**UNIVERSITY OF CAMBRIDGE**

**Department of Politics and International Studies (POLIS)**

**Application for ethical approval of a research project involving Vulnerable Adults**

**Please note that this is a list of the essential documents that will be required for consideration of your application by the Ethics Committee. *Failure to provide all items or representative drafts will result in your approval being withheld until the missing items are produced.***

Detailed Research Proposal

A statement from your supervisor regarding the suitability and viability of the proposed approach

Your Risk Assessment Form (if applicable)

Evidence of training in the research methods indicated (a copy of your Training Log, or equivalent)

Interview Schedules and questionnaires

Participant Information Sheet (including tailored GDPR statement from [here](https://www.polis.cam.ac.uk/Research/GDPRPrivacyTemplateforInterviewParticipantsDJ0818RM.docx))

Participant Consent Form and/or Third Party Consent Form

Where required, details of external ethics committees whose approval is needed (if already approved, please attach notification of this)

**Full Name:**

**Course Title:**

**Contact Details – please include both email and telephone number:**

**Date of your First Year Registration exercise (PhDs only):**

**Supervisor Details - Please include the name, department and contact details of your supervisor:**

**Supervisor Signature:**

**Date:**

**1. Briefly describe the aims of the research.**

**2. If the research is to be conducted outside the UK, please detail any links to overseas institutions and how the researcher will be supported and protected (e.g. confirm completion of dept. risk assessment procedures)**

**3. Briefly describe the study design, method and procedure. Include information about:**

**(a) Personal questions, interview schedules, questionnaires**

**(b) Duration and frequency of assessment sessions**

**(c) How the design is appropriate to the participants, and why the use of vulnerable participants is warranted**

**(d) What types of data will be collected**

**4. Please give details of the participants – who (with inclusion and exclusion criteria, and notes as to any personal/professional links you may have with them), how many, and how potential participants will be identified and recruited:**

**5. If the research involves patients of the NHS or those who fall under the auspices of the Mental Capacity Act 2005/Adults with Incapacity (Scotland) Act**

**2000, it has to be reviewed by a recognised and appropriate external REC. Have you sought the necessary approval? Please give details.**

**6. Consent – please discuss how this will be obtained with reference to the following questions:**

**(a) When- Prior to the investigation? OR At the time of the investigation?**

**(b) How- Will consent be verbal, written, OR electronic via computer? (if not written, please justify this + explain process)**

**(c) Will consent be personal OR third party on behalf of the participant?**

**(d) If consent is obtained from a third party, what will their relationship be to the participant?**

**(e) If consent is personal, how will the competence of participants to give informed consent be determined?**

**(f) Will personally identifiable information be made available beyond the research team? If so, to whom, and how will consent be obtained for the sharing of this information and its use by other parties?**

**7. Describe any discomfort or inconvenience to which participants may be subjected. Include information about:**

**(a) Procedures that for some people could be physically stressful or might impinge on the safety of participants,**

**(b) Procedures that for some people could be psychologically stressful.**

**(c) The potential for distress/adverse effects among vulnerable participants, e.g. embarrassment, non-understanding, fear of authority etc.**

**(d) What has been done to assess, obviate or minimise these risks**

**8. Please give details about your procedures for dealing with information arising in the course of your research that is a cause for concern, such as disclosures from participants or behaviours or incidents observed that raise significant concerns about the safety or wellbeing of participants or other people.**

**9. Will participants be paid? If so, how much?**

**10. What will participants be told about the study?**

**(a) aims**

**(b) procedures**

**11. What information about the research procedure or the purposes of the investigation will be withheld (if anything)?**

**12. At the end of the research, what will participants be told about the investigation? Include (a) debriefing, (b) ways of alleviating any distress that might be caused by the study and (c) ways of dealing with any problem relating to the focus of the study that may arise.**

**13. If data is to be analysed or stored on a computer, you must make arrangements to comply with the Data Protection Act (see your Departmental Data Protection Officer). What measures have been taken to ensure confidentiality, privacy and data protection during and beyond the end of the project? Will any data be stored or shared with services outside of the European Economic Area?**

**ETHICAL RISK ASSESSMENT**

**(Please note this is separate from the Risk Assessment process required for Leave to Work Away)**

**There is specific guidance for completing this section on the website –** [**www.polis.cam.ac.uk/graduate-student-resources/ethical-approval-for-research**](http://www.polis.cam.ac.uk/graduate-student-resources/ethical-approval-for-research)

**Please ensure you have read through that guidance before completing this section.**

**Identify the potential hazards/risks involved in your research – both for yourself, and your participants.**

**Is the risk: High, Medium or Low?**

**What control measures are in place?**

**If any of the hazards are High risk, what have you done to take this into account and mitigate the risk?**

**Please confirm before signing:**

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| I have included when the activity will take place |  |  |
| I have described your participants |  |  |
| I have clearly explained what the activity will involve |  |  |
| I have clearly explained the activity’s purpose |  |  |
| I have noted if there are any special risks |  |  |
| I have attached **all** of the items listed in the checklist on page 1 |  |  |

**Student Signature:**

**Date:**

Appendix

**Basic GDPR privacy notice**

***Approved wording for inclusion in a Participant Information Sheet or separate Privacy Statement document provided to participants for projects that are solely sponsored by the University. We strongly recommend using the document*** [***here***](GDPR%20privacy%20notice%20to%20be%20included%20in%20participant%20information%20sheets) ***to tailor your own statement, but if this is not possible then the text below will provide basic coverage for projects with only simple data requirements.***

Cambridge University is the sponsor for this study based in the United Kingdom. We will be using information from you in order to undertake this study and will act as the data controller for this. Cambridge University will keep identifiable information about you [for x years after the study has finished/in compliance with the funder’s terms].

As a University we use personally-identifiable information to conduct research to improve health, care and services. As a publicly-funded organisation, we have to ensure that it is in the public interest when we use personally-identifiable information from people who have agreed to take part in research. This means that when you agree to take part in a research study, we will use your data in the ways necessary to conduct and analyse that research study to our high academic standards.

Your rights to access, change or move your information are limited, as we need to manage your information in specific ways in order for the research to be reliable and accurate. If you withdraw from the study, we will keep the information about you that we have already obtained. To safeguard your rights, we will use the minimum amount of personally-identifiable information possible.

For general information about how we use your data please go to:

https://www.information-compliance.admin.cam.ac.uk/data-protection/research-participant-data