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**Research ethics form self-assessment**

**Application for approval of research activity involving human subjects, personal data, or confidential material**

This application form is to be used by researchers seeking approval from the Research Ethics Committee.

Research that involves human subjects, personal data, or confidential material, and is associated with The British University in Dubai, cannot begin until ethical approval has been obtained.

Section I is a general research identification table.

Section II is for the details of the ethical matters your research might involve and the necessary steps you are planning to take to address them.

Section III is an ethics checklist that will help you identify your research risk level. If you answer ‘Yes’ to any one of the high risk statements, then your research is High Risk. If you answer ‘Yes’ to any one of the medium risk statements, and ‘No’ to all high risk statements, then your research is Medium Risk. If you answer ‘No’ to all high risk and medium risk statements, then your research is Low Risk.

If you have documents related to the ethical considerations of the research such as, for example, a consent letter, evidence of external approval, questionnaire samples or interview questions, you can enclose them with this form before submission.

1. **Research identification**

|  |  |
| --- | --- |
| **Name** |  |
| **Faculty/Programme** |  |
| **Contact number** |  |
| **Email** |  |
| **Research type** | □ Research project □ Doctoral/Masters research □ Module assignment |
| **Research title** |  |
| **Date** |  |
| **Submitted to (name)** | □ Faculty nominated member (research projects):  □ Director of Studies (doctoral research):  □ Dissertation supervisor (Masters research):  □ Module coordinator (module assignment): |

1. **Research ethics details**

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| **Background and rationale for study** (this should be sufficient to justify the proposed research). Aims and objectives of the research (or the research question/s) and potential benefits of proposed research: 500 words max) |
|  |
| **Main ethical consideration(s) of the research**  (the ethical matters your research may involve) |
|  |
| **Methods of data collection**  (outline in detail how data will be collected and attach a copy of any questionnaires, interview schedules or observation guidelines to be used: 400 words max) |
|  |
| **Recruitment of participants**  (outline the number and type of participants involved; give details of how potential participants will be identified and invited to take part in the study; and how informed consent will be obtained: 300 words max) |
| *Please attach a copy of your information sheet(s), draft materials such as interview questions etc. and consent form as well as indication of planned time of issue/use. If you are not using a consent form, please explain why.*  □ Attached |
| **Potential adverse effects on participants and steps to deal with them**  (outline if you anticipate any potential harm or negative consequences including psychological stress, anxiety or upset which may be induced by the study, and the steps to be taken to address them) |
|  |
| **Steps to be taken to ensure confidentiality of data**  (outline steps to ensure confidentiality, privacy and anonymity of data during collection, storage and publication. Specifically identify any confidential or personal information, and/or any other party’s protected intellectual property which you need to use and safeguard) |
|  |
| **Steps to be taken to ensure financial and commercial propriety**  (specifically identify any external funding or significant third-party financial involvement with the research) |
|  |
| **Other plans to address a particular ethical matter not mentioned above** |
|  |

1. **Research ethics checklist**

|  |  |
| --- | --- |
| *If you answer ‘Yes’ to any one of the high risk statements, then your research is High Risk. If you answer ‘Yes’ to any one of the medium risk statements, and ‘No’ to all high risk statements, then your research is Medium Risk. If you answer ‘No’ to all high risk and medium risk statements, then your research is Low Risk.* | |
| **High Risk** | |
| Will consent be coerced out of participants by those who would likely benefit from the research? | □Yes □No |
| Will it be necessary for participants to take part in the study without their knowledge and consent at the time? | □Yes □No |
| Will the study involve some form of invasion of privacy? | □Yes □No |
| Is discomfort or harmful impact to participants likely to result from the study? | □Yes □No |
| Is there a possibility that the safety of the researcher may be in question? | □Yes □No |
| Will the research require the researcher to be deceptive or dishonest with the participants? | □Yes □No |
| Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants? | □Yes □No |
| Will the research have negative intrusive physical or psychological effects on the participants? | □Yes □No |
| Will the names of the participants or the institution appear in the research? | □Yes □No |
| Does the research involve the condition of destroying recorded data after it is used? | □Yes □No |
| **Medium Risk** | |
| Will the research involve governmental institutions or participants such as, for example, the military or the judiciary? | □Yes □No |
| Will the study involve discussion of sensitive or potentially sensitive topics and issues? | □Yes □No |
| Does the research involve potentially vulnerable participants (for example children, prisoners, or people with disabilities)? | □Yes □No |
| Does the research involve participants that are unable to give consent? | □Yes □No |
| Will the research involve administrative or secure data that requires permission from the appropriate authorities before use? | □Yes □No |
| Will research involve the sharing of data or confidential information beyond the initial consent given? | □Yes □No |

|  |  |
| --- | --- |
| **Risk level identified** | □ Low □ Medium □ High |

**The researcher undertakes not to deviate from the original consent granted by the University’s Research Ethics Committee. The researcher bears full and sole responsibility for any deviation from this consent and all consequences arising from such deviation. The researcher waives all right of appeal in the event of any penalties applied by the University arising from such deviation.**

**Declaration by the Researcher:**

Having read the University’s Research Policy I declare that the information contained herein is to the best of my knowledge and belief accurate.

I am satisfied that I have attempted to identify all risks that may arise in conducting this research and acknowledge my obligations as researcher and the rights of participants. I am satisfied that all researchers (including myself) working on the project have the appropriate qualifications, experience and facilities to conduct the research set out in the attached document and that I, as the lead researcher, take full responsibility for the ethical conduct of the research in accordance with subject-specific and University Ethical Guidelines (Policies and Procedures Manual), as well as any other condition laid down by the Research Ethics Committee. I am fully aware of the timelines and content for participants’ information and consent.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**FOR OFFICE USE ONLY**

LOW RISK RESEARCH

|  |  |
| --- | --- |
| Staff | |
| **Chair of Ethics Committee**  Name: | |
| □ Approved  □ Not approved | |
| Signature: | Date: |

|  |  |
| --- | --- |
| Students | |
| **Dean of Faculty**  Name: | |
| □ Approved  □ Not approved | |
| Signature: | Date: |

Authorisation for conducting research (only if approval is obtained):

*The Committee has confirmed that this project fits within the University’s Policies for Research and I authorise the low risk research proposal on behalf of BUiD’s Research Ethics Committee.*

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Chair of the Research Ethics Committee)

**FOR OFFICE USE ONLY**

MEDIUM RISK RESEARCH

|  |  |
| --- | --- |
| Staff and Students | |
| **Endorsement by the Faculty’s Research Ethics Committee member after electronic referral to all Research Ethics Committee members**  Name: | |
| □ Approved  □ Not approved | |
| Signature: | Date: |

Authorisation for conducting research (only if approval is obtained):

*The Committee has confirmed that this project fits within the University’s Policies for Research and I authorise the medium risk proposal on behalf of BUiD’s Research Ethics Committee.*

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Chair of the Research Ethics Committee)

**FOR OFFICE USE ONLY**

HIGH RISK RESEARCH

|  |  |
| --- | --- |
| Staff and Students | |
| **Endorsement by the Faculty’s Research Ethics Committee member after meeting of Research Ethics Committee members**  Name: | |
| □ Approved  □ Not approved | |
| Signature: | Date: |

Authorisation for conducting research (only if approval is obtained):

*The Committee has confirmed that this project fits within the University’s Policies for Research and I authorise the high risk proposal on behalf of BUiD’s Research Ethics Committee.*

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Chair of the Research Ethics Committee)