|  |
| --- |
| Conservatoires UK (CUK) Ethics Approval Form  for PRACTICE-BASED research involving human participation in the creative arts |

|  |  |
| --- | --- |
| Status of researcher: | EXTERNAL / STAFF / STUDENT *(delete as appropriate)* |
| Title of project: |  |
| Name of researcher(s): |  |
| Name of supervisor (s), line manager  or head of department: |  |
| Date: |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | *Mark with* ✓ *in box* | | YES | NO | N/A |
| 1 | Does your research involve other people as participants (e.g. co-creators, performers and/or audiences)? | |  |  |  |
| 2 | Do you plan to carry out one or more interviews with participants as sources of information (rather than data for subsequent analysis)? If so, will you obtain informed consent, debrief and give due acknowledgement to participants? | |  |  |  |
| 3 | Does your research involve other people as sources of data derived from interviews (other than for information), questionnaires, observations or experiments? If YES, please complete *either* the CUK Ethics Approval Form for non-practice-based research involving human participation *or* the CUK Ethics Approval Form for questionnaire research with adults only, *in addition to this form.* | |  |  |  |
|  | **Part 1** | |  |  |  |
| 4 | Will you make participants aware in advance of the contribution they are expected to make to your research? | |  |  |  |
| 5 | Will you tell participants that you intend to audio- or video-record them? | |  |  |  |
| 6 | Will you tell participants that they can refuse to be audio- or video-recorded and how they can avoid this if they are members, for example, of an ensemble or an audience? | |  |  |  |
| 7 | Will you obtain written consent from participants for their contribution to be shared with others in performance and/or outputs such as oral presentations and publications? | |  |  |  |
| 8 | Will you tell participants that their participation is voluntary and that they can withdraw from your research at any time, without giving any reason? | |  |  |  |
|  | If you have replied NO to any of Q4-8 but have **completed Box A** on the next page, please give an explanation on a continuation sheet. | | | | |
|  | **Part 2** | |  |  |  |
| 9 | Will your research involve deliberately misleading participants in any way, including observing, photographing, audio- or video-recording them without their prior knowledge and consent? | |  |  |  |
| 10 | Will participants be at any risk of being offended or shocked (e.g. by nudity or material of a sexual, violent or explicit nature), or harmed by your research (e.g. by sound, lighting or smoke effects)? If YES, please give details on a continuation sheet of how you will address this (e.g. by providing a content warning at the entrance to the performance venue). | |  |  |  |
| 11 | Will any conflicts of interest arise from your research? | |  |  |  |
| 12 | Does your project involve work with animals? | |  |  |  |
| 13 | Are participants members of any of these vulnerable groups? If so, please refer to the BERA Ethical Guidelines or the BPS Code of Human Research Ethics, and **complete Box B** on the next page.  **You should ensure that you have DBS (Disclosure and Barring Service) clearance.** | Infants and children under the age of 18  People with physiological and/or psychological impairments and/or learning disorders  People dependent on the protection or under the control of others  People with limited knowledge of the English language  Parents of sick children  People engaged in illegal activities (such as drug-taking). | | | |
| Patients | | | |
|  | If you have replied YES to any of Q9-13 you should **complete Box B** below. | | | | |

**There is an obligation on the lead researcher / supervisor to bring any ethical issues that have not been identified above to the attention of the CUK Research Ethics Committee.**

PLEASE COMPLETE **EITHER** BOX A OR BOX B BELOW AND **PROVIDE** **THE DETAILS REQUIRED** IN SUPPORT OF YOUR APPLICATION, THEN SIGN THE FORM (print, sign and scan, or provide electronic signatures).

*Mark with* ✓

|  |  |
| --- | --- |
| A. *If you answered YES to all the questions in Part 1 and NO to all those in Part 2:*  I consider that this project raises **no** important ethical issues that need to be considered by the CUK Research Ethics Committee. |  |
| **Please give a brief description of your project, the participants and the contribution you expect them to make** *(maximum 200 words)*. If interviews are to be conducted, please include the interview schedule on a continuation sheet. | |

**OR**

*Mark with* ✓

|  |  |
| --- | --- |
| **B.***If you answered NO to any of the questions in Part 1 and/or YES to any of those in Part 2, OR the reseach will be carried out with children or other vulnerable groups:*  I consider that this project **may** raise ethical issues that should be considered by the CUK Research Ethics Committee. |  |
| **Please provide all the information listed below in a continuation sheet headed Ethical Considerations:**   1. Title of project 2. Nature and purpose of project and its academic/artistic rationale 3. Brief description of creative process, methods and how these will be evaluated. If interviews are to be conducted, please include the interview schedule on a further continuation sheet 4. Participants: recruitment methods, number, age, sex, exclusion/inclusion criteria 5. How you will obtain informed consent and provide debriefing 6. A clear and concise statement of the ethical considerations raised by the project and how you intend to deal with them 7. Estimated start date and duration of project | |

Please tick the boxes (✓) to indicate that you have read the following materials:

|  |  |
| --- | --- |
| Universities UK [Concordat to Support Research Integrity](http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf) |  |
| UK Research Integrity Office [Code of Practice for Research](http://ukrio.org/publications/code-of-practice-for-research/) |  |
| [RCUK Policy and Guidelines on the Governance of Good Research Conduct](http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyguidelinesgovernancegoodresearchconduct-pdf/) |  |
| *and* (if appropriate) I have discussed them with the other researchers involved in the project. |  |

|  |  |  |
| --- | --- | --- |
| **Signed:** ………………………………......  *(Researcher)* | **Print name:** ………………………………… | **Date:** ……………………… |

|  |  |  |
| --- | --- | --- |
| **Signed:** ………………………………......  *(Supervisor, line manager or head of department)* | **Print name:** ………………………………… | **Date:** ……………………… |

|  |  |  |
| --- | --- | --- |
| **Signed:** ………………………………......  *(CUK REC representative at your institution)* | **Print name:** ………………………………… | **Date:** ……………………… |

**E-mail address of CUK REC representative at your institution:** …………………………………

Summary

|  |
| --- |
| Your application should consist of:   1. Your signed CUK Ethics Approval Form(s) and any further information you have been asked to provide on continuation sheets 2. Participant information sheet(s) (see next page for guidance including template) 3. Consent form(s) (see next page for guidance including template) |
| An electronic copy of the submission, formatted into a single file, should be sent to Dr Joe Parslow ([ethics@cssd.ac.uk](mailto:ethics@cssd.ac.uk)) with the subject *Application to CUK REC.* |
| **Deadlines** in 2019-20 are as follows:  **Term 1**: 23 October 2020, 04 December 2020  **Term 2**: 05 February 2021, 12 March 2021  **Term 3**: 14 May 2021, 25 June 2021  **Summer**: 27 August 2021  There should be no need for “extraordinary” applications to be made at other times, but they will be considered exceptionally, **with good reason**. |

***Please see next pages for guidance on producing participant information sheets and consent forms for practice-based research.***

Guidance on producing participant information sheets for practice-based research

The purpose of a participant information sheet (PIS) is to help potential participants make an informed choice as to whether they want to take part in your research project. You need to give them enough, accurate information as to what will be expected of them, so that they can decide. You must tell them that if they do take part, they are free to withdraw from the project at any time, either by physically leaving and/or by withdrawing consent for you to use whatever contribution they have already made to your research. You need to make sure that everyone who takes part in your project knows why they have been asked to participate, what they will have to do, how you will use their contribution in your research, with whom you will be sharing it and in what form (e.g. in a public performance, conference presentation, master’s or PhD thesis, report, journal article or book).

Please use the template below, including all the headings. You should be able to print the final document on no more than two sides of A4 paper.

**Title**

The title of your research project should be self-explanatory. If it isn’t, please provide a simplified title.

**Date:**

**Invitation**

You should start by inviting the reader to take part in your research having chosen to do so on the basis of what they are about to read. You could use or adapt the following paragraph in your PIS:

You are being invited to take part in my practice-based research project. Before you decide, it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me/us if there is anything that is not clear or if you would like more information. Take time to decide whether or not you wish to take part. You will be given this information sheet to keep. Thank you for reading this.

**Project**

Next, you must tell them what the aim of the project is. You should outline the broad methodological approach you are taking and specify the research methods you are using. If you intend to audio- or video-record participants, say so here, and tell the reader how they can avoid being audio- or video-recorded if they are members, for example, of an ensemble or an audience.

**Characteristics of participants**

You must say why you have asked this reader, in particular, to take part in your project, and how many other participants will be involved.

**Voluntary participation**

You must say that participation in your project is entirely voluntary and that if the reader does not want to take part or changes their mind having agreed to do so, they won’t be penalized in any way. You could use or adapt the following paragraph in your PIS:

It is up to you to decide if you want to take part in my project or not. If you don’t want to take part, or you change your mind about taking part, having agreed to do so, you won’t be penalized in any way. If you do decide to take part you will be given this information sheet to keep and be asked to sign a consent form. If you decide to take part you are still free to withdraw at any time, without giving any reason. You can withdraw either by physically leaving and/or by withdrawing consent for me to use whatever contribution you have already made to the research. Again, you won’t be penalized in any way.

**Nature of participation**

You must say how long the project is going to last, how often participants will be required and for how long each time. You must say what you will ask them to do on each occasion. Please be as specific as possible – give dates, times and places where possible.

**Lifestyle restrictions**

You must say if participants are likely to experience any restrictions to their lifestyle as a result of taking part in your project and what these will be. Or, if they are *not* likely to experience any lifestyle restrictions, please include a sentence to say so here.

**Potential risks to participants**

You must say if participants are at any risk of being offended or shocked (e.g. by nudity or material of a sexual, violent or explicit nature), or harmed by your research (e.g. by sound, lighting or smoke effects). If unforeseen risks arise during the course of your project, remember that you will need to bring these to the attention of participants and ensure that you have their informed consent to continue taking part. If there are no foreseeable risks, please include a sentence to say so here.

**Potential benefits to participants**

You must tell the reader if they can reasonably expect to experience any benefits associated with taking part in the project, but without exaggeration, since this could be seen as coercive. If no benefit to participants is intended, however, please say so. You could use and complete the following sentence in your PIS:

While people taking part in my project are unlikely to experience any personal benefits as a result, I hope my research will.…

**Possible termination of research**

You must say that if your project has to be terminated for any reason and participants and/or the contribution they have made are no longer required for the research they will be told, and told why.

**Confidentiality and anonymity**

You are responsible for ensuring that you are not contravening the legal or regulatory requirements in any part of the UK when you collect, store and disseminate data about or from participants. You must tell the reader that if they agree to take part in your project you will ask them to sign a form giving their informed consent to do so, which they will be given to keep. This will give you permission for you to collect information about them and provided by them, **for the purposes of the present research project only**. Information about participants will be kept strictly confidential. Information from participants will only be attributed to them by name with their explicit permission. You could include the following sentences in your PIS:

Information that is collected about you, for the purposes of the research, will be kept strictly confidential. Information you provide will only be attributed to you by name with your explicit permission.

However, if there are any circumstances in which you are not be able to offer full confidentiality, for example if a disclosure in the research could lead to a safeguarding concern, you should make clear to participants the process that would be followed.

**Storing personal data and information**

You are responsible for storing participants’ personal data and any information they provide securely and destroying it after a specified period. You could include the following sentences in your PIS:

Your personal data and any information that you provide for the purposes of the research will be stored securely as follows:……………… for ……………. years. If I wish to re-use it within this time period I will seek your permission to do so. At the end of the period it will be destroyed.

**Outputs**

You must say how you will use the contribution that participants make to your project, with whom you will share it, and in what form (e.g. in a public performance, conference presentation, master’s or PhD thesis, report, journal article or book).

**Debriefing**

You must say when and how you will debrief the participant, i.e. tell them about the findings of your research, and how they can obtain a copy of the report if/when it is published or presented.

**Ethical approval**

You should tell the reader that the CUK Research Ethics Committee (REC) has reviewed your project and granted ethical approval for it to be carried out.

**Contact details**

Please provide your contact details (name, institutional affiliation, email address, telephone number) and those of your supervisor, line manager or head of department, as appropriate. *Do not disclose personal email addresses.*

**Thank you**

Please thank the reader for reading to the end of the PIS.

Guidance on producing consent forms for practice-based research

You are encouraged to use or adapt the following template:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Title of project:** | | | | | |  |
| **Name of researcher:** | | | | | |  |
| **Participant identification code for this project:**   |  |  |  | | --- | --- | --- | | 1. | I confirm that I have read and understood the participant information sheet dated [insert date] for the practice-based research project in which I have been asked to take part and have had the opportunity to ask questions. |  | |  |  |  | | 2. | I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason. |  | |  |  |  | | 3. | I give the researcher(s) permission to collect information about me and from me for the purposes of the research project provided all information about me will be kept confidential (if appropriate), stored securely and destroyed after ………… years. |  | |  |  |  | | 4. | I DO/ DO NOT [delete as appropriate] give permission for information I provide to be attributed to me by name. |  | |  |  |  | | 5. | I DO/ DO NOT [delete as appropriate] give permission for audio- or video-recordings of me to be played in the course of reporting the research. |  | |  |  |  | | 6. | I agree to take part in the above-named project. |  | | | | | | |  |
|  | | |  |
| **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Name of participant** | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Date** | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Signature** | | |
| **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Name of person taking consent**  *(if different from lead researcher)* | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Date** | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Signature** | | |
| **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Researcher** | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Date** | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **Signature** | | |

**Copies**

One copy for the participant, and one copy for the researcher / supervisor.