

CARDIFF SCHOOL OF EDUCATION ETHICS: A HANDBOOK OF PRINCIPLES AND PROCEDURES

Version control:

V1.0 December 2006

V1.1 Updated 2009

V1.2 Updated February 2011

V1.3 Updated July 2011

V1.4 Updated December 2014

V1.5 updated May 2015

V1.6 updated Nov 2015

V1.7 to be confirmed Nov 2017

RESEARCH ETHICS: A HANDBOOK OF PRINCIPLES AND PROCEDURES

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Acknowledgment

This document is modelled upon work first undertaken by colleagues at the University of Gloucestershire.

Terms:

CSEEC Cardiff School of Education Research Ethics Committee

UEC CARDIFF METROPOLITAN UNIVERSITY Ethics Committee

Introduction

- I. Professional and academic communities are placing increasingly exacting responsibilities on their members to improve the ethical standards of research and practice within their disciplines, and journal editors may require evidence that research projects have secured formal ethical clearance before agreeing to publish their findings.
- II. The Cardiff Metropolitan University Ethics Committee is a Sub-Committee of the Academic Board and is responsible for ensuring that all research involving human participants and/or samples of human origin carried out by staff and students within CARDIFF METROPOLITAN UNIVERSITY or at other locations conforms to the highest ethical standards. In line with quality management processes across the University, responsibility for research ethics is devolved to the most local level (i.e. schools).
- III. ***Research Ethics: a Handbook of Principles and Procedures*** has been produced to provide guidance on the principles and procedures of research ethics in the School of Education. Its intention is to guide and, where necessary, regulate the scholarly activities of researchers at undergraduate, postgraduate and staff levels within the Cardiff School of Education (CSE) and to promote a stronger appreciation of ethical considerations in research.
- IV. The School acknowledges the importance of the professional codes of conduct of external agencies and organisations (for example, the British Association of Sport and Exercise Sciences [BASES], British Psychological Society [BPS], British Educational Research Association [BERA], British Sociological Association [BSA]). Links to the relevant ethics guidance for these bodies is provided on the Research sections of programme Blackboard sites.
- V. The Handbook comprises two parts:
 - a. **Part A** is a statement of ethical principles designed to articulate a common set of values to guide and support the professional conduct of academic research and research-related activities.
 - b. **Part B** contains the procedures by which research proposals can be assessed and, where necessary, given ethical clearance.
- VI. For the purposes of this Code, the definitions used for the various types of research and scholarly activities are those articulated by the Roith Report (PCFC, 1990), which have gained wide acceptance within higher education:
 - **Basic Research:** experimental and theoretical work undertaken to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view;
 - **Strategic Research:** applied research that is in a subject area which has not yet advanced to the stage where eventual applications can be clearly specified;

- **Applied Research:** work undertaken in order to acquire new knowledge. It is, however, directed primarily towards practical aims or objectives;
- **Scholarship:** work which is intended to expand the boundaries of knowledge within and across disciplines by in depth analysis, synthesis and interpretation of ideas and information and by making use of rigorous and documented methodology;
- **Creative Work:** the invention and generation of ideas, images and artefacts including design. Usually applied to the pursuit of knowledge in the arts;
- **Consultancy:** the deployment of existing knowledge for the resolution of specific problems presented by a client, usually in an industrial or commercial context;
- **Professional Practice:** a variant of consultancy applied to certain well defined professions (for example, law, accounting, architecture, nursing, and social work).

VII. The following statement of principles places a considerable emphasis on the personal responsibility of researchers to act ethically and to promote ethical behaviour in all aspects of research activities. It is also recognised that statements of principles and procedures cannot expect to cover every aspect of a complex area such as research ethics. For these reasons, the School's Ethics Committee - which will operate and monitor the procedures described in this Handbook - would welcome comments and suggestions for future enhancements from individuals, research centres, or any other interested parties.

Part A: Principles

The guiding principles of ethical research reflect the Cardiff Met Ethics Framework ([Ethics Framework](#)). In order to ensure that the values reflected by the Ethics Framework are maintained, when undertaking activities, staff, students and governors should ask themselves the following questions:

- Is the action legal?
- Is the action fair?
- Will I be proud of it?
- Does it comply with CARDIFF METROPOLITAN UNIVERSITY's values?
- What would other people think of it?
- Will it hurt, disadvantage or offend anyone?
- Do I think it is wrong?
- If you are not sure, ask until you are sure.

1. Introduction

1.1. The primary responsibility for the conduct of ethical research lies with the researcher. It is a fundamental principle that staff and students engaged in research adopt a continuing personal commitment to act ethically, to encourage ethical behaviour in those with whom they collaborate, and to consult where appropriate concerning ethical issues.

1.2. The School acknowledges the importance of the professional codes of conduct of external agencies and organisations (for example, the British Sociological Association or The British Educational Research Association), and accords them primacy as a default position.

2. General Responsibilities

2.1. *Towards research participants*

Researchers have a responsibility to ensure as far as possible that the physical, social and psychological well-being of their research participants is not detrimentally affected by the research. Research relationships should be characterised, whenever possible, by mutual respect and trust.

2.2. *Towards other researchers*

Researchers should avoid, wherever possible, actions which may have deleterious consequences for other researchers or which might undermine the reputation of their discipline. Those directing research should bear in mind their responsibilities towards members of their research teams and should aim to anticipate and guard against the possible harmful consequences of the research for team members.

3. Code of Practice for obtaining Informed Consent in respect of research study participation (From UIWC Guidelines, v2 January 2010)

Introduction

3.1. The overarching principle of research ethics is respect for the autonomy of participants; this includes the protection of participants from physical or psychological harm whilst participating in a research study. Central to this is the concept of Informed Consent.

3.2. Informed Consent is the process by which a participant voluntarily confirms his or her willingness to participate in a study, having been informed of the full details of the project.

3.3. This Code of Practice details the process for obtaining informed consent from potential participants in research studies. It outlines the informed consent procedures for adults, for children and for individuals who may not be able to give fully informed consent

4. General principles for gaining informed consent

4.1 Potential participants in research studies must normally have the right to choose whether or not they will participate. Obtaining informed consent is therefore central to the ethical conduct of all research involving human participants. Fully informed consent in this context means consent which is freely given with proper understanding of the nature and consequences of what is proposed.

4.2 Written informed consent from participants will normally be required for all studies except those that are exclusively based on questionnaires and are not collecting sensitive data. There may however be instances where gaining written informed consent is deemed to be problematic; in such instances the researcher should fully explain the circumstances in their application for ethics approval. School research ethics committees will assess such applications on a case by case basis.

4.3 Prior to embarking on the research study, ethics approval must be sought from the appropriate School committee¹. An application for ethics approval will

¹ Details on the process of gaining ethics consent for your research can be found on the [research pages](#) of the CARDIFF METROPOLITAN UNIVERSITY website.

include examples of the consent form and participant information sheets which must be approved by the committee before the process of gaining informed consent commences.

5. Responsibility for taking consent

It is ultimately the responsibility of the lead researcher to ensure that participants have fully understood what they are consenting to by agreeing to take part in the project. In the case of student led projects, this responsibility lies with the student's supervisor. The process of gaining informed consent will therefore normally be carried out by the lead researcher although this responsibility may be delegated to another, suitably qualified member of the research team. Any individual to whom this responsibility is delegated should meet the following criteria:

- Be qualified, through previous experience and appropriate training, for the process of gaining informed consent.
- Have a full understanding of the study, potential risks / benefits and the associated research area in order that they are able to give appropriate information to participants.
- Be prepared to take on the additional responsibility and feel confident to seek informed consent.
-

Any individual undertaking the process of gaining informed consent in projects using human tissue **MUST** have attended the appropriate CARDIFF METROPOLITAN UNIVERSITY training course².

The delegation of authority for the taking of informed consent should be documented in the Project File which should include details of the individual responsibilities of each member of the study team. This should be signed off by the lead researcher prior to commencement of the project.

The individual responsible for seeking informed consent must ensure that they are completely familiar with all aspects of the study as described in the study protocol and the ethical submission approved by the appropriate ethics committee.

6. The consent form

Participant information and consent forms to be used **must** have been approved by the appropriate ethics committee prior to commencement of the project. This is also the case for any documents provided to participants in respect of the study eg activity diaries.

² Details of the training course can be obtained from Research & Enterprise Services.

In order to meet CARDIFF METROPOLITAN UNIVERSITY requirements, the consent form should:

- Be printed on headed paper;
- Include the correct title and version number of the study (which should also be included on the participant information sheets)
- Include a statement that the participant has had the study explained to them and by whom and confirm that the risks and any benefits related to their participation have been discussed and all the participant's questions have been satisfactorily answered.
- Include a statement that participation is voluntary and that participants are free to withdraw at any time without penalty.
- Include a statement that confidentiality will be maintained throughout the study, unless this cannot be guaranteed³

In order to meet these minimum standards, use of the [CARDIFF METROPOLITAN UNIVERSITY exemplar consent form](#) is recommended.

7. Procedure for taking informed consent

In order to ensure fully informed consent has been obtained, researchers should follow the process below:

1. Each participant should be given an oral explanation of what participation in the project will entail.
2. Each participant should then be given an information sheet explaining in simple, non technical terms, the procedures involved, any potential risks and hoped for benefits.
3. The participant should be given reasonable time to consider this information and to consult others as necessary.
4. Except in the case of questionnaire based studies, the participant should be asked to sign a consent form. In cases where participants are either children or "vulnerable" adults, consent should normally be gained from a parent or guardian with the participant giving informed assent (see below for further details).
5. Throughout the process there should be sufficient time allowed to answer any questions raised by the potential participant. Potential participants should not be coerced to participate.

³ Researchers are expected to respect participants' confidentiality at all times unless an issue arises, the disclosure of which is required by law. For further details refer to the CARDIFF METROPOLITAN UNIVERSITY Guidelines for obtaining ethics approval.

When providing information to participants, either verbally or in writing, researchers should explain the following:

- The purpose of the study and any background information which might be relevant.
- The reason that they have been approached to participate.
- That confidentiality will be maintained throughout the study, unless this cannot be guaranteed⁴.
- The design of the study and the number of study visits involved. Details such as the location of the study visits and the names of individuals who participants will meet with should also be given.
- All procedures required as part of the study.
- The potential benefits and risks of participation in the study.
- That participation in the study is voluntary and that participants may withdraw at any time without penalty.
- Details of any payments which will be made to participants eg payment of expenses.
- Their responsibility as a participant in the project. This is particularly important where the study duration is substantial.
- That, despite providing informed consent, they may not be engaged in the project should it be discovered that they do not meet the inclusion (or exclusion) criteria for the study.

Ideally, these points should be verbally discussed with the potential participant. They should then be provided with a written participant information sheet and separate consent form. Participants should be made aware that participant information sheets are available in a range of formats eg large print, audio, Braille.

In order to meet these minimum standards, use of the [CARDIFF METROPOLITAN UNIVERSITY exemplar Participant Information Sheet](#) is recommended.

The consent form should be signed and dated by the potential participant and the person seeking consent. Each should also print their name next to their signature. A copy of the signed form should be given to the participant and the original retained for inclusion in the project file.

Contact details of the individual participants can contact for further information about the study should be provided. CARDIFF METROPOLITAN UNIVERSITY contact details (eg CARDIFF METROPOLITAN UNIVERSITY telephone number and / or email) rather than personal contact details should be provided.

It is important to note that the informed consent process does not end once the consent form has been signed. The practice of providing information about the

⁴ Researchers are expected to respect participants' confidentiality at all times unless an issue arises, the disclosure of which is required by law. For further details refer to the CARDIFF METROPOLITAN UNIVERSITY Guidelines for obtaining ethics approval.

study to participants should be an ongoing process performed by all members of the research team.

As the timing of the signing of the consent form relative to the commencement of the study may be subject to audit, it is important to record dates correctly on both the consent form and any associated documentation. The consent form must be signed by the participant prior to any aspect of their involvement in the study.

8. Projects involving participants under the age of 18

In essence, researchers carrying out studies involving participants under the age of 18 should follow the same process as outlined above. However, researchers should also ensure that their study meets the additional requirements outlined in this section.

It is essential that any study involving participants under the age of 18 either relates directly to this group or can *only* be carried out on this group.

The study should be designed to minimise pain, discomfort, fear and any other foreseeable risk in relation to the child's stage of development and continuous monitoring should take place throughout the study to ensure this remains so.

In studies involving children, generally CARDIFF METROPOLITAN UNIVERSITY requires that both the assent of the child and the consent of the parent or guardian are obtained prior to commencement of the project. Separate information sheets should be provided for parents and children to take account of their different cognitive abilities. Both should make clear that the participant may withdraw from the study at any time without penalty.

Child assent should be sought in a way which is appropriate to the age and ability of the child. For example, in the case of younger children, this may involve the use of pictures to signify how the child feels about participating in the project.

For projects involving very young children, e.g. those who are too young to understand a simple explanation of the research to be undertaken, the project may proceed with parental consent only.

Participants aged between 16 and 18 are generally considered to be competent for the purposes of gaining consent. It may however be highly desirable to obtain parental consent for some projects involving participants in this age group. Conversely, in other cases, the research involved may be clearly innocuous and not require parental consent. Researchers whose project involves participants of

this age group are asked to fully justify a decision not to obtain parental consent when seeking ethics approval⁵.

9. Projects involving participants who are unable to give informed consent

Researchers who intend to conduct research involving adults who may not be able to give fully informed consent on their own behalf must give a clear justification for this when applying for ethics approval of their project. It is normal for such individuals to only participate in studies which relate directly to a clinical condition from which they suffer. It will be expected that the study will produce benefits to the participants and that there will be no risk associated with participation. Continuous monitoring must take place throughout the project in order to ensure that risks to the participant are minimised at all times.

Although consent cannot be given on behalf of another, it is important to inform and/or enlist the support of those involved in the care of vulnerable individuals. The legal representative of the potential participant must therefore be provided with full information about the project and the likely involvement of the participant. This should include an assurance that the participant may withdraw from the study at any time without penalty. The representative should also be given sufficient time to ask questions during the consent process.

The participant must be given information about the study according to their level of understanding. In cases where the potential participant is able to form an opinion based on the information provided, their wish to participate or not must be respected by the person seeking consent

No incentives or financial rewards must be used to influence either the potential participant or their representative.

In addition to the above, the School of Education require that:

1. The power imbalance between researcher and researched should be considered. Care should be taken to ensure that the latter are not pressurised into participation. Research participants should be aware of their right to refuse participation at any time and should not be given the impression that they are required to participate. It should also be recognised that research may involve a lengthy data-gathering period and that it may be necessary to regard consent not as obtained once and for all, but subject to re-negotiation over time.
2. The researcher should explain how far research participants will be afforded anonymity and confidentiality and participants should have the option of

⁵ For further details, including information regarding projects involving groups of children based in a School or community, refer to the CARDIFF METROPOLITAN UNIVERSITY Guidelines for obtaining ethics approval.

rejecting the use of data-gathering devices such as tape-recorders and video cameras

3. If there is a likelihood of data being shared with or divulged to other researchers, the potential uses of the data should be discussed with the participants and their agreement to such use should be obtained.
4. Where access to a research setting is gained through a person or agency external to CARDIFF METROPOLITAN UNIVERSITY (such as a school), researchers should also obtain the informed consent (or assent as appropriate) of research participants, while at the same time taking account of the person's or agency's interests. It should be borne in mind that the relationship between research participant and person or agency may well continue long after the research has been undertaken
5. In addition to obtaining the informed consent of those under study, researchers should attempt to anticipate and guard against the possible harmful consequences of their research for participants.
6. For research involving children, investigators must hold an advanced clearance from the Criminal Records Bureau.

10. Deceptive and Covert Research

- 10.1** While it is recognised that there is a continuum of covert-overt research (and therefore difficulty in defining research simply as entirely covert or overt). Researchers should endeavour, wherever possible and practicable, to avoid the use of deception in their research methods, as this violates the principle of informed consent and may invade the privacy of those under study, particularly in non-public spaces.
- 10.2 Any researcher considering deceptive methods in research must seek approval from the UEC (University Ethics Committee).** The burden of proof will rest on the investigator to show that no alternative methods are possible, and that the data sought are of sufficient value to over-ride the issues of free and informed consent. Where approval has been given, the potential implications arising from publication must be fully considered.
- 10.3** Covert research in non-public spaces (that is, where persons would not normally expect to be under observation), or experimental manipulation of research participants without their knowledge should be a last resort when it is impossible to use other methods to obtain the required data. It is particularly important in such cases to safeguard the anonymity of participants.
- 10.4** If covert methods are approved and employed, and informed consent has not been obtained prior to the research, every attempt should be made to obtain this *post hoc*.

11. Confidentiality and Anonymity

- 11.1** The anonymity and privacy of research participants should be respected and personal information relating to participants should be kept confidential and secure. Researchers must comply with the provisions of the Data Protection Act and should consider whether it is proper or appropriate even to record certain kinds of sensitive information.
- 11.2** Where possible, threats to the confidentiality and anonymity of research data should be anticipated by researchers and normally the identities and research records of participants should be kept confidential, whether or not an explicit pledge of confidentiality has been given.
- 11.3** Whilst the researcher should take every practicable measure to ensure the confidentiality and anonymity of research participants, s/he should also take care not to give unrealistic assurances or guarantees of confidentiality. Research participants with easily identifiable characteristics or positions within an organisation should be reminded that it may be difficult to disguise their identity totally without distorting the data. Researchers should be mindful that it is sometimes necessary to sacrifice data if there is no means of securing anonymity.

12. Educational research undertaken outside of the United Kingdom (UK)

Educational research undertaken outside of the UK must adhere to the same ethical standards as research in the UK. Appropriate consent should be sought from local authorities in cultures that adopt a collective approach to consent (e.g. community or religious leaders or local government officials) but cultural sensitivity should not extend to excluding the individuals concerned from making their own informed decision to take part in the research. Any additional regulations and cultural sensitivities of the host jurisdiction must also be observed, for example, if participants wish to be accompanied in data collection activities such as interviews. Where the overseas research involves children or vulnerable adults, the researchers should adhere to the principles of child protection of the UK, including a CRB check for UK subjects. Where the researchers (e.g. for data collection) are sourced in the overseas context itself, in which UK-style protection clearance is not available, a letter or other formal endorsement of the good character of each researcher should be obtained from a person in authority in the jurisdiction concerned (e.g. Ministry of Education).

13. Procedures for Approval

Set against the principles expressed above, specific approval is required for:

- **research which involves biomedical or clinical intervention;**
- **deceptive research** which is defined as research where an investigator actively sets out significantly to misrepresent himself or herself, the nature of the research, and/or any other significant characteristics of the research;
- **certain classes of covert research** in particular, those where the data are

not recorded in a manner that protects the anonymity of subjects or participants, where the research topic is one dealing with sensitive aspects of the subject's or participant's behaviour, or where proposals for research involve vulnerable populations.

- **All research ethics approval decisions that fall outside these classes and is research undertaken as a part of taught undergraduate and postgraduate level qualifications will be taken by the appropriate gatekeeper – see part B.** However, this procedural caveat does not abrogate an individual researcher's responsibilities as laid out in this document. Where researchers have any doubts, they should consult the appropriate 'gatekeeper' whose role is described in the following sections covering procedures.

14. Security Sensitive Material

The University Ethics Committee (UEC) has adopted UUK's recommendations that material of a security sensitive nature which has potential legal or reputational consequences for the University, if discovered outside of the University environment, is to be recorded in a secure site.

The purpose is not to police research but simply to record a subject title and researcher's name so that the University can assure any external inquiry of the validity of the research and ensure that ethical protocols are followed. The process is mandatory. Please contact Paul Fitzpatrick (Prevent Coordinator) for advice on process and applicability. (pfitzpatrick@cardiffmet.ac.uk)

15. Part B: Procedures

1. Introduction

- 1.1 Following the principles that underpin CARDIFF METROPOLITAN UNIVERSITY's general quality assurance systems, responsibility for ensuring that research is conducted in an ethical way lies at the closest point possible to its actual conduct. Responsibility for the ethical conduct of research, therefore, rests primarily with the person who is planning and undertaking a project, supported by the various arrangements for the scrutiny and approval of proposals which involves 'gatekeepers', the Cardiff School of Education Research Ethics Committee (CSEEC) and, where necessary, CARDIFF METROPOLITAN UNIVERSITY Ethics Committee (UEC).
- 1.2 Every attempt has been made to develop a system of procedures sufficiently flexible to accommodate the needs of the various research communities within the School. Researchers who believe that the procedures do not adequately address their specific situation may consult directly with the Chair of CSEEC.
- 1.3 Where a member of staff is also a member of a professional organisation whose own published Code of Conduct in any way contravenes or conflicts with this Handbook, it is the responsibility of the member of staff to bring this to the attention of CSEEC. The School recognises a default position in favour of researchers' obligations to their professional Codes of Conduct but must be informed of such conflict and be able to consider it before the investigation is approved for commencement.

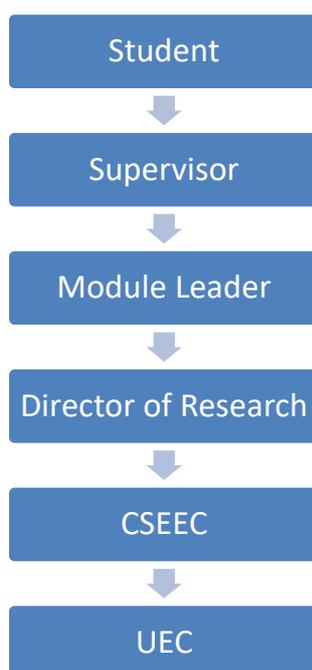
2. The 'Gatekeeper' System

When considering informed consent above, it was stated that:

- 2.1 *It is ultimately the responsibility of the lead researcher to ensure that participants have fully understood what they are consenting to by agreeing to take part in the project. In the case of student led projects, this responsibility lies with the student's supervisor.*
- 2.1 If the supervisor has concerns about approving a project, they can refer the work to the appropriate gatekeeper within the school. The relevant gatekeeper acts as a conduit between the researcher and the possible use of CSEEC. The gatekeeper, who will have received appropriate training and have a strong grasp of precedence in local issues, will guide the researcher in areas of uncertainty and ensure that informed consent is obtained in an appropriate form. In particular, where a research proposal raises concern, or there is a dispute between supervisor and student, the gatekeeper will judge whether or not a proposal should be submitted to UEC or CSEEC for formal approval. In summary, gatekeepers are:

For members of staff:	the Director of Research
Research degree students:	the Director of Research
Postgraduate taught students	the appropriate Programme Leader or dissertation module leader (taking advice from the School's Director of Research if necessary).
Undergraduate students	the appropriate Course/Programme Director or Module Tutor / co-ordinator / dissertation supervisor (taking advice from the School's Director of Research if necessary).

If any of the above gatekeepers feel unable to provide approval in the sequence below, all such applications should be referred to the CSEEC using the CARDIFF METROPOLITAN UNIVERSITY ethics form.



Please note: time should be allowed for this process, as well as any action required from CSEEC feedback before the start of the research.

3. CSE Research Ethics Committee

3.1 The principal aims of the CSE Ethics Committee (CSEEC) are three-fold. Its first aim is to consider and, in accordance with the principles expressed in Part A of this Handbook, grant or refuse permission for the undertaking of research

investigations. Its second aim is to act as an advisory body to the Academic Board on matters related to research ethics. Its third aim is to sponsor appropriate training and staff development.

3.2 The details of CSEEC are as follows:

Terms of Reference

The CSEEC is responsible to the Academic Board for:

- i) the approval, referral and/or rejection of staff and student research investigations in accordance with the principles expressed in *Research Ethics: a Handbook of Principles and Procedures* on a regular basis;
- ii) monitoring the appropriateness and effectiveness of procedures for granting or withholding ethical approval mechanisms for research;
- iii) reviewing and, if necessary, revising *Research Ethics: a Handbook of Principles and Procedures*;
- iv) the operation of a system of appeals for researchers who have been refused permission to undertake research and/or research-related activities on ethical grounds;
- v) advice on policy issues related to research ethics as determined and requested by the Academic Board;
- vi) sponsoring staff development in the area of research ethics with appropriate partners within CARDIFF METROPOLITAN UNIVERSITY.

Membership

Chair (CSE Associate Dean: Research)

Representative of Cardiff Met REC

School nominations (to cover all discipline areas)

Administrative Support

The Sub-Committee may co-opt external members in cases where specialist biomedical and other technical expertise is necessary.

Terms of Office

Three years for all nominated members.

Quorum

Meetings of the School Ethics Committee shall be quorate if 40% or more members are present.

Regularity of Meetings and Availability of Minutes

The Cardiff School of Education Ethics Committee (CSEEC) will meet on a regular basis and in response to applications submitted to it. Copies of all minutes of the Research Ethics Sub-Committee will be forwarded to the Research and Enterprise Committee. An annual report will be submitted to the Research and Enterprise Committee's final meeting of each academic year. Copies of all minutes will be held by the Officer for scrutiny.

4. Procedures for Securing Approval for Research Projects

4.1 *Members of staff seeking approval*

The primary responsibility for the ethical conduct of research lies with the researcher. However, in cases of uncertainty, members of staff seeking approval may liaise with the relevant gatekeeper in order to ensure that their research does not contravene the principles expressed in this Handbook

4.1.1 Any proposal which involves human participants, including those under Part A, Section 10, must be submitted to CSEEC. Such proposals must be received by the Research and Enterprise office at least five working days before the next scheduled meeting. Chair's action may be taken on matters that require greater expediency but such decisions will be taken in consultation with at least one other CSEEC member.

4.1.2 Any member of staff conducting research which does not involve human participants must still submit the Ethics Approval form. This will be approved by chair's action and minuted at the next committee. It is required that staff undertake a risk assessment of potential harm to themselves and others during the conduct of their research.

4.2 *Academic associates seeking approval*

4.1.3 4.2.1 The primary responsibility for the ethical conduct of research lies with the researcher. However, in cases of uncertainty, academic associates seeking approval may liaise with the relevant gatekeeper in order to ensure that their research does not contravene the principles expressed in this Handbook. Additionally, all academic associates will be offered appropriate education and training in Research Ethics within the Research Induction Training and skills development with the supervisory team.

4.2.2 Any proposal which involves human participants, including those under Part A, Section 10, must be submitted to CSEEC. Such proposals must be received by the Research and Enterprise office at least five working days before the next scheduled meeting. Chair's action may be taken on matters that require greater expediency but such decisions will be taken in consultation with at least one other CSEEC member.

- 4.1.4 Any academic associates conducting research which does not involve human participants must still submit the Ethics Approval form. This will be approved by chair's action and minuted at the next committee. It is required that academic associates undertake a risk assessment of potential harm to themselves and others during the conduct of their research. This must be recorded in the relevant section of the research degree proposal form.

4.3 ***Postgraduate taught students seeking approval***

The general framework for approval will apply to students following taught postgraduate courses. Additionally, all Postgraduate students will be offered appropriate education and training in research ethics in their Research Methods module(s) or its equivalent. Programme Leaders or dissertation module leader are responsible for ensuring that all students are aware of, and agree to abide by, the principles expressed in this Handbook, through their respective Programme Guides. All postgraduate taught students are required to signal their adherence to the principles expressed in this Handbook **prior** to undertaking research.

4.4 ***Undergraduate students seeking approval***

- 4.4.1 The general framework for approval will apply to students following programmes within the Undergraduate Modular Scheme. Additionally, all students will be offered appropriate education and training in research ethics in their Research Methods Module or its equivalent. Programme and module leaders and where relevant dissertation supervisors, in the Undergraduate Modular Scheme are responsible for ensuring that all undergraduate students are aware of, and agree to abide by, the principles expressed in this Handbook, through their respective programme guides. All undergraduate students are required to signal their adherence to the principles expressed in this Handbook **prior** to undertaking research.

5. Appeals Procedure

- 5.1 All investigators have the right to appeal against the judgement of CSEEC. There are two grounds for such appeal:
- a) where the researcher feels that CSEEC as been unfair in its consideration of a proposal and/or has not properly understood it;
 - b) where there have been any irregularities in the procedures adopted by CSEEC.
- 5.2 A researcher has the right to appeal in writing against a decision made by

CSEEC within ten working days of the notification of that decision.

5.3 The Chair will convene a meeting of CSEEC with the proposer to review the proposal and the grounds for the CSEEC decision. This meeting will normally be held within ten working days of notification of the appeal. There will be at least two CSEEC members in addition to the Chair in attendance.

5.4 At this stage the CSEEC may:

uphold its original decision to reject the proposal;

uphold the appeal of the researcher and approve the original proposal;

uphold the appeal of the researcher but refer the decision until appropriate revisions have been made to the proposal.

5.5 Following an unsuccessful appeal, and where the researcher is dissatisfied with the decision of the CSEEC, he or she has the right to submit a final appeal to the University Ethics Committee (UEC). This appeal must be lodged through the Chair of the UEC within five working days of receipt of CSEEC's final decision. A panel of not less than three members of the UEC, who have not previously been associated with the proposal, will make a final decision which will be based solely on the procedural propriety of CSEEC's decision-making process. The proposer will be notified in writing within five working days of UEC's hearing.