



## ETHICS FORM 1

### WHAT LEVEL OF REVIEW DO I NEED?

#### GUIDELINES

**This form is for staff and doctoral students. It will help you identify the level of review needed for your project. Before completing it, you need to:**

1. Read *The University Research Ethics Policy*.
2. If you are a student, discuss the ethical aspects of your project with your supervisor.

It is your responsibility to follow the University's Policy on the ethical conduct of research and to follow any relevant academic guidelines or professional codes of practice pertaining to your study when answering these questions.

The questions and checklist in this proforma are intended to guide your reflection on the ethical implications of your research. Explanatory notes and further details can be found in the Policy document.

## SECTION 1

## DETERMINING WHETHER YOU REQUIRE ETHICS REVIEW

<b>YOUR PROJECT</b>
Project title: <b>Measuring the Impact of Successful Branding</b>
Your name: <b>Eden Smithbury</b>

1.	<b>Is the proposed activity classified as Research or Audit /Service Evaluation or similar?</b>	
	<input checked="" type="checkbox"/> Research	<input type="checkbox"/> Audit or Service Evaluation
	<p>Use the Policy to help you answer this question. If the proposed activity meets the definition of <b>research</b> (see the policy), CONTINUE.</p> <p>If the activity is an <b>audit</b> or a <b>service evaluation</b>, STOP. You do not need to seek ethics approval, but you do need to formally register your project with UREC, along with a project outline. To do this complete Form 2.</p> <p>If you are unclear what type of activity you are undertaking, please refer to the Policy for additional types.</p>	
2.	<b>Does the research involve living human participants, human samples or data derived from individuals who may be identifiable through the data collected?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p>Use the Policy to help you answer this question.</p> <p>If you answer <b>NO</b>, SKIP to QUESTION 6 and CONTINUE.</p> <p>If you answer <b>YES</b>, CONTINUE.</p>	
3.	<b>Is the research being conducted for a medicinal purpose?</b>	
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<p>Use the Policy to help you answer this question. See Appendix 2 - FAQs and definitions.</p> <p>If you answer <b>YES</b>, and think your research comes under the definition of 'for a medicinal purpose,' it will need to be scrutinised by the Committee. Please email the Committee Chair (ethics@winchester.ac.uk) for further guidance on what to do.</p> <p>If you answer <b>NO</b>, CONTINUE.</p>	
4.	<b>Does your research require external ethics approval or review?</b>	
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<p>For example, from the NHS or another overseeing body. Use the Policy to help you answer this question.</p> <p>If you answer <b>NO</b>, CONTINUE.</p> <p>If you answer <b>YES</b>, you need to formally register your project with UREC, along with the relevant external ethics approval. To do this complete Form 2.</p>	
5.	<b>Is the project underway and, the researcher or PI, has moved institution to Winchester?</b>	
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	If you answer <b>YES</b> , please read the following:	

	<p><i>If the research began when the PI was employed at another institution but has subsequently moved to Winchester, and the project has previously been subjected to ethics scrutiny at that institution, then it need not go through ethics review again. The outcome of ethics review by that institution should be communicated to UREC for formal recording. To do this complete Form 2 and include evidence of the previous ethics approval.</i></p> <p><i>HOWEVER, if there have been significant changes to the original research design which have ethical implications or recruitment of a cohort of participants will be undertaken through Winchester, then the project will require ethics review and you should apply for approval, CONTINUE.</i></p> <p><i>If you answer <b>NO</b>, CONTINUE.</i></p>	
6.	<b>Is the research collaborative?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p><i>If you answer <b>YES</b>:</i></p> <ul style="list-style-type: none"> <li><i>where the Principal Investigator (PI) of the research is located at another institution, it is their responsibility to seek ethics approval, including partner research sites. The outcome of ethics review by that institution should be communicated to UREC for formal recording. To do this complete Form 2 and include evidence of the previous ethics approval.</i></li> <li><i>where the PI is located at Winchester, then the project will undergo scrutiny as per Winchester's Ethics Policy, CONTINUE.</i></li> </ul> <p><i>If you answer <b>NO</b>, CONTINUE.</i></p>	
7.	<b>Is the research being conducted in another country?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p><i>If you answer <b>YES</b>, please read the following:</i></p> <p><i>Where a project is conducted in another country, the researcher should consider if it is possible to obtain ethics review by a local research ethics committee or other relevant body. The outcome of such a review by that institution should be communicated to UREC for formal recording, along with a project outline. To do this complete Form 2.</i></p> <p><i>If this is not possible, the project should be reviewed by the University of Winchester, either at Faculty level or Committee depending on the nature of the proposed work, so CONTINUE.</i></p>	
8.	<b>Does the research involve the use of documentary material(s) for analysis - for example artifacts, papers, historical records, literary works or documents in a public or private archive?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p><i>Note: Documentary material does not include academic papers or other 'building block' literature in the public/academic domain which is used to inform the research context or rationale for the study. Instead, the documentary material would be the 'data' for the study, therefore literature reviews or literature critiques are not considered documentary research.</i></p> <p><i>If you answer <b>YES</b>, you need to formally register your project with UREC, along with a project description. To do this complete Form 2. Where materials are in a private archive or closed collection, please include details of the nature of the private archive /closed collection and provide evidence of permission to use this material for research purposes. Please also consider if there may be outcome ethical implications e.g. the subject matter may have a negative impact on those still connected to the materials.</i></p>	
9.	<b>Does the research involve live vertebrate animals?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<p><i>If you answer <b>NO</b>, CONTINUE.</i></p> <p><i>If you answer <b>YES</b>, you need to formally register your project with UREC, along with a copy of the relevant</i></p>	

	<i>licence (if required). To do this complete Form 5.</i>	
10.	<b>Does the research involve environmental interventions?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>NO</b>, CONTINUE.</i> <i>If you answer <b>YES</b>, you need to formally register your project with UREC, along with a copy of the relevant licence (if appropriate). To do this complete Form 2</i>	
11.	<b>Does the project pose any potential or actual conflict(s) of interest for the researcher and /or stakeholders?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>YES</b>, please ensure you provide information on the form you complete.</i>	
12.	<b>Does the data you will collect contain <i>any</i> information that could be linked back to participants or that might identify them (e.g. name, address, photo, voice, email)?</b>	
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	<i>If you answer <b>NO</b>, you need to formally register your project with UREC. To do this complete Form 2.</i> <i>If you answer <b>YES</b>, CONTINUE.</i>	

☞ Reaching the end of these questions, **either** you will have been directed to complete a specific additional form **or** you should continue to section 2.

If you are still unsure whether you need ethics review or not, please re-read The Policy and email your query to [ethics@winchester.ac.uk](mailto:ethics@winchester.ac.uk) with details of your project.

## SECTION 2

## DETERMINING THE LEVEL OF ETHICS REVIEW REQUIRED

	Please mark with an <input checked="" type="checkbox"/> as appropriate	YES	NO
1.	Does the research involve individuals who might be considered vulnerable?  <i>For example: vulnerable children, over-researched groups, people with learning difficulties, people with mental health problems, young offenders, people in care facilities, including prisons. For a note on research with children, see Appendix 2 of the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.	Does the research involve individuals in unequal relationships e.g. your own students?  <i>Please note:</i> 1. <i>students recruited via SONA are not considered 'your own students.' If you intend to recruit widely across the University or your Faculty (e.g. through snowball sampling or a mail shot) you do not need to consider such students as your own, even if some participants may be students you are directly involved with. Only tick "yes" if you are targeting your own students specifically.</i> 2. <i>if you are an undergraduate or postgraduate student carrying out research with children in either a school or early years setting, these DO NOT come under the category of your 'own students.'</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.	Will it be necessary for participants to take part in the study without their knowledge and consent at the time?  <i>For example: covert observation of people in non-public places, use of deception. See Appendix 2 of the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.	Will the study involve discussion of sensitive or personal topics?  <i>For example: (but not limited to) participants' relationships, emotions, sexual behaviour, experience of violence, mental health, gender, race / ethnicity status or experience, political or religious affiliations. Please refer to the Policy.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5.	Is there a risk that the highly sensitive nature of the research topic might lead to disclosures from the participant concerning their own involvement in illegal activities or other activities that represent a threat to themselves or others which may need onward reporting?  <i>For example: sexual activity, drug use, illegal activities or professional misconduct.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6.	Might the research involve the sharing data or confidential information beyond the initial consent given?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
7.	Might participant anonymity be compromised at any time during or after the study?  <i>For example: will the research involve respondents using the internet, social media, or other visual /vocal methods where respondents may be identified?</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8.	Is the study likely to induce severe physical harm or psychological distress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
9.	Does your research involve tissue samples covered by the Human Tissue Act (2004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

10.	Is there a possibility that the safety of the researcher may be in question?  <i>For example: research in high-risk locations or with high-risk groups.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11.	Does the research involve creating, downloading, storing or transmitting material that may be considered to be unlawful, indecent, offensive, defamatory, threatening, discriminatory or extremist?  <i>If you answer <b>YES</b> to this question, you must also contact the Director of Library and IT Services, who must provide approval for the use of such data.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Answering **NO** to **all** these questions means your project is eligible for Faculty level ethics review.  
You now need to complete Form 3.

Answering **YES** to **any** of these questions means your project will require Committee ethics review.  
You now need to complete Form 4.



## **ETHICS FORM 3**

### **FACULTY REVIEW**

#### **GUIDELINES**

**This form is for staff and doctoral students. It will help you set out the ethical aspects of your project that need to be reviewed. Before completing it, you need to:**

1. Read *The University Research Ethics Policy*.
2. If you are a student, discuss the ethical aspects of your project with your supervisor.

It is your responsibility to follow the University's Policy on the ethical conduct of research and to follow any relevant academic guidelines or professional codes of practice pertaining to your study when answering these questions. This includes providing appropriate information sheets and consent forms and ensuring confidentiality in the storage and use of data.

The questions in this proforma are intended to guide your reflection on the ethical implications of your research. Explanatory notes and further details can be found in the Policy document.

**If any aspect of your project changes during the course of the research, you must notify the Chair of UREC.**

**SECTION 1**

<b>YOUR DETAILS</b>			
<b>1.1.</b>	Your name: <b>Eden Smithbury</b>		
<b>1.2.</b>	Your department: Digital Technologies		
<b>1.3.</b>	Your Faculty: Business and Digital Technologies		
<b>1.4.</b>	Your status:		
		<input checked="" type="checkbox"/> Undergraduate Student	<input type="checkbox"/> Staff (Professional Services)
		<input type="checkbox"/> Taught Master	<input type="checkbox"/> Staff (Academic)
		<input type="checkbox"/> Research Degree Student	<input type="checkbox"/> Other (please specify below)
<b>1.5.</b>	Your university email address: <b>E.Smithbury.21@unimail.winchester.ac.uk</b>		
<b>1.6.</b>	Your telephone number: <b>07557 209 223</b>		
	<b><u>For doctoral students only:</u></b>		
<b>1.7.</b>	Your degree programme: <b>N/A</b>		
<b>1.8.</b>	Your supervisor's name: <b>N/A</b>		
<b>1.9.</b>	Your supervisor's department: <b>N/A</b>		
<b>1.10.</b>	Your supervisor's email: <b>N/A</b>		



## SECTION 2

YOUR PROJECT			
2.1.	Project title: Measuring the Impact of Successful Branding		
2.2.	Start date: 18/09/23		
2.3.	Expected completion date: 13/05/24		
2.4.	Expected location of data collection: Online (e.g. school, workplace, public place, University premises etc.)		
2.5.	Has funding been sought for this research?		
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
2.6.	If so, where have you applied for funding? N/A		
2.7.	Has the funding been granted?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Pending
2.8.	Is the research collaborative? (e.g. co-investigators from another institution, at or with another organisation or colleagues in another department)		
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	If yes, which? N/A		
2.9.	Is Disclosure and Barring Service clearance required for your study?  <i>It is your responsibility to contact the Disclosure and Barring Service (DBS) to confirm whether or not clearance is needed prior to commencing recruitment or data collection. More information <a href="#">here</a></i>		
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
2.10.	Is a risk assessment required?  <i>It is your responsibility to contact the Health and Safety Office at the University to confirm whether or not a risk assessment is required prior to commencing recruitment or data collection.</i>		
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Pending
2.11.	Will your research be informed by guidelines from a professional association or specific, agreed standards of practice?		
	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
	If yes, which? N/A		

## SECTION 3

### PROJECT DESCRIPTION

*Please provide a brief description of your project in non-technical language (between 500-1000 words). This should include details of the research rationale, aim(s), research question(s), context (linking to some relevant literature), and methods (including details of participants, data collection (including examples /descriptions of any audio or visual stimuli to be presented to participants), data analysis) to be used. You should state any ethical issues that you have identified and how these will be dealt with. This overview should contain sufficient information to acquaint the reader with the principal features of the proposal. A copy of the full proposal may be requested if further information is deemed necessary.*

*Please use this section to list documentation that may be relevant to your application and append it to the submission (e.g. consent forms, information sheets, questionnaires etc.).*

This project is about evaluating the effectiveness of a company's brand and reviewing a possible process for a company to take a rebrand. The process of completing the rebrand will include considering changing aspects of the company's brand such as name, logo, brand colours, etc. The company that will be focused on the project is the charity RNIB (Royal National Institute of Blind People).

The research needed for this project will be to ask participants on a survey if they recognise companies before they've had a rebrand and afterwards. It will also involve asking participants about the brand and if they recognise the brand of RNIB and who they think they represent. Participants will also be asked their age in order to best gauge different recognition based on when they were born. All results from respondents will be kept until 13<sup>th</sup> June 2024 at which point they will be deleted.

The survey will be conducted through Google Forms. All of the information will be made explicit to participants before they partake in the survey.

**SECTION 4****REFINING THE LEVEL OF ETHICS REVIEW REQUIRED**

Please mark with an <input checked="" type="checkbox"/> as appropriate		YES	NO
1	Does the research involve members of the public in a research capacity as co-researchers? (I.e. as in participant research where involvement extends beyond data collection)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2	Is there a risk of over-disclosure that may put the participants at risk or cause them any anxiety?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Will tissue samples (including blood) be obtained from participants?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4	Will the study require the co-operation of a gatekeeper for initial access to participants? (E.g. to students at school, to members of self-help group.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Is the right to withdraw from the study withheld at any time, or not made explicit?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Is there any reason participants may feel obliged to participate in the study against their will?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
10	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11	Are there payments to researchers /participants that may have an impact on the objectivity of the research?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
12	Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the General Data Protection Regulation (GDPR) (2018)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
13	Does any part of the project breach any codes of practice for ethics in place within the organisation in which the research is taking place?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
14	Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to the study participants? Please note: for fast track review, it is expected that the study will not involve invasive, intrusive or potentially harmful procedures of any kind.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
15	Is pain or more than mild discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
16	Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? (E.g. involve prolonged or repetitive testing.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
17	Does the project pose any potential or actual conflict(s) of interest for the researcher and /or stakeholders?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

If you answer **YES** to **any** of these questions, please use the next section to indicate which question you have said yes to, describe the ethical issue in the context of your study and how you will address it. If you have answered **NO** to all questions, complete section 6.

## SECTION 5

### ADDITIONAL INFORMATION AND AMENDMENTS

*Use this space to address ethical issues highlighted by the checklist in section 4, or to amend an original submission.*

## SECTION 6

## DECLARATION

I have read and understood the University of Winchester Research Ethics Policy and confirm that adequate safeguards in relation to the ethical issues raised by this research can and will be put in place. I am aware of and understand University procedures regarding Health and Safety. I understand that the ethical aspects of this project may be monitored by the University Research Ethics Committee.

I understand my responsibilities as a researcher as described in the University of Winchester Research Ethics Policy.

I declare that the answers above accurately describe the research as presently designed and that a new application will be submitted should the research design change in a way which would alter any responses given in Form 1 or here.

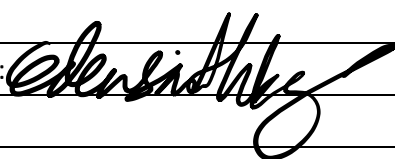
☒ I confirm that if a Risk Assessment is required I will complete it and have it co-signed by my Supervisor or Head of Department before data collection takes place.

☒ I confirm that, if DBS clearance is required for my project, then I will seek it before the start of my project.

☒ I confirm that my research does not include risks that might cause it to be excluded from coverage by the University's insurers.

☒ I confirm that I have appropriate insurance for this research.

Researcher's signature:



Date: 12/03/24

In addition, for **students** (research):

The student has the skills to carry out the proposed research. I undertake to monitor the student's adherence to the relevant research guidelines and codes of practice.

Supervisor's signature: Samuel Barker

Date: 15/03/2024



Dr Debs Wilson – Supervisor

15/03/2024

DEBORAH WILSON	

**Please submit this form along with Form 1 to your nominated Ethics Lead.**

*Please remember to append any forms or documents that may be relevant to your application (e.g. consent form, information sheet, questionnaire(s) etc.). Your form cannot be considered unless it is submitted with the required supporting documentation. Omitting to do so will delay the ethics review process.*