White University of York logo

**Department of Environment and Geography, University of York**

**Research Ethics Approval Form (Form 1)**

**Desk-based research using publicly available data or laboratory work not involving human or animal subjects or materials**

# **Read this first**

## **Who should apply?**

You should apply if you are carrying out any research activity or consultancy project through the Department of Environment and Geography, University of York: This includes:

1. Members of academic, research and SEIY staff
2. Honorary members of staff associated with the Department.
3. Research degree students (masters and PhD).
4. Undergraduate students and taught postgraduate students who are doing research projects.

**Can I begin work before the project is ethically approved?**

NO primary data collection can begin until you have approval from one of the following:

1. The Departmental Ethics Committee
2. An External Research Ethics Committee (NHS Research Ethics Committee, Lead Partner University etc) and communication of such to the departmental ethics committee

**What will happen if I proceed without approval or falsely self-certify research ethics approval?**

1. Collecting primary data in the absence of ethical approval or falsely self-certifying the level of risk associated with a project will constitute a disciplinary offence. This will result in:

* + - 1. Student – Disciplinary action resulting in immediate failure in any module or project associated with the research and potentially dismissal from the University.
    1. Staff - Disciplinary action which may potentially lead to dismissal.

If you do not have ethical approval, the University’s insurers will not cover you for legal action or claims for injury. In addition, you may face debarment from membership of some professional or statutory bodies and excluded from applying for some types of employment or research funding opportunities. You may not be able to publish your research.

You should consider the following codes of ethical practice and conduct relevant to your project before completing your form:

[The University’s Code of practice and principles for good ethical governance](https://www.york.ac.uk/staff/research/governance/research-policies/ethics-code/)

[The University’s Research Data Management Policy](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/research-data-management-policy/)

**1. Does this project need a full ethical review?**

**1a)**

Does the project involve collecting primary data from, or about, living human beings? Yes/No

**1b)**

Does the project involve analysing primary or unpublished data from, or about, living human beings? Yes/No

**1c)**

Does the project involve collecting or analysing primary or unpublished data about people who have recently died, other than data that are already in the public domain? Yes/No

**1d)**

Does the project involve collecting or analysing primary or unpublished data about or from organisations or agencies of any kind, other than data that are already in the public domain? Yes/No

**1e)**

Does the project involve research with non-human animals (vertebrates or invertebrates)? Yes/No

**1f)**

Does the project place the participants or the researchers in a dangerous environment, risk of physical harm, psychological or emotional distress? Yes/No

**1g)**

Does your project involve [personal data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/) as defined by the UK GDPR? Yes/No

If you answered **Yes** toany of the questions in 1, you are using the wrong form please look at the other download option – Forms 2 or 3.

**2. Project Information**

**2a)**

Give the title of the project

**2b)**

Name of Principal Investigator (PI) or Research Student and Supervisor

**2c)**

Degree course (students) or SEI-Y or Env & Geography Dept (staff)

**2d)** Names of Co-investigators (CIs) and their organisational affiliation

**2e)**

How many additional research staff will be involved with the data for the project?

Give names and their organisational affiliation (please specify country)

**2f)**

Proposed project start date (At least four weeks in the future)

**2g)**

Estimated project end date

**2h)**

Who is funding the project and has funding been confirmed?

**3. More detail about the project**

**3a)**

What are the aims and objectives of the project?

**3b)**

Briefly describe the principal methods and the sources of data or evidence to be used.

**3c)**

In which country/countries will research be conducted?

**3g)**

In which country/countries will the data analysis take place?

**4. Ethical risks**

Are there any ethical issues or risks of harm raised by your project that you foresee?

If you answered **Yes** to this question, please refer back to other form options (2 and 3).

**5. Principal Investigator’s Declaration**

Please ensure that you can answer YES to all questions below:

**5a)**

I have completed all sections and kept a copy for my own records. Yes/No

**5b)**

I confirm that I will carry out the project in the ways described in this form. I will immediately suspend research and request a new ethical approval if the project subsequently changes the information I have given in this form. Yes/No

I confirm that I, and all members of my research team (if any), have read and agree to abide by the University’s [Code of practice and principles for good ethical governance](https://www.york.ac.uk/staff/research/governance/research-policies/ethics-code/) Yes/No

I confirm that I, and all members of my research team (if any), have read and agree to abide by the [University’s Research Data Management Policy](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/research-data-management-policy/) Yes/No

**Signatures**

Submit this form and any attachments by e-mail **including your surname** in the filename.

You should type your name in the signature space.

An email attachment sent from your University inbox will be assumed to have been signed electronically.

Students must get their Project Supervisor to countersign this declaration. Students should not submit forms directly. The supervisor must check the application and submit it.

**Principal Investigator**

Signed (Type your name)...................................................... (Principal Investigator or Student)

Date .................................................................

Students must ask their Project Supervisor to type their name here and to submit the application.

The email submission will be taken as an electronic countersignature

Countersigned (Type your name)............................................................(Student’s Project supervisor)

Date .................................................................

I have read this form and confirm that it covers all the ethical issues raised by this project

fully and frankly. I also confirm that these issues have been discussed with the student and

will continue to be reviewed in the course of supervision.

**Submit to: environment-ethics@york.ac.uk**

**For office use only**

Date form initially received:

**Date considered by committee:**

**Is full ethical review required – YES/NO (if YES response should encourage applicant to fill out form 2 or 3)**

**Date of reply to applicant:**

Signature: (Chair of Ethics Committee)