BISHOP GROSSETESTE UNIVERSITY

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Document Administration

Document Title:	Research Ethics Policy
Document Category:	Policy
Version Number:	2017
Status:	Approved
Reason for development:	To update previous version
Scope:	This document applies to all staff and students conducting research
Author / developer:	Head of Research / Research Ethics Committee
Owner	Head of Research
Assessment: (where relevant)	Tick relevant assessments / Tick if not applicable ☒ Equality Assessment ☐ Legal ☒ ☐ Information Governance ☒ ☒ Academic Governance ☐
Consultation: (where relevant)	☐ Staff Trade Unions via HR ☒ Students via Bishop Grosseteste University Students' Union ☐ Any relevant external statutory bodies
Authorised by (Board):	Senate
Date Authorised:	1 March 2017
Effective from:	27 June 2017
Review due:	1 March 2020
Document location:	Website
Document dissemination / communications plan	The Research and Innovation Centre will launch the policy accompanied by training for staff. A nominated member of academic staff who leads/works on every module which includes a research component will be responsible for ensuring all staff and students on their module are appropriately informed.

Document control:	All printed versions of this document are classified as uncontrolled. A controlled version is available from SharePoint (*Policies, Procedures, Regulations and Forms*).

RESEARCH ETHICS POLICY 2017

Introduction

The aim of this policy is to provide a clear ethical framework for staff and student research at Bishop Grosseteste University. The policy raises issues which should be fully considered by researchers and their supervisors before undertaking any research activity. It is the duty of the researcher to conduct their research with due consideration to the ethical framework provided by this and any relevant discipline-specific ethical guidance.

This policy is divided into three sections:

Section A: Research ethics principles

1. Introduction: The underlying principles
2. The responsibilities of researchers and supervisors
3. Respect for the person: Gaining informed consent
4. Respect for the data and the confidentiality of the participants

Section B: The process for applying for ethical approval of research

1. Process for undergraduate and PGCE students
2. Process for Master's and Doctoral students and all staff

Section C: Forms for the application of ethical approval of research

1. Risk assessment form
2. Research Ethics Clearance Form 1 (for all undergraduate and PGCE students)
3. Research Ethics Clearance Form 2 (for Master's and Doctoral students and all staff)
4. Research information sheet template
5. Research consent form template

SECTION A: RESEARCH ETHICS PRINCIPLES

1 Introduction: The underlying principles

The underlying principle of this policy is that research should be conducted with respect for the person(s) and/or institution(s) involved in the research and should be designed, reviewed, undertaken and disseminated in a way that ensures its integrity and quality. This research policy is framed within a commitment to the principles outlined in the Universities UK (2012) Concordat to Support Research Integrity:

> **Commitment 1:** We are committed to maintaining the highest standards of rigour and integrity in all aspects of research;
>
> **Commitment 2:** We are committed to ensuring that research is conducted according to the appropriate ethical, legal and professional frameworks, obligations and standards, maintaining the highest standards of rigour and integrity in all aspects of research;
>
> **Commitment 3:** We are committed to supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers;
>
> **Commitment 4:** We are committed to using transparent, robust and fair processes to deal with allegations of research misconduct should they arise; and,
>
> **Commitment 5:** We are committed to working together to strengthen the integrity of research and to reviewing progress regularly and openly.

This Research Ethics Policy serves as a set of guidelines to be followed by members of both the staff and student body at Bishop Grosseteste University (BGU). This applies to research at all points within a project's life cycle, including that involving data collection from human participants or other sources, teaching which involves data gathering for research purposes, studies requiring the consent of any external organisation or other research setting, as well as the analysis, discussion and dissemination of all ideas, results and products associated with that product.

All collaborative partner institutions should abide by this policy.

This policy does **not** cover research involving the collection or storage of human material or tissue.

The Research Ethics Committee is responsible for the application of the University's Research Ethics Policy and support its implementation through directing and assessing briefing and training. The Research Ethics Committee reports to the Research Committee.

Students who fail to follow the University's Research Ethics Policy will be subject to the processes stated in the Code of Practice for Academic Misconduct. Staff who fail to follow the University's Research Ethics Policy will be subject to the processes stated in the Disciplinary Policy, Procedure and Guidance. Furthermore, the University may also refer researchers to

their professional regulatory body (e.g. the British Psychological Society) if appropriate.

2. The responsibilities of researchers and supervisors

2.1 In planning a study, researchers and supervisors must carefully evaluate its ethical acceptability and conform to the process of applying for ethical approval which is detailed in Section B of this policy. The process is underpinned by the ethical principles outlined in this policy.

2.2 All research should be planned, conducted and disseminated in accordance with the values of integrity, rigour, respect and the principles of open communication and open data.

2.3 A primary ethical concern of all researchers/supervisors lies in considering whether by participating in the research an individual, community or organisation will in any way be at risk of harm as a result of the research. Potential harm includes physical, social, emotional or psychological distress to participants and researchers, whether directly or indirectly involved, which might arise in the course of the research and its dissemination. Risks can relate to the participant's or researcher's social or professional standing, personal values and beliefs as well as deviant or illegal behaviours.

2.4 The researcher must take all reasonable steps to protect the participant from any physical and psychological discomfort, harm or danger that may arise from the procedures used. The participant should be informed of any risks in the Research Information Sheet which should also include the procedures for contacting the researcher, within a reasonable time period following participation, in the event of stress, potential harm or related questions/concerns arising from participation in the research. Contact details will normally be included in the Research Information Sheet and, if appropriate, a debrief session maybe included in the research design.

2.5 For projects where risk is high the proposal should automatically go to the Research Ethics Committee for consideration.

2.6 Research which does not involve data collection from human participants should still be considered for potential risks. E.g. findings from secondary data sources about historical figures may impact on living relatives; archaeological digs which bring physical risks to the researchers.

2.7 Researchers and supervisors should develop awareness of potential risks applicable to their study and take steps to minimise them.

2.8 Where research is being undertaken involving children or vulnerable adults, the researcher(s) must have the appropriate Disclosure and Barring Service (DBS) clearance. The guidelines for DBS clearance laid down by the University and the School of Teacher Development, School of Social Sciences or School of Humanities should be followed, as appropriate. Where data are collected in collaboration with external participating

organisations (e.g. schools, prisons, care homes) their requirements for DBS clearance must be adhered to.

2.9 The researcher should take care to ensure that participants are, as far as possible, aware of the period during which their actions or words contribute towards the research findings. Particular care should be taken over the use of data obtained from what might normally be construed as private conversations or actions if the research has not made clear that it is still part of the data collection exercise.

2.10 The University is committed to the principles of academic freedom, freedom of speech, and expression. In line with the University's Freedom of Speech policy, research should be undertaken within the University's environment where all its members feel confident and able to research, question and test received wisdom, and to express new ideas and controversial or unpopular opinions, without fear of isolation, marginalisation or discrimination. The University believes that all staff and students should have the right to speak freely, without fear of disciplinary action or any other sanction, provided they do so lawfully, without malice and in the public interest. At the same time, all staff have a responsibility not to abuse this right so as to bring the name of the University into disrepute, for example through any breach of the Research Ethics Policy.

2.11 The University has a duty of care to researchers and must take appropriate actions to support those who are undertaking studies of a particularly sensitive nature. All students or staff members who propose to undertake such a study must submit an application for ethical approval using Form 2 to the Research Ethics Committee for their consideration. If the Research Ethics Committee approves the proposal, they will create a plan for supporting the researcher in accordance with the appropriate related University policy and procedure, and relevant internal and external colleagues, in order to safeguard those involved in the research.

2.12 If a student or staff member proposes to undertake research into terrorism or radicalisation, they must submit an application for ethical approval using Form 2 to the Research Ethics Committee for their consideration. If the Research Ethics Committee approves the proposal, they will create a plan for supporting the researcher in accordance with the University's Prevent Policy in order to safeguard against radicalization, or association with terrorist or otherwise proscribed organisations.

2.13 The researcher/supervisor always retains the responsibility for ensuring ethical practice in the research and its dissemination. They are also the persons responsible for the ethical treatment of participants by collaborators, assistants, other students and employees. Research collaborators, assistants, students and employees still, however, incur similar ethical obligations to those of the Principal Investigator (PI).

2.14 The Principal Investigator should ensure that the working conditions and roles of contract research staff should be clear and fair and that any risks are fully explained to them.

2.15 Researchers should be careful not to engage in research which they know is beyond their competence. They should have the ability to use the appropriate methodological tools required for the research in question. Considerations of

competence need particularly attention when entering into contracts with external funding bodies.

2.16 In the case of inter-institution collaborative research, and the PI is employed by the University, normal ethical procedures apply and the PI should subsequently investigate whether or not their collaborator's institution also requires ethical approval.

2.17 In the case of inter-institution collaborative research, and the PI is employed at another institution, the researcher should lodge a copy of their collaborator's ethical approval with the Research Ethics Committee. The Research Ethics Committee shall ensure that no ethical issues for the University arise from the project.

2.18 Those responsible for the research project must ensure some form of compatibility as far as ethical procedures and practices are concerned or reach an agreement as to which institution's ethics policy has precedence. Normally this will be the institution of the PI. Where the PI is employed at another institution, the Collaborating institutions should agree that the project be scrutinised by the Research Ethics Committee (or equivalent) of the PI's institution and abide by that process and subsequent monitoring. Documentary evidence confirming ethical clearance has been granted must be lodged with the Research and Innovation Centre.

2.19 When designing a research project that involves overseas collaboration and/or data collection, the researcher must take into account different circumstances in the countries involved, particularly different ethical standards, political and cultural considerations, handling and storage of personal data, the relationship between researcher and participant, access to research resources and the rules that exist within the country with regard to conducting research. While recognising the contextual setting every effort should be made to ensure data collected overseas meets the ethical guidance contained in this and any appropriate discipline-specific ethical guidance (e.g. BERA, BPS and the SRA).

2.20 Researchers must be aware of any potential conflicts of interest in their work arising from their position within the research context, e.g. insider research. In particular, researchers in a position of authority arising from or separate from the research process should beware of placing other participants in a situation where they feel obliged to participate in the research or to produce particular results.

2.21 Researchers must beware of undertaking research in an area where they may be perceived to have a conflict of interest, for example in the form of a commercial or professional benefit accruing from particular results. Such instances should be declared and referred to the Research Ethics Committee.

2.22 Due credit should be given to the contribution made by all of the researchers involved in a project. Authorship should be credited to those who had a substantive input into the research output in question, with the appropriate relative weighting being accorded to authors. For example, this should be in terms of the order of authorship, irrespective of professional position or seniority. Ideally, this should be agreed between those

involved in the research before outputs are compiled. It is deemed unethical to list, as an author, a person who has not made a substantial contribution to the output. Where a minor contribution has been made, the contributor should be listed in the acknowledgments section of the output.

2.23 All research must be undertaken strictly in accordance with BGU's current Diversity and Equality policies. No group should be *unreasonably* excluded from the research. Research should be commissioned, designed and undertaken in such a way as to respect the interests of all social groups whatever their age, disability, race, ethnicity, religion, culture, gender or other characteristics. However, some research will focus on a specific group and it would be inappropriate to seek wider levels of inclusiveness across social groups in such research.

2.24 Where ethical clearance has been granted, but circumstances require a significant change to the research design, ethical clearance must be reapplied for.

2.25 Researchers working with, for, or under the auspices of, any of the UK Departments of Health and/or the National Health Service must adhere to all relevant guidelines and apply for external ethical approval. Copies of all external approvals from the NHS must be lodged with BGU's Research Ethics Committee.

2.26 Researchers working with any external institutions must lodge copies of ethical approval from those institutions with BGU's Research Ethics Committee. As a general principle, the more wide-ranging the research, the higher the level of consent required (for example, Local Authority consent in the case of a survey across all the schools in an area). The researcher should check for any conflicts between relevant policies of the institution in which the research is being done and the intended research. It is the researcher's responsibility to resolve any problems and, if necessary, refer the issue to the Research Ethics Committee.

2.27 Researchers who are members of professional bodies (e.g. BERA, BPS) must also abide by the body's guidance and, where appropriate, regulations.

2.28 Staff research which is text-based and does not involve data collection from human participants may need ethical approval if required by a funding body or other external organisation. All researchers who are undertaking text-based research must abide by the ethical principles relating to relevant matters in this policy e.g. copyright and dissemination, and carefully consider any potential ethical repercussions arising from findings which may impact on people or organisations.

2.29 Retrospective ethical approval will not be granted where researchers have intentionally collected data from human participants without abiding by this policy.

3. Respect for the person: Gaining informed consent

3.1 Researchers have a responsibility to seriously and comprehensively consider the question of informing participants in the research of the content of that research. The

working principle should be that participants in research should freely give their informed consent to the research process and its outcomes. In particular, participants should be informed of any negative effects which the research may have on them (for example, emotionally, professionally, in terms of stress).

3.2 Power imbalances in the process of seeking informed consent should always be considered carefully. The right not to participate or to withdraw without consequences must be made explicit to the intended participants.

3.3 The researcher must provide to the participants, prior to their participation, a clear and fair description, in writing, of the research using the appropriate form in section C, or in other forms as appropriate to their level of literacy. The researcher must honour all promises and commitments included in that agreement with the exception of matters arising from the research which are likely to result in the continuation of illegal activity and/or harm to the individual or others. The researcher must inform all participants, in ways that can be understood by them, about all aspects that might reasonably be expected to influence their willingness to participate, as well as answer honestly all participants' questions. Wherever possible written consent should be obtained before any data collection takes place (see section C).

3.4 All staff who undertake research with children and young people (i.e. those under the age of 18) must seek the informed consent of parents/legal guardians before seeking the informed consent / assent of the children and young people. Where replies are not received from the parents/legal guardians, staff cannot approach the children and young people.

3.5 Exceptions for seeking the informed consent of parents/legal guardians may occur for undergraduate projects and students who are employed by the institution where they are collecting data, whereby another employee such as a Head Teacher gives authorisation *in loco parentis* for the children/vulnerable adults to be approached for their informed consent.

3.6 The consent of children and young people, and vulnerable adults must be obtained in such a way that is appropriate for their understanding and in ways which safeguard them. The researcher should check regularly throughout the project that the participants are still content to continue.

3.7 The process of gaining informed consent includes the researcher ensuring that the participants (and/or their parents/ legal guardians) have an understanding, from the outset, of the potential secondary use of data and consent to this possible use in journal articles, conference presentations or similar. Participants should also be aware that some research funding bodies have the expectation that anonymised data collected for a specific research project may be used subsequently by other researchers (e.g. UKRC data sets).

3.8 For research which is collaborative across institutions, informed consent should be obtained from the participants where the research is to be conducted.

3.9 If applicable, the researcher should also gain the permission of the study participants to have personal data transferred overseas as part of the project, particularly where the data storage mechanisms may be less secure or if the data may be used subsequently for other research projects

3.10 The implications of research with participants of a substantially different cultural background to that of the researcher should be considered at a very early stage in the research design. This consideration should include partnership with an informed member of the population from which the research sample is to be drawn, in order to check for foreseeable threats to psychological well-being, health, values and dignity. The proposal should then be submitted to the Research Ethics Committee.

3.11 There are possible exceptions to gaining informed consent. Informed consent need not always be obtained for data to be used in research that is already in the public domain, e.g. school SATS results, Ofsted reports or other literary texts. However, in using data the researcher should be committed not to misrepresent data, and to maintain the highest standards of research integrity outlined in the Concordat to Support Research Integrity (Universities UK, 2012)

3.12 In exceptional circumstances, the researcher may require either the withholding of full disclosure to participants prior to obtaining informed consent, or the use of concealment or deception. Deception (i.e., research without consent) should only be used as a last resort when no other approach is viable. All potential projects in this category must be submitted to the Research Ethics Committee for full consideration.

4 Respect for the data and the confidentiality of the participants

4.1. When designing a research study/project, where the data collected may relate to identifiable living individuals, the researcher must ensure that the UK Data Protection Act 1998 (and/or any subsequent amendments or successors of the Act) is referred to and taken into account.

4.2. Procedures to protect confidentiality should be outlined in documentation initially given to the participant when informed consent is obtained. Information obtained about a participant during the course of an investigation must be treated as confidential unless otherwise agreed upon in advance. Where the possibility exists that others may obtain access to such information, this possibility, together with the plans for protecting confidentiality, should be explained to the participant as part of the procedure for obtaining informed consent.

4.3. After data has been collected, participants should be provided with information about the nature of the study and best efforts should be made such that any misconceptions that may have arisen be removed. Where scientific or humane values justify delaying or withholding this information, the researcher has a special responsibility to monitor the research and to ensure that there are no damaging

consequences for the participant.

4.4. The integrity and security of electronic and paper data storage mechanisms, for data already stored, should be audited periodically by the researcher(s); the procedures for this should be detailed in the research project proposal and design documents. In general data held electronically as files should be encrypted and password protected.

4.5. When deciding on how and what data should be stored, who has access to it and how it will be used, the researcher must ensure that the provisions of the UK Data Protection Act 1998 (and/or any subsequent amendments or successors of the Act) are adhered to, and clearly shown in the project proposals and design documents. This should also include decisions on how long the data should be kept, how it should be disposed of and what safeguards would be in place if the data had to be transferred, either within the UK or overseas.

4.6. Care needs to be given to the ethical dissemination of the data. Results should normally be reported in such a way that the identity of individuals cannot be determined. However, particularly in qualitative research, where participants have distinctive characteristics, they may be recognisable and the complexities of protecting them need to be carefully considered and discussed with the participants at an early stage of the process. Researchers should take care not to make unrealistic assurances of confidentiality.

4.7. In some cases, participants may wish their name and other identifying features to be made public in the dissemination of the research (e.g. a case study on excellent practice, or oral histories). In such cases, the participants' permission should be obtained in writing.

4.8. Researchers should show a sympathetic awareness of the research community within which they are working. Where criticism of others' results or methods is deemed necessary, this should always be informed and carefully considered.

4.9. Researchers who judge that the effect of the agreements they have made with participants, on confidentiality and anonymity, will allow the continuation of illegal behaviour, which has come to light in the course of the research, must carefully consider making disclosure to the appropriate authorities. If the behaviour is likely to be harmful to the participants or to others, the researchers must also consider disclosure. Insofar as it does not undermine or obviate the disclosure, researchers must apprise the participants or their guardians or responsible others of their intentions and reasons for disclosure (BERA, 2011: 8).

4.10. Researchers must not fabricate, falsify, distort or misrepresent research findings, nor plagiarise the work of others. Particular care should be taken to ensure full and appropriate citation of the work of others using an appropriate reference format.

4.11. In accordance with the University's Intellectual Property Policy, the Intellectual

Property (IP) of research by students, created as part of their studies, is owned by the student subject to the existence of any prior agreement to the contrary. Where students and/or staff members collaborate to produce research, the attribution of rights and ownership must be equitable and should ideally be agreed prior to work commencing, or as early on in the process of creation as possible. The University automatically grants copyright to staff members as individual and joint authors of research. The authors are thus entitled to transfer copyright to organisations who accept their works for publication. Staff who undertake collaborative research or who engage in commercial research should discuss and agree intellectual property rights early on, and in particularly prior to the signing of any contract.

4.12. The University requires all researchers to deposit, in the institutional repository (BG Research Online), the full text of peer-reviewed journal articles and conference proceedings with an ISSN, subject to copyright provisions, in accordance with the Open Access Publications Policy.

References

British Education Research Association (2011) *Ethical Guidelines for Educational Research.* London: BERA

Universities UK (2012) *The Concordat to Support Research Integrity*. London: Universities UK

SECTION B

THE PROCESS FOR APPLYING FOR ETHICAL APPROVAL

The procedure for applying for ethical approval depends on your status as a student or staff member *and* the nature of the research project you are proposing.

1. **Undergraduate and PGCE students**

   All undergraduate and PGCE students must complete 'Form 1: Request for ethical approval of a research project for undergraduates and PGCE students' which must be signed by your designated tutor. If your tutor has ethical concerns, they will discuss these with you and may refer the form to the Research Ethics Committee for consideration. You cannot recruit participants or commence data collection with human participants until your form has been signed.

   Where a particularly sensitive topic is being proposed, undergraduate and PGCE students must complete Form 2 (with your tutor's support) to demonstrate a detailed understanding of the topic and its ethical implications. Form 2 will require a signature from your designated tutor and will be submitted to the Research Ethics Committee for consideration.

2. **Master's and Doctoral students and all staff**

   All Master's and Doctoral students and all staff must complete 'Form 2: Request for ethical approval of a research project for Master's and Doctoral students and staff'. All applications will be submitted to peer review by members of the Research Ethics Committee or the full Committee as appropriate.

   Master's and Doctoral students should ask their supervisor to provide a statement of support. This is **not** authorisation to proceed with the study.

   No student nor staff member can recruit participants or commence data collection with human participants until they have received written notification from the Research and Innovation Centre / Research Ethics Chair or nominee.

SECTION C

RISK ASSESSMENT FORM

Please answer the following questions in relation to your research project. If you answer "yes" to any of the following statements, you will need to provide fuller information about your project and outline how you have addressed any relevant ethical considerations within your relevant "Request for ethical approval" form (either form 1 or form 2).

1. Will you encounter foreseeable risks to your physical safety as a result of undertaking the research?

   YES ☐ NO ☐

2. Might you encounter risks to your emotional safety (e.g. working with documents of a sensitive or distressing nature, or participants who may become distressed)?

   YES ☐ NO ☐

3. If you need to travel beyond your usual place of work/study to conduct your research, will there be particular risks associated with this travel?

   YES ☐ NO ☐

4. If you need to work in a place which you would not normally do in order to carry out this project, will there be particular risks associated with this location?

   YES ☐ NO ☐

5. Will you visit participants in their own homes? YES ☐ NO ☐

6. Will you be using the internet to collect your data, recruit participants or at any other point in the research project? YES ☐ NO ☐

   (If yes, please consult relevant guidelines from your associated subject area concerning this.)

7. Will your research explore topics that may be deemed contentious or sensitive or are linked to illegality?

   YES ☐ NO ☐

8. Will you be need to address any considerations of cultural difference during your project?

   YES ☐ NO ☐

9. Does your project give rise to any issues related to terrorism or radicalisation?

   YES ☐ NO ☐

10. Will you be at increased risk of exposure to harmful substances, e.g. chemicals, or infectious illnesses?

    YES ☐ NO ☐

11. Do you anticipate any challenges with controlling the dissemination of your findings, in due course? YES ☐ NO ☐

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Research Ethics Clearance Form 1

For all undergraduate and PGCE students

Note: You must wait until your supervisor and (if applicable) your placement mentor have signed this form BEFORE commencing any data collection with human participants

Student name	
Student number	
Programme	
Module code and name	
Title of research project	

About your project
Please give a brief description of project including its aims

Research question(s):

-
-
-

Key literature (formatted accordingly):

-
-
-

Description of method
Ethical considerations Detail any ethical considerations here. If your research sample includes young people or vulnerable adults, please ALSO indicate how your research design accommodates the ethical guidance offered by BERA or other related professional associations.
Risk assessment Please list the number of the items you have ticked on the risk assessment form and indicate how you will address the risk.
Signature: student I confirm that I have considered and understood the Research Ethics Policy and the ethics of completing the above research project. I also confirm that I am competent to undertake this research.

Student signature:		Date:

Signature: BGU tutor / supervisor

Tutor decision:

☐ Approved

☐ Referred to Module Leader

☐ Referred to Research Ethics Committee (which will require completion of Form 2)

BGU supervisor name:		
BGU supervisor signature:		Date:
Signature: Placement supervisor/mentor (if relevant) Signature to confirm that is appropriate to carry out this research project in your institution		
Placement supervisor/mentor name:		
Placement supervisor/mentor signature:		Date:

Your supervisor may also ask you to attach any draft interview, questionnaire or observation protocols or other participant-facing materials.

Your BGU supervisor should keep a copy of this form when they have signed it. You should then secure a signature from your placement supervisor/ mentor and submit a copy with your dissertation.

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Research Ethics Clearance Form 2

Master's student dissertations, doctoral research projects and <u>all staff research</u>

Note: You must wait until you have received confirmation that you have received ethical approval in writing from the Research and Innovation Centre BEFORE commencing any data collection with human participants

Please delete guidance notes and other text in blue before submitting your form

Section 1. Your details

Name		
School (staff only)		
Student ID Number if applicable		
Degree for which this research is being conducted **<u>and/or</u>** staff position at Bishop Grosseteste University		
Supervisor allocated	Yes:	No:
Name of supervisor **<u>or</u>** Project Leader/Principal Investigator		
Period during which research will be conducted (start and end date). **The start date must be later than the date of the next Research Ethics Committee meeting.**		
List any specific external professional codes of practice that pertain to the kind of research proposed.		
Your Signature: I confirm that I have considered and understood the Research Ethics Policy and the ethics of completing this research project. I confirm that I am competent to undertake this research.		

Section 2. Details of proposed research study

2a. Title of study:
2b. Please write a short summary of the aims and objectives of your research, with references to appropriate literature in your field (max 250 words)
2c. Method. Where applicable, outline your method with reference to your design (e.g. quantitative, qualitative, mixed methods) and your proposed tools (e.g. questionnaires, interviews, experimental trials)
2d. Where will the study take place?
2e. Describe your target sample (e.g. size, gender, age, occupation) and whether or not participation will be individual or in a groups or online.
2f. Are any of your participants in vulnerable groups (e.g. children, individuals with learning difficulties or mental illness)? *Yes/No* If yes, please specify the nature of the vulnerability. If yes, detail any special arrangements to support the participants, including issues of gaining informed consent.

2g. How will you approach your intended participants? E.g. in writing, by phone, in person.
2h. Is written consent to be obtained? If **yes**, please complete the standard Consent Form and attach to this documentation. If **no**, please state why.

Section 3. Risk and ethical procedures

Please note – all studies with human participants have the potential to create a level of risk. You are fully responsible for their protection. Please try to anticipate the context and perspective of your participants when completing this section as well as a duty of care to yourself as a researcher. First, complete the "Risk assessment: ethics application form" and attach it to this sheet.
3a. List here the item numbers for each of the risks you have ticked 'yes' to and state how you intend to minimise that risk.
3b. How might participants benefit from taking part in this research?
3c. Does your study require that participants are naïve? (i.e. They are not given the exact aims of the research) If yes, please explain why and give details of debriefing procedures.
3d. Every potential participant must be given a written INFORMATION SHEET giving details about the research. This is in addition to the consent form. Please add a copy of both to this form before submitting your documentation.

Section 4. Data - Confidentiality and anonymity

4a. Where and how do you intend to store any data collected from this research?

Identify electronic and paper forms of storage

4b. Under Data Protection regulations (e.g. data is stored securely and is not accessible or interpretable by individuals outside of the project), give details of steps you will take to ensure the **security** of any data you collect.

Note: all data stored on individual electronic devices must be password protected and encrypted. Passwords should be strong. Paper copies must be stored securely (e.g. in locked facilities). Security of personal devices must be considered

Data should be deleted at a stated point in time following publication or completion of examinable work which allows time for any reviewer / marker to recall the data for interrogation / verification. Some funders will stipulate times in their criteria. Personal details of people should be deleted as soon as it is no longer required

4c. What steps will you take to safeguard the **confidentiality** of personal records?

Materials including data must have the participants' real names and identifying features removed

4d. Will this research require the use of any of the following, subject to participants' consent?

- video recordings Yes/No
- audio recording Yes/No
- observation of participants? Yes/No

If yes, please detail how you will safeguard the data?

State when these will be deleted; how you will ensure that notes on observations cannot identify participants

Section 5. Comments of Supervisor or Principal Investigator (where appropriate)

All students MUST have this section completed by their supervisor before submitting to the Research Ethics Committee. Incomplete forms will not be considered. **This is not authorisation to commence the study.**

CHECKLIST

Please ensure that you have attached and completed the following as applications will not be processed if any documents are missing. All sections, especially participant facing materials must be carefully proof-read.

Document or relevant section	**Included**
Section 5. Comments of Supervisor or Principal Investigator if applicable: This MUST be included if you are a student	
Risk assessment form	
Participant information sheet(s)	
Participant consent form(s)	

Your supervisor may also ask you to attach any draft interview, questionnaire or observation protocols or other participant-facing materials.

Please submit to the Research Administrative Assistant, Ellie Foster, at ellie.foster@bishopg.ac.uk for forwarding to members of the Research Ethics Committee.

Outcome of the Research Ethics Committee

Please indicate which of these options is to be followed by placing a tick in the appropriate box(es), following review of the application by members of the committee.

Sent to reviewers on the committee	
Chair's action taken in lieu of reviewers	
Amendments sent back to applicant	
Inform the applicant that ethical clearance is not granted	
Grant ethical clearance	

Research Ethics Committee Chair (or nominee) signature:

Date:

BISHOP GROSSETESTE UNIVERSITY

RESEARCH INFORMATION SHEET FOR POTENTIAL PARTICIPANTS

Please delete guidance notes and other text in blue before submitting your form

Title of the research project:

What is the project about? *(use non-specialist language which is appropriate for your audience)*

Who is the researcher? Name:

Institution: *(with address)*

Contact details *(including BGU e-mail):*

Supervisor's contact details *(including BGU e-mail) (delete when not appropriate)*

What will my participation in the research involve?

Will there be any benefits in taking part?

Will there be any risks in taking part?

What happens if I decide I don't want to take part during the actual research study, or decide I don't want the information I've given to be used? *If you are approaching your students to take part you need to ensure they do not feel obliged to participate, or that if they don't, there will be no repercussions*

If I decide not to withdraw, how can I let you know?

How will you try to make my contribution is anonymous?

Please note that your confidentiality and anonymity cannot be assured if, during the research, it comes to light you are involved in illegal or harmful behaviours which I may disclose to the appropriate authorities.

BISHOP GROSSETESTE UNIVERSITY

Research consent form

Title of research project:

Name of researcher:

By signing below:

1. I confirm that I have read and understood the information sheet for the above research project and have had the opportunity to ask questions.

2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.

3. I agree to take part in this research project and for the data to be used as the researcher sees fit, including publication and other forms of dissemination as appropriate.

For parents only (*delete where not appropriate to include):*

4. I consent to my child(ren) being approached to see if they wish to take part

Name of participant/parent:

Signature:

Date:

Name of researcher:

Signature:

Date: