



COMPLETING
THE ETHICS
FORM

- **Beneficence:** 'do positive good'
- **Non-maleficence:** 'do no harm'
- **Rights:** Protect participants' interests
- **Risk Management:** Ensure participant and researcher safety and risk: i.e., the need to avoid harm or potential harm.
- **Proportionality:** Consider and protect against where necessary the impact of work on others
- **Ensure informed consent:** i.e., the need to inform participants of the aims and procedures of the research and obtain their agreement to take part on the basis of this information (although this should not be the legal basis for processing research data under the Data Protection Act and UK GDPR)
- **Avoid deception:** i.e., the need to avoid deception in informing participants about the research, or to justify the need for deception if necessary
- **Provide debriefing:** i.e., the need to provide participants with additional information to support them after taking part in the research, and/or to provide true information if deception was necessary originally
- **Allow withdrawal from investigation:** i.e., the need to inform participants of their right to withdraw from the research at any stage, including during or at the end of their involvement
- **Ensure confidentiality:** i.e., the need to reassure participants that information they provide will not be disclosed without prior consent to others other than within the context of the research, or at a minimum will be made anonymous
- **Data security and archiving:** i.e., to ensure that research data is held in a secure manner consonant with the requirements of the Data Protection Act and that it is archived in such a way that it will be accessible for future audit purposes. Special attention should be made with regard to funding body requirements to submit research data to open repositories.

GUIDING PRINCIPLES

15. Approval

Applications for ethical approval should be submitted for consideration as early as possible. All projects must be signed off from an ethics perspective before that part of the work for which approval is being sought begins.

If projects are approved research may proceed. The applicant and in the case of student work, the supervisor[s] will receive a communication to this effect from the Ethics Committee. Projects will be approved for the duration of the research process subject to resubmission should the nature of the research change or on the identification of unforeseen ethical implications that arise during the research process.

If projects are approved subject to amendments the applicant and supervisor[s] will receive a communication to this effect that indicates the minor points that require clarification. The project should be amended and re-submitted to the Ethics Committee for approval.

If projects are not approved because they contain major flaws the applicant and supervisor[s] will receive a communication from the Ethics Committee, detailing the issues to be addressed. The project must be substantially revised and re-submitted to the Ethics Committee for approval. Where a project is not approved because it contains a major flaw, where the use of personal data is involved in the project, the DPO should be consulted. A new DPIA should also be carried out.

UWTSD ETHICAL APPROVAL PROCESS

- **Fabrication:** making up results or other outputs (eg, artefacts) and presenting them as if they were real
- **Falsification:** manipulating research processes or changing or omitting data without good cause
- **Plagiarism:** using other people's material without giving proper credit
- **Failure to meet ethical, legal and professional obligations:** for example, failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or materials
- **Improper dealing with allegations of misconduct:** failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

RESEARCH MISCONDUCT

ASSESSMENT COMPONENT 3

Assessment Component 3 – 20%

Written Assignment (1600 words equivalent)

Complete a draft of the UWTSD Ethics Form for your proposed research project; ensure that you consider consent / assent processes for **all** your participants.

Research Methods / Tools

1300

Write about the research methods that you have chosen that will give you sufficient data to answer your research question.

Explain your observation schedule / interview questions / questionnaire questions / other method.

Have you used a specific structure? (closed or open questions, tick boxes etc.); a specific scale? (e.g. Leuven)

For each method, discuss these points, justifying the choices that you have made:

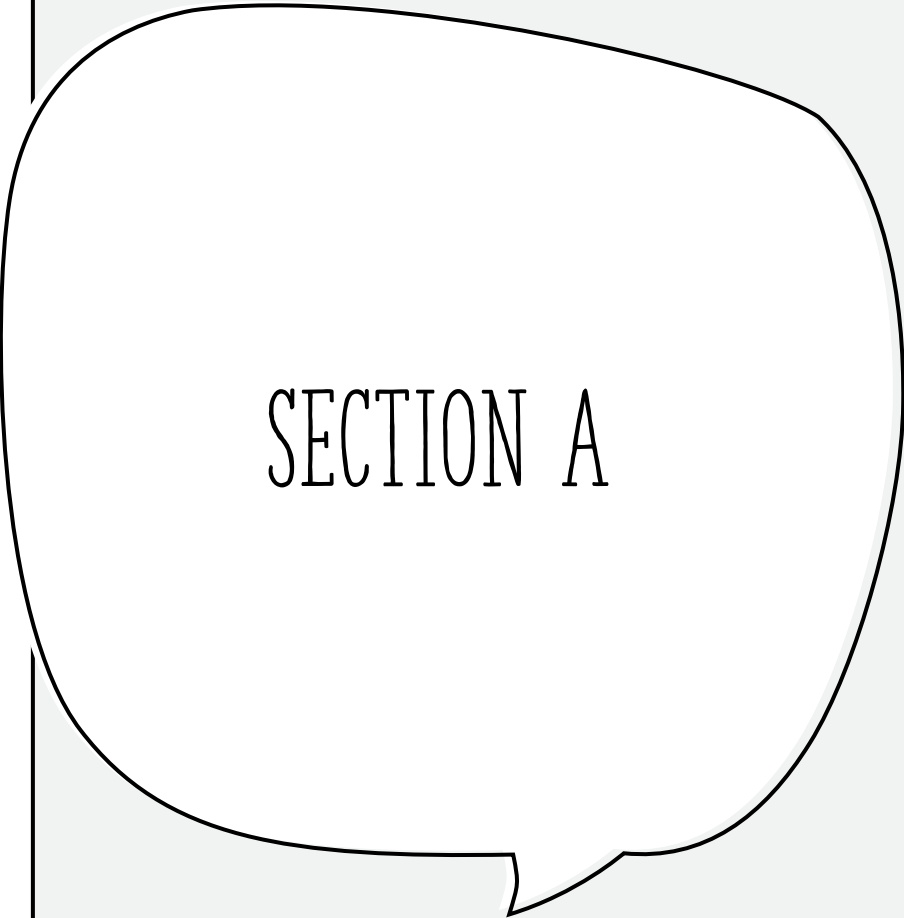
- What does the research literature tell us about the method?
- What are the strengths and limitations of the method?

You should also discuss:

- *Sampling
- *Ethical Considerations

SECTION A: About You (Principal Researcher)

Full Name:					
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Institute/Academic Discipline/Centre:					
Campus:					
E-mail address:					
Contact Telephone Number:					
For students:					
Student Number:					





SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☒	NO	☐
				Date
If Yes, please indicate source of approval (and date where known): <i>Approval in principle must be obtained from the relevant source prior to seeking ethical approval</i>	Research Degrees Committee	☐		
	Institute Research Committee	☐		
	Other (write in) Write supervisor's name here	☒	Write the date that you are filling in the form here	

SECTION B

SECTION C: Internal and External Ethical Guidance Materials



Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.

UWTSD Research Ethics & Integrity Code of Practice	☐
UWTSD Research Data Management Policy	☐
/ Add BERA (2018) here – give full title	☐

SECTION C

Put crosses in the boxes!

SECTION D

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?

YES



NO



If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared as part of this collaboration.

SECTION E: DETAILS OF RESEARCH ACTIVITY

Your title can change,
even after you have
received ethical approval.

Start date = start of data
collection
End date = usually
assignment return date

This is 300 words IN
TOTAL, not 300
words per section.

Indicative title:

Proposed start date:

Proposed end date:

Introduction to the Research (maximum 300 words)

Ensure that you write for a **Non-Specialist Audience** when outlining your response to the three points below:

- *Purpose of Research Activity*
- *Proposed Research Question*
- *Aims of Research Activity*
- *Objectives of Research Activity*

Demonstrate, briefly, how **Existing Research** has informed the proposed activity and explain

- *What the research activity will add to the body of knowledge*
- *How it addresses an area of importance.*

Purpose of Research Activity

(this box should expand as you type)

Research Question

(this box should expand as you type)

Aims of Research Activity

(this box should expand as you type)

Objectives of Research Activity

(this box should expand as you type)

SECTION E

(this box should expand as you type)

Proposed methods (maximum 600 words)

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be **needed**.

(this box should expand as you type)

This should include what sort of data you intend to collect and how you intend to collect it and analyse it.

Any audio/video recordings of interviews with participants are classified as Personal Data under GDPR. If you intend to use these, then note this here, in Section F and in Section J.

SECTION E: 8 & 9

	(this box should expand as you type)
	Location of research activity Identify all locations where research activity will take place.
8	(this box should expand as you type)
	Research activity outside of the <u>UK</u> If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, <u>particular cultural</u> and/or legal sensitivities or vulnerabilities of participants. If you live in the country where you will do the <u>research</u> then please state this.
9	(this box should expand as you type)

UWTSD RESEARCH ETHICS & INTEGRITY CODE OF PRACTICE



11. Research conducted outside the UK

In international collaborations, partners should agree to conduct their research according to the same high standards of research integrity as expected in the UK and to investigate any suspected deviation from these standards. Where research is to be conducted outside the UK, the researcher must establish whether local ethical review is required by the host country, and if not, how the principles of the Research Ethics & Integrity Code of Practice can be followed in developing and undertaking the research. The ethical standards that UWTSD expects for UK research apply equally to work undertaken outside the UK. Researchers must, however, ensure that they comply with any legal and ethical requirements of the country/ies where the research is taking place. A useful resource is the US Department of Health and Human Services International Compilation of Human Research ³

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☐	☐
Use of interviews?	☐	☐
Use of diaries?	☐	☐
Participant observation with their knowledge?	☐	☐
Participant observation without their knowledge?	☐	☐
Use of video or audio recording?	☐	☐
Access to personal or confidential information without the participants' specific consent?	☐	☐
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
Investigation of participants involved in illegal activities?	☐	☐
Use of procedures that involve deception?	☐	☐
Administration of any substance, agent or placebo?	☐	☐
Working with live vertebrate animals?	☐	☐
Other primary data collection methods, please explain in this box For example, 'focus groups'. Please indicate the type of data collection method(s) in this box and tick the accompany box.		
Details of any other primary data collection method:	☐	☐

(this box should expand as you type)

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

SECTION F

The information here **MUST** match the information that you gave in Section E; i.e.....

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☐	☐
Use of interviews?	☒	☐
Use of diaries?	☐	☐
Participant observation with their knowledge?	☐	☐
Participant observation without their knowledge?	☐	☐
Use of video or audio recording?	☐	☐
Access to personal or confidential information without the participants' specific consent?	☐	☐
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
Investigation of participants involved in illegal activities?	☐	☐
Use of procedures that involve deception?	☐	☐
Administration of any substance, agent or placebo?	☐	☐
Working with live vertebrate animals?	☐	☐
Other primary data collection methods, please explain in this box For example, 'focus groups'. Please indicate the type of data collection method(s) in this box and tick the accompany box.		
Details of any other primary data collection method:	☐	☐

(this box should expand as you type)

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

(this box should expand as you type)

Proposed methods (maximum 600 words)

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed.

I will carry out an interview...

(this box should expand as you type)

All the ticks here need to be discussed here.

SECTION F - PARTICIPANTS

	Participant numbers and source
	Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?

Be specific!

Answer for each
data collection tool
separately.

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	<i>(this box should expand as you type)</i>
Who will the participants be?	<i>(this box should expand as you type)</i>
How will you identify the participants?	<i>(this box should expand as you type)</i>

There will be a maximum of 14 participants in total to form two focus groups: a student group of between 6 and 8 participants and a staff group of between 4 and 6 participants.

Current participants in xxx (the context) and staff involved in the assessment of the programme.

I will email an invitation to participate in the research focus groups to around 30 students who have been assessed as part of the xxx programme. A recruitment criterion for the maximum range for the widest diversity will be used to recruit up to 8 panel members. Between 6-8 participants will form the focus group and, for those who wish to participate, an email with a briefing will be sent that clearly explain the ethical aspects and purposes of the research. Once the student group is established, participants will be contacted by email with a briefing detailing their involvement in the research, seeking informed consent and providing information expectations of professional conduct for focus discussion.

To form the staff group, an email will be sent to key staff in specific roles to invite them to a focus group. This group will include between 4-6 participants within specific roles.

10	How many participants are expected?	M F E
11	Who will the participants be?	
12	How will you identify the participants?	

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☐	☐	☐
Will you tell participants that their participation is voluntary?	☐	☐	☐
Will you obtain written consent for participation?	☐	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	☐	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	☐
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☐	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☐	☐	☐
If NO to any of above questions, please give an explanation			

Make sure that you have a cross in each line.

SECTION H: ANTICIPATED RISKS

2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
	<table><tr><td data-bbox="336 725 1360 799">Risk to participants:</td><td data-bbox="1360 725 2372 799"><i>How you will mitigate the risk to participants:</i></td></tr></table>	Risk to participants:	<i>How you will mitigate the risk to participants:</i>
Risk to participants:	<i>How you will mitigate the risk to participants:</i>		

2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information
	Risk to participants: <i>How you will mitigate the risk to participants:</i>

Write the risks here.

Number each one.

Number each response.

Begin with 'I will...'

SECTION I: FEEDBACK, CONSENT AND
CONFIDENTIALITY

SECTION I: Feedback, Consent and Confidentiality

You don't need to email your participants with your final report. A good alternative is to set up an email address that they will be able to contact for further details or results.

Feedback

What de-briefing and feedback will be provided to participants, how will this be done and when?

Include each research tool separately here.

(this box should expand as you type)

Informed consent

Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.

And here.

(this box should expand as you type)

Confidentiality / Anonymity

Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.

(this box should expand as you type)

Paper questionnaire = participants sign a consent form.
Online questionnaire = screen before the questions start that acts as a consent form, informing participants that by clicking on the NEXT button they are providing consent.

SECTION J: DATA PROTECTION AND STORAGE

‘Personal data’ includes audio/video data of interview participants.

“to one or more factors specific to the physical...identity of that natural person”

Trinity Saint David		
SECTION J: Data Protection and Storage		
In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages		
Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
"Personal data" means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.	☐	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		
Does it involve special category data (as defined by the GDPR)?	YES	NO
"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	☐
If YES, provide a description of the special category data and explain why this data needs to be collected:		

FOLLOW UP WRITING TASK:

Session 8: AS305, 10-1	Focus: Returning to thinking about ethics Prior to the session, please download a copy of the ethics form and consider any issues that may arise while completing Assessment Component 3. Follow up writing task: Begin drafting your ethics form.
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ETHICS IN A THESIS?

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A close-up photograph of a person's hand holding a small green leaf. The hand has red-painted fingernails. Two speech bubbles are overlaid on the image. The first is white with a black outline and contains the text 'GOOD LUCK!'. The second is light gray with a black outline and contains the text 'Any questions?'. The background is a blurred green.

GOOD LUCK!

Any questions?