Research Ethics and Integrity Framework

This framework lays out the minimum expectation for research activity at the University. Schools may apply additional or more rigorous approaches should their specific circumstances require more robust measures. The framework should be read in conjunction with

- University Research Ethics and Integrity Policy
  [https://www.hud.ac.uk/media/policydocuments/Research-Ethics-and-Integrity-Policy.pdf](https://www.hud.ac.uk/media/policydocuments/Research-Ethics-and-Integrity-Policy.pdf)
- University Code of Practice for Research
  [https://research.hud.ac.uk/media/policydocuments/Code-of-Practice-for-Research.pdf](https://research.hud.ac.uk/media/policydocuments/Code-of-Practice-for-Research.pdf)
- Terms of reference for:
  - University Research Committee (URC)
  - University Research Group (URG)
  - School Research Committees
  - School Research Ethics Committees

URC is a sub-committee of the Senate and has overall responsibility for the management of research ethics and integrity. It advises on broad strategies for ethics and integrity and monitors the University's overall performance rather than considering individual matters such as research proposals.

URG reports to URC and ensures oversight of matters research ethics and integrity including:

- to identify and implement actions required to ensure continuous improvement in meeting the commitments of the Concordat to Support Research Integrity
- to formally review the University Research Ethics and Integrity Policy and Code of Practice for Research as per the University’s Policy Framework, and monitor their implementation
- to consider and take decisions on research proposals having the potential for a significant adverse impact or any other research integrity related issues that have been escalated by Schools
- to receive the minutes of the School Research Ethics Committees
- to provide assurance in the form of an annual narrative statement for URC and Audit Committee

Each member of staff or PGR involved in research is responsible for complying with the University’s Research Ethics and Integrity Policy and Code of Practice for Research.

It is the responsibility of the Dean of School to ensure that appropriate consideration is given to ethical and integrity issues which arise from research activity proposed by staff or PGRs in the School. School Associate Deans Research and Enterprise (ADREs) are responsible for issues related to research integrity and maintain an overview of this via the School Research Committee.

School ADREs are members of URG which makes a formal report from each meeting to URC.

Responsibility for the ethical review and research project approval process is devolved to School Research Ethics Committee which reports via a standing item to the School Research Committee.
While the same standards for ethical practice apply across all research conducted at the University, the systems for ethics review should be contextualised for each School in order to be sensitive to differences in research type, context and method. Schools should ensure that the processes and procedures as they apply in the School are fully codified, made accessible and conform to the expectations of the UKRIO checklist as contained in the University’s Code of Practice for Research.

Further guidance on best practice for research ethics review processes and structures can be found in a recent report published in April 2020 by UKRIO and ARMA:


School Research Ethics Committee

Each School is required to constitute a School Research Ethics Committee (SREC) which reports to the School Board, possibly via the School Research Committee. The SREC is responsible for implementing the University’s policies and procedures in relation to research governance, ensuring that all research carried out in the School is reviewed for ethical standards. As such, its terms of reference should include:

- operational responsibility for the implementation of the University’s policies and procedures in relation to research ethics
- ensuring that staff and PGRs have appropriate training in the ethical conduct of research – including health and safety issues
- establishing and disseminating procedures for the ethics approval process
- ensuring that relevant guidance and forms are readily available
- establishing review mechanisms for research projects to ensure continued compliance with the ethical approval process
- submission of minutes and reports on its activities, as required, to the URG.

In adapting these terms of reference to suit its own context, each School should ensure that the Committee meets at least once per term and has an agreed membership (with a minimum quoracy) that reflects the expertise and breadth of experience that is required to provide comprehensive and rigorous review.

SREC minutes are submitted to URG.

Ethical approval

SRECs are responsible for establishing an appropriate application form to be completed for all research projects which lays out the potential areas for ethical consideration. Sample templates are attached in the appendices of this framework document which Schools can adapt to suit their context. The form should be accompanied by all relevant information as suggested on the template.
Research proposals that include staff from more than one School should be submitted to the School of the person named as the main supervisor (in the case of a PGR) or the lead researcher (in the case of staff teams).

SRECs must establish a suitable independent and robust route for the ethical review of research proposals. Anyone involved in the conduct of the research should be excluded from consideration of the application. The specific process for submitting an application is likely to differ between Schools or subject areas but is likely to reflect the following considerations when assessing potential risk (see flow diagram in Appendix 1):

- **projects proposed by PGR students and staff**: option for applications with a category of risk defined as 'no specific risk' to be confirmed by an appropriate signatory as determined by the School (such as the DoGE)
- **projects proposed by PGR students and staff**: option for applications with a category of risk defined as 'limited' to be approved at the level of Associate Dean Research and Enterprise (or nominee) and notified to the SREC
- **projects proposed by PGR students and staff**: option for applications with a category of risk defined as 'significant' to be approved at the level of SREC. It is likely that the Committee will arrange for consideration of applications by at least two appropriate reviewers who submit their recommendations to the Committee.
- **projects which cannot be resolved by SREC**: if SREC cannot reach a consensus then the project should be submitted for consideration by URG

**Definition of ‘no specific risk’, ‘limited risk’ and ‘significant risk’:**

1. No specific risk: in general, a research project can be taken to have no specific ethical risks where the response to the following questions is ‘no’:
   - Does the project have direct contact with human/animal participants?
   - Does it involve access to identifiable personal data for living individuals not already in the public domain?
   - Is there a danger of physical or psychological harm for researcher(s) or subject(s)?
   - Does it involve research into potentially sensitive areas?
   - Does it involve use of students as research assistants?

2. Limited risk: in general, a research project can be taken to have low ethical risks where it involves one or more of the criteria identified in 1 above, but does not involve:
   - covert information gathering or deception
   - children under 18 or subjects who may unable to give fully informed consent *
   - prisoners or others in custodial care (e.g. young offenders)
   - significantly increased danger of physical or psychological harm for researcher(s) or subject(s), either from the research process or from publication of research findings
   - joint responsibility for the project with researchers external to the University.

* Schools are at liberty to confirm that research projects which involve children under 18 should fall under the ‘limited risk’ category provided no other criteria in this paragraph apply.

3. Significant risk: in general, a research project can be taken to have high ethical risks where it involves one or more of the criteria identified in 2 above.
Ethical approval must be secured before any data collection involving human participants can commence.

Note that the responsibility for undergraduate and taught postgraduate projects lies with the University Teaching and Learning Committee and ethics approvals will align with its governance arrangements.

**Security Sensitive data**
Research that involves accessing security sensitive materials will require ethical approval of at least School and potentially University Research Committee level approval. This material could be accessed easily and securely by researchers, but would not be transmitted or exchanged. Security sensitive materials are confirmed as research:

- commissioned by the military
- commissioned under an EU security call
- which involves the acquisition of security clearances
- concerns terrorist or extreme groups

The University has put systems and procedures in place that are aligned with the Universities UK guidance for the storage of security-sensitive research material, see Universities UK: Oversight of security-sensitive research material in UK universities: Guidance [https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/security-sensitive-research-material-UK-universities-guidance.aspx](https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/security-sensitive-research-material-UK-universities-guidance.aspx). This guidance concerns the storage and circulation of security-sensitive research material. If circulated carelessly, such material is sometimes open to misinterpretation by the authorities and can put researchers at risk of arrest and prosecution under counter-terrorism legislation.

Chairs of SRECs should be a first, or early, point of contact for enquiries about security-sensitive material associated with a university staff or PGR student member.

When SRECs have approved a security sensitive project the Chairs must notify URG, Research and Enterprise and Computing and Library Services. This ensures that appropriate data storage and access facilities are formally made available to researchers and that independent oversight is established for the duration of the research project. A common form for all Schools (Appendix 7a) is utilised for notification purposes and signed off by the SREC Chair. Researchers are also required to sign a declaration (Appendix 7b) associated with acceptable use of the data store facility.

URG are provided with a register of approved security sensitive projects, which is maintained by Research and Enterprise, at each meeting.

**Outcomes of the approval process**
When considering the ethical implications of a project, the body or person undertaking the review should conclude one or (where appropriate) a combination of the following outcomes. Schools should ensure a prompt and written notification of the outcome to the applicant.

- **Approval: project to proceed with no change**
- **Approval with recommendation(s):** the project is approved but the applicant may wish to consider recommendations made by the reviewing body/person. No further consideration for approval is required
Approval with conditions: the project cannot go ahead until the identified revisions have been made and confirmed as approved by the reviewing body.

Further information is required: if the reviewing body feels that the applicant has not included sufficient detail to allow an informed judgement to be made, the applicant should be requested to supply clarification/additional evidence in support of the case.

Not approved: the project cannot proceed. The reviewing body must give a full explanation of the reasons for this decision.

No decision: this indicates that the project will need to be reviewed by the next step in the process of approval.

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

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

**PGR research**

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

**Staff research**

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

URG on behalf of URC will prepare annual report which outlines the University’s compliance with the Concordat to Support Research Integrity.

**Training and Development**

The University will offer training and briefing sessions, co-ordinated and facilitated by the Research and Enterprise Office in collaboration with the People and Organisational Development Team.

Guidance and support will also be provided at School and discipline level via web-based resources and access to on-line training via the University’s VLE.

SRECs are responsible for ensuring that School-based ethics webpages include as a minimum the following information tailored where necessary to the context of the School:

- Statement on the importance research governance and an overview as to how it is managed in the School
- Named contact for School Research Integrity Champion for School staff and PGRs
- SREC membership and ToR
- Procedures, forms, guidance
- Reference weblinks
School Research Integrity Champion Role Description

What is Research Integrity?

Research integrity includes the use of honest and verifiable methods in proposing, performing, and evaluating research, reporting research results with particular attention to adherence to rules, regulations, guidelines, and following commonly accepted professional codes or norms.

Shared values in best practice research include:

- Honesty – communicating information truthfully and honouring commitments
- Accuracy – reporting findings precisely and taking care to avoid errors
- Efficiency – using resources wisely and avoiding waste
- Objectivity – letting facts speak for themselves and avoiding improper bias

The University of Huddersfield expects everyone involved in research, including academic staff, researchers, students, administrators and support staff, to promote research integrity in fulfillment of the University's research strategy and to follow its Code of Practice for Research.

To support the process of embedding a culture of research integrity in the institution School Research Integrity Champions are appointed.

Role Description for School Research Integrity Champions

- To promote a culture of research integrity in their Schools amongst staff, researchers and students
- To act as an independent point of contact and source of advice for staff, researchers and students who would rather speak to someone outside of their immediate research environment
- To signpost staff, researchers and students to information about research integrity e.g. the School Research Governance and the University Research Integrity webpages
- To promote in-School and centrally provided training opportunities to staff, researchers and students
- To give impartial advice on the responsible conduct of research or direct the query to an alternative source
- To keep the School Research Governance webpages under review and up to date
- To network with the other School Research Integrity Champions and identify and promote best practice in the University

Research Misconduct

The procedure for dealing with suspected research misconduct can be found in the University Policy on Investigating Allegations of Research Misconduct https://research.hud.ac.uk/media/policydocuments/Investigating-Allegations-Of-Misconduct-In-Research.pdf and relevant Staff or PGR Disciplinary procedures.

The Pro Vice-Chancellor (Research and Enterprise) is the University’s named contact for general matters relating to research integrity.
The Deputy Vice-Chancellor is the University’s named contact for matters relating to allegations of research misconduct.

**Data collection and storage**

Data generated in the course of research must be kept securely in paper or electronic format. SRECs should ensure that there are appropriate procedures in place to be assured that data has been correctly stored, archived and destroyed.
Project Proposal
Consideration for research ethics approval requirements

Does the research involve:
- Direct contact with human/animal participants
- Access to identifiable personal data for living individuals not already in the public domain
- Increased danger of physical or psychological harm for researcher(s) or subject(s)
- Research into potentially sensitive areas
- Use of students as research assistants

Yes

Does research involve:
- Covert information gathering or deception
- Children under 18 * or subjects who may be unable to give fully informed consent
- Prisoners or others in custodial care (e.g. young offenders)
- Significantly increased danger of physical or psychological harm for researcher(s) or subject(s), either from the research process or from publication of research findings
- Joint responsibility for the project with researchers external to the University.

* Schools may opt to identify this element as limited risk only

No = Limited Risk

Complete ethics application form

Approve

File Copy

Refuse

File Copy

Not Approved

Approve

File Copy

Consideration by nominated authority

Forward to SREC for consideration

Refer Back

Complete ethics application form

Confirmation by nominated authority

No specific risk identified

No
Appendix 2

Suggested ethics form where no risk is identified

No Specific Ethics Risk Declaration

Researcher:

Programme and Module (where appropriate):
Research Project Title:

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

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

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

If any changes to the project involve any of the criteria above I undertake to resubmit the project for approval.

Signature of Researcher: Date:

Counter-Signatory:
Role:

In signing this Declaration I confirm that I have reviewed the proposed project and am satisfied that that it does not involve any specific ethics risk as defined by the School policy.

Counter-Signature: Date:
THE UNIVERSITY OF HUDDERSFIELD

POSTGRADATE STUDENT / STAFF RESEARCH ETHICAL REVIEW

Please complete and return via email to xxx along with the required documents (shown below).

SECTION A: TO BE COMPLETED BY THE APPLICANT

Before completing this section please refer to the School Research Ethics web pages which can be found at xxx. Applicants should consult the appropriate ethical guidelines.

Please ensure that the statements in Section C are completed by the applicant (and supervisor for PGR students) prior to submission.

<table>
<thead>
<tr>
<th>Project Title</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Applicant</td>
<td></td>
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<tr>
<td>Supervisor (where applicable)</td>
<td></td>
</tr>
<tr>
<td>Award (where applicable)</td>
<td></td>
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<tr>
<td>Project start date</td>
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</tbody>
</table>

SECTION B: PROJECT OUTLINE (TO BE COMPLETED IN FULL BY THE APPLICANT)

<table>
<thead>
<tr>
<th>Issue</th>
<th>Please provide sufficient detail to allow appropriate consideration of any ethical issues. Forms with insufficient detail will need to be resubmitted.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aims and objectives of the study. Please state the aims and objectives of the study.</td>
<td></td>
</tr>
<tr>
<td>Brief overview of research methodology</td>
<td>The methodology only needs to be explained in sufficient detail to show the approach used (e.g. survey) and explain the research methods to be used during the study.</td>
</tr>
<tr>
<td>Does your study require any permissions for study? If so, please give details</td>
<td></td>
</tr>
<tr>
<td>Participants</td>
<td>Please outline who will participate in your research. Might any of the participants be considered ‘vulnerable’ (e.g. children)</td>
</tr>
<tr>
<td>Access to participants</td>
<td>Please give details about how participants will be identified and contacted.</td>
</tr>
<tr>
<td>How will your data be recorded and stored?</td>
<td></td>
</tr>
<tr>
<td>Informed consent.</td>
<td>Please outline how you will obtain informed consent.</td>
</tr>
<tr>
<td>Confidentiality</td>
<td>Please outline the level of confidentiality you will offer respondents and how this will be respected. You should also outline about who will have access to the data and how it will be stored. (This information should be included on Information your information sheet.)</td>
</tr>
</tbody>
</table>
Anonymity
If you offer your participants anonymity, please indicate how this will be achieved.

Harm
Please outline your assessment of the extent to which your research might induce psychological stress, anxiety, cause harm or negative consequences for the participants (beyond the risks encountered in normal life). If more than minimal risk, you should outline what support there will be for participants. If you believe that that there is minimal likely harm, please articulate why you believe this to be so.

Is the project of a security sensitive nature?
Please explain the type of information you intend to gather e.g. websites presenting a risk of contravening the law.

Retrospective applications. If your application for Ethics approval is retrospective, please explain why this has arisen.

SECTION C – SUMMARY OF ETHICAL ISSUES (TO BE COMPLETED BY THE APPLICANT)

Please give a summary of the ethical issues and any action that will be taken to address the issue(s).

SECTION D – ADDITIONAL DOCUMENTS CHECKLIST (TO BE COMPLETED BY THE APPLICANT)

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

I have included the following documents
Information sheet  Yes ☐  Not applicable ☐
Consent form Yes ☐  Not applicable ☐
Letters Yes ☐  Not applicable ☐
Questionnaire Yes ☐  Not applicable ☐
Interview schedule Yes ☐  Not applicable ☐
SECTION E – STATEMENT BY APPLICANT

I confirm that the information I have given in this form on ethical issues is correct. (Electronic confirmation is sufficient).

Applicant name/signature:

Date:

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

Supervisor name/signature:

Date:

All documentation must be submitted electronically to XXX.

If you have any queries relating to the completion or consideration of this form, please do not hesitate to contact XXX.
## Reviewer Proforma.

<table>
<thead>
<tr>
<th>Project Title:</th>
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<tbody>
<tr>
<td>Name of researcher(s):</td>
<td></td>
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<tr>
<td>Supervisor (where appropriate):</td>
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<tr>
<td>Reviewer name</td>
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<table>
<thead>
<tr>
<th>Issue</th>
<th>Advice / Comments to applicant</th>
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<tbody>
<tr>
<td>Aim / objectives of the study</td>
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<tr>
<td>Research methodology</td>
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<tr>
<td>Permissions for study?</td>
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<tr>
<td>Participants</td>
<td></td>
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<tr>
<td>Access to participants</td>
<td></td>
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<tr>
<td>How will your data be recorded and stored?</td>
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<tr>
<td>Confidentiality</td>
<td></td>
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<tr>
<td>Anonymity</td>
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<tr>
<td>Could the research induce psychological stress or anxiety, cause harm or negative consequences for the participants</td>
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</table>
(beyond the risks encountered in normal life).

Retrospective applications.

Supporting documents (e.g. questionnaire, interview schedule, letters etc)

Other comments

**OVERALL RESPONSE**

<table>
<thead>
<tr>
<th>APPROVE</th>
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<tbody>
<tr>
<td>APPROVE SUBJECT TO RECOMMENDATIONS [please specify]</td>
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<tr>
<td>APPROVE SUBJECT TO CONDITIONS [please specify]</td>
</tr>
<tr>
<td>FURTHER INFORMATION REQUIRED [please specify]</td>
</tr>
<tr>
<td>REJECT [please specify reasons]</td>
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</table>

Reviewer name

Date

Please send review to **xxx**

Where the project is deemed to potentially represent a significant risk it should be forwarded to SREC for consideration
Appendix 5

Sample Information sheet
(required for submission with application for ethical approval)

University of Huddersfield
School

Participant Information Sheet

Research Project Title: To be completed

You are being invited to take part in a research project. Before you decide, it is important for you to understand why this research is being done and what it will involve. Please take time to read the following information and discuss it with others if you wish. Ask if there is anything that is not clear or if you would like more information. May I take this opportunity to thank you for taking time to read this.

What is the purpose of the project?
The research project is intended to provide the research focus for a module which forms part of my degree. It will attempt to … Briefly state the main purpose of your research

Why have I been chosen?
(provide a brief explanation)

Do I have to take part?
Participation on this study is entirely voluntary, so please do not feel obliged to take part. Refusal will involve no penalty whatsoever and you may withdraw from the study at any stage without giving an explanation to the researcher.

What do I have to do?
You will be invited to take part in (interview, focus group, questionnaire, group interview ….). This should take no more than …? of your time.

Are there any disadvantages to taking part?
There should be no foreseeable disadvantages to your participation. If you are unhappy or have further questions at any stage in the process, please address your concerns initially to the researcher if this is appropriate. Alternatively, please contact xxx at the School, University of Huddersfield.

Will all my details be kept confidential?
All information which is collected will be strictly confidential and anonymised before the data is presented in any work, in compliance with the Data Protection Act and ethical research guidelines and principles.

What will happen to the results of the research study?
The results of this research will be written up in XXX. If you would like a copy please contact the researcher.

What happens to the data collected?
(provide an explanation as to how the data will be used)

Will I be paid for participating in the research?
(provide a clear statement of payment arrangements for compensation for the participant’s time and inconvenience and any out-of-pocket expenses if applicable.)
Where will the research be conducted?
(provide details of the location)

Criminal Records check (if applicable)
Provide a statement declaring that the researcher who may have access to children or vulnerable adults has undergone a satisfactory criminal records check.

Who has reviewed and approved the study, and who can be contacted for further information?
(provide contact details).

Name & Contact Details of Researcher: XXX
Sample Participant Consent Form
(required for submission with application for ethical approval)

University of Huddersfield
School

Participant Consent Form (E4)

Title of Research Study:

Name of Researcher:

Participant Identifier Number:

☐ I confirm that I have read and understood the participant Information sheet related to this research, and have had the opportunity to ask questions.

☐ I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason.

☐ I understand that all my responses will be anonymised.

☐ I give permission for members of the research team to have access to my anonymised responses.

☐ I agree to take part in the above study

Name of Participant: .............................................................................................................

Signature of Participant: .................................................................................................

Date: ................................

Name of Researcher:

Signature of Researcher:

Date:
Sample Researcher Consent Form
(required for submission with application for ethical approval)

University of Huddersfield
School

Researcher Consent Form (E5)
This form is to be used when consent is sought from those responsible for an organisation or institution for research to be carried out with participants within that organisation or institution. This may include schools, colleges or youth work facilities.

Title of Research Study:

Name of Researcher:

School/College/organisation:

Describe i) the purpose of the research study

ii) the data collection methods to be used

iii) which pupils/groups/classes will be selected for this study.
☐ I confirm that I give permission for this research to be carried out and that permission from all participants will be gained in line within my organisation’s policy.

Name and position of senior manager:

..........................................................................................................................

Signature of senior manager: ..............................................................................

Date: .................................

Name of Researcher: ..........................................................................................

Signature of Researcher: ....................................................................................

Date: .................................
<p>| | |</p>
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<tbody>
<tr>
<td><strong>University of Huddersfield</strong></td>
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</tr>
<tr>
<td><strong>Notification of Approval of High Risk (Security Sensitive) Research Projects</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1</strong> School</td>
<td></td>
</tr>
<tr>
<td><strong>2</strong> Project Title</td>
<td></td>
</tr>
<tr>
<td><strong>3</strong> Name of Researcher</td>
<td></td>
</tr>
</tbody>
</table>
| **4** Category of Researcher | Delete those that do not apply:  
  * Academic staff  
  * Post Graduate Research Student |
| **5** Name of Supervisor or Line Manager |   |
| **6** Date of Approval by School Research Ethics Committee |   |
| **7** Indicate where the documentation associated with this SREC approval is stored (weblink ideally) |   |
| **8** Designated overseer for the datastore  
  (must be a member of academic staff not engaged in this particular project; this person has access only to document titles and name of researcher) | Name:  
  University email address: |
| **9** Start date for the project |   |
| **10** Planned end date for the project |   |
| **11** Date for end of retention of data for the project |   |
| **12** (a) Anticipated volume of data storage required  
  (b) Files types required |   |
| **13** SREC Chair Name |   |
| **14** SREC Chair Signature |   |
This form must be sent to Deputy Director Research and Enterprise –
t.s.turner@hud.ac.uk who will distribute onwards to staff in the following roles
at the University:

Chair University Research Committee (PVC R&E)
Secretary of URG (Research and Impact Officer)
Head of Core IT Infrastructure, Computing and Library Services

IT facilities will not be put in place until this form has been
acknowledged by URC and CLS have evaluated the technical
requirements
University of Huddersfield  
**IT Facilities Approval for High Risk (Security Sensitive) Research Projects**

On receipt of approval from Research and Enterprise, Computing and Library staff will **evaluate** the need for access to specific IT Facilities following discussion with the researcher.

The outcome will be recorded in 1. and 2. below.

<table>
<thead>
<tr>
<th>1.</th>
<th>Name of CLS staff member who carried out the evaluation</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>2.</th>
<th>Evaluation outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Delete the one that does not apply</td>
</tr>
<tr>
<td></td>
<td>Specific IT Facilities <strong>are</strong> required</td>
</tr>
<tr>
<td></td>
<td>Specific IT Facilities <strong>are not</strong> required</td>
</tr>
</tbody>
</table>

If specific IT Facilities **are not** required the please complete the following:

Signature of CLS staff member named in 1. above:

Date:

and pass the form to the Head of Core IT Infrastructure, Computing and Library Services

Otherwise continue with the completion of the rest of this form.

This form is to be used to confirm handover of access to IT Facilities specifically aligned to the guidance provided by Universities UK to provide oversight of security sensitive research: [https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/security-sensitive-research-material-UK-universities-guidance.aspx](https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/security-sensitive-research-material-UK-universities-guidance.aspx)

This form will be completed by Computing and Library staff to confirm that the researcher being granted access to IT facilities provided for the access and storage of materials relating to security sensitive research has been made aware of and understands the conditions associated with access to these facilities.

<table>
<thead>
<tr>
<th>3</th>
<th>Name of Researcher</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Project Title</td>
</tr>
<tr>
<td>5</td>
<td>School</td>
</tr>
<tr>
<td>6</td>
<td>Category of Researcher</td>
</tr>
<tr>
<td></td>
<td>Academic staff</td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>7</td>
<td>Date of Approval by School Research Ethics Committee</td>
</tr>
<tr>
<td>8</td>
<td><strong>Name of Supervisor or Line Manager</strong></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td><strong>Designated overseer for the datastore</strong></td>
</tr>
<tr>
<td></td>
<td><em>(must be a member of academic staff not engaged in this particular project; this person has access only to document titles and name of researcher)</em></td>
</tr>
<tr>
<td>10</td>
<td>Start date for the project</td>
</tr>
<tr>
<td>11</td>
<td>Planned end date for the project</td>
</tr>
<tr>
<td>12</td>
<td>Date for end of retention of data for the project</td>
</tr>
<tr>
<td>13</td>
<td><strong>IT requirements provided</strong></td>
</tr>
<tr>
<td></td>
<td>Membership of Active Directory SSR security group</td>
</tr>
<tr>
<td></td>
<td>Access to data storage</td>
</tr>
<tr>
<td></td>
<td>Disk space provided:</td>
</tr>
<tr>
<td></td>
<td>Files types to be stored:</td>
</tr>
<tr>
<td></td>
<td>Other (if yes, please provide details):</td>
</tr>
<tr>
<td>14</td>
<td>To be completed by Computing and Library Services</td>
</tr>
<tr>
<td></td>
<td>The IT facilities above, along with guidance on their proper use, have been provided by:</td>
</tr>
<tr>
<td></td>
<td><strong>Name:</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Date:</strong></td>
</tr>
<tr>
<td>15</td>
<td>To be completed by the Researcher</td>
</tr>
<tr>
<td></td>
<td>I confirm that I have taken receipt of the IT facilities described above and that I understand, and will abide by, the requirements for their proper use.</td>
</tr>
<tr>
<td>Signature:</td>
<td>Date:</td>
</tr>
<tr>
<td>-----------</td>
<td>------</td>
</tr>
</tbody>
</table>

**16. The completed form must be sent to Head of Core IT Infrastructure, Computing and Library Services [j.m.radley@hud.ac.uk](mailto:j.m.radley@hud.ac.uk) who will distribute onwards to staff in the following roles at the University to communicate the outcome:**

- Chair University Research Committee (PVC R&E)
- Secretary of URG (Research and Impact Officer)
- Deputy Director Research and Enterprise