Diagram

Description automatically generated

Ethical Review Form Postgraduate Research Projects

A picture containing sitting, computer

Description automatically generated

|  |  |
| --- | --- |
| Last approved: | 2022 |
| Approved by: | REC |
| Next review due: | 2024 |

Ethical Approval Form

Postgraduate Research Projects

If your research involves human participants, ethical review is required. You will need to submit this form in a timely manner – generating primary data must not commence until ethical approval has been granted. Ethical review is final and academic advice must be adhered to.

It is important that you disclose your project plans as fully, clearly and accurately as possible. Otherwise, your proposal may require revision in order to secure ethical approval.

I: Risk Assessment

|  |  |  |
| --- | --- | --- |
| Please tick ‘yes’ or ‘no’ | Yes | No |
| 1) Will your study involve participants who are vulnerable, unable to give informed consent or in a dependent position? Examples of such participants include (but are not limited to):   * People under the age of 18 * People in care facilities or in legal custody |  |  |
| 2) Will participants be required to take part in the study without their consent or knowledge at the time (e.g. covert observation of people in non-public places), and/or will deception be used? |  |  |
| 3) Could the study induce psychological stress or anxiety, or cause harm, humiliation or negative consequences beyond risks encountered in the everyday life of the participants? |  |  |
| 4) Will any drugs or other substances be administered as part of the study and/or will an invasive or potentially harmful procedure of any kind be used? |  |  |
| 5) Will your project involve working with any equipment which may be considered hazardous? |  |  |
| 6) Will financial inducements (other than reasonable expenses or small-scale inducements such as a book token, admission to a gig or a minor reward offered as a prize draw for taking part in a survey) be offered to participants? |  |  |
| 7) Does the activity involve you using new technology which might be *perceived* as being **privacy intrusive**? For example, the use of biometrics or facial recognition. |  |  |

If you answered ‘no’ to all the above, your project will be considered Low Risk.

If you answered ‘yes’ to any of the above, your project will be considered High Risk, and it will need to be approved by the BIMM University Ethical Approval Committee. However, if you wish to make a case that your proposal could be considered as Low Risk, please enter your reasons below.

|  |
| --- |
|  |

*Please now complete the approval form below.*

II: Ethical Approval Form

1. Researcher

|  |  |
| --- | --- |
| Name: |  |
| ID number: |  |
| Email address: |  |
| College: |  |
| Course: |  |

2. Project

|  |  |
| --- | --- |
| Project title: |  |
| Module: |  |
| Expected start date: |  |
| Expected end date: |  |

|  |
| --- |
| Summary of the project (max 400 words) |
|  |

|  |
| --- |
| Please list all primary research methods you are planning to make use of: |
|  |

3. Working with participants

|  |
| --- |
| What kind of participants (e.g. BIMM University students, lecturers, industry professionals) will be asked to take part? |
|  |

|  |
| --- |
| Do you perceive any potential risks to participants or yourself? If so, please provide further details. |
|  |

|  |
| --- |
| Will sensitive topics be discussed? If yes, what are they and how will you make sure that you do not expose your participants to risks beyond what they may encounter in their daily lives? |
|  |

|  |
| --- |
| Is a Disclosure and Barring Service (DBS) check necessary for this project? |
|  |

|  |
| --- |
| In addition to research participants, will you be working with collaborators and/or involving audience members in your project? If so, please provide details on their role in the process. |
|  |

4. Consent, Anonymity, Confidentiality and Data Protection

|  |
| --- |
| Consent  Researchers must obtain consent from all living participants for their participation in a research project and maintain a record of their consent, whether research is face-to-face or using remote or online methods.  There may exceptions to this rule, such as when working with a large external dataset accessed via a ‘gatekeeper’, where individual consent may not be appropriate. If you think this applies to your research, seek guidance from your supervisor.  Consent must be:   1. Fully informed, requiring that participants are provided with key information about the project that they can consider before deciding whether to take part. 2. Freely given, meaning that any issues around consent obtained from vulnerable groups must be addressed.   Consent statements must be clear, concise and accessible.  Please provide details on how you will obtain consent. |
|  |

|  |
| --- |
| Anonymity  Are your participants going to remain anonymous, or will you want to name them? If the latter, please explain your choice below.  *It may for example be the case that research participants such as industry professionals could be named to demonstrate the presence of a meaningful source of information. Participants should only be identified where they directly consent to doing so, based on accurate information regarding how this will be done in the study.* |
|  |

|  |  |  |  |
| --- | --- | --- | --- |
| Please tick ‘yes’, ‘no’ or ‘N/A’ | Yes | No | N/A |
| Will all participants be provided with an information sheet? |  |  |  |
| Will participants taking part in other forms of research than a questionnaire (e.g. an interview or a focus group) be asked to sign a consent form? |  |  |  |
| Will participants self-completing a questionnaire be informed that completing it implies consent? |  |  |  |
| Will participants be told that they can withdraw at any time, and ask for their data to be destroyed and/or removed from the project until it is no longer practical to do so? |  |  |  |
| Can you confirm that you will not use the data for any purpose other than that for which consent is given? |  |  |  |
| Will all personal information be treated in strict confidence and never disclosed to any third parties? |  |  |  |
| Can you confirm that all research data will be held in accordance with the Data Protection Act 2018 and GDPR guidelines?  Please see [BIMM University’s Data Protection Policies](https://www.bimm.ac.uk/privacy/) and [guidance from JISC.](https://www.jisc.ac.uk/guides/data-protection) |  |  |  |
| Have you completed a Data Management Plan? (Please see Section 5) |  |  |  |

|  |
| --- |
| If you answered ‘no’ to any of these questions, please explain why below. Make sure that your explanation of planned activity demonstrates adherence with legal and ethical requirements. |
|  |

5. Data Management Plan

|  |
| --- |
| Broadly speaking, research data falls into two categories:   1. **Personally Identifiable Data** (Information sheets; consent forms; completed questionnaires, audio tapes, transcripts, etc); 2. **Anonymised Data.**   These two different types of data require different management.  As far as possible, all research should be anonymized (names are replaced with codes, and all identifiable information such as locations, organisations and dates removed) or pseudonymized (using an alternative name, and disguising identifiable information such as locations, organisations and dates). Anonymisation is to be preferred, except where to do so would prevent the use of the data by third parties in the future in the event that the data is stored at the end of the project lifecycle. In this case, careful pseudonymization should be used.  The term ‘research data’ encompasses data in many different formats. This includes, but is not limited to: Text (PDF, doc, rtf, txt); Images (RAW, JPEG, PNG); Databases (Excel, Access); Multi-media, video and audio (QuickTime; mp3, mp4); Software; 3D and statistical models; Hard copies (logs, field notebooks, diaries, workshop notes, sketches, questionnaires); Correspondence (email, handwritten letters); Inputs and outputs of simulations and models. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Please complete the table below with **as much detail as possible,** listing all the data that you are planning to collect.  ***Please delete the examples provided below and add your own text.*** | | | | |
| Type of data | Format | Will this data be appropriately anonymised or pseudonymised?  (if “no” please provide a brief explanation why not) | How will this data be protected against accidental loss, damage, and unauthorised access? | Will this data be shared with others during the research project?  (If “yes” please explain how you will ensure that you maintain participant confidentiality). |
| Interview transcripts | Digital (Word documents) | Yes | Storage on personal laptop (password protected).  Regular backups will be made to the university OneDrive (which is encrypted) and to a password-protected external hard drive. | No |
| Interview recordings | Digital (mp3 recordings on Dictaphone) | No (transcripts can be anonymised – original recordings cannot) | Recordings will be transferred to a password-protected external hard drive, which will be stored in a locker to which I have the only key.  Backups will be made to a second password-protected external hard drive, which will be stored securely in my home (locked filing cabinet). | No |
| Participant consent forms | Hard copy (paper forms) | No | Storage in a locker to which I have the only key. Where these are sent via email, I will print them off, and destroy the email thread in which they are contained, before storing in locker as above. | No |

|  |
| --- |
| If you have any plans to retain any of the above data at the end of the project lifecycle, please detail them here: |
|  |

|  |
| --- |
| Please detail your plans for the secure destruction of all data which will not be retained at the end of the project lifecycle: |
|  |

6. Dissemination

|  |
| --- |
| Do you intend to share data or research findings outside of BIMM University? If yes, please provide details (e.g. a published academic article, conference paper). |
|  |

|  |
| --- |
| Could the project produce findings that may have a negative effect on the reputation of BIMM University? If yes, please provide details. |
|  |

7. Declaration

|  |
| --- |
| * The information on this form is accurate to the best of my knowledge and belief, and I take full responsibility for it. * I understand that I am responsible for monitoring the project at all times and recording and reporting any unexpected events to BIMM University. * If any serious adverse events arise in relation to the project, I understand that I am responsible for immediately stopping the project and alerting the relevant College Principal at BIMM University within 24 hours of the occurrence. * I am aware of my responsibility to be up to date with and comply with the requirements of the law and relevant guidelines relating to the security and confidentiality of personal data. * I understand that project records/data may be subject to inspection for audit purposes if required in future. * I understand that I may not commence this project until I have been notified that it has been approved. * I understand my responsibilities to work within a set of safety and ethical guidelines as an academic researcher and comply with applicable ethical codes.   **Signature of Researcher:**  **Date:** |

8. Staff Approval

|  |  |
| --- | --- |
| Name and job title: |  |
| Signature: |  |
| Date: |  |