

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

**Research Ethics Approval Form (Form 2)**

**Research involving human subjects/participants or using related data not publicly available.**

# **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/)

# [Social media guidelines for researchers](https://www.york.ac.uk/staff/research/governance/research-policies/social-media/)

**1. Does this project need 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

**1f)**

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

If you answered **Yes** toany of these questions, please proceed to **fill out this form**. **Expand spaces as necessary to give full information.**

If you answered **No** to all of the above questions, you are using the wrong form please look at the other download option – Form 1 and Form 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, the sources of data or evidence to be used and the number and type of research participants who will be recruited to /involved in the project.

**3c)**

What research instrument(s), validated scales or methods will be used to collect data (e.g. questionnaires, interview schedules etc)?

**3d)**

If you are using an external research instrument, validated scale or research method, please specify.

**3e)**

If you are not using an externally validated scale or research method, please attach a copy of the research instrument you will use to collect data. For example, a measurement scale, questionnaire, interview schedule, observation protocol for ethnographic work or in the case of unstructured data collection a topic list. **Please submit as attachments to the e-mail that submits this form**.

**3f)**

In which country/countries will research be conducted?

**3g)**

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

**4.** **Does the project require Disclosure and Barring Service (DBS) previously known as Criminal Records Bureau checks?**

**4a)**

Does the project involve direct contact by any member of the research team with children or people under 18 years of age? Yes/No

**4b)**

Does the project involve direct contact by any member of the research team with adults who have learning difficulties? Yes/No

**4c)**

Does the project involve direct contact by any member of the research team with adults who are infirm or physically disabled? Yes/No

**4d)**

Does the project involve direct contact by any member of the research team with adults who are resident in social care or medical establishments? Yes/No

**4e)**

Does the project involve direct contact by any member of the research team with adults in the custody of the criminal justice system? Yes/No

**4f)**

Has a Disclosure and Barring Service (DBS) check been stipulated as a condition of access to any source of data required for the project?

**4 g)**

If you answered **Yes** to **any** of the 4a-f questions, please explain the nature of the contact required and the circumstances in which contact will be made during the project.

If you require a DBS check, please contact the DBS or check their website for more details <https://www.gov.uk/disclosure-barring-service-check/contact-disclosure-and-barring-service>

**5) External Ethical Reviews**

**5a)**

Is this project liable to scrutiny by external ethical review arrangements? Yes/No

**5b)**

Has a favourable ethical opinion been given for this project by a social care research ethics committee, NHS, or by any other external research? Yes/No

**5c)**

Will this project be submitted for ethical approval to a social care committee or any other external research ethics? Yes/No

**Please** submit any external review documents that you can along with this form

**6 Confidentiality and personal data**

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 answer YES to 6, please continue, if you answer NO, please go to 11**

|  |
| --- |
| **7a)**What types of personal data will you be collecting and/or processing?[Use as many terms from the following list as apply: [personal data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/); [special category personal data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/#:~:text=Special%20category%20data%20is%20a%20subset%20of%20personal%20data%20that%20requires%20even%20more%20protection.%20It%20includes%20data%20relating%20to%3A); [criminal offence or conviction data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/#:~:text=Criminal%20offence%20and%20conviction%20data%20is%C2%A0afforded%20even%20more%20protection%20under%20UK%20GDPR); data of children (under 18 years of age); data on vulnerable individuals (e.g. elderly or individuals with certain disabilities); Pseudonymised data (e.g. an NHS digital dataset); anonymised data where there is a risk of re-identification].**7b)** Describe the nature of the personal or special category data you will be collecting or using (e.g. opinions, contact details, financial information, health data, information about beliefs)? N.B. This response should be in line with the project details given in section 3 above and any attached research instruments (e.g. questionnaire survey)**7c)**Where will the personal data be sourced from (e.g. direct from the participant, from a (named) organisation/source, indirectly from observation, national data registry, from social media, etc.)?**7d)**If the data is from NHS Digital, a registry (e.g. Eurostat) or organisation, give the identifiers for the datasets and/or reference the sharing agreements |

**8. Data Protection Impact Assessment**

In line with UK Data Protection requirements, please confirm that you have completed the [Data Protection Impact Assessment Screening Questionnaire](https://docs.google.com/forms/d/e/1FAIpQLScAt2F-SnHGxCIe39-aDLRuZGhXHJEBiRSlS5SKv32Yy8Lv1A/viewform). (Guidance regarding this can be found on the [DPIA information page](https://www.york.ac.uk/records-management/dp/dataprivacyimpactassessments/))

Yes/No

If the screening questionnaire confirms you need to carry out a DPIA have you completed this and received approval from the University’s Information Governance team? Yes/No

**9. Data protection by design and default**

**9a)**

Will you be collecting the minimum amount of personal data necessary for the specified research purpose e.g. ensuring all data to be captured can be justified? Yes/No

**9b)**

Will you use the data only for the purposes of this research project? Yes/No

**9c)**

If you plan to use the data for additional purposes, will you bring this to the attention of the research participants at point of data collection or, where this is not possible, the University’s Data Protection Officer? Yes/No

**9d)**

Will you anonymise personal data wherever and as soon as possible: either at point of data capture, collation, analysis or output? Yes/No

**9e)**

Will you use pseudonymised data wherever possible in cases where information cannot be anonymised e.g. will you separate research participant contact details from the data to be analysed and/or remove identifiers e.g. specific date of birth and replace with age within a date range? Yes/No

**9f)**

Will you issue research participants with a [GDPR compliant participant information sheet/privacy notice](https://www.york.ac.uk/records-management/dp/guidance/gdprcompliantresearch/) at the point of data collection (an example is given with the department ethics information) and will you attach your sheet/notice with this form when submitted? Yes/No

**9g)**

No personal data will be processed to take ‘measures or decisions’ about particular individuals? [exceptions can apply in the case of (NHS REC) approved medical research]. Yes/No

**9h)**

Where you are working collaboratively, will you document data flows between the various research partners (e.g. in a basic data flow diagram) and retain a copy of this document with your ethics application? Yes/No

**9i)**

Where you are working collaboratively, will you ensure the Research and Knowledge Exchange Contracts Team are consulted before any data is gathered or shared to ensure appropriate contracts and/or data sharing arrangements are in place? Yes/No

**9j)**

Where you are looking to engage third party services such as a transcription service, will you ensure the Research and Knowledge Exchange Contracts Team are consulted before any data is gathered or shared to ensure appropriate contracts and/or data sharing arrangements are in place? Yes/No

**9k)**

Where you are working collaboratively, will you ensure data transfers to the collaborators are undertaken in accordance with [IT guidance](https://www.york.ac.uk/it-services/security/encryption/#tab-2.)? Yes/No

**9l)**

Will you ensure that no data subjects will be identifiable in the final research output / data publication(s)? (E.g. there will be no publication of direct quotations from respondents or publication of data that might allow the identification of individuals). Yes/No

**9m)**

If you answered no, to any of 9a-9l, please confirm that you have consulted the University’s Information Governance team and obtained any necessary approval. Yes/No

**10. Data retention**

Data retention may be set by University policy, a data sharing agreement/data provider, be based on professional guidelines, or be approved by a York ethics committee. If the data is not going to be destroyed within a set time-scale please include a justification for this. The University's Research Data Management (RDM) policy applies to research undertaken by postgraduate research students and research staff only. This recommends retaining important data for a period of 10 years. Taught students should retain such data until their degree is awarded. Useful links are given with questions and another useful link on [data sharing is here](https://www.york.ac.uk/library/info-for/researchers/data/sharing/).

**10a)**

Where will results that include/may include personal data be reported and disseminated (e.g. reference data output, research publication)?

**10b)**

[How long will you keep personal data after the project](https://www.york.ac.uk/library/info-for/researchers/data/sharing/#tab-1), in what form and for what reason?

**10c)**

When will the research data be [destroyed, by whom, and how](https://www.york.ac.uk/library/info-for/researchers/data/sharing/#tab-2)?

**10d)**

Will any personal or special category data (i.e. data that is not truly and irrevocably anonymised) be deposited in an archive or external repository? Yes/No/NA

**10e)**

Where personal data are to be transferred to an archive or repository, please confirm that your information sheet or privacy notice will: (i) cover the archiving and reuse of any personal data and participant agreement to this;(ii) explain to participants the benefits of any data sharing; (iii) indicate where possible whether research data will be deposited in a named, recognised repository (e.g. Archaeology Data Service, UK Data Service, York’s institutional repository, etc.) Yes/No/NA

**10f)**

Where you have special category personal data or criminal data, will it be destroyed in line with an agreed retention policy (set by the University, the data provider, or approved by this ethics committee)? Yes/No/NA

**The rest of the form is for all applicants, regardless of whether personal data are being processed**

**11. Informed consent**

**11a)**

Will all participants be fully informed why the project is being conducted and what their participation will involve, and will this information be given before the project begins? Yes/No/NA

**11b)**

Will every participant be asked to give informed consent to participating in the project, before it begins? Yes/No/NA

**11c)**

Will all participants be fully informed about what data will be collected, and what will be done with these data during and after the project (note if [personal data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/) is collected you should have completed sections 7 to 10)? Yes/No/NA

**11d)**

Will every participant understand what rights they have not to take part, and/or to withdraw themselves and their data from the project if they do take part? Yes/No/NA

**11e)**

Will every participant understand that they do not need to give you reasons for deciding not to take part or to withdraw themselves and their data from the project and that there will be no repercussions as a result? Yes/No/NA

**11f)**

If you seek audio, video or photographic recording of participants, will consent be sought? Yes/No/NA

**11g)**

If the project involves deceiving, or covert observation of, participants, will you debrief them at the earliest possible opportunity? Yes/No/NA

**11h)**

Explain how you will implement the informed consent scheme and attach copies of your participant information, consent scheme and privacy notice If personal data being collected)

**11i)**

 If you answered NO to any of a-e, please give a full explanation here.

**12. Data Security**

**12a)**

How will the data be collected and stored electronically?

**12b)**

Please detail who will have control of, and act as custodian(s) for, data generated by the study.

**12c)**

Will you use University approved software? (if no, please provide further details and consult IT Services before proceeding)

**12d)**

Will you use University approved file storage (Google Drive, University networked storage, research computing)? (if no, please provide further details)

**12e)**

Will you store personal or confidential data on laptop(s) with appropriate device encryption? (if no,

please provide further details)

**12f)**

If capturing audio, will you use an encrypted device for recording (e.g. an Apple iOS device or encrypted voice recorder)? (if no, please provide further details)

**12g)**

Where data is held on an encrypted portable device (e.g. laptop, tablet) will you back it up to a University approved service as soon as possible and perform periodic checks to ensure data is being backed up appropriately? Yes/No/NA

**12h)**

Will you ensure confidential information is encrypted before it is transmitted/shared digitally? Yes/No/NA

**12i)**

Please detail what other protections will be used for digital data (e.g. access/edit permissions, procedural safeguards re downloads/making copies, remote access via VDS/VPN, 2 factor authentication)?

**12j)**

Have you reviewed the user commitments under the [Policy for the safe use of University information on devices](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/safe-use-of-information-on-devices/guidance/). Yes/No

**12k)**

Detail anything in the user commitments that will pose a challenge in carrying out your proposed research.

**12l)**

How will hard copy/analogue data (e.g. in paper form) be collected, sent and stored?

**12m)**

Will you ensure that personal data or confidential data held on paper are stored in a lockable filing cabinet or container, and/or a locked room in secure premises? (if no, please provide further details)

**12n)**

How will devices be physically protected (e.g. in transit, when not in use or left unattended)?

**12o)**

Will you ensure the device(s), accounts, or storage area(s) used to store data are not accessible to any unauthorised parties? Yes/No

**12p)**

Set out any other measures or procedures for maintaining the confidentiality of information about the participant and information that the participant shares (e.g. other methods of anonymisation).

**13. Risk of harm**

**13a)**

Is there any significant risk that your project may lead to physical harm to participants or researchers? Yes/No

**13b)**

Is there any significant risk that your project may lead to psychological or emotional distress to participants? Yes/No

**13c)**

Is there any significant risk that your project may lead harm to the reputation of participants, or their employers, or of any other persons or organisations? Yes/No

**13d)**

Is there a significant possibility that the project will encourage children under 18 to access inappropriate websites, or correspond with people who pose risk of harm? Yes/No

**13e)**

Will the project incur any other risks that arise specifically from the use of electronic media ([useful link to social media research](https://www.york.ac.uk/staff/research/governance/research-policies/social-media-data-use-research/social-media-examples/))? Yes/No

**13f)**

If you answered Yes to any of a-e: explain the nature of the risks involved; why it is necessary for the participants or researchers to be exposed to such risks; how you propose to assess, manage and mitigate any such risks; the arrangements by which you will ensure that participants understand and consent to these risks; the arrangements you will make to refer participants or researchers to sources of help, if they are seriously distressed or harmed as a result of taking part in the project; the arrangements for recording and reporting any adverse consequences of the research.

**14.** **Risk of disclosure of harm or potential harm**

**14a)**

 Is there a significant risk that the project will lead participants to disclose evidence of previous criminal offences, or their intention to commit criminal offences? Yes/No

**14b)**

Is there a significant risk that the project will lead participants to disclose evidence that children or vulnerable adults are being harmed, or are at risk of harm? Yes/No

**14c)**

Is there any significant risk that your project may lead harm to the reputation of participants, or their employers, or of any other persons or organisations? Yes/No

**14d)**

Is there a significant risk that the project will lead participants to disclose evidence of serious risk of other types of harm? Yes/No

**14e)**

If you answered **Yes** to any of these questions explain: why it is necessary to take the risks of potential or actual disclosure; what actions you would take, if such disclosures were to occur; what information you will give participants about the possible consequences of disclosing information about criminal or serious risk of harm.

**15.** **Payment of participants**

**15a)**

Do you intend to offer participants cash payments or any other kind of inducements or compensation for taking part in your project? Yes/No

**15b)**

Is there any significant possibility that such inducements will cause participants to consent to risks that they might not otherwise find acceptable? Yes/No

**15c)**

Is there any significant possibility that the prospect of payment or other rewards will systematically skew the data provided by participants in any way? Yes/No

**15d)**

Will you inform participants that accepting compensation or inducements does not negate their right to withdraw from the project? Yes/No

**15e)**

If you answered Yes to any of these questions explain the nature of the inducements or the amount of the payments that will be offered; the reasons why it is necessary to offer payments; why you consider it is ethically and methodologically acceptable to offer payments.

**16. Capacity to give valid consent**

**16a)**

Do you propose to recruit any participants who are under 18 years of age? Yes/No

**16b)**

Do you propose to recruit any participants who have learning difficulties? Yes/No

**16c)**

Do you propose to recruit any participants with communication difficulties, including difficulties arising from limited facility with the English language? Yes/No

**16d)**

Do you propose to recruit any participants who are very elderly or infirm? Yes/No

**16e)**

Do you propose to recruit any participants with mental health problems or other medical problems that may impair their cognitive abilities? Yes/No

**16f)**

Do you propose to recruit any participants who may not be able to understand fully the nature of the research and the implications for them of participating in it? Yes/No

**16e)**

If you answered Yes to any of the questions explain: how you will ensure that the interests and wishes of participants are understood and taken in to account; how in the case of children the wishes of their parents or guardians are understood and taken into account.

**17. Is participation genuinely voluntary?**

**17a)**

Are you proposing to recruit participants who are employees or students of the University of York or of organisation(s) that are formal collaborators in the project? Yes/No

**17b)**

Are you proposing to recruit participants who are employees recruited through other business, voluntary or public sector organisations? Yes/No

**17c)**

Are you proposing to recruit participants who are pupils or students recruited through educational institutions? Yes/No

**17d)**

Are you proposing to recruit participants who are clients recruited through voluntary or public services? Yes/No

**17e)**

Are you proposing to recruit participants who are living in residential communities or institutions? Yes/No

**17f)**

Are you proposing to recruit participants who are in-patients in a hospital or other medical establishment? Yes/No

**17g)**

Are you proposing to recruit participants who are recruited by virtue of their employment in the police or armed services? Yes/No

**17h)**

Are you proposing to recruit participants who are being detained or sanctioned in the criminal justice system? Yes/No

**17i)**

Are you proposing to recruit participants who may not feel empowered to refuse to participate in the research? Yes/No

**17j)** If you answered Yes to any of these questions explain: how your participants will be recruited; what steps you will take to ensure that participation in this project is genuinely voluntary.

**18. Other ethical risks**

**18a)**

Are there any other ethical issues or risks of harm raised by your project that have not been covered by previous questions? Yes/No

**18b)**

If you answered Yes to this question, explain: the nature of these ethical issues and risks; why you need to incur these ethical issues and risks; how you propose to deal with these ethical issues and risks.

**19. Principal Investigator’s Declaration**

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

**19a)**

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

**19b)**

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

**19c)**

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

**19d)**

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:

Approve? Yes/No (if no give details in Comment section below detailing potential actions)

Comments:

Date of reply to applicant:

Signature: (Chair of Ethics Committee)