

**Research Ethics and Integrity Committee**

**Huddersfield Business School Research Ethics Policy**

*This version is issued by the Huddersfield Business School Research Ethics Committee on April 2021*

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## Research Ethics and Integrity Committee

### 1. Research Ethics Governance

The University has established a framework for the governance of research ethics and integrity in which the University's Research Ethics and Integrity Committee reports to the Senate and has responsibility for the oversight of relevant issues arising from research, the formulation of relevant policies, and the consideration of significant or complex issues arising from particular research.

The University's policies are set out in the following documents:

- University Research Ethics and Integrity Policy  
[https://www.hud.ac.uk/media/policydocuments/Research-Ethics-and-Integrity-Policy.pdf#\\_ga=2.154577073.880016243.1617634044-1341018042.1572108206](https://www.hud.ac.uk/media/policydocuments/Research-Ethics-and-Integrity-Policy.pdf#_ga=2.154577073.880016243.1617634044-1341018042.1572108206)
- University Code of Practice for Research  
[https://www.hud.ac.uk/media/policydocuments/Code-of-Practice-for-Research.pdf#\\_ga=2.154577073.880016243.1617634044-1341018042.1572108206](https://www.hud.ac.uk/media/policydocuments/Code-of-Practice-for-Research.pdf#_ga=2.154577073.880016243.1617634044-1341018042.1572108206)
- This Policy should be read in conjunction with the University Policies on Intellectual Property, Whistleblowing, Research Misconduct, Open Access Publishing, Data Protection, Research Data Management, relevant Staff or Student Disciplinary procedures. In cases of conflict between this policy and another, this policy will prevail for matters directly relevant to its remit.

### 2. Research Ethics Principles

The University has an obligation to ensure that:

1. research complies with:
  - a. statutory requirements (including local requirements where research is undertaken outside the UK)
  - b. applicable national and international codes of ethical practice (including local requirements where research is undertaken outside the UK),
  - c. guidelines set out by relevant professional bodies
  - d. University policies relating to donations, gifts, hospitality and the Anti-Corruption, Bribery and Fraud Policy
2. research is conducted in a way that safeguards the health and well-being of those conducting or participating in the research or who may be impacted by the research. Wherever possible, risks should be identified in advance so that they can be evaluated, monitored and appropriately managed
3. conclusions from research are published and disseminated appropriately
4. those conducting research:
  - a. are impartial
  - b. are independent
  - c. have been appropriately trained
  - d. are as transparent as possible in declaring funding sources
  - e. give consideration to the commercial, political, cultural or ethical sensitivity of particular types of research
  - f. declare offers of donations, gifts and hospitality in accordance with the Expenses and Benefits Manual and the Anti-Corruption, Bribery and Fraud Policy
5. the dignity of those participating in or a subject of the research is respected – including:
  - a. opportunity to consent to participate, withdraw from or refuse to take part in projects

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- b. ensuring that participation is on the basis of fully informed consent
- c. maintaining confidentiality
- d. safeguarding the security of data – including anonymisation, future use and disposal of data as appropriate
- e. due regard for the vulnerability of any individual or group – including children, young people and vulnerable adults

### **3. Business School Research Ethics and Integrity Committee**

Responsibility for the ethical review and research project approval process in the Business School is devolved Business School Research Ethics and Integrity Committee. The Business School Research Ethics Policy outlined in this document are based on University policy, contextualised to the Business School.

The Business School Research Ethics and Integrity Committee has responsibility for:

- the operational review of ethical issues arising from research proposals, auditing and monitoring compliance, and disseminating good practice in the Business School
- operational responsibility for the implementation of the University's policies and procedures in relation to research ethics
- ensuring that staff and students have appropriate training in the ethical conduct of research – including health and safety issues
- establishing and disseminating procedures for the ethical approval process
- promote and increase awareness of research integrity in the Huddersfield Business School, particularly on the issues of fabrication, falsifications and omission of results, plagiarism, granting and non-granting of authorship and publishing in predatory journals
- To ensure staff have appropriate training in research integrity and keep relevant records
- ensuring that relevant guidance and forms are readily available
- establishing review mechanisms for research projects to ensure continued compliance with the ethical approval process
- submission of minutes and reports on its activities, as required, to the UREIC.

The Terms of Reference are set out in Appendix A.

### **4. Scope and Purpose of the Business School Research Ethics Policy**

All Business School staff and students undertaking research have a responsibility to undertake research activities with the highest possible standards of integrity and practice. This policy applies to all academic, research and administrative staff, and all taught and research students who are engaged in research projects at any level.

This document outlines the standards for research and the responsibilities of those involved. It is designed to ensure that research conducted in the Business School operates in

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accordance with appropriate ethical, legal and professional frameworks and standards. The University expects all those engaged in research to observe and uphold these principles which are designed to enhance research quality and integrity.

Where research is undertaken in conjunction with a third party, the University expects all members of the collaboration to comply with the ethical codes in place at both the University of Huddersfield and the partner institution or organisation. Should there be an absence of an ethical code or a lower requirement in place at the third party, the University Policy will prevail.

### 5. Categories of ethical approval applicants

All staff and students are expected to be aware of the ethical approval process and are responsible for applying for the appropriate level of ethical approval. The approval process will depend on the applicant status (staff / student) and the nature of the work to be undertaken.

**Staff.** The nature of the application depends on the level of risk, outlined in Table 1. Applications with a category of 'limited risk' or 'significant risk' will be considered directly by the Business School Research Ethics and Integrity Committee. Research proposals that include staff from more than one School should be submitted to the School of the person named as the main supervisor (in the case of a student) or the lead researcher (in the case of staff teams).

**Postgraduate research students (PGR).** The nature of the application depends on the level of risk, outlined in Table 1. Applications with a category of 'limited risk' or 'significant risk' will be considered directly by the Business School Research Ethics and Integrity Committee. The Business School Research Ethics and Integrity Committee is normally responsible for students registered in the Business School or whose main supervisor is located in the Business School. Students who are registered for awards in a different School within the University of Huddersfield or who are registered for a research award at another University should apply for ethical approval in the school / institution where they are registered. Ethical approval must be secured before any data collection involving human participants can commence.

**Bachelors / Masters taught (UGT / PGT) students.** Ethical review for UGT and PGT approval is devolved from the Business School Research Ethics Committee to course teams. Course teams are responsible for scrutinising applications from taught students' whose work falls within the category of 'limited risk' or 'significant risk'. Course teams are expected to demonstrate that appropriate scrutiny is in place.

### 6. Categories of ethical approval risk

Approval needed depends on the nature of the research and the level of risk it entails. The levels of risk are:

- No specific risk (No ethical review required)
- Potential risk. Please refer to Table 1 for the Business School Research Ethics and Integrity Committee category descriptors of each level of risk and level of approval required.

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Table 1: Types of Ethics Application

	<b>Type of risk</b>	<b>Indicative type of project</b>	<b>Business School Ethics Committee requirement</b>
No specific risk	<p>Research that has no specific risk would typically have:</p> <ul style="list-style-type: none"> <li>• No direct contact with human / animal participants</li> <li>• No access to identifiable personal data for living individuals not already in the public domain</li> <li>• No danger of psychological or physical harm for the researcher(s) or subject(s)</li> <li>• Does not involve research into potentially sensitive topics</li> <li>• Does not use students as research assistants</li> </ul>	<p>Examples of research that typically falls into this category includes secondary analysis of public data, use of media publications, desk based reviews, systematic reviews, conceptual or theoretical work, mathematical reasoning, some philosophical work etc.</p>	<p>Staff: A declaration is provided on the annual REAP form to declare 'No Specific Risk' projects. If appropriate, staff can complete a No Specific Risk Declaration Form during the academic year for consideration by the Research Mentor.</p> <p><b>PGR students</b> should complete a No Specific Ethical Risk Declaration form and submit it to the supervisor.</p> <p><b>Bachelors / Masters students</b> should complete a No Specific Ethical Risk Declaration form and submit to the supervisor.</p>
Potential risk	<p>Research that includes any of the following is considered as having potential risk:</p> <ul style="list-style-type: none"> <li>• Direct contact with human / animal participants</li> <li>• Access to identifiable personal data for living individuals not already in the public domain.</li> </ul>	<p>Survey work of individuals, companies, interviewing, focus groups, observation (non-covert)</p> <p>Covert observation, providing participants with false information, studies in which full</p>	<p><b>Staff</b> should complete a Business School Research Ethics and Integrity Committee application for review by the Committee.</p> <p><b>PGR students</b> should complete a Business School Research</p>

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	<ul style="list-style-type: none"> <li>• Potential danger of psychological or physical harm for the researcher (s) or subject(s)</li> <li>• Research into potentially sensitive topics</li> <li>• Use of students as research assistants</li> <li>• covert information gathering or deception</li> <li>• children under 18 or subjects who may be unable to give fully informed consent *</li> <li>• prisoners or others in custodial care (e.g. young offenders)</li> <li>• significantly increased danger of physical or psychological harm for researcher(s) or subject(s), either from the research process or from publication of research findings</li> <li>• joint responsibility for the project with researchers external to the University.</li> </ul>	<p>participant information is not disclosed</p>	<p>Ethics Committee application for review by the Committee</p> <p><b>Bachelors / Masters students</b> should complete a Business School Research Ethics and Integrity Committee application for review by the supervisor.</p>
<p>Security Sensitive data</p>	<p>Research that involves accessing security sensitive materials will require ethical approval of at least School and potentially University level. This material could be accessed easily and securely by researchers but would not be transmitted or exchanged. Security sensitive materials are confirmed as research:</p> <ul style="list-style-type: none"> <li>• commissioned by the military</li> <li>• commissioned under an EU security call which involves the acquisition of security clearances</li> <li>• concerns terrorist or extremist groups</li> </ul>		<p>The Business School Research Ethics and Integrity Committee Chair will review the case and assess how the case should be handled.</p>

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### **7. Business School Research Ethics and Integrity Committee procedures (PGR and staff research)**

A flow diagram summarising the application process for PGR and staff is shown in Appendix 1.

#### **Application**

Applicants should review the Business School Research Ethics and Integrity Committee guidance and determine whether they are required to make an application. Applicants should read the guidance information, complete the relevant form and provide supplementary documents. Relevant proformas are provided in the appendices of this policy.

#### **Review**

All applications are sent to two reviewers.

Each reviewer will complete a review proforma independently. Each reviewer must make a recommendation.

#### **Decision**

The Chair will make a decision based on the recommendations of the reviewers. In cases where the reviewers recommend different outcomes, the Chair will normally review the evidence and take a decision.

The review process will conclude one or (where appropriate) a combination of the following outcomes.

**Approval:** project to proceed with no change

**Approval with recommendation(s):** the project is approved but the applicant may wish to consider recommendations made by the reviewers. No further consideration for approval is required

**Approval subject to conditions to be met:** the project cannot go ahead until the identified revisions have been made and confirmed as approved by the Chair of the Business School Ethics Committee

**Further information is required:** if the reviewers consider that the applicant has not included sufficient detail to allow an informed judgement to be made, the applicant will be requested to supply clarification/additional evidence in support of the case. In cases where the application raises fundamental ethical concerns, the case may be discussed by the full committee

**Not approved:** the project cannot proceed. The Chair of the Business School Ethics Committee will give an explanation of the reasons for this decision

**No decision/reject:** this indicates that the project will need to be reviewed by the next step in the process of approval. In the first instance, the Chair of the Business School Research Ethics and Integrity Committee will assess how the case is best processed

#### **Notification and Feedback**

Notification of the outcome will normally be provided within three weeks via email. For PGR applications, the PGR administration team and the main supervisor will also be notified of the outcome.



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The Chair of Business School Research Ethics and Integrity Committee will provide written feedback detailing terms of approval, requirements, or recommendations as may be deemed appropriate.

### **Appeal**

If an application is not approved as a result of an initial ethical review, the researcher may appeal against that decision by submitting a request for review to the next step in the process of approval.

### **Monitoring**

Once approved, it is the responsibility of the researcher to ensure that the research is carried out in compliance with the terms of approval. If changes are made to the project after approval has been granted and those changes would have merited mention on the initial application, the researcher must inform the reviewing body which approved the initial application. That body will then advise the researcher on the required course of action.

#### **Monitoring of staff research**

Confirmation of compliance with the research ethical process is managed via the annual individual research audit linked to appraisal which is completed by all academic staff. Staff are expected to confirm compliance with the University policy and procedures and sign the audit document accordingly. They are also expected to include a summary of the ethical approvals associated with their portfolio of research projects, either explaining why ethical approval was not required or how the project was completed in accordance with the ethical approval that had been previously granted.

#### **Monitoring of PGR research**

Confirmation of compliance with the research ethical process is managed via the Progression Monitoring exercises. The exercise includes a specific requirement for the student to reflect on ethical approval as part of the submitted report – either explaining why ethical approval was not required or how the project was completed in accordance with the ethical approval that had been previously granted.

## **8. Bachelors / Masters taught course approval procedures**

Responsibility for ethical review for Bachelor and Masters taught courses is devolved to course teams. Course teams are responsible for conducting ethical review for student dissertation / research work, informing students of the relevant processes. Course teams should report on compliance to the Business School Research Ethics and Integrity Committee annually.

### **Application**

Students should read the guidance information and complete the relevant form and provide supplementary documents. Relevant proformas are provided in the appendices of this policy.

### **Review**

Student applications should normally be reviewed by the main supervisor. Course teams may nominate another reviewer where appropriate.

### **Decision**

Normally, the supervisor will make one of the following decisions.

**Approval:** project to proceed with no change

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**Approval with recommendation(s):** the project is approved but the applicant may wish to consider recommendations made by the reviewer. No further consideration for approval is required

**Approval subject to conditions to be met:** the project cannot go ahead until the identified revisions have been made and confirmed by the reviewer

**Further information is required:** if the reviewer considers that the applicant has not included sufficient detail to allow an informed judgement to be made, the applicant will be requested to supply clarification/additional evidence in support of the case. In cases where the application raises fundamental ethical concerns, the case may be discussed by a panel convened by the Course team (Course Approval Panel).

**Not approved/reject:** the project cannot proceed. The reviewer will give an explanation of the reasons for this decision

### **Notification and Feedback**

Notification of the outcome will normally be provided by the supervisor via email.

### **Monitoring of taught course research**

Confirmation of compliance with the research ethical process must be included in a statement in the student's submitted project to explain why ethical approval was not required or to confirm that the project was completed in accordance with the ethical approval that had been previously granted. It is recommended some course teams may also require that the completed approved ethics form is uploaded onto the virtual learning environment.

### **9. Research Ethics Training and Development**

The University offers training and briefing sessions, co-ordinated and facilitated by the Research and Enterprise Office in collaboration with the Staff Development Office.

Guidance and support will be provided by the University through the provision of guidance notes and web-based resources that can be accessed via links on the Research and Enterprise webpages or UniLearn as appropriate.

### **10. Suitability of funders/collaborators**

The University's policy is that it does not knowingly collaborate with, or accept any monies from, sources of funding where the aims of the bodies concerned:

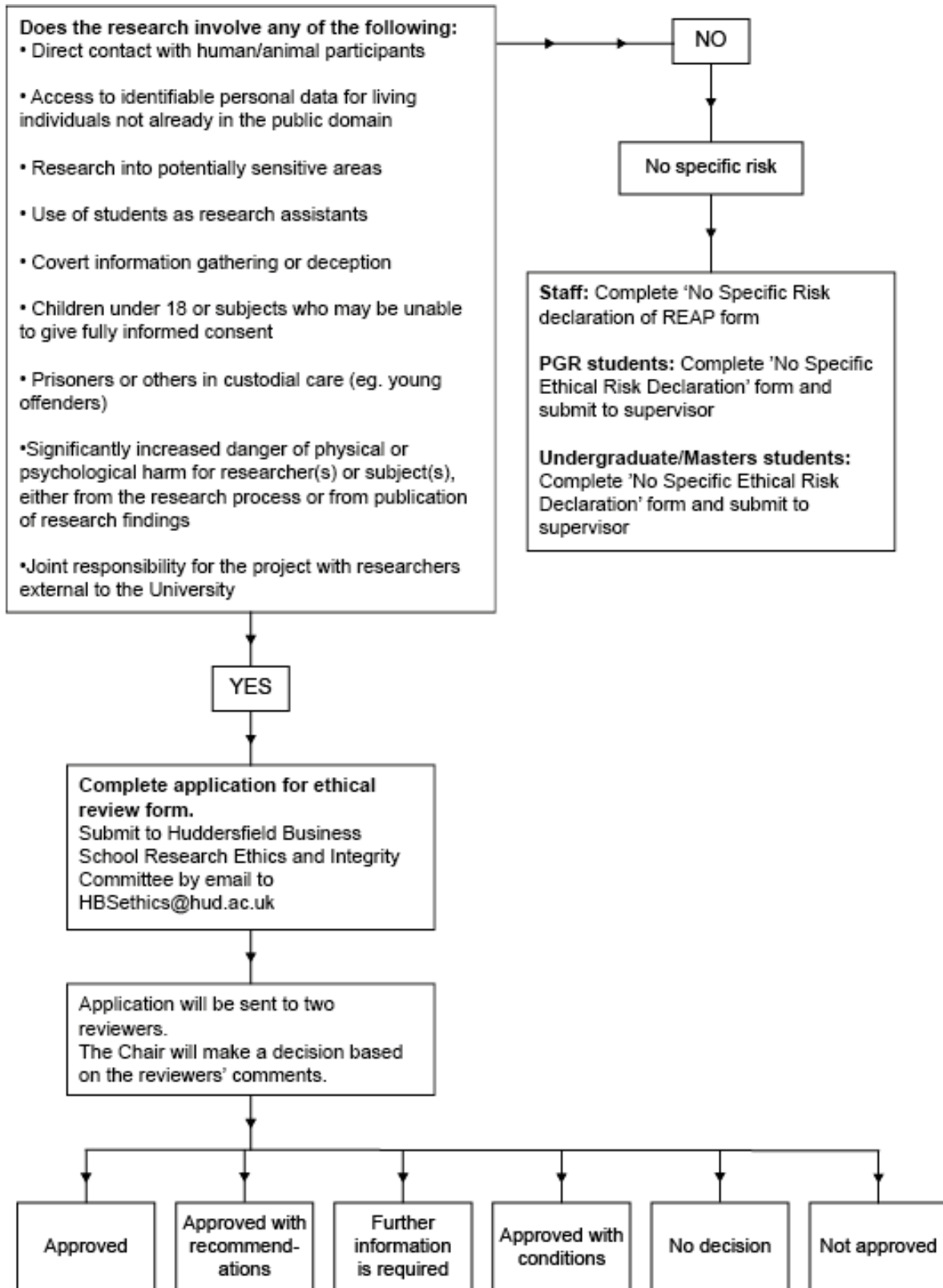
- are illegal under UK law
- are contrary to the research, education or wider aims or objectives of the University
- may damage the reputation of the University.

Anyone with concerns regarding the nature of a potential funding body or collaborator should contact the PVC Research & Enterprise.

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11. **Appendix 1: Flow chart of ethical approval requirements (Staff / PGR)**

**Project Proposal  
Consideration for research ethics approval requirements**



**All correspondence is via email  
Applications will be filed and stored**

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### **12. Appendix 2: Business School Research Ethics and Integrity Committee Terms of Reference**

#### **Purpose**

The Business School Research Ethics and Integrity Committee is responsible to School Board for the development and implementation of research ethics review policy and procedures.

#### **Terms of Reference**

1. To have operational responsibility for the implementation of the University's policies and procedures in relation to research ethics in the Business School
2. To ensure that staff and students have appropriate training in the ethical conduct of research – including health and safety issues
3. To establish and disseminate procedures for the ethics approval process within the Business School
4. To ensure that relevant guidance and ethical review forms are readily available
5. To establish review mechanisms for research projects to ensure continued compliance with the ethical approval process
6. To promote and increase awareness of research integrity in the Huddersfield Business School, particularly on the issues of fabrication, falsifications and omission of results, plagiarism, granting and non-granting of authorship and publishing in predatory journals
7. To ensure that staff have appropriate training in research integrity and keep relevant records
8. To submit minutes and reports on its activities, as required, to the University Research Committee
9. To forward unresolved ethical issues relating to activities in the Business School to the University Research Committee

#### **Membership**

##### Voting members

Chair  
Departmental representatives for all Business School Departments  
Associate Dean of Research  
Director of Graduate Education  
LIDC representative

##### In attendance

Secretary

#### **Quoracy**

Any two members to include the Chair (or his/her nominee)

#### **Mode of Operation**

1. The Committee shall meet at least three times per year and report to the Business School Board.

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2. The Chair or, by delegation, his/her nominee, shall have authority to act on its behalf after consultation with appropriate University officers. Details of any action will then be reported back to the Committee.
3. In the case of a tied vote the Chair of the meeting will hold the casting vote.

The Committee shall have the power to co-opt such additional members as are necessary for the conduct of its business.

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13. **Appendix 3: No Specific Ethical Risk Declaration (E0)**

**NO SPECIFIC ETHICAL RISK DECLARATION - E0**

Before completing this form, please refer to the [Huddersfield Business School Research Ethics web pages](#). Applicants should consult the appropriate ethical guidelines.

<b>Name of Applicant</b>	
<b>Student number (if applicable)</b>	
<b>Programme and module</b>	
<b>Title of research</b>	
<b>Proposed research start date</b>	

In signing this declaration, I am confirming that my proposed project does not involve:

- direct contact with human or animal participants
- access to identifiable personal data for living individuals not already in the public domain
- increased danger of physical or psychological harm for researcher(s) or subject(s)
- research into potentially sensitive areas
- use of students as research assistants
- joint responsibility for the project with researchers external to the University.

My proposed research does not therefore require an ethical review and I have not submitted a Research Ethics Application Form.

If any changes to the research involve any of the criteria above, I will resubmit the research for approval.

<b>Researcher</b>	<b>Supervisor</b>
<b>Signature:</b>  _____	<b>Signature:</b>  _____
<b>Date:</b>  _____	<b>Date:</b>  _____

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**14. Appendix 4: Application for Ethical Review (E1)**

**APPLICATION FOR ETHICAL REVIEW – E1**

- Please complete and return via email to [HBSethics@hud.ac.uk](mailto:HBSethics@hud.ac.uk) along with the required documents.
- Before completing this application, please refer to the [Huddersfield Business School Research Ethics web pages](#). Applicants should consult the appropriate ethical guidelines.
- ALL Sections must be completed. You will only be able to start the research when you have been granted permission to use the specified material.
- Please provide sufficient detail to assess strategies used to address ethical issues in the research proposal. Forms with insufficient detail will need to be resubmitted.
- This form should be completed and kept by the principal investigator.
- The final responsibility for ensuring that ethical research practices are followed rests with the principal investigator for staff research projects.

**SECTION A: APPLICANT(S) DETAILS**

This application is for:

<b>Staff</b>	<input type="checkbox"/>
<b>Student</b>	<input type="checkbox"/>

<b>Name of the Applicant (Principal Investigator/PGR)</b>	
<b>Student number (if applicable)</b>	
<b>Names of the other Researchers in the project</b>	
<b>Names of supervisors (if applicable)</b>	
<b>Title of research</b>	
<b>Proposed project start date</b>	

**SECTION B: DECLARATIONS**

<b>I confirm that I have read, understood and followed the guidance in the Ethical Review Guidance document: available <a href="#">here</a></b>	<input type="checkbox"/>
<b>I confirm that I have read and understood the University Research Ethics Policy: available <a href="#">here</a></b>	<input type="checkbox"/>
<b>I confirm that I have read and understood the University of Huddersfield research data management policy: available <a href="#">here</a></b>	<input type="checkbox"/>
<b>I confirm that I will respect and adhere to the decision and guidance that result from this application</b>	<input type="checkbox"/>
<b>I confirm that if the circumstances and/or methods of my research change, I will seek further advice/approval from the Huddersfield Business School Research Ethics and Integrity Committee</b>	<input type="checkbox"/>

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**SECTION C: RESEARCH STUDY DETAILS**

<b>Rationale, aims and objectives</b>	Details:
<b>Brief overview of methodology</b> Needs to be explained in sufficient detail to show the approach used (e.g. survey) and explain the research methods to be used during the study.	Details:
<b>Is this a retrospective application?</b> If Yes, please provide details of why it was not possible to obtain ethical approval before the project started.	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes explain here why this has arisen.
<b>Has this research received funding?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes please give details.

**SECTION D: DATA COLLECTION AND PARTICIPANT DETAILS**

<b>Does the research involve any of the following?</b> <ul style="list-style-type: none"> <li>• Patients recruited because of their past or present use of the NHS or Social Care</li> <li>• Relatives/carers of patients recruited because of their past or present use of the NHS or Social Care</li> <li>• Access to data, organs or other bodily material of past or present NHS patients</li> <li>• Foetal material and IVF involving NHS patients</li> <li>• NHS Staff</li> <li>• The recently dead in NHS premises</li> <li>• Prisoners or others within the criminal justice system recruited for health-related research</li> <li>• Police, court officials, prisoners or others within the criminal justice system</li> <li>• Participants who are unable to provide informed consent due to their incapacity even if the project is not health related</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No If you have answered yes then you must seek the appropriate external approvals from the NHS, Social Care or the National Offender Management Service (NOMS) under their independent Research Governance schemes. Contact <a href="mailto:HBSethics@hud.ac.uk">HBSethics@hud.ac.uk</a> for information and support.
<b>Who will be the participants of your research?</b>	Details:



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<b>What are the arrangements for selecting/sampling and contacting potential participants?</b>	Details:
<b>Will any of the participants be vulnerable?</b> ‘Vulnerable’ people include children and young people, people with learning disabilities, people who may be limited by age or sickness or disability, etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, describe here how you will implement safeguarding procedures during data collection.
<b>Will the research involve working with/within an organisation, and require their approval (e.g. business, charity, government department, international agency, etc.)?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, do you have granted access to conduct the research? If you do not have permission yet, explain here how you plan to gain approval.
<b>Is there any reasonable and foreseeable risk of physical or emotional harm to any of the participants?</b> Harm may be caused by distressing or intrusive interview questions, uncomfortable procedures involving the participant, invasion of privacy, topics relating to highly personal information, topics relating to illegal activity, etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please explain further here.
<b>Are any of the below questions relevant to the research?</b> <ul style="list-style-type: none"> <li>• Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?</li> <li>• Will tissue samples (including blood) be obtained from participants?</li> <li>• Is pain or more than mild discomfort likely to result from the study?</li> <li>• Will the study involve prolonged or repetitive testing?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please explain further here.

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<p><b>Are any of the below questions relevant to the research?</b></p> <ul style="list-style-type: none"> <li>• Is it covert research? ('Covert research' refers to research that is conducted without the knowledge of participants). Please give details of why this is the only approach possible.</li> <li>• Will anyone be taking part without giving their informed consent?</li> <li>• Will the research output allow identification of any individual who has not given their express consent to be identified?</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, please explain further here, and give details of how you plan to carry out the research within the guidelines of the University Research Ethics Policy.</p>
<p><b>Describe the arrangements for obtaining participants' consent.</b>  Please explain how you will inform your participants about the study and whether they will be in a position to give informed consent. Please attach the forms you plan to use.</p>	<p>Details:</p>
<p><b>Describe how participants will be made aware of their right to withdraw from the research.</b>  This should also include information about participants' right to withhold information and a reasonable time span (such as a clear point in the research process) for withdrawal should be specified.</p>	<p>Details:</p>
<p><b>Describe the arrangements for ensuring participant confidentiality.</b>  This should include details of:</p> <ul style="list-style-type: none"> <li>• how the data will be recorded</li> <li>• how data will be stored to ensure compliance with University of Huddersfield data protection procedures and other relevant wider legislation</li> <li>• how results will be presented</li> <li>• exceptional circumstances where confidentiality may not be preserved</li> <li>• how and when confidential data will be disposed of</li> </ul>	<p>Details:</p>

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<p><b>Will you offer anonymity to your participants?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes explain here how this will be achieved.</p>
<p><b>Are there any conflicts of interest in you undertaking this research?</b>  (E.g. are you undertaking research on work colleagues or in an organisation where you are a consultant?)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes explain here how this will be addressed.</p>
<p><b>Are there any potential risks to researchers' (i.e. your and other investigators') health and wellbeing associated with:</b></p> <ol style="list-style-type: none"> <li>the venue where the research will take place</li> <li>traveling to the research venue and/or</li> <li>the research topic itself?</li> <li>Time of day research is taking place</li> <li>Lone working</li> </ol> <p><b>IMPORTANT NOTE:</b> The Research Ethics and Integrity Committee cannot evaluate the changing risks arisen from travelling to other countries. Appropriate Huddersfield Business School risk assessment procedures has to be followed and permission has to be obtained at the time of travel.</p>	<p><input type="checkbox"/> No, none that I am aware of</p> <p><input type="checkbox"/> Yes</p> <p>If Yes, outline the risks here, including steps taken to minimise risk.</p>
<p><b>Please provide a summary of the ethical issues that you envisage and any action that will be taken to address the issues</b></p>	<p>Details:</p>

**SECTION E - STORAGE OF RESEARCH DATA**

<p><b>Please provide details of how you will store data gathered during the research</b></p> <p>Include information about the length of time the data will be stored.</p>	<p>Details:</p>
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<p><b>Do you plan to store the research data into a research data repository?</b>  If there are requirements from funders or other bodies to store data in a repository (for example, data from ESRC funded projects must be stored in the ReShare data archive), please give details here.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No  If Yes please provide details</p>
<p><b>Will the research involve working with <u>copyrighted</u> documents, films, broadcasts, photographs, artworks, designs, products, programmes, databases, networks, processes, existing datasets or secure data?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No  If Yes, are the materials you intend to use in the public domain? Be aware that you may need to consider other ethics codes (such as code of the Association of Internet Researchers). If the material is <u>copyrighted</u> then explain here how you have explicit permission to use these materials as data.</p>

**SECTION F – DOCUMENTS CHECKLIST (TO BE COMPLETED BY THE APPLICANT)**

Please supply copies of all relevant supporting documentation electronically. If this is not available electronically, please provide explanation and supply hard copy.

I have included the following documents	
<ul style="list-style-type: none"> <li>Participant Information Sheet</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Participant Consent Form</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Organisational Consent Form/letter</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Letters (and other)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Any recruitment materials (e.g. posters, letters, etc.)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Details of measures to be used (e.g. questionnaires, survey interview questions etc.)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Outline survey interview schedule / focus group schedule</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>Fieldwork risk assessment</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

**SECTION G – STATEMENT BY APPLICANT**

Please complete the relevant section below.

<p><b>Staff</b></p>
<p><b>I, as the principal investigator undertaking this research, confirm that:</b></p>

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- this research will conform to the principles outlined in the University of Huddersfield and Huddersfield Business School research procedures,
- the information I have given in this form on ethical issues is correct.

**Applicant Signature** (Electronic is acceptable): \_\_\_\_\_

**Date:** \_\_\_\_\_

### Student

**I, as the PGR undertaking this research, confirm that:**

- this research will conform to the principles outlined in the University of Huddersfield and Huddersfield Business School research procedures,
- the information I have given in this form on ethical issues is correct.

**PGR (i.e. applicant) Signature** (Electronic is acceptable): \_\_\_\_\_

**Date:** \_\_\_\_\_

### **Affirmation by Supervisor (where applicable)**

I can confirm that, to the best of my understanding, the information presented by the applicant is correct and appropriate to allow an informed judgement on whether further ethical approval is required

**Supervisor Signature** (Electronic is acceptable): \_\_\_\_\_

**Date:** \_\_\_\_\_

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15. Appendix 5: Ethical Review Proforma

**ETHICAL REVIEW PROFORMA**

- Please complete and return via email to [HBSEthics@hud.ac.uk](mailto:HBSEthics@hud.ac.uk)

**SECTION A: DETAILS OF THE APPLICATION**

Title of the project	
Name of the main investigator (or PGR)	
Name of other investigators (if applicable)	
Supervisors names (if applicable)	
Date sent to the reviewer	
Target review deadline	

**SECTION B: RECOMMENDATION**

<b>APPROVE</b>	<input type="checkbox"/>
<b>APPROVE WITH FOLLOWING RECOMMENDATIONS</b> Details:	<input type="checkbox"/>
<b>APPROVE SUBJECT TO FOLLOWING CONDITIONS TO BE MET</b> Details:	<input type="checkbox"/>
<b>FURTHER DOCUMENTATION REQUIRED</b> Details:	<input type="checkbox"/>
<b>REJECT</b> Details of the reasons:	<input type="checkbox"/>

**Any other advice/feedback you would like to provide to the applicant regarding the project (not obligatory). This may include any additional recommendations if you are imposing conditions.**

Details:

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**Date:**

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### 16. Appendix 6: Example Participant Information Sheet

#### Title of Project – PARTICIPANT INFORMATION SHEET

**\*\*\*This is an example – this form should be modified to be appropriate to your study\*\*\***

#### Why I have been approached?

You have been asked to participate because .....

#### Do I have to take part?

It is your decision whether or not you take part. If you decide to take part you will be asked to sign a consent form, and you will be free to withdraw at any time and without giving a reason. A decision to withdraw at any time, or a decision not to take part, will not affect your ... (it may be relevant here to refer to the person's use of a service through which they are being recruited)

#### What will I need to do?

If you agree to take part in the research you will be asked to ..... (give an indication here of methods and procedures in lay person's terms – interview? How long? Will it be recorded?)

#### Will my identity be disclosed?

All information disclosed within the interview will be kept confidential, unless you indicate that you or anyone else is at risk of serious harm, in which case I would need to pass this information to... (this may need adapting depending on the particular reasons for any limits to confidentiality)

#### What will happen to the information?

All information collected from you during this research will be kept secure and any identifying material, such as names will be removed in order to ensure anonymity. It is anticipated that the research may, at some point, be published in a journal or report. However, should this happen, your anonymity will be ensured, although it may be necessary to use your words in the presentation of the findings and your permission for this is included in the consent form.

#### Who can I contact for further information?

If you would like any further information about the research, please contact me on:

Name:

E-mail:

Telephone (you are advised not to use private email addresses or phone numbers):



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**17. Appendix 7: Example Participant Consent Form**

**PARTICIPANT CONSENT FORM**

**\*\*\*This is an example – this form should be modified to be appropriate to your study\*\*\***

**Title of Research Project:**

It is important that you fully read, understand and sign the consent form. Your contribution to this research is entirely voluntary and you are not obliged in any way to participate. For information about the research, please see the Participant Information Sheet, or contact the researcher.

If you are satisfied that you understand the information, please read and put a tick in the box for each statement.

I have been fully informed of the nature and aims of this study as outlined in the information sheet <b>version X, dated 00:00:00</b>	<input type="checkbox"/>
I consent to taking part in this the study	<input type="checkbox"/>
I understand that I have the right to withdraw from the research .... <b>(you should outline the withdrawal arrangements)</b>	<input type="checkbox"/>
I give permission for my words to be quoted (by use of pseudonym)	<input type="checkbox"/>
I understand that the information collected will be in kept secure conditions for a period of ___ years at the University of Huddersfield	<input type="checkbox"/>
I understand that no person other than the researcher/s and facilitator/s will have access to the information provided	<input type="checkbox"/>
I understand that my identity will be protected by the use of pseudonym in the report and that no written information that could lead to my being identified will be included in any report	<input type="checkbox"/>

If you are satisfied with this consent, and are happy to take part in the research, please print and sign below.

<b>Participant</b>	<b>Researcher</b>
<b>Signature:</b>  _____	<b>Signature:</b>  _____
<b>Print name:</b>  _____	<b>Print name:</b>  _____

**Research Ethics and Integrity Committee**

<b>Date:</b> <hr/>	<b>Date:</b> <hr/>
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One copy to be retained by the participant / one copy to be retained by the researcher.

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**18. Appendix 8: Example Organisation Consent Form**

**ORGANISATION CONSENT FORM**

**\*\*\*This is an example – this form should be modified to be appropriate to your study\*\*\***

**Title of Research Project:**

**Name of organisation:**

**Research Project information:**

Provide a copy of the Participant Information Sheet and include any further detail here as required, including:

1. Who in the organisation you would like to work with
2. What they would be expected to do
3. How long the research will take
4. How you will obtain informed consent from individuals

For information on working with young or vulnerable participants, refer to Section D of the 'Ethical Review Application Guidance'.

I have been fully informed of the nature and aims of this study as outlined in the information sheet version X, dated 00:00:00	<input type="checkbox"/>
I give consent for <b>**name of organisation**</b> to take part in this study	<input type="checkbox"/>
I understand that where possible and appropriate, full informed consent will be obtained from individual participants	<input type="checkbox"/>
I understand participants' right to withdraw from the research .... (you should outline the withdrawal arrangements)	<input type="checkbox"/>
I understand that the information collected will be in kept secure conditions for a period of ___ years at the University of Huddersfield	<input type="checkbox"/>
I understand that no person other than the researcher/s and facilitator/s will have access to the information provided	<input type="checkbox"/>

Participant	Researcher
<b>Signature:</b>  _____	<b>Signature:</b>  _____
<b>Job title:</b>  _____	<b>Print name:</b>  _____
<b>Print name:</b>	<b>Date:</b>

**Research Ethics and Integrity Committee**

<hr/> <p><b>Date:</b></p> <hr/>	<hr/>
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