Application 4: Who are Japan’s homeless: an examination of some of the attitudes surrounding the ‘homeless’ in Japan

Important note: This is a real application which has been doctored for the purposes of training. Information has been removed from the application and the application has been anonymised. The UREC does not endorse this application as a model.

The application, shown on the following pages, was discussed at the workshop. A summary of the key points raised by the participants and the UREC follows (this is not an exhaustive list):

- There is a lack of information provided in the application.
- There is a risk of psychological harm to the participants as it may be distressing for them to discuss the fact that they are homeless.
- There needs to be better procedures for ensuring the safety of the researcher (e.g. they could be accompanied by someone, or they could arrange a check-in with a nominated person at a designated time).
- Oral consent seems appropriate in this situation. However, the script that is provided is very brief and doesn’t provide enough information for the potential participant to be able to give informed consent.
- The participants should be told that they can withdraw at any time.
- Is the financial incentive and the value chosen appropriate? It is important to be aware of cultural sensitivity.
- A list of questions that the researcher is planning to ask should be included.
- This should be reviewed as a ‘potentially high risk’ project.
- As the research is taking place abroad it should be considered whether there is an ethics procedure in Japan that should be followed instead of the University’s own procedure, in line with the Alternative Ethics Review Procedure.
Complete this form if you are an undergraduate or a postgraduate-taught student who plans to undertake a research project which requires ethics approval via the University Ethics Review Procedure. If you are a member of staff or a postgraduate research student, this is the wrong form.

Your Supervisor decides if ethics approval is required and, if required, which ethics review procedure (e.g. University, NHS, Alternative) applies.

If the University's procedure applies, your Supervisor decides if your proposed project should be classed as 'low risk' or potentially 'high risk'.

PLEASE NOTE THAT YOUR DEPARTMENT MAY USE A VARIATION OF THIS FORM: PLEASE CHECK WITH THE ETHICS ADMINISTRATOR IN YOUR DEPARTMENT

This form should be accompanied, where appropriate, by all Information Sheets/Covering Letters/Written Scripts which you propose to use to inform the prospective participants about the proposed research, and/or by a Consent Form where you need to use one.

Further guidance on how to apply is at: www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/approval-procedure/review-procedure

Guidance on the possible routes for obtaining ethics approval (i.e. on the University Ethics Review Procedure, the NHS procedure and the Social Care Research Ethics Committee, and the Alternative procedure) is at: www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/approval-procedure/ethics-approval

Once you have completed this research ethics application form in full, and other documents where appropriate, check that your name, the title of your research project and the date is contained in the footer of each page.

If your supervisor has classed the project as ‘low risk’:
- Email this form, together with other documents where applicable, to your Supervisor; and
- Sign and date Annex 1 of this form and provide a paper copy to your Supervisor.

Important Note for Supervisors:

Following the ethics review the Supervisor must provide the academic department’s Ethics Administrator with a copy of the ‘low risk’ research ethics application that s/he reviewed and a completed Ethics Reviewer’s Comments Form indicating the ethics decision that s/he took in relation to it. The Ethics Reviewer’s Comments Form can be downloaded here: www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/further-guidance/universityprocedure2/reviewersc. The Ethics Administrator reserves the right to consult the Chair of the academic department’s Ethics Review Panel (or equivalent) of s/he has concerns that projects classed as low risk should in fact have been classed as potentially high risk.
If your supervisor has classed the project as potentially ‘high risk’:

- Email this form, together with other documents where applicable, to your department’s Ethics Administrator; and
- Ask your Supervisor to sign and date Annex 2 of this form and provide a paper copy of it to your department’s Ethics Administrator.

Ethics Administrators are listed at:

www.sheffield.ac.uk/polopoly_fs/1.99105!/file/Ethics-Administrators.pdf

I confirm that I have read the current version of the University of Sheffield ‘Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue’, as shown on the University’s research ethics website at: www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy

A1. Title of Research Project: Who are Japan's Homeless: an examination of some of the attitudes surrounding the 'homeless' in Japan.

A2. Name of Student

Name: ***
Email: ***
Department: ***
Telephone: ***

Name of Supervisor: ***

A3. Proposed Project Duration:

Start date: ***
End date: ***

A4. Mark ‘X’ in one or more of the following boxes if your research:

- involves adults with mental incapacity or mental illness
- involves prisoners or others in custodial care (e.g. young offenders)
- involves children or young people aged under 18 years
- involves using samples of human biological material collected before for another purpose
- involves taking new samples of human biological material (e.g. blood, tissue) *
- involves testing a medicinal product *
- involves taking new samples of human biological material (e.g. blood, tissue) *
- involves additional radiation above that required for clinical care *
- involves investigating a medical device *
- is social care research
- is ESRC funded

* If you have marked boxes marked * then you also need to obtain confirmation that appropriate University insurance is in place. The procedure for doing so is entirely by email. Please send an email addressed to insurance@shef.ac.uk and request a copy of the ‘Clinical Trial Insurance Application Form’.
It is recommended that you familiarise yourself with the University’s Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue before completing the following questions. Please note that if you provide sufficient information about the research (what you intend to do, how it will be carried out and how you intend to minimise any risks), this will help the ethics reviewers to make an informed judgement quickly without having to ask for further details.

A5. Briefly summarise:
   i. The project’s aims and objectives:
      (this must be in language comprehensible to a lay person)
      The objective of this study is to gather information about the social and economic interaction among the waste recyclers of Tokyo, generally referred to as “homeless” by the Japanese media. This will hopefully contribute to the overall understanding of homeless issues.

   ii. The project’s methodology:
      (this must be in language comprehensible to a lay person)
      The methodology will be to approach and interview targets in public places, most likely while they collect magazines (in train stations, on trains, etc), or when they attempt to sell them.

A6. What is the potential for physical and/or psychological harm/distress to participants?

The potential for harm to the participants is small.

A7. Does your research raise any issues of personal safety for you or other researchers involved in the project? (especially if taking place outside working hours or off University premises)

The risks to myself are minimal.

If yes, explain how these issues will be managed.

Interviews will be conducted in public places, most likely areas of high population concentrations due to the interview targets collection and selling locations. There may be a slightly higher incidence of communicable diseases among the target population (lice, respiratory infections, etc). These risks do not likely pose a serious or lasting health threat to myself due to the availability and quality of Japanese health care, but will be minimized by avoiding direct physical contact and proper hygiene including hand washing and gargling.

A8. How will the potential participants in the project be:
   i. Identified?

Participants will be identified by their engagement in recycling activities (collecting, selling magazines).
ii. **Approached?**

They will be approached in person and asked to participate using a predetermined script ensuring informed consent.

iii. **Recruited?**

See above

A9. **Will informed consent be obtained from the participants?**

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

If informed consent or consent is **NOT** to be obtained please explain why. Further guidance is at: [www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/policy-notes/consent](http://www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/policy-notes/consent)

A9.1. This question is only applicable if you are planning to obtain informed consent:

*How do you plan to obtain informed consent? (i.e. the proposed process?)*:

Since the primary concerns for participants is most likely going to be the loss of anonymity a written informed consent sheet is inappropriate. Signing the form with their name is likely to pose greater distress and a larger perceived risk than no informed consent whatsoever. For this reason oral consent will be gained instead, allowing the participants to remain anonymous.

Remember to attach your consent form and information sheet (where appropriate)

A10. **What measures will be put in place to ensure confidentiality of personal data, where appropriate?**

As stated above, no personally identifiable data will be collected. If through interaction with the participant personally identifiable data becomes known (for example the participants name), it will not be used outside of that interaction, for example in any written work, communication, etc. All raw data collected, even though it will not contain personally identifiable data, will be stored digitally where possible and password protected.
A11. Will financial/in kind payments (other than reasonable expenses and compensation for time) be offered to participants? (Indicate how much and on what basis this has been decided)

1000 yen (c. £6.70) should probably be considered reasonable compensation for time especially considering the participants will be approached when they are engaged in their work, but since the participants may view this amount as subjectively more than someone who was in a better financial situation I have included this explanation. This amount has been decided because it is small enough to not cause an excessive amount of incentive leading to consent where it would normally be never given, and large enough to be seen as an un-insulting thank you. It is both compensation for time and affirmation that the participant is doing a service to the research.

A12. Will the research involve the production of recorded media such as audio and/or video recordings?

Yes ☐ No ☒

A12.1. This question is only applicable if you are planning to produce recorded media: How will you ensure that there is a clear agreement with participants as to how these recorded media may be stored, used and (if appropriate) destroyed?

Guidance on a range of ethical issues, including safety and well-being, consent and anonymity, confidentiality and data protection are available at: www.shef.ac.uk/ris/other/gov-ethics/ethicspolicy/policy-notes
University Research Ethics Application Form - Annex 1 - Student Declaration

(The student completes Annex 1 if the Supervisor has classed the student’s proposed research project as ‘low risk’)

The Supervisor needs to receive an electronic copy of the form, and other documents where appropriate, plus a signed, dated, paper copy of this Annex 1 ‘the Student Declaration’.

Full Research Project Title:

Who are Japan’s Homeless: an examination of some of the attitudes surrounding the 'homeless' in Japan.

In signing this Student Declaration I am confirming that:

- The research ethics application form for the above-named project is accurate to the best of my knowledge and belief.
- The above-named project will abide by the University’s ‘Good Research Practice Standards’: www.sheffield.ac.uk/ris/other/gov-ethics/good
- The above-named project will abide by the University’s ‘Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue’: www.sheffield.ac.uk/ris/other/gov-ethics/ethicspolicy
- Subject to the above-named project being ethically approved I undertake to adhere to any ethics conditions that may be set.
- I will inform my Supervisor of significant changes to the above-named project that have ethical consequences.
- I will inform my Supervisor if prospective participants make a complaint about the above-named project.
- I understand that personal data about me as a researcher on the research ethics application form will be held by those involved in the ethics review process (e.g. my Supervisor and the Ethics Administrator) and that this will be managed according to Data Protection Act principles.
- I understand that this project cannot be submitted for ethics approval in more than one department, and that if I wish to appeal against the decision made, this must be done through the original department.

Name of supervisor:

Name of student:

Signature of student: Date:
University Research Ethics Application Form - Annex 2 - Supervisor Declaration

(The Supervisor completes Annex 2 if s/he has classed the student’s proposed research project as potentially ‘high risk’)

The Ethics Administrator needs to receive an electronic copy of the form, and other documents where appropriate, plus a signed, dated, paper copy of this Annex 2 ‘the Supervisor Declaration’.

**Full Research Project Title:**

| Who are Japan’s Homeless: an examination of some of the attitudes surrounding the ‘homeless’ in Japan. |

In signing this Supervisor Declaration I am confirming that:

- The research ethics application form for the above-named project is accurate to the best of my knowledge and belief.
- The above-named project will abide by the University’s ‘Good Research Practice Standards’: [www.sheffield.ac.uk/ris/other/gov-ethics/good](http://www.sheffield.ac.uk/ris/other/gov-ethics/good)
- The above-named project will abide by the University’s ‘Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue’: [www.sheffield.ac.uk/ris/other/gov-ethics/ethicspolicy](http://www.sheffield.ac.uk/ris/other/gov-ethics/ethicspolicy)
- Subject to the above-named project being ethically approved I will undertake to ensure that the student adheres to any ethics conditions that may be set.
- The student or the Supervisor will undertake to inform the Ethics Administrator of significant changes to the above-named project that have ethical consequences.
- The student or the Supervisor will undertake to inform the Ethics Administrator if prospective participants make a complaint about the above-named project.
- I understand that personal data about the student and/or myself on the research ethics application form will be held by those involved in the ethics review process (e.g. the Ethics Administrator and/or reviewers) and that this will be managed according to Data Protection Act principles.
- I understand that this project cannot be submitted for ethics approval in more than one department, and that if I and/or the student wish to appeal against the decision made, this must be done through the original department.

**Name of supervisor:**

***

**Name of student:**

***

**Signature of supervisor:**

***

Date: ***
口頭スクリプト:

すみません、ちょっとお話を伺ってもいいですか？
私はイギリスのシェフィールド大学で勉強をしている、ジョシュと言います。
雑誌をリサイクルする方々の生活と職業の実態について研究をしています。

その為にお話を伺いたく、少しですが謝礼もお支払いします。金額は1000円だけになりますが、ご協力いただければ本当に助かります。自分の名前は言わなくても結構です。

質問の内容はこの仕事をしている方々の相互関係と鉄道会社などからはどのように扱われているかという事についてです。話を聞く時間は長くても15分から20分程度かかります。

Excuse me. Could I speak with you for a second?
My name is *** and I'm a student at the University of Sheffield in England.
I am studying the lives and working conditions of the people who recycle magazines and manga (on the trains in Tokyo).

I'd like to ask to ask you a few questions. There is only a small “thank you” payment of 1000 yen, but it would really help if you would participate. You need not give your name.

The questions relate to the social interactions of those that do this kind of work and how they are treated by people like the train station employees etc. At most it should take 15 or 20 minutes.