FACULTY OF EDUCATION AND COMMUNITIES RESEARCH & ETHICS COMMITTEE

GUIDANCE ON SUBMITTING FORMS

MAY 2017

OVERVIEW OF PROCESS

- The ethical approval process is a means by which the University seeks to ensure that all researchers consider carefully the ethical implications of their research activity.
- There is an expectation that research design and methodology will have been approved for all research project proposals through School/Faculty processes **BEFORE** ethical approval is sought.
- Each School should establish a procedure to ensure the processes below are followed.
- All ethical approval applications are completed on the form **PG2-E1**.

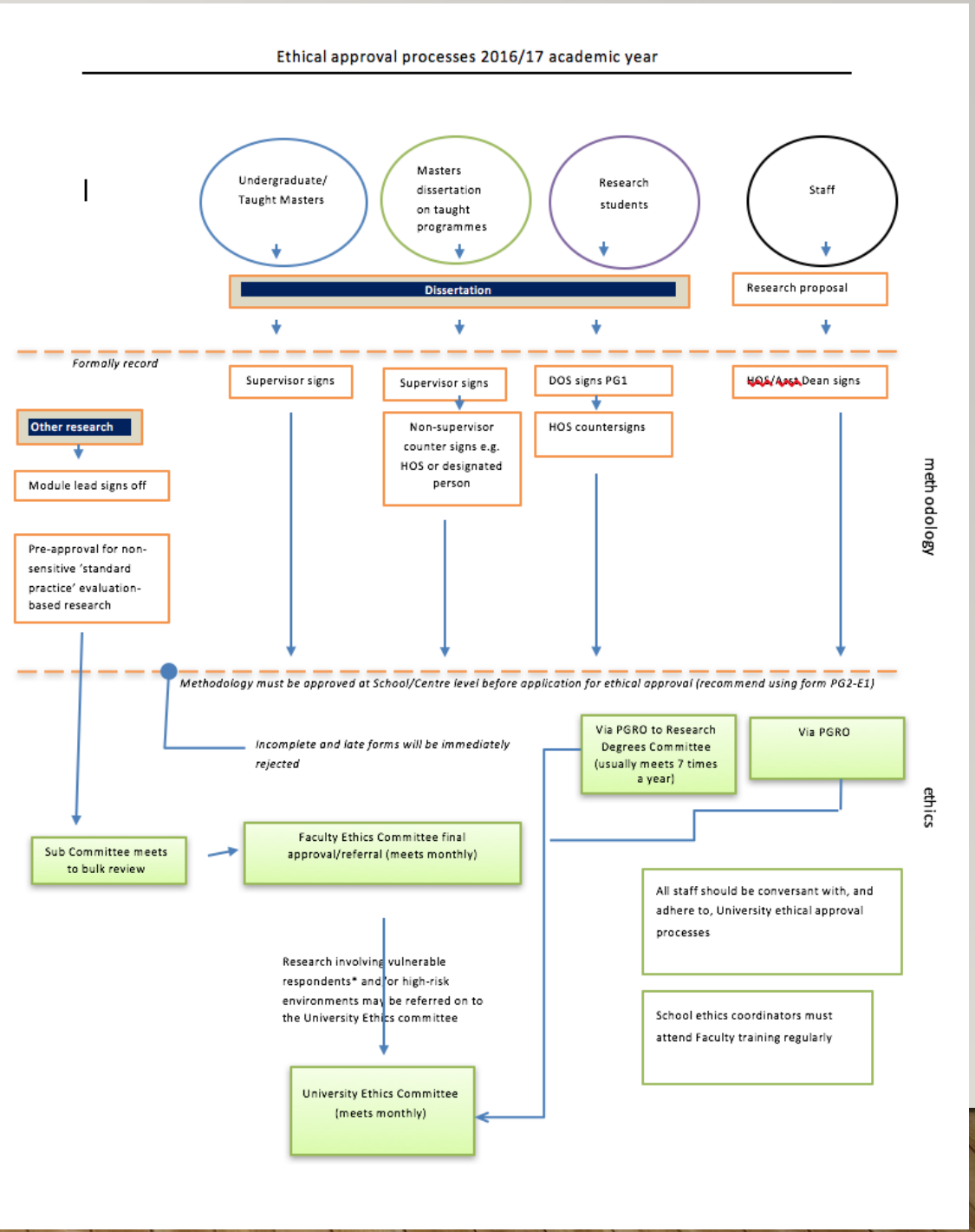
FACULTY ETHICS COMMITTEE

- Submission deadlines –12 noon of the last Friday of every month;
- Ethics committee meets first Wednesday afternoon of every month (unless otherwise indicated due to the University Board commitments), with 10 days for ethical review and responses to be returned to the Module leader/supervisor via the committee secretary.
- It is the Supervisor/Module leader's responsibility to disseminate outcomes to their students.
- Incomplete/weak forms will not be considered and will need to be resubmitted at the next meeting.
- Any particularly sensitive projects will be referred to University Ethics Committee for advice.

WHAT THE COMMITTEE SHOULD AND SHOULD NOT DO

- It should…
  - meet regularly (monthly)
  - focus on ethical implications of each stage of the proposed research
  - give clear, timely and concise feedback on the form submitted
  - usually only consider taught postgraduate and research forms and only those undergraduate forms with specific ethical requirements
- It should not…
  - accept late submissions
  - comment on methodology unless there are ethical implications

THE PROCESS FOR SEEKING ETHICAL APPROVAL



NAMING OF FILES

- You should adopt the following convention for naming the electronic form submitted: **SURNAME_NAME _PROGRAMME_DATE**
  - SMITH PPGCE 4 April 2017
  - JONES SPGCE 4 APRIL 2017
  - SMITH BA SS 17 April 2017
  - WILLIAMS MSocStud 23 May 2017

RESUBMISSIONS

- Ensure that any alterations are highlighted in RED
  - Just change font colour
  - Do NOT use Track Changes
- The Ethics Committee will only focus on the changes

10 COMMON SHORTCOMINGS

1. Section B:
   - Omitting date
2. Section B:
   - Omitting name of the staff member and their designated role
3. Section C:
   - Omitting University Code of Ethics
4. Section D:
   - Indicating 'Yes' when 'No' may be more appropriate.
     - *This does not normally apply to university placement experiences which are part of the students' programme of study e.g. schools, youth organisations, observational placements*
     - *In these cases you would indicate 'No'*

10 COMMON SHORTCOMINGS

5. Section E:
   - Ensure that the proposed start date is **after** the Committee Ethics meeting
6. Section F:
   - Any boxes ticked should be commented upon in the methodology (section E)
7. Section G:
   - Give number of participants and say how you will identify participants
8. Section H:
   - **All** research carries risk
     - Ensure that risks are identified
     - Do not put 'Not Applicable'
9. Section K:
   - Include signatures of supervisor
   - These can be either electronic or handwritten
10. Section K:
    - Include date of signature and tick relevant boxes on checklist.

FURTHER GENERAL OBSERVATIONS

- Section C and E:
  - Reference should be made to ethics guidance outside the UK if the research will be undertaken OUTSIDE the UK
- Section E:
  - Under 'location of research activity' it is up to the discretion of the supervisor in conversation with the student as to whether the name of an organisation is included
  - It is advisory to use bullet points for
    - Research Aims
    - Research Objectives
    - Research Questions
- Section G:
  - Ensure that you tick one the boxes either **'YES', 'NO'** or **N/A**

FURTHER GENERAL OBSERVATIONS

- Section H:
  - ‘Adverse outcomes’ should link to risks in preceding boxes
- Section I:
  - Make explicit reference to how informed consent, confidentiality and anonymity will be achieved
- Section J:
  - Electronic transfer of data means communicating data between electronic devices e.g. one database to another. This does not mean saving work to a USB stick.
  - Under ‘list all who have access to the data generated by the research activity..’ this applies to raw data and you should consider carefully who should access this. Normally this would be the researcher and supervisor and in placement contexts, a leader or designated person.
  - Ensure that you provide details if boxes are ticked
- At the end of the form, do not include the Application Process or any appendices

SECTION B

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):	Research Degrees Committee	☐		
	Faculty Research Committee	☐		
	Other (write in)	☐		

ed from the relevant source prior to seeking ethical approval.

Include Name of Staff Member and their Designated Role

Put in Date

SECTION C

Include UWTSD Code of Ethics plus Discipline-Specific Codes of Ethical research

SECTION C: 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.	
	☐
	☐
	☐

If you are undertaking your work outside of the UK include the relevant Ethical Guidance

SECTION D

Ticking 'Yes' when 'No' may be more appropriate. This does not normally apply to university placement experiences which are part of the students' programme of study e.g. schools, youth organisations, observational placements.
In these cases you would tick **'No'.**

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:				
Institution				
Contact person name				
Contact person e-mail address				

Where research activity is carried out in collaboration with an external organisation

Does this organisation have its own ethics approval system?	YES	☐	NO	☐
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E

Ensure that the proposed start date is **AFTER** the Committee Ethics meeting

It is advisory to use **Bullet Points** for research aims, objectives and questions

SECTION E: Details of Rese

Indicative title:			
Proposed start date:		Proposed end date:	

Purpose of research activity (including aims and objectives)
Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)

(this box should expand as you type)

Proposed methods
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. (Maximum 600 words)

(this box should expand as you type)

SECTION E

It is up to the discretion of the **Supervisor** in conversation with the student as to whether the name of an organisation is included.

Location of research activity
Identify all locations where research activity will take place.

(this box should expand as you type)

Research activity outside of the UK
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, particular cultural sensitivities or vulnerabilities of participants.

(this box should expand as you type)

SECTION F

Any boxes ticked **YES** should be commented upon in the Methodology (Section E)

SECTION F: Scope of Research Activity

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	☐	☐

SECTION G

SECTION G: Intended 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?
this box should expand as you type)

Give number of participants and say **HOW** you will identify participants

SECTION H

All research carries risk if it involves participants
ensure that risks are identified
Do not put **'Not applicable'**

All research carries risk, ensure that risks are identified.
Do not put **'Not applicable'**

All research carries risk, ensure that risks are identified.
Do not put **'Not applicable'**

Any Risk identified in the section above
needs mitigation explained here

SECTION H: Anticipated Risks

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.
Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information
(this box should expand as you type)
If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities
(this box should expand as you type)
Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest
(this box should expand as you type)
University/institutional risks For example: adverse publicity, financial loss, data protection
(this box should expand as you type)
Adverse outcomes List measures put in place to limit any adverse effects or outcomes of research activity where appropriate. Include any emergency protocols.
(this box should expand as you type)
Disclosure and Barring Service

If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
Has a DBS certificate been obtained?	☐	☐	☐

SECTION I

Researchers are required to indicate in the ethics form that they will follow the Ethical policy within their place of work/placement, to provide a letter which demonstrates the organizations support for the research, in addition consent forms given to all participants and if this work involves minors (under 18 in line with UWTSD) that parents/guardians are also asked for their consent.

Make explicit reference to HOW informed consent, confidentiality and anonymity will be achieved

Make explicit reference to HOW informed consent, confidentiality and anonymity will be achieved

SECTION I: Feedback, Consent and Confidentiality

Feedback What feedback will be provided to participants, how will this be done and when?
(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.
(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)

SECTION J

Personal data are data which relate to a living individual who can be identified from that data or from that data and other information which is in the possession of, or is likely to come into the possession of, the data controller and includes any expression of opinion about the individual and any indication of the intentions of the data controller. This includes any other person in respect of the individual (Data Protection Act 1998).

Sensitive Personal Data are defined in the Data Protection Act 1998 as data pertaining to a person's race, ethnic origin, political opinion, religious or similar beliefs, trade union membership, physical or mental health or condition, sexual life, commission or alleged commission of an offence, proceedings for an offence (alleged to have been) committed, disposal of such proceedings or the sentence of any court in such proceedings.

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 (http://uwtsd.ac.uk/library/research-data-management/).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)?	☐	☐
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 sensitive personal data (as defined by the Data Protection Act)?	☐	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		

SECTION J

Electronic transfer of data means communicating data between electronic devices e.g. one database to another. This does **NOT** mean saving work to a USB stick

SECTION J: Data Protection and Storage

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☐
Sharing of data with others at the University?	☐	☐
Sharing of data with other organisations?	☐	☐
Export of data outside the European Union or importing of data from outside the UK?	☐	☐
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☐
Publication of data that might allow identification of individuals?	☐	☐
Use of data management system?	☐	☐
Data archiving?	☐	☐
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):		
(this box should expand as you type)		

SECTION J

This **ONLY** applies to **RAW DATA** and you should consider carefully who should have access
Normally this would be the researcher and supervisor but in placement contexts, this could also be a leader or designated person

Under normal circumstances, raw data should be destroyed at the first opportunity e.g. after transcription. Exceptions might include circumstances where raw data is needed in the preparation of publications or re-submission of assignments. Researchers should seek advice from supervisors if in any doubt. The key principle for researchers to consider is protecting the anonymity of participants.

SECTION J: Data Protection and Storage

List all who will have access to the data generated by the research activity:
(this box should expand as you type)
List who will have control of, and act as custodian(s) for, data generated by the research activity:
(this box should expand as you type)
Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.
(this box should expand as you type)

SECTION K

SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice

Signature of applicant:	**Date:**

Remember to include the Date

For students:

Director of Studies/Supervisor:	
Signature:	
Date:	

Include signature of your supervisor
These can be either electronic or handwritten

Remember to include the Date

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

GENERAL ISSUES REMEMBER . . .

Ensure that you Indicate either **'YES', 'NO'** or **N/A** For all that require a cross

YES	NO	N/A
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐
☐	☐	☐

FINALLY . . .

This box is often marked in error

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

☐	I have read the guidance notes supplied before completing the form.
☐	I have completed **ALL RELEVANT** sections of the form in full.
☐	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☐	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.

Remember to delete the instructions from the bottom of the form before sending to your supervisor

RESEARCH DATA MANAGEMENT POLICY 27/01/2016

- http://www.uwtsd.ac.uk/media/uwtsd-website/content-assets/documents/strategies-policies/Research-Data-Management-Policy-27.01.16.pdf