place regarding the handling of antiquities / objects / artefacts or other similar items?		
3. Will there be a need for any independent legal assurance to be obtained to ensure that the research carried out is within the provisions of the current law, thereby not placing researchers or the School in any legal jeopardy?		
4. Is financial remuneration being offered to research participants?		
5. Does the research raise any other issues requiring ethical consideration? [e.g. use of equipment, including during fieldwork that may pose an adverse environmental impact?]		
Part F: Specialised Risk	**Yes**	**No**

1. Is it envisaged that the research project will involve prolonged or repetitive testing?		
2. Are drugs, placebos or other substances to be administered to any research participants?		
3. Is it envisaged that the research project may involve invasive, intrusive or potentially harmful procedures of any kind?		
4. Could the research project induce psychological anxiety, stress, harm or other potentially negative consequences for research participants?		

Part III

Worktribe has its own separate Ethics and Risk tabs built into its functionality. The table below however, can be used to outline additional details that arise from 'Yes' ✓ answers to the assessment in Part II, as well as any potential risks that have been identified. Any proposed reasonable steps to mitigate these risks may also be recorded therein. Two worked examples are set out below:

Issue	Risk	Risk Rating (1. Red: highest 2. Amber: medium 3. Green: low)	Mitigation	Evaluation	Mitigation Approval	Date for reporting / implementation
Part A, Q2b	Creating an online survey that doesn't capture directly or indirectly personal identifiers that would come within scope of current data protection regulations	2	Data protection regulations would not apply to information (or in this case a data set) that is rendered anonymous (GDPR Recital 26). The intention and plan are to capture the data set at inception in anonymous form.	Online survey tool is not seeking identifying information (name, email registration, phone number etc). Further identifiers will be disabled for the survey, including IP address tracking and cookie data. External tracking software (such as Google analytics) is not being used and will be disabled.	Approval sought from the Research Ethics Panel	Finalised copy of the survey questions as well as non-public technical features subject to initial testing prior to going live. Additional advice / support elicited from relevant staff (ethics, IT).
Part D, Q4	Data Management Plan (DMP)	1	Designated funder template being utilised to capture and evidence data management planning for the research project.	Anticipating updated version once protocols for data collection during fieldwork is completed.	Funder requirement / specified as project deliverable.	Version1 DMP currently drafted; deliverable by specified submission date.

Part IV

Declaration

I hereby confirm that to the best of my knowledge this is a full account of the ethical issues that potentially may arise during the course of my proposed research.

Principal Investigator (PI) / Researcher:

Signed: ……. Date: ……

(*Authorised Reviewer*)

Post/Title ……..

Signed: …….. Date: ……..

Approve	Reject	Refer to REP	Date

Please ensure a copy of the form is retained for audit and monitoring purposes.

Part V

Safeguarding Referrals Form

Name:
Department:
Project Title:
Abstract: (*Limited to 250 words*)

Status: **Staff** ☐ **Doctoral Researcher** ☐ **Postgrad (taught)** ☐ **Undergrad** ☐

Externally funded: **Yes** ☐ **No** ☐

Where is the Research - in the UK or Overseas?

(*state, then specify location*)

Please provide detail of the vulnerable participant group(s) your research project involves:

Authorisation provided by:			
Research Ethics Panel		Code:	Date:
Designated Safeguarding Lead (DSL) / deputy		Name:	Date:

[*Please ensure a copy of the form is retained for audit and monitoring purposes.*]

Document version

Date	Author	Changes	Published
2018 (v1)	Research Office (K Hasan)	-	10 Oct-2018
5 Sept-2019 (v2)	Research Office (K Hasan)	Part I Q. 3 removed (non-completion of Epigeum course reasoning) Part II (opening paragraph) markers included Part III alternate worked examples included Part IV (review) footnote removed Part V (authorisation tab) updated to reflect appointment of safeguarding lead/deputy	15 Oct-2019