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Description:

This document outlines the structures, processes and procedures that must be adhered to when staff and students are carrying out research projects, dissertations, assessments or any form of activity that requires ethical approval. Within the context of this code the word 'researcher' refers to all staff and under or postgraduate students enrolled at any campus in the Grimsby Institute Group. The Code allows the Institute to assure itself that its requirements for ethical approval reflect its commitment to good ethical practice, as a principle in itself and as a means of maintaining public confidence in the work of its staff and students.

For further advice on how the code of practice works, you should contact the Quality and Standards Department.

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Additional guidance can be obtained by visiting www.qaa.ac.uk and referring to UK Quality Code: Chapter B6: Assessment of students and accreditation of prior learning (2012)

Further references to other sources of information can be found at the end of this document.

**This document is available in alternative form on request from
the Quality and Standards Department**

1. Introduction

- 1.1 This Code of Practice (the Code) defines the structures and processes through which ethical approval must be obtained and the processes through which students or staff of the Institute must seek to acquire authorisation or approval.
- 1.2 The term 'research project' is used within the context of this code as an umbrella term relating to any form of dissertation, assessment, proposal or activity that requires primary research and/or ethical approval.
- 1.3 Research that involves secondary research and is not defined within the context of this code will not require ethical approval. Secondary research encompasses such activities as literature reviews, systematic research reviews.

2. Definitions

- 2.1 Research: a form of disciplined enquiry which aims to contribute to a body of knowledge or theory through primary research. This may apply to general coursework assignments, but will apply in every instance to final year dissertations or projects
- 2.2 Primary Research: a form of disciplined enquiry which aims to contribute to a body of knowledge or theory through the collection of qualitative or quantitative data through methods such as interviews, focus groups, telephone conversations, questionnaires, photography or artistic activity etc involving human participants and/or subject; in addition to primary experimentation/ research with non human participants
- 2.3 The Researcher: any staff member and under or post graduate student enrolled or employed within the Grimsby Institute Group carrying out research activity.
- 2.4 Research Ethics: moral principles guiding the planning and conduct of research, the publication of outcomes, and post-project care and/or disposal of records or materials.
- 2.5 Human Participants:
 - i. living human beings, including embryos and foetuses, human tissue and body parts;
 - ii. human beings who have recently died, including cadavers, human remains and body parts;
 - iii. collective organisations for example companies, corporations, community groups.
- 2.6 Human Subjects: subject(s) of data and records which have been collected and stored as a record at individual level - for example medical, genetic, financial, personnel, criminal and administrative records; and test results including scholastic achievements.
- 2.7 The Research Ethics Coordinator: a suitably qualified and experienced individual(s) appointed within a School empowered to approval ethical authorisation at local level.

3. The Purpose of Ethical Authorisation and Approval

- 3.1 The provisions for ethical approval assist staff as supervisors to identify appropriate issues and to address them in the structuring of a research project.
- 3.2 As a process designed to promote good practice, the outcomes of ethical approval are formally reported to staff and students. This subsequently informs the student's emerging practice at both undergraduate and postgraduate level.
- 3.3 The approval process itself acts as a safeguard to staff, supervisors and students who can be confident in the ethical propriety of the research project once it has been approved.

4. General Principles

- 4.1 The importance of maintaining public confidence in the ethical quality of approved research conducted by staff and students of the Institute is a key Institutional priority.
- 4.2 All research carried out at all levels of study must be conducted according to rigorous ethical standards.
- 4.3 Any research undertaken by staff and students must comply with the legal requirements of the United Kingdom, and/or the country of location of the research.
- 4.4 Where statutory, professional, regulatory or other bodies may have requirements, these must be met before a research project can be authorised or approved.
- 4.5 Staff and students must be fully informed of the relevant research ethics requirements of the Institute and (if appropriate) those of any statutory, professional or regulatory body.
- 4.6 Staff and students are expected to take responsibility for familiarising themselves with relevant 'Research Guidelines' that will be signposted to students by dissertation supervisors and are signposted in student handbooks (see section 14); these must also be signposted to staff during the induction process.

5. Research Ethics and Principles

- 5.1 Research must be designed, reviewed and undertaken to ensure integrity, value and quality.
- 5.2 The results of research should benefit society either directly or by generally improving human knowledge and understanding.
- 5.3 All research projects must aim to avoid or minimise harm to groups and individuals.
- 5.4 Researchers and participants or subjects should be reasonably informed about the purpose, methods, and intended possible use of the research.

- 5.5 Research participants or subjects must participate in a voluntary way, free from coercion.
- 5.6 The interests of research participants and research subjects should be considered at all stages of the research project. In particular the following should be observed:
 - i. Participants must be no worse off as a result of their participation in the project.
 - ii. Participation must be on the basis of informed consent either by the person and/or his or her legal guardian;
 - iii. Provisions for withdrawal from the project must be in place;
 - iv. The interests of children, vulnerable adults and other vulnerable groups must be given specific consideration;
 - v. Participants must not be subjected to undue intrusion, distress, indignity, physical discomfort, personal embarrassment or other harm;
- 5.7 The confidentiality of information supplied by research subjects must be respected, except where the requirements of professional practice determine. Issues of anonymity and anonymisation of results must be fully considered, and where personal disclosure or identification is likely, this must be discussed with the subjects or participants and their specific consent to this obtained.
- 5.8 The researcher must ensure that the research methodology is appropriate. Research designs must be such as to maximise a project's utility and relevance for the benefit of society.
- 5.9 Research outcomes must be disseminated in a manner which makes them accessible.
- 5.10 The independence of the research outcomes must be ensured. External sources of funding and any potential conflict of interest must be declared during the approval process.
- 5.11 The research culture will be characterised by respect for all groups in society, regardless of race, ethnicity, religion and culture, and with respect for, and awareness of, age, gender or other significant social differences.
- 5.12 The health and safety of both researcher and participants/subjects will be carefully considered in the design and execution of any research projects.

6. Ethical Issues for consideration in the preparation of proposals

- 6.1 The following are a list of ethical considerations which should be taken into account in the preparation of a research project involving human participants or human subjects. It is not exhaustive, and Statutory, Professional, Regulatory and other bodies may have other requirements, which the researcher should consult whilst preparing the project.

Criteria for approval

- 6.2 Consideration must focus on two basic issues:
 - i. Is it ethical to conduct the research project?

If the Research Ethics committee determines that the project itself is unethical, consideration will be terminated at this point

- ii. Is the proposed method of investigation appropriate, thorough and ethical? Proposals need to be agreed on both these issues before they are approved.

Applications

- 6.3 Researchers submitting applications for authorisation or approval must describe the project, its aims and explain the procedure which will be carried out in relation to participants and/or subjects.
- 6.4 The application will also be required to include the following:
 - i. an assessment of risk. It is important that researchers identify, in so far as they can, both the nature of any potential risks of the proposed project; and how such risks will be managed and minimised through the research strategy and protocols used.
- 6.5 In meeting the requirements as specified in 6.3 and 6.4, this helps to determine whether approval can be given at **local** or **Institute** level. It is also germane to the fundamental ethical standing of the project. Whilst the extent of risk and its management may not be able to be fully anticipated or quantified at the inception stage, projections are integral to the ethical standing of the project and its initial approval. Should the project encounter further ethical issues as it develops, additional approval should be sought at the appropriate level.

Participants or Subjects

- 6.6 In respect of participants or subjects this should include:
 - i. Assessment (if relevant), of health-related issues like physical or psychological harm, discomfort or stress.
 - ii. Consideration should also be given to societal factors, for example risks to a person's social standing, privacy, personal values and beliefs, relations with family and friends and community, and work-related effects.
 - iii. Any disclosures relating to illegality, for example drug-use, sexuality and sexual practices, or deviant behaviour should have a very careful consideration of risk to the participant/subject; and the nature of the final research report should also address issues of confidentiality and anonymity.

Researchers

- 6.7 In respect of researchers this should include:
 - i. Assessment of any specific health and safety provisions which would be required, relating both to physical and mental health.
 - ii. Assessment of whether the researchers have the appropriate experience, including training in questioning and reporting on sensitive issues, to undertake the project.
 - iii. A judgment as to whether the researcher is a lone-researcher and the suitability of protocols planned to ensure the researcher's safety
 - iv. Identification if the research involves participant or non participant observation (if relevant)
 - v. Identification if the proposed project is occluded or covert (if relevant)

Occluded Research

- 6.8 These are projects where full information to the participant would invalidate the research (e.g. the use of placebos in medical research); or would be meaningless (e.g. football crowd behaviour); or psychological experiments where prior disclosure would invalidate the responses and so contradict the purpose of the project.
- 6.9 Where such research projects are projected, researchers should consult extensively with supervisors/ line managers on the planning and design of the project.
- 6.10 In general the following principles are adopted:
- i. Withholding of information from participants should only occur when the researcher is clear that the aims and objectives of the research cannot be achieved, and the welfare of the participants assured, by any other means.
 - ii. Debriefing should follow participation as a matter of course.
 - iii. Where deception has been substantial, the participant should be offered the option of withholding the data in accordance with the principle of participation by informed consent.
- 6.11 Requests for ethical approval for occluded research projects must be referred to the Institute's Ethics committee for consideration of approval.

Covert Research

- 6.12 Covert projects might be found in fields of deviance studies, and may include investigation of illegal behaviour (where the written consent of the participant would create risk for him or her); or where such investigation might itself be covert.
- 6.13 The broad principle for such investigations is that they must not be undertaken lightly or routinely. They should be seen as highly exceptional and only justified if important issues are being addressed and if matters of social significance which cannot be uncovered in other ways are likely to be discovered.
- 6.14 Requests for ethical approval for Covert Research Projects must be referred to the Institute's Ethics committee for consideration of approval.

General Issues

- 6.15 All proposals for research projects must state whether the proposed project involves consent from any external bodies, and identify these.

Selection of Participants/Subjects

- 6.16 Proposals must state on what basis the selection of participants/ subjects will this be done, and how will the researchers assure the Institute that this participation is voluntary? If it is intended that payments will be made, details of these payments and a rationale must be required.

Information to the Participant or Subject of Research

6.17 Proposals must state how the participant be given sufficient information on the aims, methods, sources of funding of the project, and proposed use of the study. The proposal must make clear the anticipated benefits and potential risks of the project, and any discomfort it may entail. The right to withdraw from the project must be fully set out. A draft Information Sheet must be included in the application (where applicable).

Consent

6.18 Proposals must state how informed consent be obtained. If consent will not be in written form, the justification for this should be included and full details of how consent will be provided. A draft consent form must be included in the application which makes it clear that consent is informed consent.

Children, Vulnerable Adults

6.19 If the study involves people in these groups the proposal must specify what specific provisions will be put in place and how Informed Consent will be obtained and from whom. A draft Consent Form must be included in the application. If relevant, the researchers must make clear if relevant Criminal Records Bureau clearance has been obtained.

Confidentiality and Anonymity

6.20 Proposals must state how confidentiality and anonymity of participants/subjects will be secured. For example, this may include consideration of circumstances in which the requirements of professional practice might impact on confidentiality and anonymity provisions; any issues relating to information provided by public bodies, corporations, contractors etc; if the identity of a person, company etc is likely to be disclosed or inferred or discoverable, how will this be discussed with the potential participant, and the impact that the proposed project may have on the participant. The proposal must state if there are any limits to participant confidentiality, the rationale and possible outcomes.

Dissemination

6.21 Proposals must make clear the planned methods of dissemination (e.g. research report, intended publication in journal or book).

Independence

6.22 Proposals must declare the origin of any external funding; identify any areas of possible conflict of interest; and whether any restrictions have been placed on the research by another body.

Overseas research

6.23 Proposals must make explicit how the proposal aligns to the requirements of the laws of the country/countries in which it is proposed that the investigation take place. This may include a consideration of issues relating to compliance with local laws on Data Protection and Intellectual Property.

Data Security and Disposal

6.24 The proposal must make clear the researchers duties under the Data Protection Act. This is likely to include a consideration of how the processing of

data will be handled; for example, how issues of data sensitivity will be considered in relation both to data protection and general lawfulness.

- 6.25 The proposal must make clear what provisions have been considered for the secure retention of sensitive or personal data; what provisions are in place for the secure destruction of this data, and when is it anticipated that this should take place.
- 6.26 The proposal must make clear that where results are collected individually, (but the outcomes are anonymised), what data protection procedures will be in place to ensure the protection of personal details and how will these be destroyed.

Intellectual Property

- 6.27 The proposal must make clear that researchers are aware of the wide variety of reproduction methods which are restricted in respect of protected data; and the possible implications of any copyright infringements. Any relevant permission in respect of this has been obtained (e.g. the use of hitherto unpublished material) must be specified.
- 6.28 In instances of on-line material being used, proposals must make clear if there are any international laws which impact on this.

Health and Safety

- 6.29 The proposal must make clear if there are any health and safety issues either for participants/subjects and/or researchers and what advice has been taken on how these might be addressed.

7. Ethical issues related to the conduct of a research project

- 7.1 While it is important that ethical considerations are taken into account at the inception of a research project, it is also important that ethical considerations inform it throughout, up to and including the publication/dissemination of the research project.
- 7.2 It is the researcher's responsibility to abide by the terms of ethical approval given. If the need for further ethical approval becomes apparent as the project develops, it is the responsibility of the researcher to apply for further approval.
- 7.3 A School supervisor/ line manager may monitor the progress of the research project to ensure compliance with the terms of approval.
- 7.4 Failure to comply with the terms of ethical approval for a research project, or failure to seek further approval if required, may lead to action under the Student Disciplinary Policy or the CoP Cheating and Dishonest Practices (Unfair Means) for students and the Disciplinary procedure for Institute staff.

8. Ethical Issues relating to Dissemination of Results

- 8.1 Researchers must ensure that dissemination and/or publication follows good ethical practice. The following should be noted as requirements of good ethical practice. They are not exhaustive.

- 8.2 All research must be appropriately published on its conclusion. This should include the methodology used, including acknowledgement of any limitations of the research. In general, research outcomes should be presented so as to ensure the anonymity of individuals. Where this is not the case, the issues must have been fully discussed with the participants/subjects and this should have been included in the ethical approval for the project.
- 8.3 Researchers have a responsibility to take account of all relevant evidence and present it without omission, misrepresentation or deception. Data and information must not knowingly be fabricated or manipulated in a way which might lead to distortion.
- 8.4 Work of other scholars or colleagues must be acknowledged. Professional standards need to be observed in: attribution of authorship; acknowledgement of sources; correctness of references. Plagiarism is not permitted and identified plagiarism will lead to action under the Institute's CoP Cheating and Dishonest Practices (Unfair Means)

9. Ethical Approval and Authorisation

- 9.1 Any research project undertaken by staff or students which involves human participants or human subjects must have received ethical approval. This may be given at 'local' and or 'Institutional' level, depending on the nature of the research proposal.

Coursework

- 9.2 It is not expected that most undergraduate coursework will require ethical approval. However, there may be exceptions for this, for example oral history assignments in which participants are interviewed. For other programmes of study, for example health and health-related courses, teacher education, sports studies and public relations interactions with human participants are integral to the programme. In such cases the ethical issues and professional standards involved are expected to be addressed in the programme documentation and within the School. The extent to which this is the case may be subject to monitoring by the Institute's Ethics committee.

Final Year Dissertations and Projects

- 9.3 It is expected that final-year undergraduate and post graduate dissertations/projects; and staff primary research projects are submitted for authorisation or approval. It is also expected that dissertation/project proposals should be such that either authorisation may be made at local or Institutional level.
- 9.4 It is a positive development that ethical considerations are increasingly built into undergraduate programmes of study; and it is good practice that students should formally consider ethical issues in respect of their research proposals. However, limitations on the nature of final year projects and dissertations are also appropriate. Most undergraduate dissertations/projects should be either authorisable (i.e. dealing with matters excluded from ethical approval processes) at local or Institute level.
- 9.5 The scale of any undergraduate dissertation/project involving human participants is such that it is unlikely to have wide validity, and consequently

their impact on participants or potential host organisations should be considered before approval is given. In this case the consideration is not only whether the proposed project itself has ethical validity, but also whether it is ethical for the Institute to permit outside organisations to be approached for the purpose of co-operating with such limited undergraduate study.

- 9.6 In discussing the shape of the final year project or dissertation with the student, supervisors should bear in mind the following considerations:
- i. Projects/dissertations should be formulated so as to qualify for local level authorisation or approval.
 - ii. Where inter-action with external bodies is proposed (e.g. schools or hospitals) consideration should be given to the potential burden, inconvenience or added responsibility on that outside body which the project would entail; and whether the research outcomes for the community as a whole justify requests being made to these bodies.
 - iii. The supervisor will be able to supervise adequately any ethical issues during the course of the project/dissertation.
- 9.7 Supervisors will be assisted in this process if discussion is held at local level to identify those dissertations/projects which require ethical approval, but which fall within an accepted range of topics for which adequate ethical supervision can be assured. Similarly there may be a range of partner institutions which are prepared to co-operate with undergraduate projects/dissertations. Undergraduate students must not be permitted to approach outside bodies in a speculative manner.
- 9.8 Nominated by the respective Head of School, each School will have a Research Ethics Coordinator(s). The role of the Research Ethics Coordinator(s) is to determine if a research proposal:
- i. Can be considered at local level for ethical authorisation
 - ii. Must be referred for Institutional approval via the Institute's Ethics Committee.
- 9.9 For the purpose of monitoring, and also as a check against any departure from the permitted project, ethical authorisation/approval forms should be retained for five calendar years from the date of issue.

Local Authorisation

- 9.11 This is undertaken within the School by Research Ethics Coordinator(s). This process confirms that the proposed research project does not need ethical approval at Institute level.
- 9.12 Authorisation for research is required by Institute staff and undergraduate; and postgraduate students as a means of confirming that the research to be undertaken does not need ethical approval by the Institute's Ethics Committee. It also serves to remind students that they may not depart from the authorised project and may not involve human participants or subjects unless specific ethical approval at the appropriate level is obtained.
- 9.13 Authorisation at this level should only be given to 'low-risk' projects where the ethical issues are not complex or sensitive; and there is minimal risk of harm either to any human participants or the researcher where adequate supervision of the project is demonstrable.

- 9.14 Because of the nature of research projects it is impossible to specify in detail or in absolute terms those projects which can be approved at local level. However, the themes underpinning local level authorisation are:
- i. the experience of the researcher;
 - ii. assessment of the level of risk;
 - iii. the complexity and sensitivity of proposals;
 - iv. appropriate safeguards like experienced supervision being in place
- 9.15 In outline, the principles of local level authorisation are as follows:
- A. Approvable: low-risk projects, which include the following:
 - i. projects in which the ethical issues are not complex or sensitive;
 - ii. projects where there is minimal risk of harm either to participants or researcher;
 - iii. (for undergraduate and postgraduate proposals) where adequate supervision of the project is demonstrable.
 - B. Not approvable at local level:
 - i. projects which do not comply with the provisions above;
 - ii. requests for research into human subjects by undergraduates;
 - iii. all requests of approval of projects involving children or vulnerable persons
 - iv. all requests for participant, occluded or covert research projects.
- 9.16 In making these decisions, the Research Ethics Coordinator(s) within the School empowered to give consent for authorisation need to exercise judgement.
- 9.17 It is expected that the Research Ethics Coordinator(s) within the School will be members of the Institute's Ethics committee through which they will gain experience of the research projects expected to be considered at local and Institutional level.
- 9.18 Research Ethics Coordinator(s) will receive training in the identification of ethical issues, and particularly assessment of the degree of risk involved. They should also be aware of the sensitivity of social issues like divorce or sexual orientation; and criminal/deviant issues like domestic violence or drug abuse. Such projects would not normally be permitted for undergraduate research, and, depending on the level of experience of the staff member as researcher and/or postgraduate supervisor, might be referred to the Institute's ethics committee.
- 9.19 In cases of doubt, the Research Ethics Coordinator(s) should seek advice from the Chair of the Institute's Ethics Committee.
- 9.20 To gain authorisation at local level, student must submit the ethics proposal to the module tutor or designated supervisor who will pass on all applications to the Research Ethics Coordinator(s) within the School (see appendix 1).
- 9.21 The decision of whether a proposed research project is authorised or referred for Institutional level approval must be communicated to the student by the person(s) nominated within the School to give consent for authorisation.

- 9.22 The status of authorisation to the student must be communicated on the ethics proposal by the Research Ethics Coordinator(s). This will be a copy of the original which must be retained within the School (see appendix 1).
- 9.23 The Research Ethics Coordinator(s) should sign and date the form. Signatures must be supported by identification of the signature in legible print.

Institutional Level Approval

- 9.24 Approval should be sought from the Institute's Ethics Committee where there are
- i. 'medium' to 'high' risk or substantial or complex ethical issues involved;
 - ii. where the consent of external bodies, for example the NHS are required;
 - iii. where this is a requirement for funding by an external body
- 9.25 This is undertaken by the Institute's Ethics committee and occurs when local level authorisation has been rejected or referred.
- 9.26 All proposals forwarded to the Ethics committee, should be submitted on the ethics proposal form and also a copy of the recommendations made on the ethics proposal from the person(s) nominated within the School to give consent for authorisation at local level
- 9.27 Where the research comes under the jurisdiction of a Local Medical Research Ethics Committee, or other equivalent committee, a copy of the appropriate documentation from that body must be included with the application. The School approval will then proceed on the basis of the NHS consent for the project without the need for duplicated assessment of the proposal. This does not preclude the committee additionally requiring compliance with any Institute requirement.
- 9.28 The Institute's Ethics committee (IEC) will consider proposals and, if necessary, refer them back to the applicant for further details or remit the final decision to Chair's action. Only in highly exceptional circumstances will an IEC do other than approve or not approve an application – i.e. it is not normally appropriate for the IEC to require ongoing involvement in the research project once it is approved.
- 9.29 In making decisions, the IEC will bear in mind the need of the applicant for a timely response to the application.
- 9.30 The decisions of the Institute's Ethics committee on matters referred to it are final and there is no appeal mechanism.

10. Supervision and Requirements of the Supervisor and Researcher

Supervisors

- 10.1 Supervisors are responsible for monitoring of approved research projects and /or proposals to ensure compliance with the project/ proposal as approved, and/or to ensure revised authorisation in light of further developments.
- 10.2 A supervisor may also be a nominated Research Ethics Coordinator

Researcher

10.3 Researchers submitting proposals for authorisation or approval must understand that the proposal may not be substantially amended after approval. For example, if authorisation is given, a researcher may not subsequently approach human participants; if approval is given for the involvement of human participants, a student may not widen the participant group, or significantly change the text of a questionnaire. An advisory note to this effect will be part of the ethical authorisation/approval process. Researchers will be warned that significant changes to the dissertation/project may invalidate the dissertation/project and result in it not being marked.

11. Research Undertaken by Employees of the Grimsby Institute Group

11.1 This section focuses on the research activities undertaken by employees of the Grimsby Institute group

11.2 Within the context of this section, research is planned and directed inquiry with the aim of creating new knowledge or providing new perspectives.

- a) Activities which evaluate facts about existing services or states of affairs are deemed to be research in this respect and are also the focus of this Code.
- b) Research activities which are subject to any other and more specialised ethical review process are only reviewed under this code in a subsidiary way if the more specialised review-board has decided not to review the proposal in question (NHS Research Ethics Committee for example).
- c) Research activities undertaken by employees of the Grimsby Institute Group as part of the employees own educational qualifications, are to be reviewed according to the Code of Practice of the employees educational provider
- d) Research activities which are part of a collaborative effort of more than one scholar, affiliated to different institutions, have to reach a decision among themselves according to which institute's Ethical Code of Practice they want to engage in an ethics review process.

11.3 Within the context of this section, employees of the Grimsby Institute Group are all employed members of staff, either with permanent or a temporary contractual affiliation or within casual work agreement.

11.4 Research activities can either be scholarly and/or commercial research

11.5 The safeguarding of ethical conduct of scholarly and commercial research is the responsibility of the researcher.

- a) In order to adhere to this ethical responsibility the researcher has to engage in ethical consideration regarding the planned project and act according to these considerations. If the researcher feels satisfied with the research project at the end of these ethical considerations the researcher must inform their line manager of the research ideas for local level approval. This might, in general, be the case with literature based secondary research or text interpretations
- b) For any primary research undertaken by the researcher, the researcher must seek guidance and clarification from the Institute's Ethics Committee (ICE) in the form of an ethics proposal submitted to the Institute Ethics Committee

- 11.6 For the purpose of this code, a researcher and employee of the Grimsby Institute Group undertaking contracted commercial research is referred to as a consultant researcher
- 11.7 The responsibility for the ethical conduct of commercial research, undertaken by a consulting researcher, rests with the funding entity and their ethical approval documentation must be submitted to the Ethics Committee and noted no later than 7 days prior to the start of the proposed research.
- 11.8 If however, the consulting researcher is actively engaging in the design of the research and hence encounters the need to exert due ethical considerations to safeguard ethical conduct, the consulting researcher is bound to follow the same system as the scholarly researcher (see point 11.5)

12. Roles and Responsibilities of the Ethics committee

- 12.1 The Institute's Ethics Committee must ensure compliance with the committee membership requirements and terms of reference.
- 12.2 In association with faculties, the Ethics committee should organise a series of seminars during the academic year. These should incorporate developmental sessions on all aspects of ethics, scholarly activity and professional practice, with particular emphasis on in-depth consideration of topical ethical issues, and with the additional purpose of developing and communicating good practice. It is anticipated that these seminars might give rise to circulars or advice on ethical issues, with, as appropriate, exemplars of decision making.
- 12.3 While primarily directed at developing the expertise of members of Research Ethics Committee and supervisors, these seminars should also be open to other members of the Institute. These might include, for example, staff members who wish to become supervisors, other staff members and postgraduate students who have a particular interest in the matter under consideration.

13. Monitoring and Review

- 13.1 To assure itself that consistency and compliance with ethical approval processes are occurring, members of staff with specific administrative authority such as Deans, Heads of School or members of staff with specific quality functions, will periodically monitor or review the following:
- i. authorisation forms
 - ii. approvals documentation
 - iii. the compliance of research projects approved at School (or Institute) level with the terms of approval.
- 13.2 Outcomes will be reported on in the Institute's annual quality enhancement report.

14. Ethical Misconduct

- 14.1 The Institute undertakes to protect from any subsequent victimisation or reprisal any member of staff or student who has honest and reasonable

suspicion that serious breaches of research ethics approval have taken place; even if the suspicion is subsequently found to be mistaken or unfounded.

14.2 Deliberate breaches of the Code and/or ethical standards are viewed seriously and may be referred for consideration under the staff/student disciplinary policy and/or CoP Cheating and Unfair Means.

14.3 Research or ethical misconduct can be a product of deliberate, reckless or negligent action. The following are examples of research or ethical related misconduct:

- i. Failure to obtain permission to conduct research
- ii. Falsification of information or deception in research proposals
- iii. Unauthorised use of confidential information
- iv. Unethical behaviour in the conduct of any research
- v. Fabrication, falsification or corruption of research information or data
- vi. Deviation from good research practice where this results in harm to humans, animals or the environment
- vii. Dishonest misinterpretation of results and/or publication of data known to be misleading
- viii. Plagiarism or dishonest use of sources
- ix. Misquotation or misrepresentation of other authors
- x. Fraud, misuse of research funds or equipment
- xi. Attempting, planning or conspiring to be involved in research misconduct
- xii. Eliciting others to be involved in research misconduct

15. Research Guidelines and Publications

15.1 The following are intended as useful resources to help inform the development and completion of research related assessments and projects that are ethically sound. The sources lists are not exhaustive.

British Association for Counselling and Psychotherapy, Ethical Principles
http://www.bacp.co.uk/ethical_framework/ethics.php

British Educational Research Association, Research Intelligence
<http://www.bera.ac.uk/publications/ri/>

British Educational Research Association, Research Reviews
<http://www.bera.ac.uk/publications/reviews/>

British Educational Research Association, Revised Ethical Guidelines (2004)
<http://www.bera.ac.uk/files/guidelines/ethica1.pdf>

British Educational Research Association, Good Practice in Educational Research Writing
<http://www.bera.ac.uk/files/guidelines/goodpr1.pdf>

National Patient Safety Agency: National Research Ethics Service
<http://www.nres.npsa.nhs.uk/>

Respect: Professional and Ethical Codes for Socio- Economic Research in the Information Society, The Respect Project
<http://www.respectproject.org/main/index.php>

HE Quality and Standards Handbook

Section 5: Assessment Processes

5.10 Ethical Approval (October 2013) v4.1

The Respect Code of Practice
<http://www.respectproject.org/code/index.php>

UNDER REVIEW

Ethics Proposal

Name:	
Student Number (if applicable):	
Programme of Study (if applicable):	
Part or Full Time Study (if applicable):	

Project Title:	
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SECTION A. THE RESEARCH PROJECT

A1	Aims
What are the aims of your research?	

A2	Project Description
Describe the project, identifying clearly who will be your participants; where your research is to take place; and why you have chosen this group of participants	

A3	Risk: researchers and participants
Please provide a statement explaining any risk to the researcher and participants in undertaking the research	

SECTION B. Consent; confidentiality and anonymity

B1	What steps have you taken to ensure that participation is voluntary?
B2	What information is being given to participants? The proposed Information Sheet must be included.
B3	How is consent being obtained? The proposed Consent Form must be included. (note the information sheet and consent form may

	be one document)
B4	If you are using Children and Vulnerable Adults (undergraduates should be aware that Ethical approval will very rarely be given for direct access to this type of sample group) how is informed consent being obtained? The proposed Consent Form must be included.
B5	How are you ensuring that participants are aware of their right to withdraw?
B6	How will confidentiality and anonymity of participants/subjects be secured?

Signed :	Date:
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Project Supervisor's agreement		
Name :	Signed :	Date:

Authorisation– School/ School Research Ethics Co-ordinator		
Approved:	Not Approved:	
Name :	Signed :	Date:
Comments and/or rationale why not approved:		

This form will be retained for the purposes of assurance of compliance and audit for the duration of the research project and five calendar years thereafter.