BRIDGWATER & TAUNTON COLLEGE

University Centre Somerset
DEGREES FOR REAL LIFE

HIGHER EDUCATION

STAFF RESEARCH ETHICS POLICY

Research Involving Human and Animal Subjects

Author: Dean of HE & Research & Library Services Manager
Approved by: Senior Leadership Team
Date: October 2024
Review date: October 2026

Table of Contents

1. Introduction

University Centre Somerset (UCS) and the wider Bridgwater and Taunton College (BTC) of which it is part, have adopted a code of practice for ethical standards of research involving human and animal subjects as set out in this UCS policy. The standards covered in this policy are intended to outline the principals of research ethics but may not address all situations, and researchers should seek further advice and guidance from the UCS Research, Scholarship and Ethics Committee, Data Protection Officer (for GDPR-related queries) (via the HE Team (HE@btc.ac.uk) or other external organisations' Ethics Committees (if relevant).

2. Policy Statement

UCS is committed to the highest standards of integrity in research undertaken by its staff members. To this end, this policy establishes a set of fundamental principles to ensure good research practice: the integrity of research involving human participants, research involving animal subjects and principles of data confidentiality and access. UCS seeks to ensure that all staff research, for which it has responsibility, satisfies these principles, but acknowledges that certain research projects may require further research ethics approval by external organisations / bodies. Responsibility for the development, monitoring and review of the Staff Research Ethics policy sits with the UCS Research, Scholarship and Ethics Committee and is approved by the Senior Management Team (SMT) Policy Review Group.

3. Scope

The Staff Research Ethics Policy relates to all BTC/UCS staff research projects involving human and animal subjects, and data confidentiality and access. Academic staff (teaching on FE and HE programmes), business support staff undertaking projects that involve ethical considerations, must ensure that they adhere to this policy. They are also required to complete an application form for ethical approval of research (see Appendices). Ethical approval is granted by the UCS Research, Scholarship and Ethics Committee and external organisations / bodies (if relevant). Projects that are undertaken by a member of BTC/UCS staff as a lead researcher with students as partners in research, will require ethical clearance by the UCS Research, Scholarship and Ethics Committee or other external organisations' Ethics Committees (if relevant). For matters relating to student research projects and ethical clearance of student research proposals refer to the Student Research Ethics Policy on the UCS website: UCS (somerset.ac.uk).

4. Research Involving Human Subjects

4.1 Research Requiring Ethical Scrutiny

Staff research projects, which involve human subjects require ethical clearance by the UCS Research, Scholarship and Ethics Committee. If applicable, they may also require ethical clearance by the Ethics Committees of other external organisations / bodies.

The following types of research will require ethical clearance approval by the UCS Research, Scholarship and Ethics Committee:

- Research involving human subjects
- Research involving vulnerable groups – for example, children and young people, those with a learning disability or cognitive impairment, or individuals in a dependent or unequal relationship
- Research involving sensitive issues – for example, participants' sexual life, behaviour, orientation or experience; religious beliefs; political beliefs; participants' experience of violence, abuse or exploitation; their physical or mental health, or their gender or racial/ethnic status

- Research involving groups where permission of a gatekeeper (see 4.2) is normally required for initial access to members – for example, refugees, ethnic or cultural groups, native peoples or indigenous communities. Access to a gatekeeper is required to conduct research with children, vulnerable adults and patients

- Research involving access to records of personal or confidential information, including genetic or other biological information, concerning identifiable individuals

- Research which may cause psychological stress or anxiety to a research participant

- Research involving invasive interventions – for example, handling blood samples, engagement in vigorous physical exercise, or other interventional techniques

- Research where participants may have a potentially dependent relationship with the researcher (students, employees) and thus may have advantageous expectations or rewards

- Research which involves safety concerns for participants and/or researchers

- Research into extremism

- Research into nuclear-related subjects.

This is not an exhaustive list of all potential research types that may require ethical clearance. When applying for research and scholarship awards or research approval at UCS, staff must ensure that they complete the application for ethical approval of research if their project involves human subjects. (see Appendices).

Staff applicants should seek guidance from the UCS Research, Scholarship and Ethics Committee (via the HE Team HE@btc.ac.uk) if they are unsure if their project requires ethical clearance. Research involving the domain of a professional body with a published code of practice and ethical guidelines requires ethical clearance by their Research Ethics Committee (for example, NHS, Health and Safety Commission, relevant social care organisations, etc.). Research must be conducted in compliance with an ethical protocol approved by these organisations. An Ethical Clearance Diagram is available for staff to refer to for further information on whether their proposed project involves ethical clearance (see Appendices).

4.2 Research Involving Gatekeepers

Certain research projects involving human subjects may require access to a gatekeeper. A gatekeeper is any person or institution that acts as an intermediary between the data collector/researcher and a potential research respondent/participant. A gatekeeper may have the power to grant or deny permission for access to potential research participants[1]. The primary role of a gatekeeper is to prevent harm and protect those in their care[2].

Gatekeepers may include:

- An employer - for research within a workplace / organisation
- Education professionals, such as those working with children and vulnerable participants
- Health and social care and social services professionals, such as those working with patients, elderly and other vulnerable people. Gatekeepers' permission may be

[1] Lavrakas, P.J. (ed.) (2008) *Encyclopedia of survey research methods*. Thousand Oaks, CA: Sage, pp. 299-300.
[2] Dempsey, L. *et al*. (2016) 'Sensitive interviewing in qualitative research', *Research in Nursing and Health*, 39 (6), pp. 480-490. doi: 10.1002/nurs.21743

required for access to their families, carers and health care professionals. Staff should check the guidance from the Health Research Authority (HRA), Health and Care Research Wales (HCRW), or devolved administration equivalent, in relation to any health-related research.
- Professionals working in welfare and public services organisations
- Professionals working in restorative services
- Health and safety professionals – for research involving health and safety
- Any adult whose permission is required to gain access to research participants within a community (in the UK or overseas), such as another family member (e.g. the parent, carer or spouse of the participant), clergy or community leaders, etc.

4.3 Seeking Gatekeepers' Permission

The gatekeepers' permission must be sought:

- If research involves children under the age of 18, institutional consent is required. Where appropriate and feasible, the informed consent of one of their parents or legal guardians has to be sought by researchers. Wherever possible, a researcher seeking to undertake research with children under the age of 18 should also obtain the child's free and voluntary consent to participate

- If vulnerable research participants are unable to comprehend the purposes of research for various reasons (physical or cognitive). Institutional consent is also required (e.g. NHS, social services and other organisations). Where applicable, consent has to be sought from relatives, legal guardians or representatives

- If research involves refugees, ethnic or cultural groups, native peoples or indigenous communities due to language, speech, cultural or welfare reasons

- If research involves participants in prisons, detention and rehabilitation centres or under the supervision of other restorative organisations (e.g. Probationary service)

- If research involves participants under the supervision of welfare organisations that provide assistance and care to those in need

- If research involves gaining access to sensitive and/or confidential information.

This is not an exhaustive list of types of research that may require gatekeepers' permission. Researchers should seek advice and guidance from the UCS Research, Scholarship and Ethics Committee (via the HE Team HE@btc.ac.uk) and Data Protection Officer (dpo@btc.ac.uk) for research involving confidential and sensitive data, if they are unsure whether their research requires access to a gatekeeper.

5. General Data Protection Regulation & Data Protection Act 2018

5.1 Data Protection Principles

All researchers must comply with General Data Protection Regulation (GDPR) and the Data Protection Act 2018 for research projects involving any type of personal data that relates to a living individual. GDPR applies if "that individual is identified or identifiable either directly or indirectly from one or more identifiers or from factors specific to the individual"[3]. The data

[3] Information Commissioner's Office (2018) *What is personal data?* Available at: https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/what-is-personal-data/what-is-personal-data/ (Accessed: 22 January 2020).

protection principles represent the following core requirements in relation to personal or identifiable data which has to be:

- Processed lawfully, fairly and in a transparent manner
- Collected only for specified, explicit and legitimate purposes, and not be further processed in any manner incompatible with those
- Adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed
- Accurate and where necessary, kept up-to-date
- Kept as identifiable data for no longer than necessary for the purposes concerned; and processed securely[4].

For any research projects involving personal data, researchers must refer to relevant BTC policies: Data Protection Policy and Procedure, Personal Data Breach Policy, Record Retention and Disposal Policy and IT Security Policy. These are available on the cross-college SharePoint site.

All researchers who are dealing with personal data must ensure that they comply with the relevant policies to ensure that there are no personal data breaches. A personal data breach is defined as "a breach of security leading to the accidental or unlawful destruction, loss alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed"[5].

Types of data breach incidents include, but are not restricted to:

- Loss of confidential or sensitive data or equipment on which such data is stored (e.g. loss of laptop, USB stick, iPad, tablet device or paper record)
- Careless document storage, display or retention leading to confidential personal data being visible to others on screen or on paper
- Equipment theft or failure
- System failure
- Unauthorised use of, access to or modification of data on information systems
- Attempts (failed or successful) to gain unauthorised access to information on IT system(s)
- Unauthorised disclosure of sensitive/confidential data
- Website defacement
- Hacking attack
- Unforeseen circumstances such as fire or flood
- Human error
- 'Blagging' offences where information is obtained by deceiving the organisation who holds it

GDPR does not apply if data is completely anonymised. Staff researchers are encouraged to anonymise, or at least pseudomyse, data wherever possible to protect research participants' rights to confidentiality, anonymity and privacy and minimise personal data risks that are covered by GDPR. The British Educational Research Association (BERA) stipulates that "the

[4] University of Oxford (2020) *Responsibilities under GDPR: who is responsible for complying with GDPR?* Available at: https://researchsupport.admin.ox.ac.uk/policy/data/responsibilities#collapse461671 (Accessed: 17 January 2020).

[5] Information Commissioner's Office (2018) *What is a 'personal data breach'?* Available at: https://ico.org.uk/for-organisations/guide-to-pecr/communications-networks-and-services/security-breaches/ (Accessed: 25 February 2020).

confidential and anonymous treatment of participants' data is considered the norm for the conduct of research"[6]. Prior to the start of their project, researchers must carefully consider whether their research project will require the processing of any personal data or whether anonymised or pseudomysed data is sufficient for achieving research objectives.

All staff are required to complete a mandatory online Data Protection and GDPR course on the VLE and undertake any other relevant training.

5.2 Personal Data Categories

GDPR only applies to the processing of personal data. In general terms, processing includes any of these activities that researchers may be undertaking with personal data:

- Collecting it
- Holding or storing it
- Retrieving, consulting or using it
- Organising or adapting it
- Publishing, disclosing or sharing it
- Destroying it.

Some of the personal data that researchers may process can be of a more sensitive nature or treated as discriminatory and potentially may cause distress to research participants. Such data should be treated with greater care. GDPR refers to such data as "special categories" data which include an individual's:

- Race
- Ethnic origin
- Political opinions
- Religious or philosophical beliefs
- Trade union membership
- Genetic data
- Biometric data
- Health data
- Sex life / sexual orientation[7]

A higher level of protection is required for personal data involving criminal convictions and offences.

Any research data that is pseudonymised (partially anonymised with key-coding), is still covered by GDPR as it could be used indirectly to identify individuals. "Personal data which have undergone pseudonymisation, which could be attributed to a natural person by the use of additional information should be considered to be information on an identifiable natural person"[8].

[6] BERA (2018) *Ethical guidelines for educational research*. 4th edn. London: BERA

[7] Information Commissioner's Office (2018) *What is personal data?* Available at: https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/what-is-personal-data/what-is-personal-data/ (Accessed: 22 January 2020).

[8] General Data Protection Regulation (2018) *Recital 26*. Available at: https://gdpr-info.eu/recitals/no-26/ (Accessed: 13 January 2020).

Researchers may be dealing with aggregated data which contains information about many individuals grouped into broad categories and/or classes, so it is not possible to identify individuals. However, the effectiveness of not becoming personal data will depend on the size of the research participants' cohorts and other factors. Researchers are therefore still required to be aware of the safe processing of such data.

Researchers should also take into consideration that photographs, videos and sound recordings may comprise information that allows an individual to be recognised. For example, an individual may disclose personal information about themselves or other individuals during a recorded interview. Such data will require to be processed securely under GDPR laws.

Careful consideration should be taken to determine whether processing of any identifiable data is necessary to ensure it does not have a detrimental effect on research project participants.

5.3 Compliance with GDPR and Data Protection Act 2018

In order to comply with GDPR and the Data Protection Act 2018, researchers should be guided by the following principles to ensure good research practice:

- Researchers should consider whether they need to use personal or identifiable data at all or whether they would be able to meet their research aims with anonymised or at least pseudonymised data

- If a certain amount of identifiable data is required for the purposes of a particular research project, participants should be fully informed about how their personal data will be used and **informed consent** should be sought (see Appendices)

- Anonymising/coding personal or any other identifiable data as far as possible and at the earliest opportunity in the research process

- Data minimisation - collecting no more personal and/or special category data than is needed for the research project

- Any personal or identifiable data used for research purposes, including pseudomysed data (partially anonymised), must be processed and stored securely to protect the participants' identity. Researchers must ensure they are following the right organisational and technical measures in protecting such data. This includes the use of secure networks; ensuring that data is stored on secure premises; the use of password protection and data encryption and avoiding portable storage[9]

- When dealing with identifiable information, researchers have a responsibility to keep the data safe, keep research participants informed and immediately report any breaches to the College's Data Protection Officer via email dpo@btc.ac.uk and inform the UCS Research, Scholarship and Ethics Committee.

GDPR is only concerned with information which can be used to identify people. GDPR does not apply if research involves only fully anonymised data, i.e. there is no way of linking it back to the individual it relates to, including through use of a code or numerical identifier.

[9] BERA (2018) *Ethical guidelines for educational research*. 4th edn. London: BERA

Researchers must ensure that research participants' rights under GDPR and the Data Protection Act 2018 are fully protected. Provisions for data security and sensitive handling of data before, during and at the end of the research project must be followed.

IT Services can provide researchers with further information on appropriate and secure data storage solutions.

5.4 Research Participants' Rights to their Data

Research participants reserve the right:

- To be informed of the collection and use of their personal data
- The right to access their data that is collected
- The right to know how long their data will be stored and for which purpose
- The right to object or restrict the processing of their data
- The right to correct any mistakes in their data
- The right to withdraw from the research process at any stage without giving a reason for withdrawing.

If a data breach of processing personal data is suspected during any stage of a research project, it must be reported to the BTC Data Protection Officer immediately via dpo@btc.ac.uk. Reporting possible data breach incidents as early as possible is vital, as BTC/UCS is subject to time-limits in reporting data breaches.

6. Informed Consent Process in Research

All researchers owe a duty of care to research participants, gatekeepers, fellow researchers, students and themselves. This includes ensuring such conditions as confidentiality and anonymity, informed consent, treatment with dignity and respect, avoidance of harm, humiliation or deception, and appropriate dissemination.

One of the guiding principles of research ethics is that research participants should be fully informed before they consent to participate in a research study.

6.1 Research Information Sheet

Research participants and gatekeepers (if applicable) should be provided with a detailed research information sheet and a consent form. The research information sheet should provide detailed information on the following aspects of the study:

- Title of the study
- Name of the researcher
- Purpose of the study
- Reasons why participant is selected
- Research procedures, length of time required and how the participant will be involved
- Potential research benefits to the participant
- Potential risks or ethical considerations
- How confidentiality, anonymity and privacy will be maintained
- Explanation of whether the project requires the processing of any personal data and its protection under GDPR laws
- Any other relevant information about the project.

Where possible and feasible, research participants should also be provided with an opportunity to ask questions before signing a consent form (see Appendices).

6.2 Research Participant's Consent Form

Research participants should sign a consent form if they agree to take part in a research project, so that there is written proof of each participant's consent to take part in a study (see

Appendix B). This consent includes having an understanding, in an appropriate language and level, of what they are being asked to do and why, and potential benefits to them.

In cases where people are unable to comprehend the implications of research, consent to participate may come from a representative, such as a parent, legal guardian, immediate relative or carer with the appropriate authority to do so.

If children are involved in a research project, then gatekeepers, parents or other legal guardians must be informed and may be required to give their consent.

When third parties, for example spouses, teachers, health care professionals or representatives, are directly affected by the research and/or are involved in the care, education or treatment of the potential participants, consent should also be obtained from them.

Signed informed consent forms must be kept in appropriate storage and unavailable to anyone except researchers outlined in the approved project. These forms act as evidence that research participants have given consent to take part in the research project. Informing research participants of the length of time records are retained is a statutory requirement under GDPR.

There might be special circumstances where a researcher might gain **assent** not necessarily as written (for example it might be more appropriate for younger participants, those considered vulnerable and/or those with limited literacy) alongside the formal **consent** by those who are responsible legally for the young and vulnerable participants.

Researchers could also collect (as **ongoing consent**) recordings of non-written consent of participants being given information about what would be involved in a research project and hearing their consent on audio. This can be useful when in later stages of research, such as interviews or focus groups following a survey to offer confidence that there is ongoing consent.

6.3 Implied Consent

Consent may be implied by the completion and return of anonymous surveys and questionnaires, removing the need for written consent. However, researchers are recommended to use more active methods of consent. It is usual to include the participant information (or a link to this) and agreement to consent to a survey in the preliminary text at the start of the survey with wording indicating that consent is given by starting the survey. Also, wording to explain how to withdraw either by closing the survey during completion or taking the reference number and contacting the researcher responsible for the survey via the contact details provided, to state the wish to withdraw.

Individual consent is not always required for some types of research activities, for example, studies involving observation of public behaviour in public spaces. However, even in public spaces it is still advisable to make yourself and your purposes visible with the opportunity to be asked questions and for members of the public not to be included. This is true for online as well as face-to-face spaces e.g. social media.

6.4 Upholding Ethical Research Values

The rights of all human subjects involved in a research project must be protected to ensure their dignity, safety, inclusivity and well-being. No research undertaken should cause harm or distress to participants, researchers or other persons directly or indirectly involved in the research. Participants should be free from coercion or undue enticement while taking part in a research project.

Participants and their gatekeepers (if relevant) have the right to make free and informed decisions about their consent to participate in a research project. They should not be pressured to take part.

Honesty should be central to the relationship between researcher, participant, gatekeeper and relevant institutional representatives. Participants can be free to withdraw from the study at any time, without providing reasons and without any repercussions to them.

The participants' confidentiality and anonymity should be maintained as a core ethical principle. If any personal data is required for the purposes of a particular research project, researchers must adhere to GDPR and Data Protection laws to ensure safe collation, storage, analysis, transmission and disposal of personal data. Participants should be given information about how long their data will be kept and/or when it will be destroyed[10].

Relevant policies and procedures must be followed for a research project taking place in an educational setting, such as nurseries, schools, colleges, etc. Researchers must comply with the Health and Safety regulations of participants, gatekeepers, fellow researchers and other relevant parties involved in a research project.

Participants should be given information about any planned research outputs, e.g. reports or publications[11]. At the end of the project participants and all relevant parties should be offered access to a summary of the research results.

7. Research Involving Animal Subjects

Research which involves animal subjects and poses at least a minimal risk to them or their environments and/or natural habitat, requires ethical clearance by the UCS Research, Scholarship and Ethics Committee. If applicable, it may also require ethical clearance by the Ethics Committees of other external and regulatory bodies.

UCS is committed to the highest ethical standards of animal care and treatment in research involving animal subjects. UCS is not involved in animal research involving scientific/medical/invasive procedures or the use of an animal tissue.

7.1 Types of Animal Research at BTC/UCS

Research involving animal subjects at BTC/UCS may occur in the following types of studies:

- Understanding animal behaviour and any ecological impact
- Observational studies
- Conservation of species
- Population management/surveying animal population
- Microbiology research (observing bacteria in an animal)
- Animal husbandry, including care and grooming, livestock farming, accommodation and hygiene.

Any research that involves the observation and handling of an animal must be shown to adhere to animal welfare legislation and guidelines set out by the UCS Research, Ethics and Scholarship Committee and relevant professional bodies. The code of practice within this Staff Research Ethics Policy sets out procedures in relation to good practice in research involving

[10] Open University (2020) *Informed consent*. Available at: http://www.open.ac.uk/research/governance/ethics/human/consent (Accessed: 19 January 2020).
[11] Ibid

animal subjects to ensure that animals are treated with the highest level of care and that a research process does not disturb their habitat or potentially cause animal pain, suffering, distress or lasting harm. Any research involving external organisations (e.g. zoos), may also require ethical clearance from their Ethics Committees.

7.2 Ethical Research Principles Involving Animals

All researchers applying to undertake a research project involving animal subjects must adhere to the following ethics principles:

- Research involving animals must be planned ethically, with the welfare of animals in mind, including the protection of the environment in which they live
- Researchers must receive the appropriate ethical approval from the UCS Research Scholarship and Ethics Committee and other relevant external bodies (if applicable) and comply with appropriate animal welfare and environmental legislation
- Animals must not be subjected to any harm or discomfort or otherwise compromise the welfare of the animal subjects
- Animals being housed for the purposes of research must be cared for with the highest standards of husbandry
- For observational studies and/or conservation work in the animals' natural habitat, care must be taken not to damage their environment or distress animals. Where applicable, official permits and ethics clearance must be sought from other relevant bodies prior to animals being disturbed
- Anyone involved in the care and handling of animals must be properly trained and fully aware of relevant animal welfare legislation, regulations and good practice guidelines
- Researchers must comply with the Health and Safety regulations of animal subjects, fellow researchers and other relevant parties involved in a research project
- Non-animal techniques must be used in any BTC/UCS arts-based research projects.

Most researchers at BTC/UCS who are working with animal subjects will be members of a professional organisation and/or will be aware of good practice and guidelines in observing and handling animals in an ethical manner.

8. Related policies at Bridgwater & Taunton College / University Centre Somerset

- Scholarship and Research Policy
- Data Protection Policy and Procedure
- IT Security Policy
- Freedom of Information Policy
- Personal Data Breach Policy
- Record retention and Disposal Policy
- Staff Social Media Policy
- Staff Development & CPD Policy & Procedure

These can be accessed via the cross-college SharePoint site.

9. External Reference Points

For further information relating to ethical conduct of research BTC/UCS staff are advised to refer to the following external sources:

BERA (2018) *Data Protection Act 2018***,** c.12. Available at: http://www.legislation.gov.uk/ukpga/2018/12/pdfs/ukpga_20180012_en.pdf (Accessed: 20 January 2020).

Dempsey, L. et al. (2016) 'Sensitive interviewing in qualitative research', *Research in Nursing and Health*, 39 (6), pp. 480-490. doi: 10.1002/nurs.21743.

General Data Protection Regulation (2018) *Recital 26*. Available at: https://gdpr-info.eu/recitals/no-26/ (Accessed: 13 January 2020).

Information Commissioner's Office (2018) *Data Protection Act 2018*. Available at: https://ico.org.uk/for-organisations/data-protection-act-2018/ (Accessed: 21 January 2020).

Information Commissioner's Office (2018) *What is personal data?* Available at: What is personal data? | ICO (Accessed: 22 January 2020).

Lavrakas, P.J. (ed.) (2008) *Encyclopedia of survey research methods*. Thousand Oaks, CA: Sage, pp. 299-300.

Open University (2020) *Informed consent.* Available at: http://www.open.ac.uk/research/governance/ethics/human/consent (Accessed: 19 January 2020).

Remenyi, D., Swan, N. and Van Den Assem, B. (2011) *Ethics protocols and research ethics committees: successfully obtaining approval for your academic research.* Reading: Academic Publishing International.

University of Oxford (2020) *Responsibilities under GDPR: who is responsible for complying with GDPR?* Available at: https://researchsupport.admin.ox.ac.uk/policy/data/responsibilities#collapse461671 (Accessed: 17 January 2020).

10. Review of Policy

This policy and associated guidance documentation is subject to regular review, scrutiny and monitoring of impact through UCS's Senate. It is approved and signed off by the Senior Management Team (SMT). The content and relevance of the policy and associated documents may also be subject to scrutiny from UCS's partner universities and other stakeholders as appropriate.

Feedback to the author and HE Team from all who engage with this policy is always welcome.

Appendices

Appendix 1 - Research Information Sheet for Participants

1. Title of the study/research:

   _____

2. Name of lead researcher and organisation:

   _____

3. Purpose of the study/research:

   _____

   _____

4. Reasons why the participant was selected:

5. Research procedures, data collection methods, length of time required and how the participant will be involved:

6. Potential research benefits to the participant (if any):

7. Potential ethical considerations or risks to the participant:

8. How confidentiality, anonymity and privacy will be maintained:

9. Does the project require processing of any personal data and how it will be protected under GDPR laws?

10. Other relevant information that the participant needs to be informed of:

Appendix 2 - Research Participant's Consent Form

Name of participant

_____

Title of the study/research:

_____

Name of lead researcher:

_____

Researcher's contact details:

_____

1. I confirm that I have read and understood the research information sheet for the above research project ☐
2. I have had an opportunity to ask questions and discuss this study ☐
3. I understand that my participation is voluntary and that I am free to withdraw from this study at any time without giving a reason for withdrawing ☐
4. I give permission for the researcher/s to have access to my anonymised responses ☐
5. I understand that my participation may be recorded and analysed, however, it will not be possible to identify me from this information ☐
6. I understand that results from this study may be published, however, it will not be possible to identify me from this information ☐
7. I give my consent to take part in the above study / research ☐

Name of participant (or legal representative providing consent)

_____

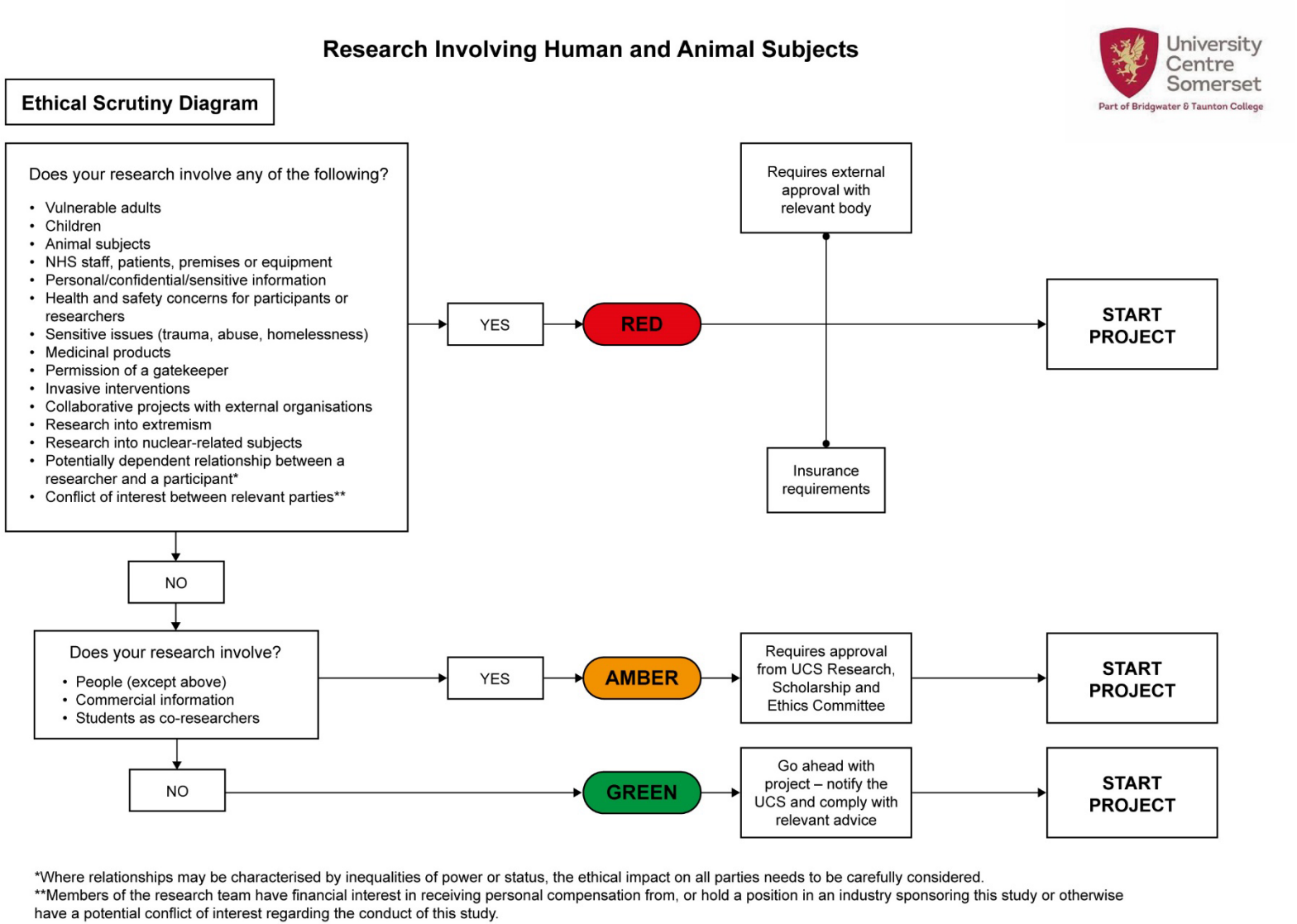
Date ----------

Signature _____

Name of lead researcher _____

Date ----------
Signature _____

Appendix 3- Diagram – Research Involving Human and Animal Subjects



*Where relationships may be characterised by inequalities of power or status, the ethical impact on all parties needs to be carefully considered.
**Members of the research team have financial interest in receiving personal compensation from, or hold a position in an industry sponsoring this study or otherwise have a potential conflict of interest regarding the conduct of this study.

Appendix 4 - Application for Ethical Approval of Research

Research, Scholarship and Ethics Committee
APPLICATION FOR ETHICAL APPROVAL OF RESEARCH

ALL RELEVANT PARTS OF THIS FORM MUST BE COMPLETED IN FULL IN ORDER TO GAIN APPROVAL

Title of Research:

1.	**Researcher (s):** Name, email and telephone number: *Please indicate department or curriculum area of each named individual, including collaborators external to BTC/UCS.* *Note: Lead researchers are responsible for ensuring that all staff and/or students employed on projects (including research assistants, technicians, admin staff and/or students) act in accordance with the UCS ethical principles, the design of the research described in this proposal and any conditions attached to its approval. Please refer to the Staff Research Ethics Policy on cross-college SharePoint for further guidance.
2.	**Aims and Objectives of Research Project:**
3.	**Brief Description of Research Methods and Procedures:** *Specify research subject populations and recruitment methods. Please indicate any ethically sensitive aspects of the methods. Continue on attached sheets if required*.
4.	**Ethical Protocol – Research Involving Human Subjects:** If your research project involves human subjects, please indicate how you will ensure it conforms to the UCS Staff Research Ethics Policy Involving Human Subjects. Does your research involve any of the following which requires you to seek ethical clearance from the UCS Research, Scholarship and Ethics? (please tick as appropriate): Research involving human participants □ Research involving vulnerable people □ Research involving sensitive issues □ Research involving sensitive/confidential information □ Permission of a gatekeeper □ Research involving invasive interventions □

	Dependent relationship between a researcher and participant □ Research involving health and safety concerns □ Research involving external organisations □ Other (please indicate) _____
5.	**If your project involves human subjects, please attach a statement below which addresses each of the main ethical principles and how they will be addressed:**
5.1	Researchers will seek informed consent from research participants and/or gatekeepers (if relevant)
5.2	The rights of human subjects involved in a research project will be protected to ensure their dignity, safety, inclusivity and well-being
5.3	If third parties are affected by research, informal consent will be sought from them
5.4	The consent of vulnerable and/or dependent participants or their representatives will be sought by researchers
5.5	Ethical clearance will be sought from external organisations with a published code of practice and ethical guidelines (e.g. NHS, Health and Safety Commission, etc.) – if relevant
5.6	Researchers will comply with the GDPR and Data Protection Act 2018 (with particular reference to confidentiality, privacy, anonymity and data security)
5.7	Researchers will comply with the Health and Safety regulations of both researchers, participants and other relevant parties.
6	**Ethical Protocol – Research Involving Animal Subjects:** If your research project involves animal subjects, please indicate how you will ensure that it conforms to the UCS Staff Research Ethics Policy Involving Animal Subjects (available from cross-college SharePoint site)
6.1	Researchers are fully trained in the care and handling of animal subjects and will comply with animal welfare legislation, regulations and good research practice guidelines
6.2	Researchers will ensure animal welfare, including the protection of the environment in which they live
6.3	Animals will not be subjected to any harm or discomfort during the research project
6.4	The highest standards of husbandry will be applied for relevant projects
6.5	Official permits and ethical clearance will be sought from external organisations - if relevant

6.6	Non-animal techniques will be used in any BTC/UCS arts-based research projects – if relevant			
6.7	Researchers will comply with the Health and Safety regulations of animal subjects, fellow researchers and other relevant parties involved in a research project			
7.	**Declaration*:** To the best of our knowledge and belief, this research conforms to the ethical principles laid down by University Centre Somerset and external organisations / professional bodies.			
		Name	**E-mail (s)**	**Date**
	Researcher (s):			
	Other Research Collaborators:			

Staff will be notified by the UCS Research, Scholarship and Ethics Committee whether their application has been approved or not.

*Completed forms for **staff** should be forwarded by the deadline via E-MAIL to:*
Jolanta Peters, Research & Library Services Manager: jpeters@btc.ac.uk