Advisory text is highlighted in yellow and should be deleted before finalising the document.

|  |  |  |
| --- | --- | --- |
| SECTION A: Researchers | | |
| 1. Name of researcher or student |  | |
| 1. Department or Institute | NB: During its pilot, this form is only available to researchers based in AMES, Computer Science, Education, SoGE, ODID, LPP, Music, SBS and Sociology. | |
| 1. Degree programme, if student research | E.g. BA, BSc, MSc, MPhil, DPhil. | |
| Copy and paste the following four rows as necessary to complete for each additional researcher who will be involved in this study, including student(s). | | |
| 1. Name of [Principal Investigator](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#P) (PI) (if different from the answer to A1), student’s supervisor or other researchers | Only one person can be named as the PI, this cannot be a student. To apply for ethics review using this form, students must be supervised by a University of Oxford member of staff. | |
| 1. Department or Institute |  | |
| 1. Role in research | E.g. student, Co-Investigator | |
| 1. The [introductory core research integrity course](https://researchsupport.admin.ox.ac.uk/integrity-and-ethics-training#collapse409401) is compulsory for all University of Oxford research students (either on graduate taught courses or taking research degrees). There is also a [refresher course](https://researchsupport.admin.ox.ac.uk/integrity-and-ethics-training#collapse409401) which may be more suitable for experienced University of Oxford researchers. Please confirm that all staff and research students have undertaken either the core or the refresher course, or that undergraduates have received suitable training. | | **Yes** |
|  |

|  |  |  |
| --- | --- | --- |
| SECTION B: Filter questions | | |
| This section determines whether this CUREC 1B form is suitable for the research project. | | |
| **Please indicate with an ‘X’.** | **Yes** | **No** |
| 1. Does the research involve the [deception](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#deception) of participants? |  |  |
| 1. Are the research participants [vulnerable](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#V) in the context of the research, or classed as [people whose ability to give free and informed consent is in question](http://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#P)? For example,  * Participants younger than 16; * Participants aged 16 – 18 (refer to [competent youths](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/bpg) for guidance); * [adults at risk](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#A);   Note the University’s [Safeguarding Guidance and Code of Practice](http://www.admin.ox.ac.uk/personnel/cops/safeguarding/) and its implications for researchers involving young people or adults at risk. |  |  |
| 1. By taking part in the research, will participants be at risk of criminal prosecution or significant harm? |  |  |
| 1. Does your research raise issues relevant to the Counter-Terrorism and Security Act ([the Prevent Duty](https://compliance.admin.ox.ac.uk/prevent)), which seeks to prevent people from being drawn into terrorism? [Best Practice Guidance 07 on the Prevent Duty](https://researchsupport.admin.ox.ac.uk/files/bpg07preventdutypdf) provides further guidance. |  |  |
| 1. Does the research involve topics that could be considered [sensitive](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#S)? |  |  |
| 1. Are there any risks to the [safety](https://safety.admin.ox.ac.uk/fieldwork) and [wellbeing](https://www.socsci.ox.ac.uk/wellbeing?filter-4491-themes-1024766=28856) of the researchers or others involved in the project? |  |  |
| 1. Will participants be taking part in the research without their knowledge and [informed consent](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/consent) (e.g. [covert observation](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/ap#collapse397216))? |  |  |
| 1. Is this international or collaborative research where there may be issues of [local practice and political sensitivities](https://researchsupport.admin.ox.ac.uk/files/bpg16ethicalreviewofsocial-sciencebasedresearchoverseasv10pdf)? |  |  |
| 1. Are there any potential [conflicts of interest](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#C)? |  |  |
| 1. Is permission from a [gatekeeper](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#G) required for access to the participants? |  |  |
| 1. Are the researchers in a position of authority over participants, e.g. as employers, lecturers, teachers or family members? |  |  |
| 1. Will the research involve [third parties](https://www.infosec.ox.ac.uk/working-third-parties) collecting data? |  |  |
| 1. Is there scope for incidental findings, e.g. concerns for the safety or wellbeing of participants? |  |  |
| 1. Is the Principal Investigator based in a Department other than AMES, Computer Science, Education, SoGE, ODID, LPP, Music, SBS or Sociology? |  |  |
| If you answered **‘No’** to all the questions above, continue to **Section C**. If you answered **‘Yes’** to **any** of the questions above, please submit a [CUREC 1A](https://researchsupport.admin.ox.ac.uk/governance/ethics/apply/sshidrec#collapse394901) or [CUREC 2](https://researchsupport.admin.ox.ac.uk/governance/ethics/apply/sshidrec#collapse394906) form **instead of this form**. | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| SECTION C: The research project | | | | |
| 1. Title of the research project | | | | |
|  | | | | |
| 1. Anticipated start date of the aspect of the research project involving human participants and/ or personal data (**dd/mm/yy**). | | **NB**: If you don’t need to start on a specific date it’s fine just to state that you will start once ethics approval is obtained.  Allow at least **10 working days** for the CUREC 1B review process. **Retrospective ethics approval is not possible.** | | |
| 1. Anticipated research end date (**dd/mm/yy**). | | NB: Ethics approval can be granted for a maximum of **3 years**. | | |
| 1. External organisation funding the research and grant reference (if applicable) | | | | |
|  | | | | |
| 1. Provide a brief lay summary of the aims and objectives of the research. (max 300 words) | | | | |
|  | | | | |
| 1. Provide a brief lay summary of the research design and methods. What will research participants be asked to do? What data will be collected? (max 300 words) | | | | |
|  | | | | |
| 1. List any [professional guidelines](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/guidance) that will be followed. | | | | |
|  | | | | |
| 1. List the location(s) where the research will be conducted, including any other countries. Clarify which parts of the research will be conducted in-person and which will take place remotely, e.g. [online](https://researchsupport.admin.ox.ac.uk/files/bpg06internet-basedresearchpdf). | | | | |
|  | | | | |
| 1. If your department requires a fieldwork risk assessment, please confirm that a risk assessment will be undertaken and authorised by your Department before the fieldwork is undertaken. Refer to guidance available from your Department, the [Safety Office](https://safety.admin.ox.ac.uk/overseas-travel), the [Social Sciences Division](https://socsci.web.ox.ac.uk/research-fieldwork), and the [Humanities Division](https://www.humanities.ox.ac.uk/health-and-safety#collapse395321), and on [travel for University business](https://safety.admin.ox.ac.uk/coronavirus#collapse1916536). If you are travelling overseas, you are advised to take out [University travel insurance](http://www.admin.ox.ac.uk/finance/insurance/travel). | | | **Yes** |  |
| **Not required** |  |
| 1. Indicate which [CUREC Best Practice Guidance](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/bpg) are relevant and which have been used to develop your research. | **Please indicated with an ‘X’.** | | **Relevant?** | **Used?** |
| [BPG 01 Researcher safety](https://researchsupport.admin.ox.ac.uk/files/bpg01researchersafetypdf) | |  |  |
| [BPG 02 Ethnographic and other types of qualitative research](https://researchsupport.admin.ox.ac.uk/files/bpg02ethnographicandothertypesofqualitativeresearchv10pdf) | |  |  |
| [BPG 03 Elite and expert interviewing](https://researchsupport.admin.ox.ac.uk/files/bpg03eliteandexpertinterviewingpdf) | |  |  |
| [BPG 04 Competent youths](https://researchsupport.admin.ox.ac.uk/files/bpg04competentyouthspdf-0) | |  |  |
| [BPG 05 Payments and incentives in research](https://researchsupport.admin.ox.ac.uk/files/bpg05paymentsandincentivesinresearchv10pdf) | |  |  |
| [BPG 06 Internet-mediated research](https://researchsupport.admin.ox.ac.uk/files/bpg06internet-basedresearchpdf) | |  |  |
| [BPG 07 Prevent Duty](https://researchsupport.admin.ox.ac.uk/files/bpg07preventdutypdf) | |  |  |
| [BPG 08 Psychological distress](https://researchsupport.admin.ox.ac.uk/files/bpg08psychologicaldistresspdf) | |  |  |
| [BPG 09 Data collection, protection and management](https://researchsupport.admin.ox.ac.uk/files/bpg09datacollectionandmanagementpdf) | |  |  |
| [BPG 10 Conducting research interviews](https://researchsupport.admin.ox.ac.uk/files/bpg10conductingresearchinterviewsv10pdf) | |  |  |
| [BPG 12 Mobile app design](https://researchsupport.admin.ox.ac.uk/files/bpg12mobileappdesignv10pdf) | |  |  |
| [BPG 14 Research in archives](https://researchsupport.admin.ox.ac.uk/files/bpg14researchinarchivespdf) | |  |  |
| [BPG 15 Ethics review of research with human tissue](https://researchsupport.admin.ox.ac.uk/files/bpg15ethicsreviewofresearchwithhumantissuepdf) | |  |  |
| [BPG 16 Social science research conducted outside the UK](https://researchsupport.admin.ox.ac.uk/files/bpg16ethicalreviewofsocial-sciencebasedresearchoverseasv10pdf) | |  |  |

|  |  |
| --- | --- |
| SECTION D: Research participants – recruitment and informed consent | |
| 1. Number of participants | An approximate number or range, e.g. 5-10, is fine if the exact number is yet to be determined. |
| 1. How will potential participants be identified and approached? | |
|  | |
| 1. Explain how [informed consent](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/consent) will be obtained from the participants and how this will be recorded. Make sure participants are aware of any limits to withdrawing their data, e.g. once the data has been anonymised or published.   **NB: For ethics applications using the CUREC 1B form, the information provided to participants and the consent form must be based on the** [**University templates**](https://researchsupport.admin.ox.ac.uk/governance/ethics/resources/consent)**.** | |
| An important aspect of conducting ethical research is making sure the research participants have the information they need to make an informed decision about taking part. The information provided should be appropriate to the project and presented in an accessible way. If there is not enough information potential participants might not be able to make an informed decision but if the information sheet is too long or unclear they might not read it properly or it could deter them from taking part. You may find it helpful to refer to the [guidance on writing for participants](https://researchsupport.admin.ox.ac.uk/files/writingforparticipantspdf). | |
| Please submit copies of all participant-facing materials for review. E.g.:   * Recruitment material (e.g. emails, posters) * Information for participants to read (or hear) before they agree to take part (e.g. written information or, if applicable, an outline oral information script). * A document to record informed consent. | |

|  |  |  |  |
| --- | --- | --- | --- |
| SECTION E: Research data | | | |
| Management of personal data, either directly or via a third party, must comply with the requirements of the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018, as set out in the [University’s Guidance on Data Protection and Research](https://researchsupport.admin.ox.ac.uk/policy/data).  In answering the questions below, please also consider the points raised in the [Data Protection Checklist](https://researchsupport.admin.ox.ac.uk/policy/data/checklist) and [Data Protection Screening Assessment](https://compliance.admin.ox.ac.uk/data-protection-by-design) and whether, for higher-risk data processing, a separate [Data Protection Impact Assessment](https://compliance.admin.ox.ac.uk/privacy-by-design) may also be required for the research. Advice on research data management and security is available from [Research Data Oxford](http://researchdata.ox.ac.uk) and your local IT department. Advice on data protection is available from the [Information Compliance team](mailto:information.compliance@admin.ox.ac.uk). | | | |
| 1. Confirm that, during the project, research data will be stored according to [University guidelines](https://www.infosec.ox.ac.uk/protect-my-computer); i.e. on University servers or Nexus365 One Drive if possible, or on encrypted personal devices. | | **Yes** | |
| 1. Participants must understand what information will be collected from them, how the data will be used, who will have access to the data and how identifiable they will be from the data and from the research outputs. Confirm that you will obtain participants’ informed consent for the use of their data. | | **Yes** | |
| 1. Confirm that the research data will be stored according to [University guidelines](https://www.infosec.ox.ac.uk/protect-my-computer) for at least 3 years after first publication or public release and that [any additional research funder policies](http://researchdata.ox.ac.uk/funder-requirements) will be adhered to. | | **Yes** | |
| 1. Please complete this section if your research involves the use of secondary (i.e. previously collected) personal data. | **Please indicated with an ‘X’.** | **Yes** | **No** |
| Are data access agreements in place for access to and use of this secondary data? (If so, please attach these.) |  |  |
| Did the individuals agree that their data could be used for research purposes? |  |  |
| Could anyone (including members of the research team) link the data back to an individual or individuals? If this is a possibility, please explain how the associated ethical issues will be addressed: |  |  |
|  |
|  | | | |
| **Either** **Section F** (for student projects) **or** **Section G** (for staff projects) will need to be completed. | | | |

|  |  |
| --- | --- |
| SECTION F: Endorsements and ethics approval (student projects only) | |
| Please ensure this form is endorsed by   1. the student 2. the student’s supervisor (who is also [Principal Investigator](http://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#P)) 3. the Head of Department (or nominee)   Endorsement may be provided [by email](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/faqs#collapse410686) or by signing the form.  The PI is responsible for ensuring a copy of the endorsed form is kept. | |
| **Student signature/ endorsement** | |
| I confirm that the answers above accurately describe the research as presently designed, and that I will submit a revised version of this form should changes become necessary. | |
| Name of student |  |
| Student’s signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Date |  |
| **Ethics review by the Principal Investigator/ student supervisor** | |
| * I understand my responsibilities as the student’s supervisor and Principal Investigator as outlined on this form and in the CUREC glossary and guidance. * I understand that I must ensure that all researchers are suitably qualified and trained to conduct the research described, or are appropriately supervised until deemed qualified/ trained. * I will ensure that personal data collected from participants will be held in accordance with the requirements of the UK GDPR and the Data Protection Act and that the data collected is only used for the research for which approval has been given. * I have reviewed the above application on behalf of the Social Sciences and Humanities Interdivisional Research Ethics Committee (SSH IDREC) in accordance with the University’s [Research Ethics Policy](https://researchsupport.admin.ox.ac.uk/governance/ethics/committees/policy). I confirm that the research is suitable for review under the CUREC 1B process, that the ethical issues have been identified and that suitable measures have been put in place to address the ethical issues. I agree to notify the DREC if the Principal Investigator changes. I agree to notify the DREC in writing immediately of any proposed changes to the research that would require review by the DREC. | |
| Name of Principal Investigator |  |
| Principal Investigator’s signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Date |  |
| **Departmental endorsement** – from the Head of Department or nominee  Another senior member of the department may sign where the head of department is the Principal Investigator, or where the Head of Department has appointed a nominee. Example nominees include Deputy Head of Department, DREC Chair, Director of Research, or Director of Graduate/ Undergraduate Studies. | |
| On the basis of the information available to me, I confirm that:   * I am aware of the research proposed and have read this application; * To the best of my knowledge, the proposed design and scientific methodology do not raise ethical concerns; * I support this research in principle, subject to ethical and other necessary reviews. | |
| Signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Name |  |
| Role |  |
| Date |  |
| If changes to the research result in the research no longer meeting the criteria for review under the CUREC 1B process, a separate CUREC 1A or CUREC 2 application will need to be submitted to the DREC or IDREC. | |
|  | |
| Approved applications must be emailed to the relevant DREC or SSH IDREC so that there is a record of the approval. The ethics reference will be provided at this point. | |
| Ethics reference: | C1B-23TT-[Dept]- [enter number] |

|  |  |
| --- | --- |
| SECTION G: Endorsements and ethics approval (staff projects only) | |
| Please ensure this form is endorsed by   1. the [Principal Investigator](http://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/glossary#P) 2. the Head of Department (or nominee) 3. a senior colleague   Endorsement may be provided [by email](https://researchsupport.admin.ox.ac.uk/governance/ethics/faqs-glossary/faqs#collapse410686) or by signing the form.  The PI is responsible for ensuring a copy of the endorsed form is kept. | |
| **Principal Investigator signature/ endorsement** | |
| * I understand my responsibilities as the Principal Investigator as outlined on this form and in the CUREC glossary and guidance. * I confirm that the answers above accurately describe the research as presently designed, and that I will submit a revised version of this form should changes become necessary. * I understand that I must ensure that all researchers are suitably qualified and trained to conduct the research described, or are appropriately supervised until deemed qualified/ trained. * I will ensure that personal data collected from participants will be held in accordance with the requirements of the UK GDPR and the Data Protection Act and that the data collected is only used for the research for which approval has been given. * I agree to notify the DREC if the Principal Investigator changes. I agree to notify the DREC in writing immediately of any proposed changes to the research that would require review by the DREC. | |
| Name of Principal Investigator |  |
| Principal Investigator’s signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Date |  |
| **Ethics review by a senior colleague** | |
| I have reviewed the above application on behalf of the Social Sciences and Humanities Interdivisional Research Ethics Committee (SSH IDREC), in accordance with the University’s [Research Ethics Policy](https://researchsupport.admin.ox.ac.uk/governance/ethics/committees/policy). I confirm that the research is suitable for review under the CUREC 1B process, that the ethical issues have been identified and that suitable measures have been put in place to address the ethical issues. | |
| Name of reviewer |  |
| Reviewer’s signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Role |  |
| Date |  |
| **Departmental endorsement** – from the Head of Department or nominee  Another senior member of the department may sign where the head of department is the Principal Investigator, or where the Head of Department has appointed a nominee. Example nominees include Deputy Head of Department, DREC Chair, Director of Research, or Director of Graduate/ Undergraduate Studies. | |
| On the basis of the information available to me, I confirm that:   * I am aware of the research proposed and have read this application; * To the best of my knowledge, the proposed design and scientific methodology do not raise ethical concerns; * I support this research in principle, subject to ethical and other necessary reviews. | |
| Signature | Instead of a signature, endorsement may be provided by an email confirming the points above. |
| Name |  |
| Role |  |
| Date |  |
| If changes to the research result in the research no longer meeting the criteria for review under the CUREC 1B process, a separate CUREC 1A or CUREC 2 application will need to be submitted to the DREC or IDREC. | |
|  | |
| Approved applications must be emailed to the relevant DREC or SSH IDREC so that there is a record of the approval. The ethics reference will be provided at this point. | |
| Ethics reference: | C1B-23TT-[Dept]- [enter number] |