ETHICS & GOVERNANCE REVIEW APPLICATION FORM

FOR STUDENTS ON TAUGHT PROGRAMMES

This form must be completed, reviewed, any actions taken and approved before potential participants are approached to take part in any research project. i.e. ethics approval must be received before any data collection can take place.

Your application **must** include the following (please tick the boxes below to indicate that each section is complete):

Complete Ethics & Governance Review Application Form for Students on Taught Programmes	☐
Participant information material(s)/details	☐
Consent material(s)/details	☐

Please attach copies of any research materials/tools to be used in the project:

(NB: These must be attached where they form part of your methodology)

Relevant permission letter(s)/email(s)	☐
Questionnaire	☐
Introductory letter(s)	☐
Data Collection Instruments	☐
Interview Questions	☐
Focus Group Guidelines	☐

Other (please give details): ……

IMPORTANT INFORMATION FOR APPLICANTS

- All research involving human participants[1], sentient animals[2] or data not in the public domain undertaken by all staff, all students or anyone acting on behalf of Canterbury Christ Church University (CCCU) as part of formal University activity requires ethical review. No data collection can be undertaken until ethical approval has been given for the project.
- It is **your** responsibility in the conduct of your research to follow the policies and procedures set out in the University's Research and Enterprise Integrity Framework, and any relevant academic or professional guidelines. This includes providing appropriate research materials including participant information and consent forms, and ensuring confidentiality in the storage and use of data.
- You must include copies of participant information and consent materials or details of how informed consent will be sought. Templates on which to base these are available here.
- Copies of any research materials/tools such as questionnaires or focus group guidelines, and a **completed, approved & signed** Research Health & Safety Risk Assessment must be submitted.
- Any significant change in the question, design or conduct over the course of the project should be discussed with your academic supervisor. Depending on the nature of the changes, an Amendment Form or a new application for ethics approval may be required.
- This form will be retained by the Supervisor and/or Programme as part of the applicant's academic record.
- Your Supervisor should be involved in all ethically relevant aspects of the project, including the preparation of the ethics application and related materials such as participant information, consent forms, and research tools (e.g. interview questions, survey questions etc.). However, your Academic Supervisor should not act as Principal Investigator unless the project is embedded in a pre-existing staff project with prior ethical approval from the relevant Faculty Ethics Panel (or other designated external body).
- Supervisors or additional reviewers (as determined by School/Programme processes) can approve projects, impose conditions, or decide that a project is inherently unsuitable for the student applicant's level of experience and expertise and reject the application.

NEXT: Please complete Section A: Applicant Details ➲

[1] 'Human participants' incorporates those participating in interviews, surveys, focus groups or experiments (including the use of human tissue) etc.; and the processing of **any** personal data.
All research that involves human participants, in any way, must comply with this policy and with any relevant University guidance or procedures, legislation or additional codes of ethics that apply in specific areas or organisations within which research is to be undertaken (e.g. NHS procedures, codes within Local Authorities, Research Councils' Research Ethics Frameworks etc.).

[2] The use of sentient animals in research and teaching at CCCU is restricted to observational and behavioural studies only. No research and teaching activities that fall within the scope of the Animals (Scientific Procedures) Act 1986 (Amendment Regulations 2012) are carried out.

SECTION A: APPLICANT DETAILS

Type of Project - please mark (x) as appropriate			
Research		**Knowledge Exchange**	
Status - please mark (x) as appropriate			
Undergraduate		**Postgraduate**	

A1. Name of applicant:	
A2. Student I.D.	
A3. Email address:	
A4. Telephone number	
A5. Module name and number (if applicable):	
A6. Course:	
A7. Name of Supervisor(s) or module Leader:	

NEXT: Please complete Section B: Ethics Checklist ➲

SECTION B: ETHICS CHECKLIST

Please answer each of the questions below by choosing 'YES' or 'NO' in the appropriate box.

Consider each response carefully then check Section C for details on how to proceed:

		Yes	No
B1	**In carrying out your proposed project is there more than minimal risk of harm, detriment or disadvantage to participants, researcher(s), and/or the public beyond the risks encountered in normal daily life/the usual context of daily activity?** **Guidance notes**: If you are unsure of the answer to this question please discuss with your Supervisor before completing the rest of this form	☐	☐
B2	**Does your project include any activities or research methods included within the list of examples of likely unsuitable research for students on taught programmes as included within Section 14 of the University Research Ethics Policy?** **Guidance notes**: Please follow the link to the Policy to find the list of examples of likely unsuitable research for students on taught programmes	☐	☐
B3	**Does the project have the potential to impact on professional relationships?** **Guidance notes**: This question is intended to address: • Ethical issues with power relationships. (For example if your colleagues, own staff, students, or partner organisations are participants within your research additional measures will need to be in place to ensure that consent to take part is voluntary) • Impact on any professional relationships. (For example consider if your project (including the topic or choice of participants) will have the potential to impact on any professional relationships (either positively or negatively)	☐	☐
B4	**Does the project involve participants who would be considered vulnerable within the context of your project?** **Guidance notes**: The potential vulnerable groups are extensive; please consider the answer to this question carefully. A group that is not considered vulnerable in one context might be in another so this has to be considered for your research project. If you are unsure of the answer to this question, please discuss with your Supervisor.	☐	☐
B5	**Does your project involve interaction with external bodies/organisations?** **Guidance notes**: This may include but is not limited to schools and hospitals. It includes any contact with external bodies/organisations including where they may act as a gatekeeper for initial access to: • any vulnerable groups • any individuals to be recruited (i.e. participants) • any data not in the public domain	☐	☐

NEXT: Please determine further actions by referring to Section C ➲

SECTION C: HOW TO PROCEED

C1. If you have answered '**YES**' to question B1 then please discuss with your Supervisor before you proceed with this ethics application as it *may* be that your project is unsuitable and needs to be revised.

C2. If you have answered **'YES'** to ***any*** of the questions B2-B5, this will indicate that your application will be reviewed by additional reviewer(s) according to School/Programme processes. Complete sections D–G of this form providing as much detail as possible on how you plan to deal with the ethical issues related to your project. Send this completed form to your Supervisor who will complete the Supervisor Declaration and forward the application to the appropriate reviewer(s). Please be aware that ethical approval is not guaranteed and your Supervisor and/or additional reviewer(s) reserve the right not to grant ethical approval for projects that are deemed unsuitable for students on taught programmes.

C3. If you have answered '**NO**' to ***all*** the questions in Section B, complete sections D–G of this form providing as much detail as possible on how you plan to deal with any ethical issues related to your project. Send this completed form to your Supervisor who will complete the Supervisor Declaration. The Supervisor will carry out the ethics review, however, if the Supervisor determines that the research project requires review by additional reviewer(s) then it may be referred to them as per School/Programme processes. This is at the Supervisors discretion based on the University Research Ethics Policy.

Summary of next steps:

Section B questions	Answers	
	Yes	**No**
B1	Discuss with your Supervisor before proceeding with this ethics application.	Complete Sections D–G as appropriate and send the completed and signed Ethics Review Application Form to your Supervisor for review.
B2-B5	Complete sections D–G providing as much detail as possible on how you plan to deal with the ethical issues related to your project. Send the completed and signed Ethics Review Application Form to your Supervisor who will forward to the Taught Programme Ethics Panel for review.	

SECTION D: PROJECT DETAILS

D1. Project title:	
D2. Start date of fieldwork[3]	Click or tap to enter a date.
D3. End date of fieldwork[4]	Click or tap to enter a date.
D4. Project summary *(This should be written so it can be easily understood by any one even if they are not familiar with your field of research)*	*Include information for each of these questions:* • *What is the purpose of your project?* • *Briefly, explain your methodology in lay terms i.e. what are you doing and how are you doing it?* • *What are the intended outcomes of your research?*
D5. Human participants	*Include information for each of these questions:* • *Who are the participants?* • *What is your estimated sample size?[5]* • *How will the participants be recruited?* • *What will the participants be expected to do?*

D6. Additional information	• *Please provide details of any ethical issues that you think are relevant to your project that have not been covered elsewhere within this application*
	• *If you answered 'YES' to any of the questions in section B please provide further details here including:*
	  ○ *how you intend to manage the associated ethical issues*
	  ○ *any justification or mitigating circumstances for carrying out your project*
	  ○ *any experience you may have beyond your current level of study within the field of your project or in research methods in general*

NEXT: Please complete Section E: Data Protection ➲

SECTION E: DATA PROTECTION

The General Data Protection Regulation (GDPR) applies to the processing of personal data within the European Union (EU) and has been retained in UK law following departure from the EU as the UK GDPR. The Data Protection Act 2018 sets out the data protection framework in the UK.

Everyone responsible for using/processing personal data has to follow strict rules called 'data protection principles'. These principles make sure the information is:

[3] This date relates to the start of any data collection involving human or animal participants or data not in the public domain. Please note that no research can take place until ethics approval has been issued and approval cannot be issued retrospectively, as such, this date should always be in the future allowing sufficient time for the ethics review process.

[4] This date relates to the completion of any data collection involving human or animal participants or data not in the public domain.

[5] Please note: If your project includes an extensive survey or activity that involves University-wide recruitment or a representative sample of 100 or more students from Canterbury Christ Church University the Student Survey Unit and the Student Communications Unit should be notified of your plans before any data collection is carried out.

- used fairly, lawfully and transparently
- used for specified, explicit purposes
- used in a way that is adequate, relevant and limited to only what is necessary
- accurate and, where necessary, kept up to date
- kept for no longer than is necessary
- handled in a way that ensures appropriate security, including protection against unlawful or unauthorised processing, access, loss, destruction or damage

There is stronger legal protection for more sensitive information, such as race, ethnic background, political opinions, religious beliefs, trade union membership, genetics, biometrics (where used for identification), health, sex life or orientation. There are separate safeguards for personal data relating to criminal convictions and offences.

DATA PROTECTION EXPLAINED

Once you work through the language of the various data protection laws the basic concepts are relatively simple. Essentially, the purpose of data protection law is to safeguard people's personal information and, whilst there are laws and processes you must comply with, as long as this has been considered in the design of your research and continues to be considered throughout the delivery of your research then it should not be a cause for concern!

There is an article by Stuart Rance titled **How to explain GDPR to a 5 year old** that breaks down the basic concepts and might help make sense of this section of the form.

Please refer to the University Research Privacy Notice before completing this section.

E1. Personal data	Will Personal Identifiable Information (also defined as personal data) be collected and/or processed? ***YES/NO*** *If you are in doubt, please refer to the ICO guidance or seek advice from your Supervisor. (Further information is available to supervisors on StaffNET).*
• If you answered 'YES' to the question above please complete the rest of this section providing as much detail as possible using the guidance questions. *It must contain as much information as possible on how your research will comply with the GDPR and UK data protection legislation.* • If you answered 'NO' to the question above and having read the guidance are sure that no personal data will be processed please move on to section F.	
E2. Data collection	• *What type of personal data will be collected?* • *What is the reason for personal data collection?* • *What is the lawful basis for the processing of personal data?* *Please use the lawful basis tool produced by the ICO to determine the lawful basis if you are in doubt: https://ico.org.uk/for-organisations/resources-and-support/getting-ready-for-the-gdpr-resources/lawful-basis-interactive-guidance-tool/.*
E3. Subject access requests	• *What arrangements are in place related to any actions required to respond to individual requests for access to their personal data (Subject Access Requests)?* • *Will participants be able to withdraw consent at any stage of the research? What is the process for this? What is the cut-off date for withdrawal?*
E4. Data access & sharing	• *Who will have access to the personal data? This will likely include your supervisor and examiner as a minimum.*
E5. Participant recruitment, privacy & confidentiality	• *Are you using social media to recruit participants? How are you gaining consent? How are you informing participants of how their personal data will be used?* • *Are you undertaking any activities that could create privacy concerns for individuals due to personal intrusion? How will this be mitigated and addressed? E.g. taking photographs that may include members of the public* • *How will you ensure confidentiality? Please identify and list all the risks that could lead to a personal data breach.*
E6. Data storage	• *Where and how will personal data be stored? If stored external to CCCU systems (this should be in exceptional circumstances only), how are you ensuring that personal data is safely stored, processed and disposed of securely when no longer needed?* • *How long will personal data be kept/stored? In what format will this be? Personal data should not be stored for any longer than is necessary. Fully anonymised data is not considered personal data.*

NEXT: Please complete Section F: Research Health & Safety Risk Assessment ➲

SECTION F: RESEARCH HEALTH & SAFETY RISK ASSESSMENT

- This risk assessment should capture health and safety risks **only**. You **do not** need to include insignificant risks. You **do not** need to include risks from everyday life unless your research activities increase the risk. It should include enough information to allow it to be a standalone document should this be necessary.
- Research projects will potentially carry certain risks to the physical or mental health and safety of the researcher(s), participants and the public. Your risk assessment should consider what in your project might cause harm, how it may cause harm and the people who might be affected. It should take into account any control measures which are already in place and identify what, if any, further controls are required.
- You should be able to show from your risk assessment that:
    - a proper check was made;
    - all people who might be affected were considered;
    - all significant risks have been assessed;
    - the precautions/control measures are reasonable; and
    - the remaining risk is low.
- The potential health and safety hazards in research are many and varied. Each research project is different but included in the table below are suggestions for some things that you may wish to consider. Please note that this is by no means an exhaustive list and you should review the available guidance materials (see below) and consider your own project carefully to determine the risks and appropriate control measures:

Risk area	Potential hazards to consider
International travel	• Researcher safety due to lone travel in an unfamiliar location • Loss of travel documents/money • Potential of extreme weather due to season e.g. monsoon/cyclones
Domestic travel	• Lone travel on public transport • Driving long distances
Lone working	• Potential emotional/physical harm to researcher from participants • Researcher fatigue due to intense research schedule over multiple locations
Research location/Fieldwork	• Site specific safety • Access to emergency services/health care due to remote location
Mental overload/Stress	• Harm to researcher wellbeing from overworking due to intense research schedule
Emotional harm/hurt	• Distress to participants due sensitive research topic • Distress to researcher due to participant/general public negative reactions

Further guidance

- **For students:** Responsible research - Managing health and safety in research: guidance for the not-for-profit sector – this explores all aspects of Health & Safety within a range of research projects and includes case studies – for example 'Case Study 1 – A risk assessment of a social science research project' (p.18-19). For further guidance, please seek advice from your supervisor.
- **For supervisors:** Further guidance on Health and Safety Risk assessments can be found on the University web pages - these include example risk assessment forms.

NATURE OF ACTIVITY:	[Enter a brief description of the research activity/fieldwork/equipment/workplace covered by this risk assessment].		**DATE OF ACTIVITY:** [add if relevant for activity being assessed i.e. start and end dates of research activity/fieldwork]
LOCATION:	[location of the research activity/fieldwork/equipment/workplace]	**NEXT H&S RISK REVIEW DATE:**	[maximum 3 years after date of assessment]
REVIEWED & APPROVED BY*:	[Academic Supervisor, print name & signature]	**APRROVAL DATE*:**	[Date risk assessment approved]

*In normal circumstances, review and approval should be carried out by the relevant Supervisor. Where the research project is particularly complex and contains a number of health & safety risks or where the supervisor has not undertaken the University Health & Safety Risk Assessment training they should seek advice from their line manager before approving the risk assessment.

Risk rating	Likelihood of Harm				
Severity	1 Very unlikely	2 Unlikely	3 - 50 / 50 likelihood	4 - Likely	5 - Very likely / certainty
1 - Minor injury or illness	Low	Low	Low	Low	Medium
2- Moderate injury or illness	Low	Low	Medium	Medium	High
3- "3 day injury" or illness	Low	Medium	Medium	High	High
4- Major injury or illness	Low	Medium	High	High	High
5- Fatality	Medium	High	High	High	High

Risk rating	Action to follow
Low	No additional actions. Ensure controls in place are maintained.
Medium	Improve risk reduction measures within specified timescale.
High	Stop or restrict activity and make appropriate improvements immediately

Hazard/Risk	Persons at Risk & Nature of harm	Current Control Measures	Risk Rating (High /Medium /Low)	Additional Control Measures Required	Revised Risk Rating (High/ Medium/ Low)	Action by who	Action by when	Date action complete
A hazard is anything that may cause physical or mental harm	State who is at risk, this could be an individual or a group of people, and the type of harm they are at risk of.	Describe the measure(s) that you have in place to reduce or remove the risk of the hazard occurring.	See table above.	Describe any other measure(s) that could be applied to further reduce or remove the risk of the hazard occurring. Additional measures are mandatory should the risk outcome be rated as medium or high.	See table below.	Who is responsible for the management of this risk	Date control measures need to be implemented by.	This should be completed once the risk has been managed.
For example: *Lone travel in unfamiliar area*	*Researcher personal safety*	• *Pre plan the route to be taken and print off a local map* • *Inform a colleague and/or supervisor 1) when arrive at planned destination and 2) when the day's activities have been safely completed* • *Arrange the activities to avoid travelling late at night/in the dark*	*Low*	• *Arrange a travel companion*	*Low*	*Researcher*	*Date(s) of research activity involving lone travel*	*After completion of lone travel*

Hazard/Risk	Persons at Risk & Nature of harm	Current Control Measures	Risk Rating (High /Medium /Low)	Additional Control Measures Required	Revised Risk Rating (High/ Medium/ Low)	Action by who	Action by when	Date action complete

All members of staff and relevant students affected by this risk assessment (i.e. the research team) are to sign and date to confirm they have read and understood it and will abide by it.

NAME	SIGNATURE	DATE

NEXT: Please complete Section G: Applicant Declaration ➲

SECTION G: APPLICANT DECLARATION

- I certify that the information in this form is accurate to the best of my knowledge and belief and I take full responsibility for it.
- I certify that a Research Health & Safety Risk Assessment for this project has been carried out in compliance with the University's Health and Safety policy and has been approved and signed by the relevant persons.
- I certify that any required Disclosure & Barring Service (DBS) check has been carried out.
- I undertake to carry out this project under the terms specified in the Canterbury Christ Church University Research & Enterprise Integrity Framework.
- I undertake to inform my Supervisor of any significant change in the question, design or conduct of the research over the course of the project. I understand that such changes may require a new application for ethics approval.
- I undertake to inform my Supervisor when the proposed project is complete.
- I have read and understood the relevant ICO and University documentation and I am aware of my legal responsibility to comply with data protection legislation and appropriate University policies and guidelines relating to the security and confidentiality of participant or other personal data.
- I understand that project records/data may be subject to inspection for audit purposes if required in future and that project records should be kept securely for five years or other specified period.
- I understand that the personal data about me contained in this application will be held by my Supervisor and the relevant Programme and that this will be managed according to the principles established in data protection legislation and appropriate University policies.

As the Principal Investigator for this project, I confirm that:	(please tick)
• All the above statements are correct	☐
• This application has been shared with all other members of the project team	☐

Principal Investigator/Applicant
Name:
Date:

NEXT: Please send this completed and signed application to your Supervisor ➲

SECTION H: FOR COMPLETION BY SUPERVISOR

Please ensure that this form has been completed correctly and in full. It will likely delay the ethical approval process if the form is incorrect, incomplete or has not been proofread. (If relevant) please use the 'Comments from Supervisor' section to provide any additional subject relevant information that will assist in reviewing this application.

Please tick the appropriate boxes below. This application should not be submitted for review until all boxes are ticked:

The aims and/or objectives are clearly defined and it is clear how these will be achieved	☐
The proposed methodology is adequately developed and appropriate for this project	☐
I have reviewed the procedures for participant recruitment and obtaining informed consent and can confirm that they are appropriate	☐
I can confirm that to the best of my knowledge all relevant ethical issues have been considered and addressed	☐
I can confirm that to the best of my knowledge all relevant legal issues (e.g. data protection, Human Tissue Act, Mental Health Act etc.) have been considered and addressed	☐
If a Disclosure & Barring Service (DBS) check is required, this has been carried out	☐
The student has received training and/or support (as required) and has completed an appropriate Research Health & Safety Risk Assessment in line with CCCU policy that considers and addresses all relevant health and safety risks associated with this project	☐
I can confirm that the applicant has the required knowledge and skills to carry out the project and that the chosen topic merits further investigation	☐

Comments from supervisor:

Supervisor or module leader (as appropriate)
Name:
Date:

NEXT: Supervisors - Please proceed as described in Section C ➲