Guidance Note for Completing the Ethics Application Form

Completing the ethics application is compulsory for anyone taking a module that requires ethics approval. It will not matter whether you are using secondary data or collecting primary data. However, modules using only secondary data can be exempted from seeking ethics approval.

The ethics application form is divided into two parts, Part One and Part Two.

Part One has four sections:

- 1A – General information
- 1B – Information on using secondary data only
- 1C – Information on gained ethics approval from another body
- 1D – Information on data storage

Part Two has three sections:

- A – research design
- B – Previous research experience
- C – Potential risks

All sections of the application are to be completed except that you are using secondary data (please see the notes on 1B).

Any sections not appropriate to your submission should be identified by 'N/A' (this has been done for you).

1. **Guidance Notes for PART ONE**

1A: General Information

Project Title: This should capture the essence of the project for a non-specialist audience. Please remain consistent throughout. If you plan to use a shorter version of the title (for instance on the consent form or information sheet), please include both in this box.

Expected Start Date: Your data collection must not start until ethics approval has been given and this should be reflected in the expected start date.

Duration: State how much time will elapse while collecting your data in either days, or weeks.

1B: Secondary data use

If you are only using ***secondary data***, you will not go beyond section 1B. You must answer Yes to the first question of 1B. Please ensure you complete the non-technical summary section if you are only using secondary data sources.

You should complete section 1D to specify that you are using secondary data and comply with the GDPR policy of Cardiff Metropolitan University.

Note: If the project which includes security-sensitive research you will be referred to the Prevent Co-ordinator so it can be risk assessed in line with the Prevent Policy. Ethics approval will only be granted once the Prevent Co-ordinator is content with the outcomes of that risk assessment.

1C – Information on gained ethics approval from another body

Cardiff Met will accept ethics approval gained from another organisation if we are reasonably assured that the rigour and robustness of the process is at least equal to our own.

Generally, where a project is conducted in collaboration with another university, ethics approval would normally be sought from the institution where the PI is located.

If your project has been approved elsewhere, state which body has approved it in the non-technical summary and submit a copy of the approved ethics application with your form. If you are unable to

supply a copy for any reason, eg the approval process was electronic only, explain this when you submit your form to the ethics panel.

CSM Ethics committee members **must** see the copies of other documentation linked to your project.

Note: for Staff who have had an approval from other institutions, you must complete Section 1A and 1C of the application and submit a copy of the approved ethics application with this form.

1D – Information on data storage *(for primary data collection only)*

What types of data will you collect or create?

Provide details of the types and amount of data you will collect as part of the project.

How will you manage access to and security of the data?

Provide details of how you intend to keep the data secure, including information on where you intend to store your data and indicate who will have access to it.

In order to comply with GDPR requirements, it is a Cardiff Met requirement that all non-anonymised data produced by students on taught courses is stored on their Cardiff Met student OneDrive account (the University's cloud based storage facility) and that all data held elsewhere is deleted, unless it is anonymised. You should never store your data solely on a laptop, computer hard drive or external storage device.

It is good practice to anonymise all data related to participants. You should confirm if you intend to do this and, if you do not intend to do so, give reasons why. Where participant data is not anonymised, guidance must be sought from the University's Data Protection Team to ensure compliance with Data Protection Law.

Provide details of how you intend to keep the data secure, including information on where you intend to store your data and indicate who will have access to it. If you are collecting data "in the field" you should detail how you will ensure its safe transfer into your main secured system.

Guidance notes for PART TWO

If you are only using secondary data, no primary data, ***you do not need to complete PART TWO*** though it should still be included as part of the Ethics application form.

If you are collecting primary data, please ensure you provide a non-technical summary of your project in this part, *not in the previous parts*.

A1 Will you be using an approved protocol in your project?

Approved Protocol status may be awarded to certain standardised procedures to be used in research projects under the supervision of designated members of academic staff. Generally this simplifies the application process. A list of approved protocols and designated supervisors should be available via your School Ethics Coordinator. Students should liaise with their supervisor to decide if they are eligible to use an approved protocol in their study.

A2 If yes, please state the name and code of the approved protocol to be used

CSM has only two approved protocols for two modules as of 2023/24 Session. The module leaders are aware of these. Please contact the Ethics Coordinator for details.

A3 Describe the research design to be used in your project

Describe your project's overall design and the method of data collection which will be used.

The following points should be clarified:

- **Research strategy and method** (for example: This research will mainly use a survey/case study research strategy in which the quantitative/ qualitative research method/both quantitative and qualitative methods will be adopted because ……)

Describe your project's overall design and the method of data collection which will be used.

The nature of your project may mean that changes in the approach or direction may be necessary as the

research develops. Please indicate if this is the case and describe the start out approach and direction as fully as possible.

Provide a brief summary of the nature of the participants' involvement in order for the committee to understand exactly what will happen to the participant.

The following points should also be clarified:

- Why is it necessary
- Where the interaction will take place
- How long each session will take
- How many sessions participants will have to attend
- How long the interval between sessions will be

- **Data collection techniques** (for example: The data collection techniques will be both questionnaire and semi-structured interviews because……. Interviews will be conducted face to face/via email/telephone/Skype. The questionnaires will be distributed/posted/emailed to participants by the researcher.)
- **Sample and sampling** – Who will be your research participants? Why are they appropriate to your research? What sampling strategy and technique(s) will be used? How many questionnaire respondents and how many interviewees? From what total population have they been drawn? How long will questionnaire/interview take them to complete?
- Participants including recruitment methods
- Activities to be undertaken
- Time commitment
- Details of any proposed payments

Provide full details of any payments that are to be offered to participants including:

- Payment of expenses: The committee will normally agree to the reimbursement of reasonable expenses to cover travel and refreshments. NOTE: In order to pay expenses you will be required to follow standard Cardiff Met financial procedures. You should therefore ensure that participants complete all the required paperwork and that you keep a track of all agreements regarding the payment of expenses. Failure to comply with financial procedures could result in the Finance Department being unable to honour claims made.
- Recompense for time commitment: The committee will normally agree to this where time commitment is expected to be substantial. An appropriate rate would be the normal expected hourly rate of pay for the participant. Where the participant is not employed, payment equivalent to at least the standard national living wage would be expected.
- Financial incentives: The committee will closely scrutinise any financial incentives considered over and above recompense for the time commitment. This is to avoid situations where participants are induced to undertake risks that might otherwise be against their better judgement.

  NOTE: If you intend to offer payments of this kind you should normally offer vouchers rather than cash payments and you should carefully consider which vouchers will be offered. The University does not have an “approved list” of outlets for which it is acceptable to offer vouchers but panels will consider it good practice not to offer vouchers for goods and/or

services which are linked to the project. For example, if your project involves research into products which would be of use to parents of young children, you would avoid offering vouchers for retailers or manufacturers of these types of products. You should never offer vouchers for goods or services provided by a partner in the project. Alternatively, rather than offering an incentive to the participant, you could donate an agreed sum to a worthy cause.

Full details of any payments to be made must be included in the Participant Information Sheet.
If your data collection will involve the use of a questionnaire you should provide a copy of the questionnaire with your application. In cases where the questionnaire has not yet been finalised you should give examples of the kinds of questions which participants will be answering. Similarly, if your data collection will involve the use of focus groups, you should provide details of the topics which will be discussed.

Describe the methods and techniques which will be used in the analysis of the results.

Generally, the University expects researchers to take an inclusive approach to recruitment of participants. It would be helpful therefore to give details of any limitations on which groups can participate in the project and include reasons for adopting these limits.

In the case of projects involving groups, please give details of what will happen to excluded participants.

For quantitative research projects, state and give full justification for the number of participants you plan to recruit.

- **Data analysis techniques** – (for example: The data analysis will take the form of Excel for the questionnaires ……. The interviews will be transcribed / translated and thematically analysed which is ……..)

A4 Will the project involve deceptive or covert research?

and

A5 If yes, give a rationale for the use of deceptive or covert research

Deceptive and covert research is generally undesirable because it violates the principle of voluntary informed consent, and in some circumstances may be illegal. However, it may be the only practical way to gather important information; for example, where awareness of being observed would alter the behaviour of subjects sufficiently to invalidate the research. In order to be approved, projects must fully meet the following conditions:

1. There is a strong case that the research is worth doing.

2. There is a strong case that covert research is essential to gain the required information (ie that there are no alternative methods available that are not deceptive or covert).
3. Once the period of covert observation has been completed, the agreement of each participant will be required before any data relating to the individual can be included in the research analysis. This will only not apply in cases where this is impractical (for example, where a public place has been observed with transient subjects being impossible to trace) and data gathered cannot be related to any individual observed.
4. . No permanent record will be kept of any personal information which could possibly lead to the identification of a participant, unless the individual has been told that the information has been acquired during the course of the research and has agreed to its retention.

A6 Will the project have security sensitive implications?

And

A7 If yes, please explain what they are and the measures that are proposed to address them

If you think that your research may have security sensitive implications you should ensure that you familiarise yourself with and adhere to the Cardiff Met Prevent Policy which is available from the Cardiff Met Policy Hub.

You must provide details in this section of the process you intend to follow to ensure the security of your research material and steps you intend to take to ensure the safety and wellbeing of your participants and researchers.

Universities play an important role in undertaking research in areas related to security, terrorism and resilience, and the process of radicalisation. However, carrying out such research requires particular care to be taken to avoid any infringement of the law. Research material on such topics may be open to misinterpretation by the authorities and can put researchers in danger of prosecution under counterterrorism legislation. You are advised to refer to the UUK Guidance Oversight of Security-Sensitive Research Material in UK Universities and to seek guidance from the University's ***Prevent Co-Ordinator*** to inform your project plan.

The Prevent Co-Ordinator will keep a log of all security-sensitive research being undertaken by the University and may be required to disclose details as part of the provision of assurance of the University's compliance with the Prevent Duty or to assist the Police or other statutory authorities in the detection of crime.

B1 What previous experience of research involving human participants relevant to this project do you have?

and

B2 What previous experience of research involving human participants relevant to this project does your supervisor have?

It is vital that you give details of previous experience of research involving human participants relevant to the proposed project. In the case of a student project, this information should be provided in respect of the supervisor.

Members of the ethics committee will refer to this information to ensure that the PI (and/or the supervisor in the case of student projects) has sufficient relevant experience of the type of project to be carried out. Information should therefore be provided illustrating previous experience which is relevant to this application. This should include specific details of previous use of the same project design, particularly where the project has resulted in published outputs. For supervisors, specific details of supervision of previous similar projects would be helpful.

C1 What potential risks do you foresee?

Describe the potential hazards, risks and adverse effects for participants in the research, specifying the probability and seriousness in each case. For research involving interviews and questionnaires, any risk of psychological or social ill effects should be considered.

Examples of potential risks

For the researcher:

- The researcher's personal information on the questionnaire given to participants and the safety issues of meeting participants in person.

- The interviewee may not want to answer questions if the information is confidential or personal.
- The interviewee may be offended by the questions.
- The interviewee may get anxious about what they have written/said to the researcher. This may progress into anger towards the researcher.

For the research participants – for example, privacy and confidentiality of the participants; arranging interviews – causing inconvenience to interviewees during their working day.

For the research project - for example, participants dropping out of the study; risk of not meeting the research deadlines

C2 How will you deal with the potential risks?

Explain the methods you will use to reduce the risks detailed in C1 and measures that will be taken to ensure the safety of participants in the event that any identified risks eventuate.

Examples of responses to risks identified

- Consent for the interviews will be gained via a participant consent form which will be signed before the interview.
- The interviews will be arranged in advance using am agreed method confirmed by the researcher and the interviewees.
- The questionnaires will state terms of participation and confidentiality on the header.
- The interviews and/or questionnaire will not contain any questions that reveal the identity of the participant and will insure anonymity throughout.
- The researcher will ensure all questions are suitable and appropriate to ask participants.
- If participants feel uncomfortable during any part of the research gathering process withdrawal from the process can be immediate.