

Ethics Application

Research

Please be mindful that each application, submitted via the University's Ethical Review Manager (ERM), costs the University **£750** due to the number of people required to process, review and approve your application.

Please respect this fact and ensure that you carefully follow the guidance provided and help bubble text in order to complete your application appropriately (and choose the correct route of ethical review). Please **DO NOT** use the ERM system for 'test' submissions. Misuse of the ERM system is a waste of numerous resources which could otherwise be dedicated to research, teaching and social responsibility activities.

You are logged into the Ethical Review Manager (ERM), the system provided by Infonetica Ltd that will process the application on behalf of The University of Manchester. Your contact details will be stored by Infonetica Ltd and used by the University for the purpose of managing your application for ethics review. The University will use your details for that purpose only. The information will be retained, archived and deleted in line with the agreed retention policy. Your details will not be passed to any other third party organisations.

The University, in compliance with the Data Protection Act 2018 (DPA) and the UK General Data Protection Regulation (GDPR), has a **Data Protection Policy** and **Research Privacy Notice** and any information you provide on this form and associated documents will be protected in accordance with these policies. However, it will be assumed that you have not included any sensitive personal information and you should not, therefore, include a *curriculum vitae* or identifiable information about your racial or ethnic origin, political opinions, religious or similar beliefs, trade union membership, physical or mental health, sexual life, commission of offenses and/or criminal proceedings. Should you feel it essential to include such details in your application please contact the Research Governance, Ethics and Integrity team (research.ethics@manchester.ac.uk). Please note, applications submitted in the ERM system may be used for educational, auditing and monitoring purposes but the information contained will be protected and kept confidential in accordance with the policies as outlined above.

Please also note this system will send all correspondence related to your ethics application to your University of Manchester email account.

Please do not proceed unless you are content to comply with this.

A0. Required declarations

- ☒ I confirm that I have read the above information with regard to data protection and will comply with the requirements as described.
- ☒ I confirm that prior to completing this application I have reviewed the guidance information available on the research ethics website and if appropriate have contacted my ethics signatory for additional support

A1. Does your study meet the definition of 'research' using human participants or have you been advised to seek ethical approval for your study (either via the Ethics Decision Tool or other guidance)?

Please visit the help bubble (blue circle with the white letter 'i') to the right of this question for a link to the Ethics Decision tool and supplementary information on the types of projects which may or may not require ethical review.

☒ Yes

You must read the information in the help bubble before answering this question. If you cannot answer yes do not complete the rest of this form, log out of the ERM system and if you have any queries **contact the Ethics Signatory**.

You should only be submitting this form if you can answer yes to this question.

A02 HRA Approval

A2. Does your study include a component which would require approval by the Health Research Authority (HRA)?

Please visit the Help Bubble in the upper right hand corner for more information.

Please choose the option which is most relevant for your study. If you have 2 components (i.e. one using healthy volunteers and one using NHS patients), please speak with a member of the FBMH Research Governance team who will advise on the most appropriate avenue for review.

- ☐ Yes: it includes a component that requires review by BOTH the HRA and the University Research Ethics Committee or a Division/School based Committee (e.g. it is being carried out in the NHS but is exempt from NHS REC review)
- ☐ Yes: it is a study involving patients BOTH in the UK as well as internationally and requires review by both the NHS REC and the University Research Ethics Committee (this is rare)
- ☒ No: it only requires review by the University Research Ethics Committee (UREC) or a Division/School based Committee

A03 - 05 Decision Tree

A3. I confirm that this research project is being conducted by a:

- ☐ Student
- ☒ Member of Staff
- ☐ Member of Eurolens Research, Optometry Staff

IMPORTANT: Your answer to Question A4 will lead you to the correct application form for ethical review and it is important that you answer this question carefully.

Please ensure you read the guidance notes carefully before answering this question and for student projects, discuss the details with your supervisor.

The guidance notes can be found in the Help Bubble (small blue circle with the white letter 'i') to the right of Question A4.

Answering this question incorrectly will result in significant delays to the review process and will result in you needing to re-apply for ethical review.

A4. Please select how you will be applying for ethical review:

****All UoM staff seeking ethical approval for their own research projects are required to apply via full UREC or Proportionate UREC review****

- ☒ Proportionate University Research Ethics Committee (UREC) Review
- ☐ Full University Research Ethics Committee (UREC) Review

A4.1 I am applying for Proportionate UREC Review and confirm one of the following:

- ☐ Data collection does NOT involve travel to or travel within an international setting that is on the list of countries/regions that the Foreign and Commonwealth Office advises against 'all but essential' travel to.
- ☒ My study is limited to an electronic questionnaire/survey that will be hosted on a University approved platform
- ☐ My study is limited to the analysis of secondary data
- ☐ My study involves patients both in the UK as well as internationally and requires review by both the NHS REC and the UREC (this is RARE)

A5 UREC Review (full or Proportionate): Please select which Division/School/Department/Centre/area of PSS/Cultural Institution you are based in:

Department of Computer Science

A5.1 Please confirm which of the following criteria are applicable to your project:

Please ensure you read through the options below and tick all that apply to your project. Further guidance is available in the help bubble to the right of this question.

Important notes:

Secondary data: if your study only involves secondary data analysis (i.e. not involving another data collection method such as interviews), please **only** tick the box in relation to secondary data analysis. You will also need to tick 'secondary data analysis' in question C1. If your study involves a combination of secondary data analysis and another data collection activity, please do not select the final box, but tick the ****** criteria as appropriate.

Solitary autoethnography: if your study only involves solitary autoethnography, with no other participants involved, please **only** tick the box in relation to this method. You will also need to tick 'solitary autoethnography' in question C1.

Human tissue: if your study only involves the use of previously collected human tissue samples, please **only** tick the box in relation to human tissue. You will also need to tick 'human tissue' in question C1.

NHS REC+UREC (rare): if your study involves patients in the UK and internationally and requires review by both the NHS REC and UREC, please **only** tick the box in relation to this joint approval below. You will also need to tick the relevant option in question C1.

All other studies must be able to meet all of the mandatory criteria, denoted by ****** in the list below in order to qualify for Proportionate UREC. If your research involves an activity falling within one of the conditional criteria beginning with 'If' then it must

also meet the requirements of that criterion or criteria to be considered for Proportionate UREC review. If your study does not meet these mandatory criteria you will need to apply for full UREC review, where appropriate.

Participants and Consent

- ☒ **Involves only participants who are non-vulnerable adults able to give informed consent or, if children/ young people are involved, they must be a) in an educational setting/accredited organisation, b) have the opportunity to assent (with parental/guardian opt-in consent also provided) and c) NOT be classed/viewed as specifically vulnerable.

Data Collection and Experimental Procedures

Please note: Studies involving EEGs **may be submitted** for Proportionate UREC review as they are **not classed** as physically invasive procedures.

- ☒ **Data collection does NOT involve a significantly coercive recruitment strategy, or a recruitment strategy that is likely to be experienced as coercive by participants, including where a power dynamic between the researcher/participants or the gatekeeper/participants would be present
- ☒ **Data collection does NOT involve activities that could be interpreted as or lead to the potential exploitation of participants
- ☒ **Does not involve physically invasive procedures (any test in which the skin of the participant is broken, an injection is administered or an implement is inserted into any opening of the human body (e.g. eyes, ears, nose, mouth, lungs, stomach, rectum, vagina and urethra) or involves the taking of body samples such as blood, saliva, hair, urine, faeces, sputum, skin, nails, or taking biopsies of any form for any purpose, or any form of scanning such as Ultrasound scans, MRI or fMRI scanning) with the only exceptions being standard audiology techniques performed on healthy adult volunteers as outlined in the Help Bubble to the right of this question.
- ☒ **Does not involve activities that pose a significant risk of causing physical harm or more than mild discomfort.
- ☒ **Does not involve activities that pose a significant risk of causing psychological stress or anxiety.
- ☒ **Does not require participants to take part in activities that pose a significant risk of having an adverse effect on their personal well-being (e.g. physical and psychological health), social well-being (e.g. social standing, social connectedness) or economic well-being (e.g. employment, employability, professional standing).

Sensitivity of Topic or Data

- ☒ **Does not involve collecting or revealing data that enables individuals, groups or organisations to be identified in such a way that they could experience negative effects on their personal, social or economic well-being.
- ☒ **Does not require research participants to provide personal and sensitive information likely to lead to significant levels of distress (ie research must only involve topics that are either not contentious or sensitive at all, or where a reasonable person would agree the topic is of legitimate interest and may result in distress only in rare instances).
- ☒ If topics being researched are of a sensitive nature, they are not personal to the participants.
- ☒ If using video recording or other images captured by the researcher and/or research study participants, the researcher is able to guarantee controlled access to authorised viewing.
- ☒ If researching professional practice, participants are in professional roles and the research is conducted in their work setting (It would also be acceptable to conduct these interviews via telephone or Zoom/Teams as long as the content of the interviews is focused on professional practice and non-sensitive topics. Please note that in this instance, participants will be responsible for ensuring appropriate privacy arrangements).
- ☒ If conducting observations, they will be on ordinary, non-sensitive behaviours.

Location of Data Collection

- ☒ **Data collection does NOT involve travel to or travel within an international setting that is on the list of countries/regions that the Foreign and Commonwealth Office advises against 'all but essential' travel to.
- ☒ If applicable, will be carried out within normal working hours or at a time convenient to participants.
- ☒ If research will involve going into the homes of participants and this is a student project, participants will be limited to family and friends..
- ☒ If research will involve going the homes of participants and this is a staff project, participants may include members of the general public providing a completed and signed risk assessment has been attached in support of this application
- ☒ If conducting observations they will be located in a public space or the clearly public areas of a building (e.g. the high street, the University campus, the entrance hall of a town hall).

Solitary Autoethnography ONLY Specific Criteria

- ☐ This study ONLY involves the researcher undertaking solitary autoethnography work (where there are no other participants)

involved or other individuals present during the research).

Human Tissue Specific Criteria - Please ensure you have used the [ethics decision tool](#) to verify if your project requires UREC approval

- ☐ This study involves the use of human tissue and I will complete the additional questions in Section C5.

Secondary Data Analysis ONLY Specific Criteria

- ☐ This study ONLY involves the use of secondary data and I will complete the additional questions in Section C6.

NHS REC + UREC approval

- ☐ This study involves patients both in the UK as well as internationally and requires review by the NHS REC as well as the UREC (this is RARE).

B01 Staff

B1. Contact information for individual completing this form:

Please note that this **MUST** be University of Manchester member of staff with a UoM email address.

Title	First Name	Surname
<input type="text" value="Mr"/>	<input type="text" value="Lukas"/>	<input type="text" value="Hughes-Noehrer"/>
Email <input type="text" value="lukas.noehrer@manchester.ac.uk"/>		

B1.1 Are you the principal investigator of this project?

- ☒ Yes
☐ No

B1.4 Will this project have a Joint Principal Investigator at UoM?

Please note: If the Joint-PI is a University of Manchester member of staff enter their details in **Question B1.5**. If however the Joint-PI is based at another institution, please use **Question B1.9** to add their names.

- ☒ Yes
☐ No

B1.5 Please provide the details of the Joint Principal Investigator (Joint PI):

Please note: If the Joint-PI is a University of Manchester member of staff enter their details here. If however the Joint-PI is based at another institution please enter their details in **Question B1.9**.

If when using the Search function you cannot locate your colleague, please ensure they have logged into the ERM at least once. Once they have done this, their details will be stored for future use.

Title	First Name	Surname
<input type="text" value="Dr"/>	<input type="text" value="Andrew"/>	<input type="text" value="Stewart"/>
Email <input type="text" value="Andrew.J.Stewart@manchester.ac.uk"/>		

B1.6 Are there any additional members of staff or students who are co-investigators, researchers or collaborators on this project?

Please note: A co-investigator, researcher or collaborator is defined as someone who will assist with the data collection or the data analysis and can be other members of staff or students. Please include any external collaborators from other institutions or organisations. They will **NOT** be involved in any of the electronic correspondence for this project.

- ☒ Yes
☐ No

B1.7 Will any co-investigators, researchers or collaborators be external to this University?

If your study involves an external collaboration please ensure you read the [Guidance on External Collaborations](#)

- ☒ Yes
☐ No

B1.8 Will they be involved in the collection/analysis of data and/or will they be providing a service?

- ☒ Yes
☐ No

B1.9 Please confirm the following:

- ☒ I understand that as my study involves an external collaborator who is providing a service this may require a collaborative or data sharing agreement to be in place. I will contact my Contracts Manager to discuss this where appropriate as per the help bubble guidance.

You must **also** declare one of the following:

- ☒ I confirm that all external collaborators have completed any training required by their respective institutions (eg data protection) and assurance of this has been provided to the research team
☐ I confirm that the external collaboration is limited to members of the general public who have been trained by the research team in relation to any data protection requirements

B1.10 Please declare one of the following:

- ☐ I confirm that this study has undergone ethical review at the collaborating institution and that a copy of the approval is appended below
- ☐ I confirm that the study will undergo ethical review at the collaborating institution and a copy will be submitted as a formal amendment prior to the start of data collection
- ☒ I confirm that the study does not need to undergo ethical review at the collaborating institution but a relevant letter of permission or confirmation email from the institution is appended below
- ☐ I confirm that the external collaboration for this study includes members of the general public for whom additional approvals are not required

B1.11 Please attach a copy of the ethical approval, letter of permission or email confirmation:

Documents					
Type	Document Name	File Name	Version Date	Version	Size
Letters of Permission	UKRN_survey_LoP_v1.0	UKRN_survey_LoP_v1.0.docx	02/11/2022	1.0	13.1 KB

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Martin Turner, Babraham Institute

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Karin Wahl-Jorgensen, Cardiff University

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Jim Grange, Keele University

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Tim Newton, King's College London

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Candy Rowe, Newcastle University

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Thomas Pollet, Northumbria University

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

David Foxcroft, Oxford Brookes

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Dominic Wells, Royal Veterinary College

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

David Shanks, University College London

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Gary Macfarlane, University of Aberdeen

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Julie Barnett, University of Bath

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Marcus Munafò, University of Bristol

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Stephanie Rossit, University of East Anglie

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Malcolm Macleod, University of Edinburgh

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Mark Kelson, University of Exeter

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Miles Padgett, University of Glasgow

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Thomas Rhys Evans, University of Greenwich

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Iain Brennan, University of Hull

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Mark Purnell, University of Leicester

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Bill Greenhalf, University of Liverpool

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Laura Fortunato, University of Oxford

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Etienne Roesch, University of Reading

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Tom Stafford, University of Sheffield

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

David Steynor, University of Southampton

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Emily Farran, University of Surrey

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Seb Oliver, University of Sussex

B1.12 Please use the box below to type the title and full name(s) of ALL co-investigators, researchers or collaborators (as well as their role in the project). If individuals are external to this University, please indicate the institution or organisation which they are affiliated with.

To add the name of more than one individual, click the '**Add Another**' button below.

Maria Uther, University of Wolverhampton

C01: Compliance & Monitoring

Please note: Everyone is required to complete the compliance & monitoring questions below, whether you are completing a Proportionate University Research Ethics Committee (UREC), full UREC or Division/School template application.

IMPORTANT NOTE: If you will be travelling abroad for your research, and in particular to what is considered to be a risky or dangerous area of the world, you must ensure that you have completed the appropriate Division/School based **risk assessment**, had this **approved** by appropriate individuals within your Division/School and **checked** with the University's Insurance office **regarding travel insurance**. The ERM system **WILL NOT** inform the University's Insurance office of your travel plans automatically (unless you are performing clinical activity) and it is therefore the responsibility of all members of staff and supervisors to contact the Insurance office **prior** to obtaining ethical approval. Please note that specific areas of the world will require additional approvals and this should be taken into consideration when planning a timeline for seeking ethical approval.

If your study involves **ONLY** the use of secondary data, please tick the option from the list below. If your study involves the use of secondary data as well as another method, please **do not** tick this box but proceed with the rest of the Prop UREC form.

C1. Will your research involve any of the following:

Before answering this question please ensure you click on the help bubble to read the guidance information which includes definitions of each of the terms below. Tick all that apply.

- ☐ the use of invasive techniques on participants
- ☐ the use or collection of human tissue
- ☐ the physical testing of participants
- ☐ the use of psychological intervention (please DO NOT tick this option if you are only administering standard psychological tests/questionnaires)
- ☐ the ingestion or inhalation of any substance by participants
- ☐ the use of a medical device or a potential medical device
- ☐ the use of previously collected data **ONLY** (secondary data analysis)
- ☐ undertaking solitary autoethnography work (where there are no other participants involved or other individuals present during the research).
- ☒ None of the above

OR

Important: if you select this box, please **DO NOT** select any other box above.

- ☐ patients both in the UK as well as internationally and requires approval by both the NHS REC as well as the UREC (this is RARE)

D01 - 02 General Project Information: Resubmission and titles

D1. Is this a re-submission of a project that has previously received an unfavourable ethical opinion?

Please note: this **does not** include applications where revisions have been requested.

- ☐ Yes
- ☐ No

D2. Short title of your research project (200 character max)

UKRN OTRP Survey

D2.1 Formal title of your research project (if different to short title)

UK Reproducibility Network Survey on Open and Transparent Research Practices

D03 Dates of Data Collection/DMP/Data Collection

D3. Will you be collecting data during the course of the research project?

Please note, data refers to any information being gathered about a person or organisation. This information can include specifics such as thoughts, beliefs or characteristics and can be in different formats such as written notes, questionnaires, observations, audio recordings, films, photographs, social media postings or bodily samples.

Please note, if you are ONLY conducting secondary data analysis then please select 'no'.

☒ Yes

☐ No

D3.1 Do you plan to begin collecting data as soon as ethical approval is granted?

☐ Yes

☒ No

D3.1 Please provide your proposed start date of data collection

Please ensure this date is far enough in the future to allow for the ethical review process to take place. The Committee will be unable to grant approval to applications that feature a start date that is in the past.

12/12/2022

D3.2 Please provide your proposed end date of data collection

Please note that the date you put in this box is the last date you are able to collect data for this study. If you wish to extend this after your project has been approved you must submit a [formal amendment](#) before this date or a new ethics application may be required. The maximum window of data collection the Committee is able to approve is 5 years from the date ethics approval is granted.

31/03/2023

D3.3 Please attach a copy of your Data Management Plan:

You **must** use the University's DMP Online system for the creation of your plan and more information can be found in the help bubble. Please ensure you include the **outline section**.

Please remember that the information that you include in your DMP **must match that which is stated in your participant information sheet and consent form**. Please double check that the information in all 3 documents match before submission, especially in relation to data sharing, future use of data and retention of contact details.

When considering data sharing, don't forget to read the information on [open research practices](#), including the expectations for staff and students.

Type	Document Name	Documents			
		File Name	Version Date	Version	Size
Data Management Plan	ukrn_otrp_survey_dmp_v1.0	ukrn_otrp_survey_dmp_v1.0.pdf	02/11/2022	1.0	41.7 KB

D04 Data Protection Training

All staff and students at the University of Manchester are responsible for ensuring they are familiar with the data protection policies and processes and follow these when conducting their research projects. Under the Data Protection Act (2018) and UK General Data Protection Regulations (GDPR) the University is required to provide assurances and safeguards to all research participants that their data will be treated confidentially and will be protected as set out in the relevant data protection legislation. To support this, please complete the relevant question below to confirm that you have undertaken the required Information Security & Data Protection Training or discussed the University's requirements and expectations with your supervisor.

To access the online information security & data protection training course, please follow this link to the [University's StaffNet pages](#) and complete the steps on screen.

To check whether you have completed the course in the last 2 years, please follow the link above and check the completion date in your record.

D4. As a member of staff:

- ☒ I confirm that I have undertaken the Information Security & Data Protection online training course within the last 2 years.

Project Specification: L1-L3

WARNING: You are now completing the ethical review form for the Proportionate UREC Review. If you are not applying for Proportionate UREC review, then please return to Question A4 and update your answer.

It should only be used for low risk research projects which adhere to the criteria in Question A5.1 (including those that require approval by both the NHS REC and UREC).

If you are conducting a high risk research project, you must submit go for Full University Research Ethics Committee (UREC) review.

Please press the 'Next' button in the upper left hand corner of the screen to continue with the form and please note that the question numbers may not be sequential.

Ethical Considerations: L4

L4. Are participants from any of the following groups?

Tick all that apply

- ☐ Children under 16 years who are being researched outside of an educational setting or accredited organisation.
- ☐ Adults with learning difficulties who are being researched outside of a supportive environment
- ☐ Adults with dementia
- ☐ Adults or children in emergency situations
- ☐ Prisoners or criminals
- ☐ Young offenders
- ☐ Users of illegal drugs or illegal substances
- ☒ None of the above

Research Project Details: L14

L14. What is the principal research question, in lay terms?

Limit response to 750 characters. This **MUST** be in lay language and should not be a cut/paste of your theoretical or intellectual rationale.

The survey aims to elicit current open and transparent research practices at UKRN affiliated institutions to inform future needs in terms of OR practices and training. The survey researches the 14 core topics of the research lifecycle as defined in the FORRT Community-sourced Glossary (<https://forrt.org/glossary/>; <https://doi.org/10.1038/s41562-021-01269-4>).

L15

L15. How have the quality and suitability of the research design and methods been assessed?

Tick all that apply

- ☒ Independent internal review (e.g. review by academic mentor/advisor, research centre/research group at the University of Manchester)
- ☒ External review (e.g. review by the funder of the research, methodological/technical expert, research centre/research group or commercial organisation not at the University of Manchester)
- ☐ In the case of a student research project reviewed by supervisor(s)
- ☐ Other

L16

L16. Please confirm the following:

- ☒ I confirm the design and methods of the study are appropriate for the question(s) being asked and the researcher(s) has addressed potential threats to validity, accuracy and/or integrity.

You **MUST** tick the box above in order to submit this form.

L17

L17. What is the maximum number of participants you plan to recruit (including, if relevant, the potential for dropout)?

2000 

L17.3 If you will be using more than one group of participants, please explain why and how your total number will be broken down into specific groups:

This includes if you have experimental and control groups.

This research only concerns research-active staff at UKRN affiliated institutions.

L18

L18. How was the number of participants decided upon?

Please select at least one option

- ☐ Statistical sampling. The sample size is large enough to provide adequate power for appropriate statistical tests concerning statistical significance, effect size and confidence intervals.
- ☒ Theoretical sampling. The number of participants is estimated to provide sufficient data such that further increases would likely yield no significant additional insights concerning the topic under investigation.
- ☒ Purposive sampling. The number of participants is based on access to the subject group most appropriate for answering the research question(s) under investigation (e.g. critical case sampling, key informant sampling or snowball sampling).
- ☐ Convenience sampling. The number of participants is based on selection of the most accessible subject group, to control costs in terms of time, effort or other resources.

Research Methods: L20

L20. Does the research involve any of the following data collection methods?

Tick all that apply

- ☐ Method validation
- ☐ Interviews
- ☐ Focus Groups
- ☐ Paper based surveys/questionnaires
- ☒ Electronic or online surveys/questionnaires
- ☐ Standard, copyrighted psychology questionnaires/tests
- ☐ Field observation (including participant observation)
- ☐ Child/infant behaviour observation
- ☐ Ethnography
- ☐ Visual methods (such as those used in Anthropology)
- ☐ Case study
- ☐ Social Network Analysis
- ☐ Diary methods
- ☐ Assessment (such as those used in Education research)
- ☐ Intervention
- ☐ Recordings (audio, video, photographs, etc)
- ☐ Use of pre-existing media (photographs, video, etc)
- ☐ Creative practice as research (such as drama or music pieces)
- ☐ Cognitive psychology/psychophysics (e.g. perception, attention, memory, language, emotion)
- ☐ Cognitive neuroscience (e.g. EEG, eye-tracking, pupillometry, or related measures)
- ☐ Clinical, social or personality psychology (e.g. hypothetical scenarios, role playing, group interactions, personality/state/trait scales)
- ☐ Other qualitative methods (e.g. discourse analysis, interaction analysis, conversation analysis)
- ☐ Other on-line or electronic methods (e.g. netography, on-line research, textual analysis of digital sources)
- ☐ Secondary data analysis
- ☐ Any other method not listed above

L20.1 Please attach either a copy of the data collection tools you plan to use (e.g., questionnaires) or a very brief protocol describing the procedure (stimuli, responses, conditions manipulated, etc.)

If performing a study with more than one data collection tool please ensure you include documents for each (i.e. interview topics guides, focus group schedules, questionnaires/surveys, etc)

IMPORTANT: If you are administering standard, **copyrighted** psychology questionnaires/tests to participants you **MUST** provide a description of the questionnaire/test to the Committee using the [approved description form](#). Please ensure you use a separate form for each test and label each document with the name of the corresponding test before attaching to this question in the application form.

***Please upload all documents throughout the application in PDF format if at all possible**

Documents					
Type	Document Name	File Name	Version Date	Version	Size
Additional docs	ukrn_otrp_draft_v1.1	ukrn_otrp_draft_v1.1.docx	02/11/2022	1.1	86.0 KB

L20.2 Please briefly describe your methodology:

Please ensure your description is written according to the guidelines below:

- **Provide responses in bullet point format and limit responses to no more than 2 sentences per bullet point.**
- **One or more bullet points must explain the background of the project.**
- **One or more bullet points must explain how participants will be identified, approached and recruited.**
- **Describe exactly what will happen to participants, how many times and in what order.**
- **Provide responses which are as clear and concise as possible**

- Participation in the survey is voluntary.

- The survey comprises 14 blocks of questions with a varied number of total questions. This depends if institutions submitted their own questions to be added or not. Participants will be asked around 200 questions altogether and we estimate that it will take under 45 minutes to complete.

- The survey will be active until 22nd of January 2023.

- Participants are approached via stratified sampling and random methods. Participants are only ask and approached in their professional capacity as employees of the partaking institutions

- Participants are asked to take part in an online survey, need to give informed consent and receive a PIS prior doing so

- Participants can choose to exit the survey at any time

- All responses will be anonymous and they will be used exclusively for academic purposes. Non-identifiable information will be shared openly in appropriate repositories, and relevant findings will be disseminated via UKRN and its affiliated institutions

- Once a participant completed the survey, they will be given access to a separate secure survey form hosted on Qualtrics in order to enter a prize draw to win a £50.00 Amazon voucher (overall amount of incentives to be won: £14,000). The information provided will not be linked to participant's survey responses in any way. It will be stored securely and permanently deleted once all prizes are accepted. We will not use the information for any other purpose.

L20.6 Please provide additional details of the method you wish to use:

If using electronic or online data collection please clarify the platform/site/method to be used as well as where the data will be stored and how they will be transferred.

Survey hosted on Qualtrics. Data exported via Qualtrics onto a university-owned device and data securely stored on RDS (Isilon) or shared with other collaborating institutions via Dropbox for Business.

All institutions are required to sign the Letter of Collaboration (see attachment). No data will be shared before before signed letters are received and appended to this ethics application as an amendment. Some institution require their local ethics to approve the survey, such applications will be appended accordingly as well.

L21

5 December 2022

Reference #: 2022-15389-26232

L21. What do you consider to be the main ethical issues raised by the methodology and how will you address them?

Please provide details in the box below and structure your answers into a bulleted list.

No major risks identified. Minor risk of participants fearing to be identifiable from their responses, which could impact their career. This is highly unlikely though.

Consent: L22

L22. Will the researcher(s) obtain direct informed consent/assent to take part in the research from all participating individuals?

- ☒ Yes
- ☐ Not required as this project will access social media data available to the general public or other routinely available online content for which informed consent is not required.

L23

L23. How will the consent be obtained or verified?

Please note, this section refers to the information being given to adults (or parents only).

*Tick **all** that apply*

- ☐ Written consent (please use the University template)
- ☐ Verbally (please explain recording method in the box below)
- ☒ Implied (with the return/submission of a completed questionnaire/survey)

L23.1 Please provide more details in the box below regarding the chosen method of obtaining consent (i.e. rationale for chosen method)

Please note, if you are conducting an online survey or questionnaire you should include a tick box at the beginning to capture consent.

Tick box provided after presentation of the PIS

L23.4 Please attach a copy of your UK GDPR compliant participant information sheet(s)/script/summary of information page:

Your application will be returned to you and incur substantial delays unless you use the [UK GDPR compliant templates](#). Please see the help bubble attached to this question for additional guidance.

For secondary data analysis studies only, please upload a copy of the permission letter from the data controller or external organisation in support of the project.

This **must** be attached in order to submit your form.

Type	Document Name	Documents			
		File Name	Version Date	Version	Size
Participant Information Sheet	ukrn_otrp_survey_pis_v1.1	ukrn_otrp_survey_pis_v1.1.docx	02/12/2022	1.1	485.0 KB

L24-L25

L24. Will you be including participants who are under the age of 16?

- ☐ Yes
☒ No

L26-L27

L27. Will the researchers give participants at least 24 hours to decide whether or not to take part in the research?

- ☒ Yes
☐ No

L29

L29. Could participants be considered to have a particularly dependent relationship with the researcher(s) (e.g. students taught or examined by the researcher(s), clients of the researcher(s)).

- ☒ Yes
☐ No

L29.1 Please declare the following:

- ☒ The researcher(s) will ensure that there is no coercion to participate in the study and will take special steps to ensure that participants are made explicitly aware of their rights to choose not to take part and to withdraw, without repercussion.

The declaration **MUST** be ticked in order to submit this form.

L30-L31

L30. What are the inclusion criteria for participants?

- ☒ Participants will be included only if they have experiences and/or characteristics relevant to the research question(s) being investigated.

You **MUST** tick the box above in order to submit this form.

L31. What are the exclusion criteria for participants?

- ☒ Participants will be excluded only when they do not have experiences or characteristics relevant to the research question(s) being investigated.

You **MUST** tick the box above in order to submit this form.

L32

L32. How will participants be approached and recruited?

Tick the method below which you will be using for your study. If using more than one method, please tick the appropriate box(es).

- ☒ The researcher(s) will approach participants directly and will:
1. provide sufficient information to enable informed consent
 2. not pursue non-responders beyond two reminders, and
 3. maintain the anonymity and confidentiality of responders and non-responders
- ☒ The researcher(s) will approach participants indirectly via a third party and the third party will ensure any and all information:
1. is not coercive,
 2. is limited to information that prospective participants need to determine their eligibility and interest,
 3. does not state or imply a favourable outcome or other benefit beyond what is outlined in the participant information sheet and does not emphasise payments/inducements, using means such as large or bold type, and
 4. contains information that is accurate, honest and socially responsible regarding who is conducting the research, its purpose, risks/benefits, requirements of taking part, contact details for further information
- ☒ Participants will be recruited using an advertisement or equivalent communication (e.g. posters, flyers, bulk email/distribution list, social media invitations/announcements/pages) and the researcher(s) will ensure that any and all information:
1. provide sufficient information to enable informed consent,
 2. not pursue non-responders beyond two reminders, and
 3. maintain the anonymity and confidentiality of responders and non-responders
- ☐ Not applicable as this is a secondary data analysis of existing data/samples

L32.1 Please attach a copy of any introductory letters or emails that will be sent to gatekeepers or used to recruit participants:

Documents

Type	Document Name	File Name	Version Date	Version	Size
Recruitment Text	UKRN_survey_IL_comms	UKRN_survey_IL_comms.pdf	02/11/2022	1.0	158.2 KB

L32.2 What types of advertisements will be used?

Important note: DO NOT include monetary amounts on any advertisement*.

*See help bubble for more information

- ☐ UoM volunteering website
- ☒ Other website
- ☐ SONA system
- ☐ Poster on campus
- ☐ Poster off campus
- ☐ Newspapers
- ☒ Social media (i.e. Twitter, Facebook, Instagram, etc)
- ☒ Other

L32.3 Please attach a copy of all advertisements to be used:

Documents					
Type	Document Name	File Name	Version Date	Version	Size
Advertisement	UKRN_survey_IL_comms_v1.1	UKRN_survey_IL_comms_v1.1.docx	02/12/2022	1.1	97.1 KB

L33

L33. Will participants receive payment or other incentives for taking part in the research?

- ☐ No
- ☒ Yes, but the payments and/or incentives provided will not be sufficiently coercive to over-ride freely given consent, taking into account the financial status of the participants targeted. Specifically, the sums involved will only cover reasonable out of pocket expenses (e.g. travel expenses), reasonable recompense for time given to take part in the study, Psychology credits at standard rate for this type of research and/or will be in the form of a prize draw.

Risks to Researchers: L34

L34. Where will the data collection take place?

Please choose the location of where the researcher will be when collecting the data.

Tick all that apply.

- ☒ This study involves online surveys/questionnaires/experiments that are distributed either globally or to a specific location
- ☐ In a University building on campus.
- ☐ In the researcher's residence/accommodation
- ☐ Off-campus in a public space (e.g. a high street or cafe) in the UK that poses no significant risk to the safety and well-being of participants and researchers
- ☐ Off-campus in a public space (e.g. a high street or cafe) in a safe international setting which poses no significant risk to the safety and well-being of participants and researchers.
- ☐ Off campus at a private building or institutional setting (e.g. the premises of a work organisation, participant's place of work or private residence) in the UK that poses no significant risk to the safety and well-being of participants and researchers.
- ☐ Off-campus at a private building or institutional setting (e.g. the premises of a work organisation, participant's place of work or private residence) in a safe international setting which poses no significant risk to the safety and well-being of participants and researchers.
- ☐ SALC Linguistics/English Language Students ONLY: My project will be primary or practice research conducted in a public space or building within normal working hours, or in a domestic environment familiar to the researcher, within normal working hours or at a time convenient to participants.

L35

L35. Will any of the researchers be required to collect data alone in an off-campus setting?

Please note this does not include gathering survey results or social media data from a computer in your own residence/accommodation.

- ☐ Yes
- ☒ No

L39

L39. How will the results of research be made available to research participants and communities from which they are drawn?

Tick all that apply

- ☒ Written feedback to research participants
- ☐ Presentation to participants or relevant community groups
- ☒ Other (e.g. video/website)
- ☐ Results will not be made available

L39.1 Please provide additional details:

Every affiliated institutions will receive a report; UKRN-wide publication of aggregated results; research publications and UKRN website www.ukrn.org and other relevant UKRI/REDF publications. Data to be uploaded to repositories according funder requirements.

Research Sponsorship: L40

L40. Are you in receipt of any funding for your study (either internal or external)?

- ☒ Yes
☐ No

L40.1 Please provide additional details including:

- Organisation
- UK Contact
- Amount (£)
- Duration

UK Reproducibility Network funded by UKRI/Research England
Neil Jacobs (neil.jacobs@bristol.ac.uk); Head of UKRN
www.ukrn.org
£4,055,892
1st September 2021 - 31st August 2026

Supporting Documents: L42

Please use this section to attach any additional documentation that you have not attached previously in this form. If you do not need to attach any additional supporting documentation, please tick the box at the bottom of the page.

The supporting documents that you may have already been required to attach are:

- Interview guide
- Focus group topic guide
- Questionnaire(s)
- Statistical review
- Advertisements/e-mails/recruitment text
- Social media recruitment text
- Consent/assent form(s)
- Participant information sheet(s)
- Letters from gatekeepers/letters of permission

Examples of documentation that you may wish to attach include, but are not limited to:

- Translated documents
- Verification of translated documents
- Distress protocol/debrief sheet
- Lone worker policy/procedure
- Confidentiality agreements
- Ethical approval from partnering institutions
- Local insurance arrangements
- Completed risk assessment forms

L42. Additional supporting documentation

Documents

Type	Document Name	File Name	Version Date	Version	Size
Additional docs	cover_letter_2022-15389-25808	cover_letter_2022-15389-25808.docx	02/12/2022	1.0	15.4 KB

☒ I confirm that all required supporting documentation for this project has been appended.

L43. In order for your application to proceed to review, please confirm the following:

- To the best of my knowledge the information that I have provided here is accurate and I understand that any deliberate attempts to withhold necessary information or mislead the Proportionate UREC will result in my project being given an unfavourable decision.
- I understand that while I have completed this form, the Proportionate UREC may escalate my application for Full University Research Ethics Committee (UREC) review if my research is deemed to be high risk.

☒ I confirm both of the above declarations.

You **MUST** tick the box above in order to submit this form.

Required Signatures

Final Declarations

1. The information in this form is accurate to the best of my knowledge and belief and I take full responsibility for it.
2. I agree to abide by the ethical principles underlying the [Policy on the Ethical Involvement of Human Participants in Research](#) and the [University's Code of Good Research Conduct](#).
3. If the research is approved I agree to adhere to the terms of the full application as approved and any conditions set out by the review body in giving approval.
4. I agree to notify the review body of any amendments to the terms of the approved application (both minor and major), and to seek a favourable opinion from that review body via the formal process before implementing the amendment.
5. I agree to submit annual progress reports setting out the progress of the research as well as end of study reports, as required by the review body for all UREC proposals.
6. I understand that research records/data may be subject to inspection by the review body for audit purposes. In addition, I understand that research records/data for those studies that use human tissue, medical devices or pharmaceutical products may be subject to inspection by regulatory authorities for audit purposes.
7. I understand that the information contained in this application, any supporting documentation and all correspondence with the review body or its operational managers relating to the application
 - Will be held by the University until at least 5 years after the end of the study or at least 10 years for those studies involving medical data.
 - May be disclosed to the operational managers of the review body in order to check that the application has been processed correctly or to investigate any complaint
 - May be seen by auditors appointed to undertake accreditation of the University (where applicable)
 - Will be subject to the provisions of the Freedom of Information Act and may be disclosed in response to request made under the Act except where statutory exemptions apply
 - May be sent by email to members of the review body
8. I understand that information relating to this research, including the contact details on this application, will be held by Infonetica Ltd, and that this will be managed according to the principles established in the Data Protection Act 2018.
9. I confirm that I have not included any sensitive personal information including a curriculum vitae or identifiable information about my racial or ethnic origin, political opinions, religious or similar beliefs, trade union membership, physical or mental health, sexual life, commission of offenses and/or criminal proceedings.

IMPORTANT: Please ensure you request the signatures of the PI or supervisor (if required).

The system now features an updated submission function which will automatically queue your application for submission after all required signatures are obtained.

If you do not receive a confirmation email within 1 hour of signing the form that the application has successfully submitted, please perform the following:

1. Open the application and double check the form status as it should be listed as submitted, resubmitted or sent to. If the status is one of these, please email your [Ethics Signatory or School Administrator](#) to double check that they have received your application.
2. If the form status is listed as 'changes requested', 'not submitted' or 'returned' then please double check:
 - a. That an appropriate signature has been obtained in Section S (it should say for example: Mr Smith has signed on 5/7/2019 at 13.15pm)
 - b. That no additional blank signature boxes are listed in Section S
 - c. That the application is not pending a mandatory update (listed in a red bar at the top of the screen)
 - d. If you have performed all of these checks and the application has still not automatically submitted, please email research.ethics@manchester.ac.uk and provide your project reference number, title and a screenshot confirming these criteria and a member of the team will be able to assist you.

WARNING: Once you have signed the form, it will be **locked** and if you wish to make further changes you must '**unlock**' the form, which will break any signatures already obtained.

For staff projects, if you are NOT the PI, you must obtain their signature (using the request button below).

For student projects, if you are NOT the supervisor, you must obtain their signature (using the request button below).

For student projects, if you ARE the supervisor please ensure you sign the form.

Signature of the Principal Investigator:

Please use the blue Sign button below to sign the form.

Signed: This form was signed by Mr Lukas Hughes-Noehrer (lukas.noehrer@manchester.ac.uk) on 02/12/2022 09:09