



## ETHICS FORM 1

### WHAT LEVEL OF REVIEW DO I NEED?

#### GUIDELINES

**This form is for staff and doctoral students. It will help you identify the level of review needed for your project. Before completing it, you need to:**

1. Read *The University Research Ethics Policy*.
2. If you are a student, discuss the ethical aspects of your project with your supervisor.

It is your responsibility to follow the University's Policy on the ethical conduct of research and to follow any relevant academic guidelines or professional codes of practice pertaining to your study when answering these questions.

The questions and checklist in this proforma are intended to guide your reflection on the ethical implications of your research. Explanatory notes and further details can be found in the Policy document.

## SECTION 1

## DETERMINING WHETHER YOU REQUIRE ETHICS REVIEW

<b>YOUR PROJECT</b>
Project title: <b>Final Project – Health Hub</b>
Your name: <b>Imogen Buttimore</b>

1.	<b>Is the proposed activity classified as Research or Audit /Service Evaluation or similar?</b>	
	<input checked="" type="checkbox"/> Research	<input type="checkbox"/> Audit or Service Evaluation
	<p>Use the Policy to help you answer this question. If the proposed activity meets the definition of <b>research</b> (see the policy), CONTINUE.</p> <p>If the activity is an <b>audit</b> or a <b>service evaluation</b>, STOP. You do not need to seek ethics approval, but you do need to formally register your project with UREC, along with a project outline. To do this complete Form 2.</p> <p>If you are unclear what type of activity you are undertaking, please refer to the Policy for additional types.</p>	
2.	<b>Does the research involve living human participants, human samples or data derived from individuals who may be identifiable through the data collected?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>Use the Policy to help you answer this question.</p> <p>If you answer <b>NO</b>, SKIP to QUESTION 6 and CONTINUE.</p> <p>If you answer <b>YES</b>, CONTINUE.</p>	
3.	<b>Is the research being conducted for a medicinal purpose?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>Use the Policy to help you answer this question. See Appendix 2 - FAQs and definitions.</p> <p>If you answer <b>YES</b>, and think your research comes under the definition of 'for a medicinal purpose,' it will need to be scrutinised by the Committee. Please email the Committee Chair (<a href="mailto:ethics@winchester.ac.uk">ethics@winchester.ac.uk</a>) for further guidance on what to do.</p> <p>If you answer <b>NO</b>, CONTINUE.</p>	
4.	<b>Does your research require external ethics approval or review?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>For example, from the NHS or another overseeing body. Use the Policy to help you answer this question.</p> <p>If you answer <b>NO</b>, CONTINUE.</p> <p>If you answer <b>YES</b>, you need to formally register your project with UREC, along with the relevant external ethics approval. To do this complete Form 2.</p>	
5.	<b>Is the project underway and, the researcher or PI, has moved institution to Winchester?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	If you answer <b>YES</b> , please read the following:	

	<p>If the research began when the PI was employed at another institution but has subsequently moved to Winchester, and the project has previously been subjected to ethics scrutiny at that institution, then it need not go through ethics review again. The outcome of ethics review by that institution should be communicated to UREC for formal recording. To do this complete Form 2 and include evidence of the previous ethics approval.</p> <p>HOWEVER, if there have been significant changes to the original research design which have ethical implications or recruitment of a cohort of participants will be undertaken through Winchester, then the project will require ethics review and you should apply for approval, CONTINUE.</p> <p>If you answer <b>NO</b>, CONTINUE.</p>	
6.	<b>Is the research collaborative?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>If you answer <b>YES</b>:</p> <ul style="list-style-type: none"> <li>where the Principal Investigator (PI) of the research is located at another institution, it is their responsibility to seek ethics approval, including partner research sites. The outcome of ethics review by that institution should be communicated to UREC for formal recording. To do this complete Form 2 and include evidence of the previous ethics approval.</li> <li>where the PI is located at Winchester, then the project will undergo scrutiny as per Winchester's Ethics Policy, CONTINUE.</li> </ul> <p>If you answer <b>NO</b>, CONTINUE.</p>	
7.	<b>Is the research being conducted in another country?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>If you answer <b>YES</b>, please read the following:</p> <p>Where a project is conducted in another country, the researcher should consider if it is possible to obtain ethics review by a local research ethics committee or other relevant body. The outcome of such a review by that institution should be communicated to UREC for formal recording, along with a project outline. To do this complete Form 2.</p> <p>If this is not possible, the project should be reviewed by the University of Winchester, either at Faculty level or Committee depending on the nature of the proposed work, so CONTINUE.</p>	
8.	<b>Does the research involve the use of documentary material(s) for analysis - for example artifacts, papers, historical records, literary works or documents in a public or private archive?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p><i>Note: Documentary material does not include academic papers or other 'building block' literature in the public/academic domain which is used to inform the research context or rationale for the study. Instead, the documentary material would be the 'data' for the study, therefore literature reviews or literature critiques are not considered documentary research.</i></p> <p>If you answer <b>YES</b>, you need to formally register your project with UREC, along with a project description. To do this complete Form 2. Where materials are in a private archive or closed collection, please include details of the nature of the private archive /closed collection and provide evidence of permission to use this material for research purposes. Please also consider if there may be outcome ethical implications e.g. the subject matter may have a negative impact on those still connected to the materials.</p>	
9.	<b>Does the research involve live vertebrate animals?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	If you answer <b>NO</b> , CONTINUE.	

	<i>If you answer <b>YES</b>, you need to formally register your project with UREC, along with a copy of the relevant licence (if required). To do this complete Form 5.</i>	
10.	<b>Does the research involve environmental interventions?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>NO</b>, CONTINUE. If you answer <b>YES</b>, you need to formally register your project with UREC, along with a copy of the relevant licence (if appropriate). To do this complete Form 2</i>	
11.	<b>Does the project pose any potential or actual conflict(s) of interest for the researcher and /or stakeholders?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>YES</b>, please ensure you provide information on the form you complete.</i>	
12.	<b>Does the data you will collect contain <i>any</i> information that could be linked back to participants or that might identify them (e.g. name, address, photo, voice, email)?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>NO</b>, you need to formally register your project with UREC. To do this complete Form 2. If you answer <b>YES</b>, CONTINUE.</i>	

☞ Reaching the end of these questions, **either** you will have been directed to complete a specific additional form **or** you should continue to section 2.

If you are still unsure whether you need ethics review or not, please re-read The Policy and email your query to [ethics@winchester.ac.uk](mailto:ethics@winchester.ac.uk) with details of your project.

## SECTION 2

## DETERMINING THE LEVEL OF ETHICS REVIEW REQUIRED

	<i>Please mark with an <input checked="" type="checkbox"/> as appropriate</i>	YES	NO
1.	Does the research involve individuals who might be considered vulnerable?  <i>For example: vulnerable children, over-researched groups, people with learning difficulties, people with mental health problems, young offenders, people in care facilities, including prisons. For a note on research with children, see Appendix 2 of the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.	Does the research involve individuals in unequal relationships e.g. your own students?  <i>Please note:</i> <i>1. students recruited via SONA are not considered 'your own students.' If you intend to recruit widely across the University or your Faculty (e.g. through snowball sampling or a mail shot) you do not need to consider such students as your own, even if some participants may be students you are directly involved with. Only tick "yes" if you are targeting your own students specifically.</i> <i>2. if you are an undergraduate or postgraduate student carrying out research with children in either a school or early years setting, these DO NOT come under the category of your 'own students.'</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.	Will it be necessary for participants to take part in the study without their knowledge and consent at the time?  <i>For example: covert observation of people in non-public places, use of deception. See Appendix 2 of the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.	Will the study involve discussion of sensitive or personal topics?  <i>For example: (but not limited to) participants' relationships, emotions, sexual behaviour, experience of violence, mental health, gender, race / ethnicity status or experience, political or religious affiliations. Please refer to the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5.	Is there a risk that the highly sensitive nature of the research topic might lead to disclosures from the participant concerning their own involvement in illegal activities or other activities that represent a threat to themselves or others which may need onward reporting?  <i>For example: sexual activity, drug use, illegal activities or professional misconduct.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6.	Might the research involve the sharing data or confidential information beyond the initial consent given?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
7.	Might participant anonymity be compromised at any time during or after the study?  <i>For example: will the research involve respondents using the internet, social media, or other visual /vocal methods where respondents may be identified?</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8.	Is the study likely to induce severe physical harm or psychological distress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
9.	Does your research involve tissue samples covered by the Human Tissue Act (2004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

10.	<p>Is there a possibility that the safety of the researcher may be in question?</p> <p><i>For example: research in high-risk locations or with high-risk groups.</i></p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11.	<p>Does the research involve creating, downloading, storing or transmitting material that may be considered to be unlawful, indecent, offensive, defamatory, threatening, discriminatory or extremist?</p> <p><i>If you answer <b>YES</b> to this question, you must also contact the Director of Library and IT Services, who must provide approval for the use of such data.</i></p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Answering **NO** to **all** these questions means your project is eligible for Faculty level ethics review. You now need to complete Form 3.

Answering **YES** to **any** of these questions means your project will require Committee ethics review. You now need to complete Form 4.