

EXAMINING WHETHER APPLICATIONS ARE ETHICAL

DAVE WALSH

BAL FREC CHAIR

POINTS TO REMEMBER

- Safety of research participants
- Safety of researcher(s)
- Safety of data
- Informed *and* voluntary consent of participants
- Right to withdraw
- Informed consent of employer(s).....or a legitimate reason why this should not be the case
- Unethical practices such as deception about research purposes (unless a good reason)
- Unethical questions
- Conflicts of interest
- Vulnerable groups
- Sensitive material and data
- Particular websites



Faculty of Business and Law
Application to Gain Ethics Approval for Research Activities
Undergraduate/Postgraduate Taught Students

(PGR students and staff to complete other form – see <http://dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/business-and-law-ethics-procedures.aspx>)

Students should complete this form in consultation with their supervisors.

Form to be completed electronically only and uploaded to the module on Blackboard in line with module leader's advice (manually completed forms not accepted). Please **submit through Turnitin** (Note for Supervisors: when providing a location for submission on Blackboard it is suggested to a) turn off originality setting; b) not request generation of similarity reports; c) ask for no submission to any other repository)

Please also see footnotes on Page 12

SECTION 1. Applicant
Please complete all sections
Last Name:
First Name:
Student number:
DMU Email address:
Programme of Study (Course title)
Module (name):
Module (code):
Supervisor's Name:
Co-Applicants Name(s) if applicable:

SECTION 2. The Research	
2a Title:	
2b Start Date:	
2c End Date:	
2d Research Question(s) or aim(s)	

2e

Please provide a description (in your own words) of your research and the methods you will use to gather data – (please note if you are employing more than one method of data collection you need only complete one ethics application form but ensure here you provide full details of both proposed methods)

IMPORTANT: Please include the following details in your description of what you are planning to do

- Who your sample will include (*not names but job roles, positions in civic society etc*)
- How will they be selected and recruited?
- Provide details of your principal data collection methods (e.g. questionnaires, interviews, observation, social media sites, documents – be as specific as possible **but ensure that you submit a copy of your questionnaire or your schedule of research questions with this application**)
- Where will you be collecting the Data? (*please provide details of the sites/locations where data collection will take place- and what times of day i.e during normal working hours i.e. 9am till 5 pm*)
- If you are collecting data at a primary or secondary school/work premises/police stations/law courts etc. (but not the NHS) have you obtained, or will you obtain, written permission from the organisation before you start your research? If your answer is 'No' please state the reasons why.
- If you are collecting data off DMU campus will a member of DMU Staff or responsible adult such as a relative or friend be made aware of the locations you intend to undertake research, dates and times and when you are expected to return? Please state the name and contact details of the DMU member of staff or responsible adult (Please see the Suzy Lamplugh Foundation Guidelines on lone working: <https://www.suzylamplugh.org/>)
- Give details as to whether your project being funded by a third party? (this includes if funding has been applied for but not yet given)
- If you are collecting data elsewhere other than the UK, will you also obtain ethical approval within that host country? If not, please explain. Have you identified and complied with all local requirements in that country concerning ethical approval & research governance and data protection*? Please also give contact details of a local person identified to field initial complaints locally so the participants can complain without having to write to or telephone the UK

**Please note that many countries require local ethical approval or registration of research projects and further some require specific research visas. You must also ensure you are aware of and abide by the national data protection legislation including legal requirements around research using data and collection of data to and from the UK. If you do not abide by the local rules of the host country, you will need your ethical approval from DMU, and may run the risk of legal action within the host country*

They are participants too- will the research embarrass them if they are identifiable?

Safety of participants

You are examining ethics but not research design

Safety of researcher

Participant via Social media research – contested area but BAL consider this type of research requires NO ethics authorisation unless individuals are named

SECTION 3. Conflict of Interest		
	Yes	No
3a Do you have any connection with the external organisation(s) being researched? Such as through personal, financial or family connections If 'Yes' please give details If you are employed by the external organisation please advise if you will receive any financial or in-kind benefits or payments for undertaking the research from the organisation	<div style="border: 2px solid blue; padding: 10px; font-size: 24px; color: white;">Conflict of interest?</div>	
SECTION 4. Research Ethics and the Protection of Participants' Interests <i>NB: Participants should suffer no harm as a result of participation in the research</i>		
4.1 Please provide details here as to whether participation by those in your sample will be a) Voluntary b) Based on informed consent (Please provide copies of the participation sheet and consent form -Templates available on BAL Ethics http://dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/business-and-law-ethic-procedures.aspx)		
4.2 Please also provide details as to how your participants' identities will be protected with regard to a) Confidentiality with respect to the data b) Anonymity in terms of any reported findings from the research research process will avoid emotional harm or upset to those taking part c) Data that has been gathered will be kept securely? (For example, will files and data be encrypted? Or data stored on password protected computers?) <i>Please note: If using a recording device for interviews please advise when the original recording will be destroyed (e.g immediately upon uploading to a secure device such as your password protected computer)</i>		
4.3 What steps you will undertake to avoid/minimise emotional harm or upset to those taking part (including measures signposting individuals should they become distressed later e.g To staff welfare services)		

SECTION 5. Sensitive Research		
If your research topic is concerned with the following 'sensitive research' areas: illegal activities, including the collection of source data, e.g. access to web sites normally prohibited on university servers, or extremism and radicalisation please complete the questions below. (For more information see http://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx)		
	Yes	No
5a Does the intended research include research into illegal activitiesⁱ that are previously unknown to the law enforcement agencies? (This may include, but is not limited to, research into hate crime ⁱⁱ , theft, fraud, or harmful and illegal cultural practices ⁱⁱⁱ , <i>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.</i>	5a	
5b Does the research involve deception? Are the participants fully informed of the nature of the research? If not, why not?	5b	
5c Will the research require the use of sites usually prohibited on university computers (e.g. pornography or the sites of these prohibited organisations)? ^{iv}	5c	
Does the intended research fit into any of the following categories? If you are unsure as to whether your research will involve any of these categories in 5d to 5h you are advised to answer 'Yes'	Yes	No
5d Terrorism, extremism, terrorist or extremist organisations or groups, extremist ideologies, radicalisation^v, de-radicalisation^{vi}	5d	
5e Has the research been Commissioned by the military or GCHQ	5e	
5f Has the research been Commissioned under an EU / US security call or similar	5f	
5g Does the research involve the viewing, usage or transfer of sensitive personal data as defined by relevant Data Protection Regulations	5g	
5h Does the research involve the acquisition of security clearances (including the Official Secrets Act)	5h	

Not possible to withdraw if research purely involves focus groups ?

Is there a consent form and participant information sheet attached to the back of the application - Do they advise full purpose of research, right to withdraw

Anonymity overrides right to withdraw?
If yes – then no right to withdraw
If no – how will survey questionnaires be identified to locate that belonging to the one who wishes to withdraw?

Anonymity of participants – how?
Security of data – how?

How? – during? afterwards? but the questions may be harmless (generic) and participants (professional) that such questions have low risk of harm

RED FLAG!

For all applicants – you are really looking for 'no' to all these questions ?
If yes refer to FREC

There may be a good reason for Staff and PGR applications, but for UG and PGT they should be all answered no

SECTION 6. Accessing Websites		
	Yes	No
<p>6a Will your research involve visits to websites that might be associated with radicalisation or terrorist/extremist organisations or groups?</p> <p><i>If you answer 'Yes' to Q6a 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.</i></p> <p>6b</p> <p>Please acknowledge that you understand this risk by putting an 'X' in the 'I Agree' box.</p> <p>I Agree <input type="checkbox"/></p>		
SECTION 7. Storage and Transmission of Research Materials		
	Yes	No
<p>7.1 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)?</p> <p><i>If you answered 'Yes' to Q7.1, 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^{vi}. 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.</i></p> <p><i>You will need to agree to store all materials relevant to Section 7.1, as well as any other materials related to your research project in accordance with this advice in order to gain ethical approval.</i></p> <p>Please confirm you will store all research documents in accordance with this advice by putting an 'X' in the 'I Agree' box.</p> <p>I Agree <input type="checkbox"/></p>		

7.2 Might your research involve the electronic transmission of such materials to project Co-Investigators? Yes/No

Note: The Terrorism Act (2006) and the Counter-Terrorism and Security Act (2015) do not make it an offence to disseminate terrorist publications if the individual concerned has the intention to prevent the dissemination of terrorist publications. Publications disseminated for the purposes of an approved and clearly defined project should not amount to an offence, because the requisite intention is unlikely to be present. You should be 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', which encrypts materials in transmission.

Please confirm you understand the risks in disseminating public research materials by password-protecting and via 'Zend'. (see footnote at end of form)

I Agree ☐

Section 8. Additional Questions	
	Yes
8.1 Are you specifically recruiting (as participants) pregnant women	
8.2 Will persons from any of the following groups be participating in your research?	
8.3 Adults without capacity to consent	
8.4 Those with learning disabilities	
8.5 Prisoners	
8.6 Adults at risk	
<p>If yes please give details of</p> <p>a) the protection procedures you propose to adopt should there be any evidence of or suspicion of harm (physical, emotional or sexual) to adults at risk. Include a referral protocol, identifying what to do and who should be contacted.</p> <p>b) of how you propose to ensure the well-being of adults at risk, particularly with respect to ensuring that they do not feel pressured to take part in the research and that they are free to withdraw from the study without any prejudice to themselves at anytime. You should indicate how you intend to ascertain that person's views and wishes.</p>	

RED FLAG!

For all applicants – you are really looking for 'no' to all these questions? If yes refer to FREC

There may be a good reason for Staff and PGR applications, but for UG and PGT they should be all answered no

8.7 Young offenders (16-21 years)**8.8 Those who would be considered to have a particular dependent relationship with the researcher (e.g. those in care homes, students, employees, colleagues)****8.9 Will you be recruiting (as participants) or have direct contact with any children under the age of 18?**

If yes,

- a) please give details of the child protection procedures you propose to adopt should there be any evidence of or suspicion of harm (physical, emotional or sexual) to a child/young person. Include a referral protocol identifying what to do and who should be contacted.
- b) Please give details of how you propose to ensure the well-being of the child/young person, particularly with respect to ensuring that they do not feel pressured to take part in the research and that they are free to withdraw from the study without any prejudice to themselves at any time

If you have answered yes to ANY question in Section 8 please give details

- a) of any staff or students who will have contact with adults at risk and/or will have contact with young people (under the age of 18)
- b) of current Disclosure and Barring check for you (and also for those staff or students named above at a)

SECTION 9. Codes of Ethics

Which Code of Research Ethics will be adhered to during the course of your research?
 Examples of Codes can be found at <http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/business-and-law-ethics-procedures.aspx>

Name: Web address: **SECTION 10. Supporting Documents****SUPPORTING DOCUMENTS** (all documents should have a version number and date)**Compulsory****PLEASE TICK AGAINST EACH ONE THAT YOU ARE SUBMITTING WITH APPLICATION FORM**

Appendix A (for all applicants)

☐ Research proposal (may help the supervisor understand your ethics application)

For those whose research involves human participants (Appendices B, C and D)

Appendix B

☐ Data Collection tools (e.g. draft interview schedule, survey questionnaire)

Appendix C

☐ Participant information sheet (see submission guidelines for example)

Appendix D

☐ Consent form (see submission guidelines for example)**IMPORTANT!!!!****PLEASE MERGE ALL OF THE ABOVE FORMS WITH**

All included ?
 Research proposal there to help, if you understand the research plan without it, you don't have to read it

RED FLAG!

For all applicants – you are really looking for 'no' to all these questions ?
 If yes refer to FREC

There may be a good reason for Staff and PGR applications, but for UG and PGT they should be all answered no

SECTION 11. Declaration and Signatures		
<p>I confirm that I have read the Responsibilities of the Researcher guidelines at http://www.dmu.ac.uk/research/ethics-and-governance/responsibilities-of-the-researcher.aspx and I will comply with them.</p> <p>I have considered my own personal safety and if/when my ethics application is authorised a separate Risk Assessment will / will not be completed (please delete as appropriate). See Section 13</p>		
11a Signature of Applicant	Signed by applicant?	
11b Signature of workplace supervisor (if applicable)	*Support/non-support (please give reasons for non-support)	Date:
<p>Please upload to the relevant module on Blackboard.</p> <p>MODULE LEADER ONLY:</p> <p>(Note for Supervisors: when providing a location for submission on Blackboard it is suggested to (a) turn off originality setting; (b) not request generation of similarity reports; and (c) to ask for no submission to any other repository). You might also wish to create your own rubric and grading to reflect both risk level and application outcome</p> <p>Supervisor and Module Leader to each review ethics application (unless the Supervisor and Module Leader is one and the same person- in which case the Supervisor and the Programme Leader should review the application. However, if the Supervisor, the Module Leader, and the Programme Leader are all one and the same person, then the Supervisor needs to find an academic colleague to also review the form).</p> <p>Once each has reviewed the application, please sign Section 11e and scan the form and upload to Blackboard (or if preferred use a digital signature and upload to Blackboard). Note: if the other Reviewer does not have access to that particular module on Blackboard, the application form once authorised etc (and signed) should be forwarded to the supervisor by email for them to upload on Blackboard.</p> <p>In medium and high risk case please send email to Dave Walsh (dave.walsh@dmu.ac.uk) to advise of medium and high risk cases with student name/module code for that application to be authorised</p>		
11c Risk Level Assessment		
<p>I determine the risk level of this application to be;</p> <p>Please refer to FREC Ethics Guidelines (Pages 9-11) at: http://dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/business-and-law-ethics-procedures.aspx</p>		

11 d Please confirm that the applicant has addressed each of the following issues to your satisfaction (if applicable).	Yes	No	N/A
The study design is appropriate and within ethical parameters			
The research questions are clear and within ethical parameters			
Recruitment method is explicit, fair, free from duress and data protection is not breached			
Sample and sampling method is appropriate and ethical			
Participants are fully informed about the research in writing			
Participation is voluntary with informed consent?			
Vulnerable people have additional interventions to ensure informed consent (e.g. parents, guardians, carers, advocates etc)			
Participants are given details of how to complain			
DMU consent form template has been used			
Data will be stored securely, and for the appropriate duration			
Permission has been, or will be, sought from external host organisation (where applicable) or good reasons given where it has not been sought			
Confidentiality, anonymity and privacy will be ensured and maintained			
Possible adverse outcomes to participants are identified and suggestions to minimise or deal with these are presented			
Risks to the researcher are identified and suggestions to minimise or deal with these are presented (in the laboratory or off campus)			
Do the procedures identified necessitate formal assessment by another ethical committee? If yes, which one?			

Your checklist!

SECTION 11e. Outcome of review	Please tick one box only
I recommend this study is given ethical approval (no changes required)	
I do not support this application (please give reasons)	
<p>I recommend the applicant addresses the changes listed below and the resubmission is re-reviewed by a Reviewer or the Chair</p> <p>Please list the specific changes the applicant must make to obtain ethical approval</p>	
<p>Please write any additional comment you may have (optional)</p>	
<p>Name.....</p> <p>(1st Reviewer)</p> <p>Signed</p>	<p>Name.....</p> <p>(2nd Reviewer)</p> <p>Signed.....</p>

SECTION 12. Faculty Research Ethics Committee (For Medium and High-Risk Cases Only)

For applications identified as **Medium** or **High Risk** to be reviewed by FREC.

Faculty Research Ethics Committee

Approval /Rejection/Referral (please delete which does not apply)

*This is the final approval from the BAL faculty Research Ethics Committee that this Ethical Approval application has been approved as outlined in the application.

* This Ethics application is rejected for the following reasons

* This Ethics application is referred back to applicant

* This Ethics application is referred to FREC/UREC for further consideration

Comments (if applicable)

Medium Risk cases

BAL FREC Reviewer Name.....

BAL FREC Signature..... (then send ethics application to BALResearchEthics@dmu.ac.uk)

High Risk Cases

BAL FREC Chair's Name:.....

BAL FREC Chair's Signature:.....

Date:

SECTION 13. HEALTH AND SAFETY – FOR THE APPLICANT AFTER AUTHORISATION!

Are you planning to undertake your research off- campus?

Yes/No (please delete as appropriate)

If yes, if you are planning to undertake research off-campus then you must contact Tracey Lee-Adams by sending her a copy of this AUTHORISED ethics application form explaining to her that you propose to undertake research off-campus and as such you recognise that a risk assessment is required

(Tracey's email address is TLee-Adams@dmu.ac.uk).

In most cases it is anticipated that Tracey will send you a signed risk assessment form advising you how to remain safe and well while undertaking your research. In exceptional cases Tracey will meet with you to assess risks.

Once you have received your authorised risk assessment from Tracey please attach it your authorised ethics application.

Footnotes

- i **Illegal activities** include online piracy.
- ii **Hate Crimes** are those motivated by a person's race, ethnicity, identity, race, religion or sexual orientation.
- iii **Harmful and illegal** activities include girls, Female Genital Mutilation, honour-based violence.
- iv **Accessing prohibited** information on how to gain permission to access information.
- v **Radicalisation** refers to the process of radicalisation and forms of extremism.
- vi **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.
- vii **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](#).
- viii **Zend:** advice on using Zend is available from the [ITMS helpdesk](#).

Risk assessment needed if research conducted off campus, but this will undertaken after authorisation !

IMPORTANT: A COPY OF THIS COMPLETED AND AUTHORISED ETHICS APPLICATION IS RECOMMENDED TO BE SUBMITTED WITH THE DISSERTATION/INDEPENDENT STUDY/PROJECT AS AN APPENDIX ITEM



HOW LONG TO UNDERTAKE REVIEW ETHICS APPLICATION?

- For UG and PGT by negotiation with colleague
- For PGR and staff applications, three weeks from date it was sent to you