



# **Ethical Policy Framework 2010**

Approved by the Governors' Strategy & Resources Committee  
13 July 2010, under delegated authority from the Board of Governors

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## Ethics Policy and Code of Practice

### Overview

- 1.1. This document incorporates the University's Code of Practice, the governance structure, the process of ethical review and associated guidance. It has been produced following a review of existing documentation and practice. During this revision, practice in other universities has been considered and drawn upon, notably the Code of Practice from Edinburgh University and associated paperwork from Glyndŵr University. Paragraphs 2 - 18 provide an overview of the ethical issues relating to research and scholarship which includes knowledge transfer and consultancy activity across the University. The term 'research' is used to include all these activities.

The following paragraphs outline other ethical considerations within the broader University context:

- 1.2. **Guidelines for Financial Regulations in respect of gifts and inducements when undertaking research**

Staff and students undertaking research need to be aware of the University's Financial Regulations in terms of receiving gifts or hospitality. It is an offence under the Bribery Act 2010 for members of staff (and students undertaking activities as part of their University programme) to accept corruptly any gift or consideration as an inducement or reward for doing, or refraining from doing, anything in an official capacity or showing favour or disfavour to any person in an official capacity. Full details regarding the guidance on receiving gifts and acceptable hospitality are stated in the University Financial Regulations (pages 8 and 28 and Appendix L page 64).

- 1.3. **Other financial rules and regulations**

In addition, staff and students should be aware that they must follow the University's Financial Regulations at all times. These regulations include rules regarding maximisation of income, allowable expenditure and the ownership of assets purchased with University funds (which include those provided by research sponsors). Further information can be obtained from the Head of Finance.

- 1.4. **Guidelines regarding the Register of Interests**

In accordance with Companies Acts, the University Secretary maintains a Register of Interests relating to the Directors of the company, the University of Chichester, its subsidiary companies and also of members of the Senior Management Team. The Register is updated annually and at such times as circumstances change. The Pro Vice-Chancellor is permitted to view entries in the case of an investigation of a potential conflict of interests, but this would be on an exceptional basis only.

### Ethical Conduct in Research and Scholarly Activities

2. **Introduction**

- 2.1. Those conducting research may find themselves facing ethical dilemmas that arise out of competing obligations and conflicts of interest. This document comprises the University's Code of Practice, the governance structure, and the process of ethical review and associated guidance. It is intended to ensure that undergraduate and postgraduate students, and staff members, engaged in research are aware of their ethical responsibilities, equipped with a set of principles for guiding their conduct and informed of the process by which they can seek ethical approval from the University.

- 2.2. **Applications for Ethical Approval are categorised as 'A' or 'B' (see charts in Appendix 2) and guidance on categorisation is provided in Appendix 5.**

- 2.3. Students should also be aware that while this set of principles will assist researchers to anticipate in advance ethical dilemmas which may arise, managing such dilemmas is an ongoing process that requires attention throughout the entire course of a project. Advice from supervisors or the University Ethics Committee should be sought if concerns arise at any stage of the research.

**3. The integrity of any research depends not only on its rigour, but also on its ethical adequacy.**

- 3.1. Ethical issues are many and varied, and may be quite complex. Research involving human participants is undertaken by **many different disciplines** and conducted in a broad range of settings and institutions. Whilst some issues are specific to particular professional groups, all research should be guided by a set of fundamental ethical principles to ensure the protection of human participants. Research activities may be so unintrusive that individual consent is not warranted, as in the case of some community-based studies. The standards outlined in the paragraphs below have been developed to guide staff and students at the University who undertake research that actively involves human participants (see definition in the Glossary).

- 3.2. Underpinning these standards is the ethical imperative of DO NO HARM (non-maleficence) and, if possible, DO GOOD (beneficence). Consideration of risks versus benefits needs to be weighed up by researchers. In medical research, physically invasive procedures are easily defined, but what constitutes risk in social research is sometimes less clear cut. Questionnaires, observation and interviews can be potentially intrusive and provoke anxiety in participants or, worse, involve psychological risk. It is important that researchers carefully think through the likely impact on participants of data collection methods. Certain groups are particularly vulnerable and may succumb to pressure, for example children. Some participants are unable to give informed consent and are therefore less able to protect themselves, for example people with dementia.

**4. Research should not cause harm and should, where possible, benefit participants**

- 4.1. The researcher needs to judge whether a particular intervention is likely to affect the wellbeing of participants. They should identify any potential risks to participants that might arise during the course of the research and put in place the necessary mitigation measures.
- 4.2. The researcher must be able to justify her/his procedures, explaining why alternative approaches involving less risk cannot be used.
- 4.3. The potential benefits of the research to participants, the scientific community and/or society must be clearly stated.
- 4.4. Any cultural, religious, gender or other differences in a research population should be handled sensitively and appropriately throughout the course of the research.
- 4.5. Researchers also face a range of potential risks to their safety. Researchers need to consider safety issues in the design and conduct of research projects and adopt procedures to reduce the risk to themselves.

**5. The researcher should normally provide participants with clearly communicated information in advance**

- 5.1 The researcher should explain her/his procedures on an information sheet, written in language and style appropriate to potential research participants.
- 5.2 The information sheet should set out: the purpose of the investigation; the procedures; the potential risks and benefits, if any, to the individual or to others in the future or to society; any discomfort, inconvenience or longer term effects that may be endured; the measures to be taken should adverse effects arise; a statement that individuals may decline to participate and are free to withdraw at any time without giving a reason; a reassurance that their confidentiality will be maintained; contact details of the

researcher, an invitation to ask further questions; and information about how the research data will be stored and used (now and in the future).

- 5.3 Participants should be given plenty of time to study the information sheet and consult other relevant parties, should they so wish.

**6. Participants should be free from coercion of any kind and should not be pressured to participate**

- 6.1 Compensation for damage, injury or loss of income should not be considered inducements.

- 6.2 Inducements such as special services or financial payments or other inappropriate motivation should usually be avoided. Reimbursement of participants' expenses, for example for travel, is not payment in the sense of reward, and can be provided. It is also reasonable to provide participants with a small gratuity to cover their time but this should be done cautiously and with consideration in order to avoid setting up a culture of expectation. However, explicit formal permission from the University to pay respondent expenses will be required and advice/guidance on this issue should be sought from the Ethics Committee.

- 6.3 Risks involved in participation should be acceptable to participants, even in the absence of inducement.

- 6.4 Participants must be free to withdraw from the study at any time. If participants appear uncomfortable, the researcher should respond sensitively and re-iterate the right of participants to withdraw if they so wish.

**7. The researcher has an obligation to seek the informed consent of participants**

- 7.1 The researcher needs to ensure that participants understand the purpose and nature of the study, what participation in the study entails, and what benefits are intended to result from the study.

- 7.2 The researcher should normally obtain voluntary informed consent, in writing, from any participant who is able to give such consent.

- 7.3 The researcher has responsibility for seeking ongoing consent during the study, where relevant.

- 7.4 Individual consent may be unnecessary for those research activities that are unintrusive, for example studies involving observation of public behaviour.

**8. The researcher should obtain informal consent when third parties are affected**

- 8.1 When third parties, for example parents, teachers or health care professionals, are directly involved in the care, education or treatment of potential participants, their informal consent should also be sought. In such cases, informal consent should involve sharing of information about the project.

- 8.2 If the research is likely to interfere with the treatment or care being provided by a third party, they must be fully involved and give written consent to participate.

- 8.3 In certain situations the affiliation of participants to particular organisations or special groups, such as educational institutions or hospitals, may necessitate the granting of permission to conduct the research project. In such cases any relevant policies or guidelines should be followed.

**9. The researcher has a special obligation to seek the consent of vulnerable participants or the assent of their representatives**

- 9.1 If the involvement of children up to the age of 16 in a research study is justified, then parents or other legal guardians have the right to be informed and to give their assent for inclusion of the child in the study.

- 9.2 To the extent that it is feasible, which will vary with age, the willing consent of participants who are also children should be sought. Generally, children over age 16 may be assumed to be capable of giving informed consent
- 9.3 In some situations, access to a research setting is gained via a 'gatekeeper'. In these situations, the researcher should adhere to the principle of obtaining informed consent directly from research participants to whom access is required, while at the same time taking account of the gatekeeper's interests and the policies that apply in the particular setting. In some youth clubs, for example, children aged 12 and over may be assumed capable of giving informed consent while in a school setting, the same children may only be able to participate if parents or other legal guardians give consent.
- 9.4 Researchers (staff and students) need to be aware that where their work at the University involves them in having unsupervised access to children and/or vulnerable adults a Criminal Records Bureau (CRB) enhanced check is **always** required. Staff should contact Human Resources, and students should contact Admissions without delay, if you think that you may need to apply for a CRB check. Please note that the CRB check can take up to 6 weeks to process and there is a fee to pay. All work must adhere to the requirements of the University Under 18s Policy – Safe Guarding Children and Young People.
- 9.5 Special care should be taken where research participants are particularly vulnerable by virtue of factors such as age, disability, their physical or mental health. The researcher needs to take into account the legal and ethical complexities involved in those circumstances where there are particular difficulties in eliciting fully informed consent. In some situations, proxies may need to be used in order to gather data. Where proxies are used, care should be taken not to intrude on the personal space of the person to whom the data ultimately refer, or to disturb the relationship between this person and the proxy. Where it can be inferred that the person about whom data are sought would object to supplying certain kinds of information, that material should not be sought from the proxy.
- 9.6 The researcher needs to consider carefully the quality of consent of participants in a potentially dependent or pre-existing relationship with him/her (for example, patients, school pupils or employees) as willingness to volunteer may be unduly influenced by the expectation of benefits for compliance or fear of repercussions for refusal.
- 9.7 Researchers should be very careful about taking photographs of research participants. Photographs of children should only be taken when explicit and written consent has been obtained from the parent or legal guardian. The storage of all such photographs and digital media must be secure and the parent/legal guardian advised in detail about their storage. Researchers are advised not to publish photographs (neither in hard copy nor electronically) with children in them. Participants in any published photograph must not be identifiable without explicit consent.
- 10. Research relationships are frequently characterised by disparities of power and status. Despite this, research relationships should be characterised, wherever possible, by trust, honesty and integrity.**
- 10.1 The researcher should avoid misleading participants **wherever possible**. It is recognised that there is important distinction between a) withholding information from participants and b) deliberately misleading participants; the latter giving rise to more varied and complex ethical issues. Examples of the two methods are outlined overleaf.

Only in certain **exceptional** circumstances where withholding of information or misleading participants is necessary to preserve the integrity of research or the efficacy of professional services, will this be acceptable. In such cases, participants should be fully debriefed and where possible post-hoc consent obtained – please see paragraph 10.2 below. Further guidance and information from the sector on misleading of

participants during research is available on request from the Research and Employer Engagement Office.

Examples of withholding information and intentionally misleading participants:

Withholding information from participants	Intentionally misleading participants
<p>Example: In research involving the use of video equipment, the participant would be told that videoing will be used, but participants will not know when this is will happen.</p>	<p>Example: A management researcher interested in the influence of religion, science, and politics on consumer decisions might present participants with quotes attributed—sometimes falsely—to real, well-known figures from these different fields, before testing whether the different quote attributions influence subsequent consumer decision making.</p>

10.2 It is important to ensure that participants are fully **debriefed** following their participation in the study. This will provide an opportunity to inform participants of the procedures and outcomes of the research, and to provide assurances on areas such as confidentiality, anonymity, and retention of data. Participants should have information on how to contact the researcher. They should also be made aware that they are able to do this for a prescribed period after the research has been completed. In the case of studies where information is withheld, the debriefing process will also provide the opportunity to inform participants of the full nature of the research, to identify any unforeseen harm, discomfort or misconceptions, and in order to arrange for assistance as needed. It will also include a post-hoc consent option.

**11. The researcher should strive to maintain participants' confidentiality and anonymity**

11.1 The researcher should not reveal the identity of any participant, nor any information which may lead to the identification of any participant, without obtaining explicit prior consent.

11.2 The researcher and any collaborators should manage all data obtained through the project so as not to compromise the dignity of participants or infringe upon their rights to privacy.

11.3 Guarantees of confidentiality and anonymity given to research participants must be honoured, unless there are clear and over-riding reasons to do otherwise, for example, in relation to the abuse of children. In research with children, researchers should have regard for issues of child protection and make provision for the potential disclosure of abuse. Specialist advice should be sought where relevant.

11.4 When personal identifiers are used in a study, the researcher should explain why this is necessary and how confidentiality will be protected.

11.5 The researcher should follow procedures for protecting the confidentiality of participants, such as:

- Securing statements of commitment to confidentiality from individual research personnel
- Using pseudonyms to protect the identity of participants
- Storing data with identifying information in a locked file or password protected/encrypted area on your computer. Access to these files must be restricted to the researcher or (in agreed cases) the designated members of a research team

- Using codes for identifying participants when transcribing tapes, deleting the tapes on completion of transcription
  - Carefully disposing of information that could reveal participants, for example by shredding or burning or placing in confidential waste at the University, rather than disposal in wastebaskets or recycling.
- 11.6 Researchers should take special care when carrying out research via the Internet. Ethical standards for Internet research are not well developed as yet. Eliciting informed consent, negotiating access agreements, assessing the boundaries between the public and the private, and ensuring the security of data transmissions are all problematic in Internet research. Researchers who carry out research online should ensure they are familiar with ongoing debates on the ethics of Internet research, and should err on the side of caution in making judgements affecting the well-being of online research participants.
- 11.7 Care should be taken when taking photographic or film images of research participants or indeed any member of the public. Images and other digital media of identifiable individuals should only be taken when explicit and written consent has been obtained. The storage of all such visual images must be secure and the participants advised in detail about the storage any photographs. Researchers are advised not to publish photographs (neither in hard copy nor electronically) which allow individuals to be identified unless they have the written consent of those participants.
- 12. The researcher must comply with the Data Protection Act 1998 in collecting and storing research data and the University Data and Systems Security Policy**
- 12.1 The researcher needs to be aware of the risks to anonymity, privacy and confidentiality posed by personal information storage and processing, including computer and paper files, e-mail records, audio and videotapes, or any other information that directly identifies an individual.
- 12.2 The researcher needs to inform participants about what kinds of personal information will be collected, what will be done with it, and to whom it will be disclosed.
- 12.3 The researcher should make provision for data security at the end of a project. Please contact the University's nominated Data Protection Officer if you have any queries.
- 13. Dissemination of research findings and intellectual property**
- 13.1 All research proposals should include a plan for the dissemination of findings. The researcher should offer all participants and relevant stakeholders access to a summary of the research findings.
- 13.2 Reports to the public should be clear, understandable and accurately reflect the significance of the study.
- 13.3 Researchers need to clarify the ownership and potential exploitation of intellectual property prior to the commencement of the research – please see the Intellectual Property Policy <http://www.chi.ac.uk/governors/Policies.cfm>.
- 14 Staff and student research within academic programmes**
- 14.1 All staff and postgraduate research students must adhere to the University policies and procedures related to research and will complete E1 - Ethical Review Application and submit it to the Ethical Approval Sub-group for review/note, once it has been approved by the relevant authoriser. Please refer to Appendix 3.
- 14.2 In undergraduate programmes and all other programmes below Masters level not all students will engage in formal research. However, there are many disciplines where it is necessary for the student to engage in work that may be regarded as research activity. In these cases such research must adhere to the University's policies and procedures related to research. Postgraduate taught students may carry out empirical

research involving human participants provided it adheres to the University's policies and procedures for research activity.

14.3 Therefore all undergraduate (UG) and postgraduate taught (PGT) students involved in research should complete E2 – UG and PGT Application for Ethical Approval. Where distinct group research projects are being carried out, the group may submit one application, with names of those involved listed on the application form. Please refer to Appendix 4.

14.4 Lists of UG and PGT research projects - individual and group - and confirmation of ethical approval will be recorded and kept at academic department level. The list will be submitted to Ethics Committees for note at regular intervals. In the event that concern is raised regarding the Application for Ethical Approval (Category B on Application Form) it will be submitted to the Ethical Approvals Sub-group.

14.5 Heads of Academic Departments should maintain clear records relating to research carried out by their students and demonstrate compliance with the University's procedures. If in doubt research proposals should be raised with the Ethical Approvals Sub-group who may require the proposal to be considered at the Ethics Committee.

## **15. New academic programmes**

15.1 Where new academic programmes are being developed, consideration should be given to the ethical implications of the new programme, and where issues may consistently arise, programme coordinators may be asked to attend the Ethics Committee to discuss the new programme.

## **16. Considerations prior to obtaining ethical approval**

The following considerations should be taken note of prior to undertaking any research.

16.1 Health and Safety - Any potential health and safety implications for all research participants and researchers should be identified and mitigated against. Where the research involves the participation of vulnerable groups such as older people, the young or the sick a Criminal Records Bureau disclosure will be required before the research can commence. All projects must adhere to the University's Health and Safety Policy. Risk Assessment templates and protocols for specific activities are available on the University intranet. The University Health and Safety Officer is able to advise.

16.2 Data Protection - All research should adhere to the requirements of the Data Protection Act (1998) and the University Data and Systems Security Policy and will be subject to review. All data should be stored securely and retained safely for the stated required period. Data arising from the research and used in any publication should be anonymised and aggregated where possible to avoid individuals being identified.

16.3 Contracts and indemnity - No research should take place until clear indemnity arrangements are in place in respect of claims for compensation (negligent harm).

16.4 Financial management of research projects - All research should be appropriately costed in accordance with University procedures. Researchers should ensure that all individual projects are completed on time and within the agreed budget; records should be made available as and when required. Support can be given when applying for funding and this is available through the Research and Employer Engagement Office.

16.5 Fraud and misconduct - Procedures will be taken to ensure that fraud and misconduct does not occur in any research project. These procedures are covered by the Financial Regulations, Disciplinary Policy, Academic Regulations, and within this policy, depending upon the nature of the activity.

**17. Governance**

- 17.1 The University Ethics Committee has the responsibility for dealing with the ethical review of research proposals by staff and students of the University of Chichester. Additional information and relevant forms are available from the Research and Employer Engagement Office.

**18. Appeals**

- 18.1 Should the Application for Ethical Approval not be approved the student or member of staff can appeal to the Acting Vice-Chancellor who can take Chair's action on behalf of the University Ethics Committee. This does not affect the normal Appeals Procedure of the Academic Regulations for students and staff and is available on Portia.

*ENDS: LAST UPDATED JULY 2010*

# Appendix 1

## Governance arrangements

The University of Chichester

**Academic Board  
Ethics Committee**

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### 1. Constitution

The Academic Board has established a Committee known as the Ethics Committee.

### 2. Membership

The Pro Vice-Chancellor will chair the Ethics Committee which will comprise:

Six nominated Faculty members who must be 'active researchers' skilled in research methodology, to serve for a term of 3 years. The membership shall reflect the range of research traditions.

The Occupational Health and Safety Officer

The University Chaplain

Two lay members who shall not be employees of the University of Chichester.

The Head of the Research and Employer Engagement Office

The Committee may co-opt additional members as it sees fit to consider specialist proposals in certain fields or unusual situations.

Total membership: 12

A quorum of the Committee shall be 50 pc of its membership, excluding co-opted members (6), provided at least three nominated Faculty representatives are present.

### 3. Attendance at Meetings

Attendance by staff, other than Committee members, will be at the discretion of the Chair.

### 4. Frequency of Meetings

The Ethics Committee shall normally meet four times a year with extra meetings, convened by the Chair when necessary, to discuss matters arising which require more immediate Ethical consideration between scheduled meetings.

### 5. Authority

The Committee has the authority to require all those members of the University involved in research to provide such information as the Committee deems necessary in the performance of its duties.

The Committee shall have the authority to over-rule decisions made within the University, or externally where University of Chichester staff or students are involved, on grounds of ethical considerations.

The Committee shall have the authority to stop research already being undertaken if it becomes aware that either:

- a. the research is not being conducted in accordance with the University's Ethical Policy Framework and is being conducted in a manner deviating from those principles approved by the Committee; or
- b. the research is not being conducted in a manner that adheres to the ethical guidelines agreed by the Committee at the time of the ethical approval of that research.

The Committee shall have the authority to investigate breaches of ethical practice in research, and may recommend for disciplinary action to be considered by the University.

The Chair of the Committee has the authority to consider Chair's action on Applications for Ethical Approval requiring immediate attention.

## **6. Duties**

- 6.1 The Committee shall review the University's Ethical Policy Framework bi-annually and make recommendations to Academic Board.
- 6.2 The Committee shall provide guidance to students and members of staff on the ethical conduct of research.
- 6.3 The Committee shall monitor compliance with its guidance on the ethical conduct of research by all members of the University.
- 6.4 The Committee shall ensure that all reported breaches of the University's Ethical Policy Framework are investigated and remedial and/or disciplinary action taken if appropriate.
- 6.5 The Committee shall establish an Ethical Approval Sub-group to serve as the first point of submission for staff and postgraduate research student applications, categorising and advising on submissions. It will do the same for undergraduate and postgraduate taught submissions that have already been classified as needing scrutiny. The Sub-group will also serve as a point of contact for advice and guidance in relation to any category of submission.
- 6.6 The Ethics Committee will consider, or note, as appropriate, all Applications for Ethical Approval referred to it by the Ethical Approval Sub-group.
- 6.7 On occasions where the research involves collaboration with outside bodies (including members of the National Health Service (NHS) staff or research on patients/people referred by the NHS), the Committee is responsible for ensuring all relevant Research Governance rules are complied with.
- 6.8 The Committee shall withhold approval for proposed research whenever the compliance of that proposed research with the Committee's guidance cannot be assured by the relevant authoriser of the application or members of the Ethical Approvals Sub-group, to whom the Committee has delegated authority for ethical review.
- 6.9 The Committee shall advise The University's Chief Executive's Team on all substantial donations, sponsorship and funding for which the University applies or that it is offered as required.
- 6.10 The Committee shall advise members of the University's Chief Executive's Team in relation to any offer of gifts or favours of unusual size or questionable purposes received by members of staff or students and reported to the Committee.
- 6.11 The Committee shall advise members of the University in relation to their conduct in situations of conflict between the traditions and values of countries in which the University has dealings and the principles and values set out in the University's Ethical Policy Framework.
- 6.12 The Committee shall act on all matters of ethical concern relating to research and scholarship within the University that come to its attention.

## **7. Reporting Procedures**

The Minutes of the Ethics Committee will be circulated to all members of the Committee, to the Chief Executive and the Executive Dean, the Chair of Academic

Board and the Chair of the Research & Scholarship Committee for presentation at the next meeting.

The Ethics Committee will produce an annual report to the Academic Board on its activities during the academic year at the first meeting of the following year. The Ethics Committee may bring any matter to a meeting of the Academic Board, which it deems appropriate.

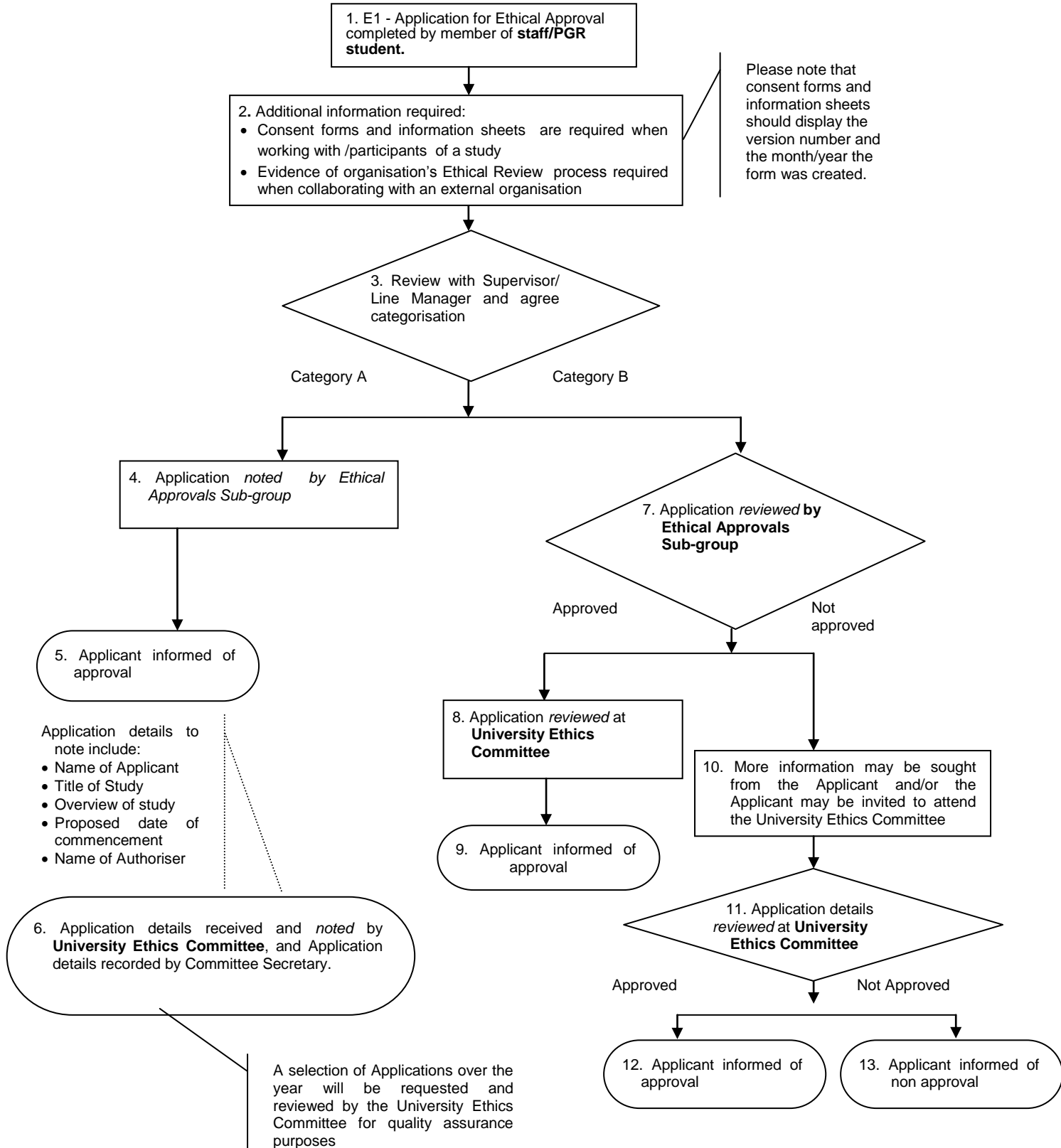
**8. Clerking Arrangements**

The Personal Assistant to the Pro Vice Chancellor will service the Committee.

## Appendix 2 Application process flowcharts

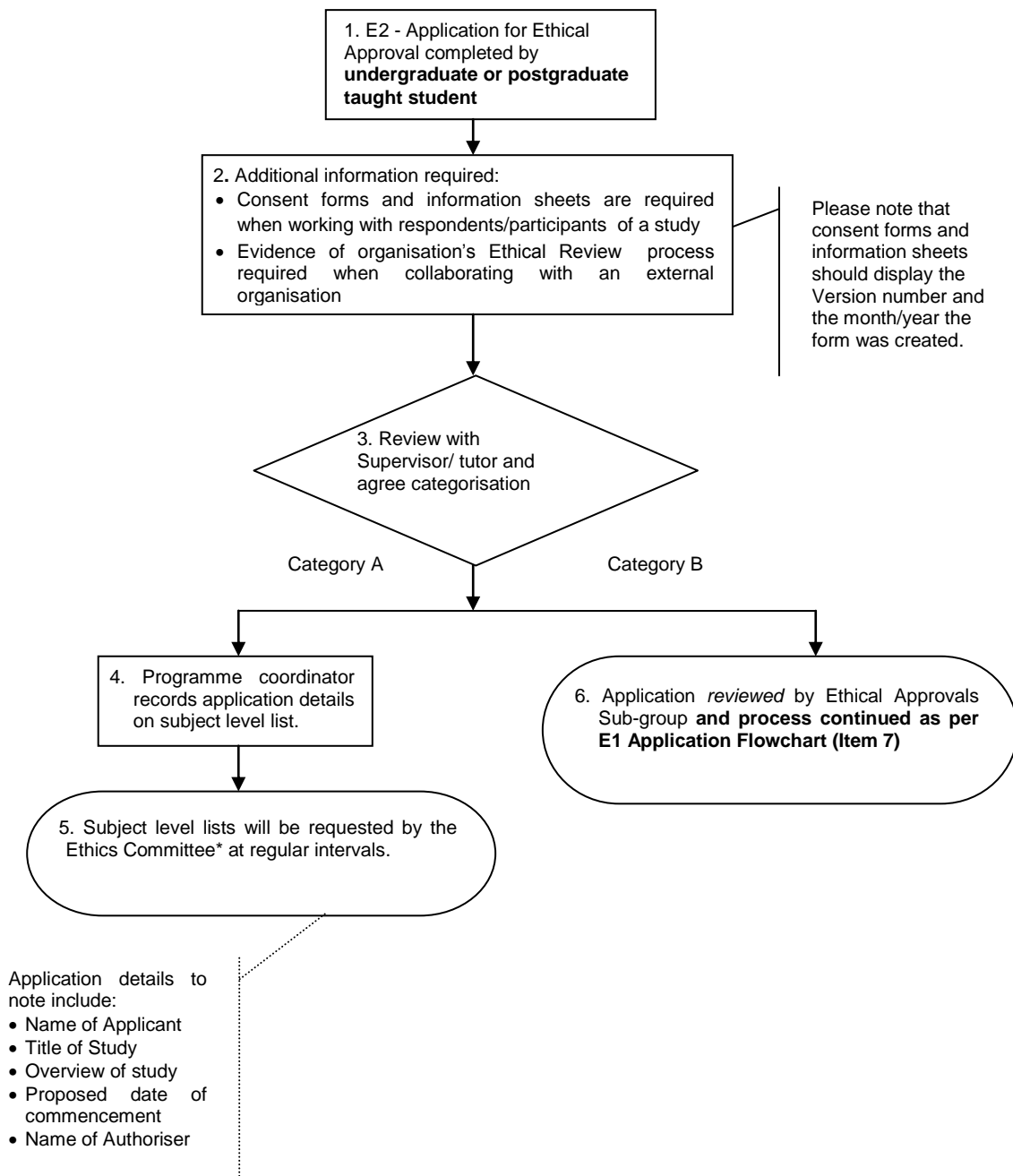
### E1

*It is the responsibility of the Applicant to inform the relevant person (Head of Academic Department or Line Manager) of any changes or deviations from the original research project which has ethical implications.*



**E2**

*It is the responsibility of the Applicant to inform the relevant person (Supervisor/tutor) of any changes or deviations from the original research project which has ethical implications.*



## Appendix 3 Application for Ethical Approval



### E1

#### For all staff and postgraduate research students

This form should be used by ALL research students and staff who wish to undertake research under the name of the University of Chichester.

**THIS FORM MUST BE COMPLETED AND APPROVED** by the relevant persons and approved by the relevant Committees prior to commencement of research. Full guidance on the Application process can be found at Appendix 2 and 5 in the Ethical Policy Framework.

**APPLICANTS** – if the study involves participants each Application must be submitted alongside relevant consent forms, information letters/sheets, and debriefing sheets where appropriate. This documentation should be version numbered and dated.

**AUTHORISER** *please categorise the application (A or B) and submit this signed form to the Ethical Approval Sub-group. Where Applicants are postgraduate research students, supervisors should authorise this form; where applicants are staff members, their Head of Academic Department (or nominated signatory) should authorise this form; where applicants are Heads of Academic Departments, the relevant Deputy Dean (or nominated signatory) should authorise this form.*

Name of Applicant:		Name of Authoriser:		
Position of Applicant:		Position of Authoriser:		
<b>Authoriser Judgement:</b> <i>(please delete as appropriate)</i>	<b>Proceed</b>	<b>Category A</b>		
	<b>Proceed with caution</b>	<b>Category B</b>		
1. Title of study:				
2a. Brief description of purpose of study/rationale (including why the involvement of participants is essential to the study if appropriate):				
2b. Brief description of methods:				
3a. Can the study be described as being part of some role you already have? <i>*Please delete the inappropriate answer.</i>			No*	Yes*
3b. Are there any conflicts of interests which need to be considered and addressed?			No	Yes
<i>If conflicts of interest have arisen, indicate how they have been addressed:</i>				
4. Location of study and details of any special facilities to be used:				

5a. Are the participants people you normally work with (e.g. as a social work, counselling or education professional, volunteer, or trainee)?	No	Yes
5b. Are the participants children or members of other vulnerable groups (e.g. elderly, those suffering from mental illness, those whose first language is not English) <i>If yes, this Application must be categorised as 'B'</i>	No	Yes
<i>Please provide brief details:</i>		
6. Basis for selection and rejection of participants in the study:		
7a. Is the process of the study and/or its results likely to produce distress, anxiety or harm in the participants?	No	Yes
<b>If you answered Yes to 7a, please answer 7b below:</b> 7b. Is the process of the study and/or its results likely to produce distress or anxiety in the participants <i>beyond</i> what they would normally experience in your work with them? <i>If yes this Application must be categorised as 'B'</i>	No	Yes
<i>Please provide brief details:</i>		
7c. What steps will you take to deal with any distress or anxiety produced?		
8a. Does your proposal raise other ethical issues apart from the potential for distress, anxiety, or harm?	No	Yes
8b. If your answer to 8a. was 'yes', on what grounds would you defend the proposal?		
9. Irrespective of whether any distress is caused to participants, might the research damage the reputation of the University, since it will be undertaken under its auspices?	No	Yes
10. Will the study involve withholding information or misleading participants as part of its methodology? ( <i>Please refer to Section 10 of the Ethical Policy Framework for further guidance</i> )  <i>If yes this Application must be categorised as 'B'</i>	No	Yes
<i>Please provide details:</i>		
11. Has the consent of the participants of the study been obtained?	No	Yes
Date consent obtained:		
Written or oral? (Please specify)		
Copy attached?		Yes N/A

12. In formal/legal terms, is there anyone whose permission has to be sought in order to conduct your study? Please give details:	No	Yes
Date consent obtained:		
Written or oral? (Please specify)		
Copy attached?	Yes	N/A
13. Do you think you need to seek the permission of any other individuals or groups? (e.g. parents, carers.)	No	Yes
Please provide brief details:		
Date consent obtained:		
Written or oral? (Please specify)		
Copy attached?	Yes	N/A
14. Will any payment, gifts, rewards or inducements be offered to participants to take part in the study?	No	Yes
<i>Please provide brief details:</i>		
15. Will the participants have the right/facility to withdraw from the study?	No	Yes
16. Is it necessary to guarantee and ensure confidentiality for the participants?	No	Yes
<i>Please provide details:</i>		
17. Is it necessary to guarantee and ensure anonymity for the participants?	No	Yes
<i>Please provide brief details:</i>		
18. Will the participants have any right of comment or veto on the material you produce about them?	No	Yes
<i>Please elaborate if you wish:</i>		
19. Does the project involve the use of or generation/creation of audio visual or electronic media?	No	Yes
<i>If yes, please describe how the collection and storage of this will be managed bearing in mind data protection and anonymity issues (see paragraphs 9.7 and 11.7 of the Ethical Policy Framework).</i>		
20. Please outline how participants will be debriefed (Please refer to paragraph 10.2 of the Ethical Policy Framework for further guidance)		
21. Will your results be available in the public arena? (e.g. dissertation in the library)	No	Yes
<i>(If yes, please provide details)</i>		

22. What are your intentions for publication of the study? Please list any journals or texts in which the study will be published if relevant/ known:		
23. Are there any additional comments or information you consider relevant, or any additional information that you require from the Committee?		
<b>For Authorisers:</b>		
24. Please provide a comment on your assessment of the research project, and where necessary indicate what further information is required.		
25. In your view, does the proposed study potentially contravene any aspect of established codes of practice in your discipline? (For instance, the codes of practice of the British Sociological Association, British Psychological Society, and British Education Research Association are available on the internet.)		
	No	Yes
26. If yes, please give details and identify issues you wish the Ethics Committee to discuss/resolve:		

Signature of Applicant: ..... Date: .....

Signature of Authoriser: ..... Date: .....

Both the Applicant  and Authoriser  have read the Ethical Policy Framework (*please tick*)

**IF CATEGORY B:** Signature of University Committee Chair (*or authorised signatory*)

Signature.....Responsibility: .....

Date: .....

## Appendix 4

# Undergraduate/Postgraduate Taught Application for Ethical Approval

### E2

#### For all undergraduate (UG) and postgraduate taught (PGT) students

This form should be used by ALL undergraduate and postgraduate taught students who wish to undertake research under the name of the University of Chichester. Where a research project is being undertaken by a distinct group, one application may be submitted for the group and the names of those students involved listed.

**PARTICIPANTS** – if the study involves participants each Application must be submitted alongside relevant consent forms and information letters/sheets. This documentation should be version numbered and dated.

**THIS FORM MUST BE COMPLETED AND APPROVED** by your supervisor/tutor prior to commencement of research. Full guidance on the Application process can be found at Appendix 2 and 5 in the Ethical Policy Framework.

**SUPERVISOR/TUTOR** – if you judge this project to fall under Category B, please submit this signed form to the Ethical Approvals Sub-group.

Name(s) of Applicant:		Name of Supervisor:		
Programme or Module:		Position of Supervisor:		
<b>Supervisor/tutor Judgement:</b> <i>(please delete as appropriate)</i>	<b>Proceed</b>	<b>Category A</b>		
	<b>Proceed with caution</b>	<b>Category B</b>		
1. Title of study:				
2. Brief description of purpose and methods of study/rationale (including why the involvement of participants is essential to the study if appropriate):				
3a. Are the participants people you normally work with (e.g. fellow students or academic staff?)			No	Yes
3b. Are the participants children or members of other vulnerable groups (e.g. elderly, those suffering from mental illness, those whose first language is not English) <i>If yes this Application must be categorised as 'B'</i>			No	Yes
<i>Please provide details:</i>				
4. Location of study and details of any special facilities to be used:				
5a. Is the process of the study and/or its results likely to produce distress, anxiety or harm in the participants?			No	Yes

<p><b>If you answered Yes to 5a, please answer 5b below:</b></p> <p>5b. Is the process of the study and/or its results likely to produce distress or anxiety in the participants <i>beyond</i> what they would normally experience in your work with them?</p> <p><i>If yes this Application must be categorised as 'B'</i></p>	No	Yes
<p><i>Please provide brief details:</i></p>		
<p>5c. What steps will you take to deal with any distress or anxiety produced?</p>		
<p>6. Irrespective of whether any distress is caused to participants, might the research damage the reputation of the University, since it will be undertaken under its auspices?</p>	No	Yes
<p>7. Will the study involve withholding of information or misleading participants as part of its methodology (e.g. use of video equipment during the study with the consent of participants but without informing participants when the videoing will occur)</p> <p><i>If yes this Application must be categorised as 'B'</i></p>	No	Yes
<p><i>Please provide details:</i></p>		
<p>8. Was the consent of the respondents/participants of the study obtained?</p>	No	Yes
<p>Date consent obtained:</p> <p>Written or oral? (Please specify)</p> <p>Copy attached?</p>		
<p>9. In formal/legal terms, is there anyone whose permission has to be sought in order to conduct your study?</p>		
<p><i>Please provide brief details:</i></p> <p>Date consent obtained:</p> <p>Written or oral? (Please specify)</p> <p>Copy attached?</p>		
<p>10. Do you think you need to seek the permission of any other individuals or groups? (e.g. parents, carers.)</p>	No	Yes
<p><i>Please provide brief details:</i></p> <p>Date consent obtained:</p> <p>Written or oral? (Please specify)</p> <p>Copy attached?</p>		
<p>11. Will any payment, gifts, rewards or inducements be offered to participants to take part in the study?</p>	No	Yes
<p><i>Please give brief details:</i></p>		
<p>12. Will the participants have the right/facility to withdraw from the study?</p>	No	Yes

13. Is it necessary to guarantee and ensure confidentiality for the participants?	No	Yes
<i>Please provide brief details:</i>		
14. Is it necessary to guarantee and ensure anonymity for the participants?	No	Yes
<i>Please provide brief details:</i>		
15. Will the participants have any right of comment or veto on the material you produce about them?	No	Yes
Please elaborate if you wish:		
16. Does the project involve the use of or generation/creation of audio visual or electronic media?		
<i>If yes, please describe how the collection and storage of this will be managed bearing in mind data protection and anonymity issues (see paragraphs 9.7 and 11.7 of the Ethical Policy Framework).</i>		
17. Please outline how participants will be debriefed <i>Please refer to paragraph 10.2 of the Ethical Policy Framework for guidance</i>		
18. Will your results be available in the public arena? (e.g. dissertation in the library)	No	Yes
<i>(If yes, please give details)</i>		
<b>For Authorisers:</b>		
19. Please provide a comment on your assessment of the project, and where necessary indicate what further information is required.		
20. In your view, does the proposed study potentially contravene any aspect of established codes of practice in your discipline? (For instance, the codes of practice of the British Sociological Association, British Psychological Society, and British Education Research Association are available on the internet.)	No	Yes
21. Please give details if 'yes' and provide justification for any contravention.		

Signature of Applicant: ..... Date: .....

Signature of Authoriser: ..... Date: .....

Both the Applicant  and Authoriser  have read the Ethical Policy Framework (*please tick*)

**IF CATEGORY B:** Signature of University Committee Chair (*or authorised signatory*)

Signature.....Responsibility: .....

Date: .....

## **Appendix 5**

### **Guidance on Applications for Ethical Approval**

#### **For staff and research students undertaking research (E1 – Application for Ethical Approval)**

1. The member of staff or research student should complete E1 - Application for Ethical Approval form (available on Portia). Where additional permission is sought from an outside agency this should be attached to the application. Where participants are involved, a consent form and information sheet must be attached. Should the research have to comply with specific regulations the relevant sections of that governance should also be attached to the application.
2. The completed application should be handed to the supervisor/Head of Academic Department or nominated deputy. Applications from Heads of Academic Departments must be authorised by their line manager. The papers are then forwarded to the Ethical Approvals Sub-group. At this stage further information may be requested prior to progressing to the University Ethics Committee.
3. The University Ethics Committee note/discuss the application depending on categorisation and give permission for the research to proceed.
4. Should the application be declined the member of staff has a right to amend and resubmit their application and may request further guidance from the Ethics Committee.

#### **For undergraduate and postgraduate taught students undertaking research (E2 – UG and PGT Application for Ethical Approval)**

1. The students should complete E2 - Application for Ethical Approval form (available on Portia). Where additional permission is sought from an outside agency this should be attached to the application. Should the research have to comply with specific regulations the relevant sections of that governance should also be attached to the application. Where participants are involved, a consent form and information sheet must be attached.
2. The completed application should be handed to the named supervisor/tutor or nominated member of staff with responsibility for Applications for Ethical Approval.
3. If the supervisor/tutor deems the research to be in Category A then the research may proceed, and the details should be logged by the programme coordinator on a subject level list of application details.
4. If the supervisor/tutor deems the research to be in Category B the Application for Ethical Approval form should be forwarded to the Ethical Approval Sub-group.
5. The programme co-ordinator is responsible for maintaining appropriate records of Applications for Ethical Approval which may be forwarded to the Head of Academic Department or nominated member of staff with responsibility for ethical review applications who should ensure records are kept as appropriate.
6. Should the application be declined the student has a right to amend and resubmit their application and may request further guidance from the Ethics Committee.

#### **Completing the Application for Ethical Approval**

Where research proposals require ethical approval due regard should be addressed in the research design and selected methodology. This section refers to the questions on the Application for Ethical Approval most of which are self explanatory. Specific guidance on categorisation into 'A' or 'B' as per the charts in Appendix 2 is provided below:

#### **An activity is likely to be classified as Category 'A' if:**

- a. **It is a desk based study that does not involve human participants**
- b. **It is part of routine activity which involves persons with whom the applicant normally works and that activity does not engender any additional distress or**

risk of harm e.g. Teachers working with children in a classroom setting, researchers in the performing arts working with actors in a studio, or research involving students in an academic setting.

**An activity is likely to be classified as Category 'B' if:**

- a. It involves a vulnerable group such as children, disabled, or those with a mental health problem, who are not persons with whom the applicant normally works
- b. It is likely to produce distress or anxiety in participants beyond what would normally be expected in working with them
- c. It involves misleading participants as part of the methodology. For example, a management researcher interested in the influence of religion, science, and politics on consumer decisions might present participants with quotes attributed—sometimes falsely—to real figures from these different fields, before testing whether the different quote attributions influence subsequent consumer decision making
- d. It involves withholding information from participants as part of the methodology, for example, in research involving the use of video equipment, where the participant would be told that videoing will be used, but not told when this is will happen
- e. It puts the researcher at risk of harm or distress beyond what would normally be expected in working with them
- f. It could lead to reputational risk to the University such as working with a tobacco company or a country with a questionable human rights record.

**The authoriser and/or the Committee may judge applications to be categorised as 'B' or refuse to approve them for other reasons than those listed above.**

**Rationale and research methodology** - Section 2 should outline the purpose and rationale for the research and indicate the contribution the research will make and the way the selected methods will address this. The description of the research design should also justify the size and composition of the sample size.

**Free and Informed consent** - The research application should clearly indicate who is involved in conducting the research and their contact details (Initial section). Informed consent from all participants is usually necessary for all social research.

**Please note that a copy of the relevant consent form(s) and information sheet(s) must be attached to the Application for Ethical Approval Form when submitted for approval.**

Informed consent comprises of three major elements – information, voluntariness and comprehension. This should include a statement that the participant has been given information about the research and they understand the nature of the work and what is expected of them. The statement needs to include:

- procedures to be undertaken
- any potential risks and benefits should be identified
- any discomfort, inconvenience or longer term effects that may be endured
- the measures to be taken should adverse effects arise
- their right to withdraw at any time (consent must be freely given and may be withdrawn at any time)
- information about how the research data will be stored and use (now and in the future)

- reassurance that their confidentiality will be maintained
- contact details of the researcher(s)

Where research participants are under 16 years of age due regard needs to be taken of the requirements made in the Children Act (1989; c.41) this should be indicated in sections 11&12). Particular care needs to be taken where consent is required from any vulnerable person (elderly, very young, infirm) and those whose first language is not English. In the case of the latter a translation of the statement and any other relevant procedures needs to be translated. In this instance it may also be necessary to conduct the collection of the data through a proxy. Undue influence to take part in research may take the form of inducement, deprivation or the exercise of control, or authority over participants.

The Ethics committee makes a distinction between distress and harm (Section 7 (E1), Section 5 (E2)). It is conceivable that research may cause distress, for example, in instances when interviewing about a sensitive subject. As long as due care is taken to deal with this it would not necessary rule out a particular enquiry. Harm, however, is considered to be longer lasting distress over which the researcher has little control. It should be noted that harm can also be caused by disadvantaging participants in some, for instance, by being seen talking to a researcher. Research may also involve clinical risk which could be in addition to distress and / or harm. Agreement to proceed is unlikely should the research cause harm or pose a serious clinical risk.

**Liability** - The University's insurance policy covers almost all aspects of liability in the course of its normal work. If the nature of the research is particularly unusual or runs a particular risk of litigation then the application will also be scrutinised by the Research and Employer Engagement Office.

**Additional Ethical permission** - Section 12 (E1) or Section 9 (E2) must be completed should additional ethical approval be required by any external bodies. This should be attached to the application form.

**Prior Ethical Approval by another body**

Please note that all applications must go through the University of Chichester Application for Ethical Approval process and that they must meet the University Ethical Policy Framework requirements. Other prior approval will be taken into account but will not be itself sufficient to gain University Ethics Approval. Each application must normally be accompanied by evidence (e.g. formal statement from the appropriate Ethics Committee) confirming approval (and any concerns/issues identified).

**Dissemination of research findings** - Section 21 and 22 (E1) and 18 (E2) requires you to give a full account of your intentions in disseminating your research findings. This section should include any details in respect of intellectual property.

## Appendix 6 Glossary

**Data** – any information which is processed automatically or recorded with the intention to process automatically; recorded as, or with the intention that it be part of a manual filing system; information contained in a health, educational or social services record.

**Ethical practice** – management of research proposals by a team independent of the research to examine the research design and system for protecting participants interests so as to judge ethical acceptability

**Health record** – information relating to the physical or mental health of an individual which has been created by a health professional in connection of the care of that individual

**Human participants** – any individual participating in the research activity; this includes samples of human tissues (e.g. blood, saliva or urine samples)

**Intellectual Property** – the concept of intellectual property refers to products (outcomes) of creativity and/or innovation, which can be allocated ownership through patents, trademarks or copyright. IP can relate to designs, inventions, research findings, systems or processes, unique formulae or mathematical models, written work, ideas and specific knowledge.

**Investigation / Studies** – work often conducted by undergraduate students as part of their programme

**Misconduct** – The fabrication or falsification, plagiarism or deception in proposing, carrying out or reporting of research findings or outcomes, or deliberate dangerous or negligent deviations from accepted research conduct.

**Personal data** – relates to a living or deceased individual who can be identified from that data.

**Plagiarism** – the theft or misappropriation of intellectual property and the substantial unattributed copying of text prepared by another author.

**Processing of data** – covers the manner of obtaining, recording, holding, altering, retrieving destroying or disclosing information

**Research** – systematic investigation of sources, materials and data to establish to test and generate hypotheses and general principles

**Research ethics** – rules or principles of behaviour in the conduct of research

**Research participant / respondent** – any person from whom data /information is obtained.

**Risk assessment** – an assessment of all the risks that may be involved in conducting the research. At the same time the researcher should indicate the level of risk and any mitigation against those risks occurring.

**Sensitive data** –data that, if released to unauthorised persons, would be likely to cause damage or distress to one or more individuals or to the University, including personally and commercially confidential documents and infringement of intellectual property rights. Any data that could be used for illegal purposes is also included.

**Vulnerable group** – groups of individuals who may be particularly vulnerable to exploitation, harm or distress including but not limited to children, elderly, those suffering from mental illness.

## Appendix 7

### Further information and sources of supplementary guidance

Staff and students may find useful the following sources of supplementary information. Some links will lead to guidance and information and/or conferences and events.

#### **Applied Ethics Resources on WWW...**

<http://www.ethicsweb.ca/resources/research/>

#### **The Association of Research Ethics Committees**

<http://www.arec.org.uk/>

AREC is an independent, self-governing body of Research Ethics Committees, local and multi-centre, including their members and administrators.

#### **Association of Social Anthropologists of the UK and Commonwealth**

<http://www.theasa.org/ethics/guidelines.htm>

#### **Bribery Act 2010**

<http://www.justice.gov.uk/publications/bribery-bill.htm>

#### **British Educational Research Association**

[www.bera.ac.uk](http://www.bera.ac.uk)

#### **British Pregnancy Advisory Service**

<http://www.bpas.org/bpasknowledge.php?page=44>

BPAS is at the forefront of innovation in abortion in the UK. Its research programme is monitored by the Research and Ethics Committee.

#### **British Sociological Association**

[http://www.britisoc.co.uk/equality/Statement+Ethical+Practice.htm#\\_rel](http://www.britisoc.co.uk/equality/Statement+Ethical+Practice.htm#_rel)

#### **British Psychological Society**

[www.bps.org.uk](http://www.bps.org.uk)

#### **Cardiff Centre for Ethics, Law and Society**

<http://www.ccel.s.cardiff.ac.uk/news/index.html>

Led by Cardiff Law School and based at Cardiff University, this virtual centre connects researchers and practitioners in medicine, science, information technology, the social sciences and humanities.

#### **Ethics Matters**

<http://ethics.sandiego.edu/resources/cases/HomeOverview.asp>

Dedicated to promoting the thoughtful discussion of difficult moral issues

#### **Global Forum on Bioethics in Research**

<http://www.gfbronline.com/index.htm>

An informal partnership established by a number of organizations with a shared interest in the ethics of conducting research involving human beings in developing countries.

#### **Independent Safe Guarding Authority**

<http://www.isa-gov.org.uk/>

#### **Informed consent and the research process**

[http://www.sociology.soton.ac.uk/Proj/Informed\\_Consent/index.htm](http://www.sociology.soton.ac.uk/Proj/Informed_Consent/index.htm)

#### **International Network for Philosophy and Bioethics (INPAB)**

<http://www.netvibes.com/philosophyandbioethics#Welcome>

This Site compiles and collates the journal table of contents for most major bioethics, ethics, political philosophy and general philosophy journals.

**The Institutional Review Board - Discussion and News Forum**

<http://www.irbforum.com/>

Promotes the discussion of ethical, regulatory and policy concerns with human subjects research.

**The Medicines for Human Use (Clinical Trials) Regulations 2004**

[http://www.mhra.gov.uk/home/idcplg?IdcService=SS\\_GET\\_PAGE&nodeId=722](http://www.mhra.gov.uk/home/idcplg?IdcService=SS_GET_PAGE&nodeId=722)

**National Reference Centre for Bioethics Literature**

<http://bioethics.georgetown.edu/databases/ETHXWeb/basice.htm>

Journal articles, book chapters, bills, laws, court decisions, reports, books, audiovisuals, and news articles relating to bioethics and professional ethics.

**NHS research governance procedures**

<http://www.dh.gov.uk/en/Policyandguidance/Researchanddevelopment/A-Z/Researchgovernance/index.htm>

**NHS specific ethical review**

<http://www.corec.org.uk/>

**Philosophy and Bioethics**

<http://philosophyandbioethics.blogspot.com/index.html>

This is the Blog of the International Network for Philosophy and Bioethics and aims to provide a focus point to discuss both philosophy, bioethics and their inter-relation.

**Privacy in Research Ethics and Law**

<http://www.privireal.org/index.php>

PRIVIREAL is a EUROPEAN COMMISSION Framework 5 funded project examining the implementation of the Data Protection Directive 95/46/EC in relation to medical research and the role of ethics committees.

**Professional Ethics at Keele**

<http://www.keele.ac.uk/ethics>

Keele's Centre for Professional Ethics (also known as PEAK – Professional Ethics at Keele) is the largest and most successful provider of postgraduate ethics courses in Europe, with over 200 postgraduate students, nine permanent academic staff, and a portfolio of six distinctive MA / PgDip programmes as well as the UK's first Professional Doctorate in Medical Ethics.

**Social Research Association**

<http://www.the-sra.org.uk/documents/pdfs/ethics03.pdf>

**UK University Research Ethics Committees Forum**

<http://www.kcl.ac.uk/research/ethics/training/ukurecforum.html>

The UK University Research Ethics Committees Forum is an informal group which provides a forum for those involved in Research Ethics within universities to meet and share experience.