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|  | **Faculty of Arts, Design & Humanities Application to Gain Ethical Approval for Research Activities** | For Official Use |
| Tracking No: |
| Date Approved: |
| Initials: |

All research projects in the Faculty of Arts, Design and Humanities (including applications to register for a research degree, final year undergraduate students undertaking a major project with research content, all post graduate degree students and all staff undertaking research projects) require approval from the Faculty Human Research Ethics Committee to ensure compliance with relevant UK laws, DMU regulations and best practice. To ensure compliance this form and any required supporting documentation (see overleaf) should be completed (in collaboration with the applicant’s tutor if the applicant is a student) and **submitted as a single PDF file** to the Committee’s servicing officer or DRESC (see e-mail address below).

You will be advised of the outcome of your application once it has been considered. You must not undertake any research activity directly associated with those aspects of your research requiring ethical approval until you have been notified in writing that your application for them has been unconditionally approved by the Faculty Research Ethics Committee.

**NOTE:** ***If your research involves using 1) human tissue or fluid samples or 2) animals, you should seek guidance from the Chair of the Faculty Human Research Ethics Committee before planning the project.***

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| **For all Design Undergraduate and Taught Postgraduate applications please return this completed form and any supporting documents to the Design Research Ethics Sub-Committee (DRESC) at** [**dresc@dmu.ac.uk**](mailto:dresc@dmu.ac.uk)  **For all other applications please return this completed form and any supporting documents to Faculty of Arts, Design & Humanities Research Ethics Committee Servicing Officer at** [**adhethics@dmu.ac.uk**](mailto:adhethics@dmu.ac.uk) |

Section A: Applicant & Project Information

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| 1. Applicant | | | | | | |
| Last Name: |  | | First Name: | |  | |
| DMU Email Address: | |  | | | | |
| Programme of Study (if any): | |  | | Staff/Student/Level of Study | |  |

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| **2. Research activity for which ethical approval is being sought: Please state:** |
| **The Subject area and background:** |
| **The aims and objectives:** |
| **The research methods:** |

Section B: Ethical Issues Check List

Please answer the following questions. If you answer YES to any of the following questions then specific ethical issues WILL be raised that MUST be addressed. You will need to explain in detail in the subsequent sections how you will address these ethical issues and if necessary attach additional documentation to the end of this application form as noted below.

**Does your proposed research activity involve any of the following research procedures?**

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| **3. Activities Checklist** | **Please Tick** |  | **If YES**  **Additional documents required to be attached to this application are:** |
|  | **YES** | **No** |  |
| 1. Conducting Interviews and / or undertaking any of the following:  * Making audio or video recordings of identifiable people. * Collection storage and use of personal data about identifiable, living people. * Observation of adult human behaviour involving identifiable individuals. * Using archived personal data in which living individuals are identifiable.   *\*See advice note for anonymised data collection in notes below.* |  |  | 1. Participant Information Sheet (Use Template Provided) 2. Participant Consent Form (Use Template Provided) |
| 1. Observing, interacting or otherwise working with children (under the age 18) |  |  | 1. Parent / Guardian Consent Form (Use Template Provided) |
| 1. Researching into activities that have a risk of personal injury to the participants |  |  | 1. DMU Health and Safety Risk Assessment Form |
| 1. Supporting innovation that might impact on human behaviour e.g. Behavioural Studies and / or Activities which may pose a physical risk to other people not directly participating in the research |  |  |  |
| 1. Activities which may pose a risk to the environment |  |  | 1. DMU COSSH Risk Assessment Form |
| 1. Researching topics that are concerned with the following **‘sensitive research’** areas: illegal activities, including the collection of source data, e.g. crime statistics, or access to web sites normally prohibited on university servers, or extremism and radicalisation   **This section of the form must be completed if you mark yes or no.** Please complete the questions in Appendix 1 on page 7 of this form to identify if a research project should be classified as sensitive research |  |  |  |
| 1. Anything else that in the opinion of the Applicant and Supervisor that requires further ethical review |  |  |  |

*Note:*

***Participant Information Sheet*** *– This is available in a DMU approved format for completion by the researcher and explains in straight-forward, non-specialist language what you are doing, why and what you'll do with the data you collect. Applicants must use the legally approved templates provided on the ADH Research Ethics Procedures site.*

***Participant Consent Form*** *– This is available in a DMU approved format and when completed by the subject provides written permission for you to use the information elicited from the subject. It includes an Audio / Video Recording Agreement and covers Custody and preservation of data adhering to DMU regulations and procedures. Applicants must use the legally approved templates provided on the ADH Research Ethics Procedures site.*

***\*Anonymised Data Collection - Exemption from Participant Consent Form.***

*If your research proposal does involve conducting data gathering from people BUT 1) no audio or video recordings of identifiable people are made and 2) no collection storage and use of personal data about identifiable, living people takes place, and 3) no observation of adult human behaviour involving identifiable individuals takes place and 4) no archived personal data in which living individuals that are identifiable is used then then a participant consent form is NOT required and you may answer NO to question a) in Section B3. If this is the case and for other reasons you have to submit and ethical approval form you must clearly and unequivocally state this in section A2 and describe the anonymised method to be used. In these circumstances it is still good practice to provide a participant information sheet to participants but a copy is not required for ethical approval. If in any doubt whatsoever, at any point, complete and submit an ADH Research Ethics Form.*

***Parent / Guardian Consent Form*** *- This is available in a DMU approved format and when endorsed provides written permission by the child’s Legal Guardian for the researcher to interact with a child and use the information elicited from the child. Applicants must use the legally approved templates provided on the ADH Research Ethics Procedures site.*

***Sensitive Research Questions Appendix*** *– Can be found on page 7 of this form and identifies whether the research should be classed as sensitive (For more information see:* [*http://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx*](http://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx)*).*

***DMU health and Safety Risk Assessment Form*** *– Consult your Faculty Health & Safety Officer.*

***Environmental Impact Risk Assessment Form*** *– COSSH Risk assessment form available on DMU website*

***Other Documents as required by the Faculty Human Ethics Committee*** *-**Depending on the nature of your proposed research, special circumstances may arise which may require other documents to be submitted in addition to this application form. You will be advised if this is the case on receipt of your initial application.*

***Translation of Forms*** *- All applicants whose research requires the use of consent and / or information forms will complete the DMU approved forms which are in English and submit them with their application for research ethics approval, in the full understanding that should these forms be then translated into another language for distribution in the field and in some cases for signing by their subjects that it is their (the applicant's and their supervisors') joint responsibility to ensure that the non-English version of the forms have the same meaning and sense as the DMU approved English versions. Any translated versions of the forms are NOT automatically required for inspection by the FREC in order to gain ethics approval (only the DMU English ones), but may be asked for if the FREC deem it necessary. It is the supervisor's responsibility to ensure that the applicant is aware of these requirements.*

Section C: How Ethical Issues Will Be Addressed

If in consultation with your supervisory team (if any) you answered NO to ALL the questions above, please skip sections 4 & 5, go to straight to section 6 and complete the rest of the form. If you answered YES to any of the above questions please complete sections 4 & 5 and then complete the rest of the form.

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| **4. Ethical Issues –** Please state briefly the details of all the ethical issues identified. |
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| **5. Please state here how will these ethical issues will be addressed:** |
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*Note: In the sections above you should consider the following:*

* *Providing participants with full details of the objectives of the research*
* *Providing information appropriate for those whose first language is not English*
* *Voluntary participation with informed consent*
* *Written description of involvement*
* *Freedom to withdraw*
* *Keeping appropriate records*
* *Signed acknowledgement and understanding by participants*
* *Relevant codes of conduct/guidelines*

Section D: Ethical References and Additional Factors

All Applicants MUST complete these sections and do so in consultation with your supervisory team if any:

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| **6. To which ethical codes of conduct have you referred?** *see* [*http://www.dmu.ac.uk/research/ethics-and-governance/research-integrity-and-ethics.aspx*](http://www.dmu.ac.uk/research/ethics-and-governance/research-integrity-and-ethics.aspx)**(please refer to the Sample Application Form for guidance)** |
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| **7. Are there other additional factors that could/will give rise to ethical concerns e.g. communication difficulties?** |
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Section E: Authorisation

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| **8. Signature by Applicant (physical or electronic signatures only)** | | | |
| I declare that I have considered the ethical implications of my research. I understand that I must not undertake any research activity until this form is fully approved. A signature & date must be given here or the application will be rejected. | | | |
| **Signed** |  | **Date** |  |
| **Print Department** |  | | |

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| **9. Signature by First Supervisor / Tutor (If applicant is a student) (physical or electronic signatures only)** | | | |
| **I declare that the person named above will be working under my supervision and that I have read this completed application form and agree its contents.** | | | |
| **Print Name** |  | **Print Department** |  |
| **Signed** |  | **Date** |  |

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| **10. ADH Faculty Research Ethics Committee Assessment** | | |
| **Rejected** **/ Approved** (delete as appropriate) | **Date** |  |
| *Comments:* | | |

**NOTES FOR GUIDANCE:**

1 Respondents' co-operation in a research project is entirely voluntary at all stages. They must not be misled when being asked for co-operation.

2 Respondents' anonymity must be strictly preserved. If the Respondent on request from the Researcher has given permission for data to be passed on in a form which allows that Respondent to be identified personally:

1. the Respondent must first have been told to whom the information would be supplied and the purpose for which it will be used, and also
2. The Researcher must ensure that the information will not be used for any non-research purpose and that the recipient of the information has agreed to conform to the requirements of any relevant Code of Practice.

3 The Researcher must take all reasonable precautions to ensure that Respondents are in no way directly harmed or adversely affected as a result of their participation in a research project.

4 The Researcher must take special care when interviewing children and young people. The Faculty REC will give advice on gaining consent for studies involving children or young people.

5 Respondents must be told (normally at the beginning of the interview) if observation techniques or recording equipment are used, except where these are used in a public place. If a respondent so wishes, the record or relevant section of it must be destroyed or deleted. Respondents' anonymity must not be infringed by the use of such methods.

6 Respondents must be enabled to check without difficulty the identity and bona fides of the Researcher.

**Appendix 1: Questions for Ethical Approval of Sensitive Research**

**This section MUST be completed and signed by all applicants in full including all check boxes and I agree boxes**

# Section A: Sensitive Research

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| **11. Please answer all of the following questions** | **Please Tick** |  |
|  | **YES** | **NO** |
| 1. Does the intended research include research into illegal activities[[1]](#endnote-1)? (This may include, but is not limited to, research into hate crime[[2]](#endnote-2), theft, fraud, or harmful and illegal cultural practices[[3]](#endnote-3), the collection of source data, such as crime statistics, etc.). ***Please note: the university does not permit any crime to be committed for research purposes, such as accessing images of paedophilia*** ***or child abuse, unless special permission has been granted by the Home Office.*** |  |  |
| 1. Does the research involve deception? |  |  |
| 1. Will the research require the use of sites usually prohibited on university computers (e.g. pornography or the sites of these [prohibited organisations](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/472956/Proscription-update-20151030.pdf))?[[4]](#endnote-4) |  |  |
| 1. Has the research been commissioned under a commercial contract requiring secure storage for related materials? |  |  |
| 1. Does the intended research fit into any of the following categories? If so, please indicate which: |  |  |
| 1. Terrorism, extremism, terrorist or extremist organisations or groups, extremist ideologies, radicalisation[[5]](#endnote-5), de-radicalisation[[6]](#endnote-6) |  |  |
| 1. Commissioned by the military or GCHQ: |  |  |
| 1. Commissioned under an EU / US security call or similar: |  |  |
| 1. Involve the acquisition of security clearances (including the Official Secrets Act): |  |  |

**\*If you are unsure as to whether your research will involve any of these categories you are advised to answer ‘Yes’ to the most relevant.**

# Section B: Accessing Websites for the Research Areas Outlined in Section A, Q5 a-e

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| **12. Please answer the following question** | **Please Tick** |  |
|  | **YES** | **NO** |
| Will your research involve visits to websites that might be associated with radicalisation or terrorist/extremist organisations or groups? |  |  |

*If you answer ‘Yes’ to Q1 you are advised that such sites may be subject to surveillance by the police and accessing those sites might lead to police enquiries. It is strongly recommended that you use your university network address, once you have received ethical approval, which will ensure these activities are flagged as a legitimate part of your research. Whilst acquiring ethical approval for this project and adhering to University guidance on accessing websites and storing related materials securely will allow the University to verify the legitimacy of you accessing these websites, it cannot guarantee legal protection.*

**Please acknowledge that you understand this risk by putting an ‘X’ in the ‘I Agree’ box.**

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| **I Agree** |  |

# Section C: Storage and Transmission of Research Materials

*The secure storage of data and research material is strongly recommended to all who answered ‘Yes’ in Section A, Q5 (although all researchers may make use of the ITMS provisions detailed in this questionnaire). Please note that anyone storing participants’ personal data is subject to separate legislation and requirements. Details are outlined* [*here*](https://www.jisc.ac.uk/guides/data-protection-and-research-data/security-of-research-data)*, and in the university’s* [*Research Records Retention Policy*](http://www.dmu.ac.uk/documents/about-dmu-documents/quality-management-and-policy/records-management/research-records-retention-policy.pdf)*.*

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| **13. Please answer the following question** | **Please Tick** |  |
|  | **YES** | **NO** |
| Does your research involve the downloading and storage on a computer of any materials relating to extremism or radicalisation (for example, records, statements or other documents)? |  |  |

*If you answered ‘Yes’ to Q1, you should request a secure file share from ITMS to be created for your project, with access restricted to you, or if absolutely necessary, any internal co-investigator(s). The research materials should not be kept on a personal computer, and all online research in this area should be done on university servers[[7]](#endnote-7). Physical data should be scanned and uploaded to the password-protected server; where this is not possible, it should be kept in a locked filing cabinet or similar on university premises.*

*You will need to agree to store all materials relevant to Section B, Q1 and Section C, Q2, as well as any other materials related to your research project in accordance with this advice in order to gain ethical approval.*

**Please confirm you will store *all* research documents in accordance with this advice by putting an ‘X’ in the ‘I Agree’ box.**

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| **I Agree** |  |

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| **14. Please answer the following question** | **Please Tick** |  |
|  | **YES** | **NO** |
| Might your research involve the electronic transmission of such materials to project Co-Investigators? |  |  |

***Note:*** *The Terrorism Act (2006) and the Counter-Terrorism and Security Act (2015) outlaw the dissemination of terrorist publications if the individual concerned has the intention to encourage or induce others. Publications disseminated for the purposes of an approved and clearly defined research project should not amount to an offence, because the requisite intention is unlikely to be present. However, you are advised to exercise caution and avoid dissemination of raw research materials where possible.*

**You will need to agree to only transmit these materials to Co-Investigators after they have been password-protected and that you will only use ‘**[**Zend**](https://zend.dmu.ac.uk/)**[[8]](#endnote-8)’, which encrypts materials in transmission.**

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| **I Agree** |  |

By signing this form, you confirm that you have read, understood and will comply with the above ethical procedures relating to conducting sensitive research. You **MUST** also sign the main section of this application form.

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| --- | --- |
| **Signature** | **Date** |
|  |  |

1. **Illegal activities** incorporates **any illegal activity;** for example,trespassing, theft, or online piracy. [↑](#endnote-ref-1)
2. **Hate Crimes** are those committed against someone because of their disability, gender-identity, race, religion or belief, or sexual orientation. [↑](#endnote-ref-2)
3. **Harmful and illegal cultural practices**: these include violence against women and girls, Female Genital Mutilation (FGM), forced marriage, child sexual exploitation and honour-based violence. [↑](#endnote-ref-3)
4. **Accessing** **prohibited websites:** You will need to seek permission from ITMS; advice on how to gain permission is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx). [↑](#endnote-ref-4)
5. **Radicalisation** refers to the process by which a person comes to support terrorism and forms of extremism leading to terrorism [↑](#endnote-ref-5)
6. **De-radicalisation** usually refers to activity aimed at a person who supports terrorism and in some cases has engaged in terrorist related activity, which is intended to effect cognitive and/or behavioural change leading to a new outlook on terrorism and/or disengagement from it. [↑](#endnote-ref-6)
7. **Secure File Share:** You will need to ask ITMS to create a Secure File Share for your project, with access restricted to yourself, or if absolutely necessary, any internal co-investigator(s). Advice is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx). [↑](#endnote-ref-7)
8. **Zend**: advice on using Zend is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx). [↑](#endnote-ref-8)