Norwich University of the Arts

Code of Ethics for Undergraduate and Postgraduate Taught Students

1. Introduction:

1.1 This Code provides guidelines on the standards of academic conduct required by all undergraduate and postgraduate taught students at Norwich University of the Arts. It outlines the principles of good academic and professional citizenship, and how to obtain ethical approval for your research projects at Norwich.

How to use this Code:

- Read the **Code**
- Use the **Checklist** in discussion with your Unit Leader or Course Leader to determine if you need to make an application for ethical approval
- Check the **Timeframe** to make sure you leave sufficient time to obtain ethical approval
- Read the **Process** to find out how to make an application for ethical approval
- The **Resources** section has references, information, contacts and useful links to help you design your project and make an ethical approval application
- Fill in and submit the **Ethics Approval Form**

.

2. Statement of principles for ethical research practice.

2.1 The University is committed to providing an environment that recognises and supports high standards of research integrity, ethical conduct and professional practice.

2.2 The University has adopted the following principles which are based upon the core principles of both the 'Concordat to Support Research Integrity' and the UK Research Integrity Office (UKRIO).

i. RESPECT for colleagues, collaborators, partners, participants and the wider academic community

ii. HONESTY in approaches to work and drawing conclusions

iii. RIGOUR in design of projects to high standards and observing professional and legal requirements

iv. TRANSPARENCY AND OPEN COMMUNICATION in sharing results and methods used

v. CARE for participants, audiences and personal wellbeing though careful risk assessment and observation of high standards of health and safety

vi. CARE of self by researchers of their own personal wellbeing, through careful risk assessment and observation of high standards of health and safety.

3. Code of Ethics

3.1 How does the Code work?

The Code supports students to **understand and identify** if their creative projects, including written work such as Research Reports, are meeting the requirements of good academic practice.

i. The University requires that the work conducted by its students maintains the **highest possible standards** of integrity, is conducted in **accordance with the law**, and is consistent with **best practice**.

ii. The merits of the project are considered on the basis of their potential to produce **knowledge, understanding or wellbeing** for the **social good**.

iii. The Code is not intended to place prohibitions or obstacles in the way of your creative search for knowledge, but it does place on you the **responsibility** to familiarise yourself with ethical issues and legal obligations in relation to your project.

iv. It is important to be aware that **contravention of the Code** may be a breach of academic integrity and constitute grounds for **disciplinary action**. It is therefore **important to review the Checklist** and determine for yourself whether your project requires you to make an application for ethical approval before you begin.

3.2 Obligations, rights and responsibilities

In addition to the responsibilities placed on all students by the University's Principles of ethical practice (Section 2), there are a number of legal obligations that should be considered before beginning a project. Not all student projects will require compliance with legal or regulatory obligations, but you should **always** consider if there are any that relate to your project before beginning. Discuss with your Unit Leader or Course Leader if your project has any ethical implications **before you start**.

For Instance:

Does your project involve other people? What data are you collecting from them? Many aspects of people's data is protected by the UK GDPR and the Data Protection Act 2018 which determine the laws around the handling of personal data.

i. **Personal data**: data by which an individual may be directly or indirectly identified (e.g. names, email addresses, place of work or study etc.)

ii. **Special category data**: personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data (where used for identification purposes), or concerning health, a person's sex life, or a person's sexual orientation.

Think about what personal data you will collect, how you will explain the purpose of this to your participants, how you are going to use data in your project, how you will store it securely, and how and when you will destroy it.

i. Legal requirements

You should ensure that you comply with the legal requirements associated with your project and any possible repercussions. As part of planning a project you should ask yourself if your ideas will require you to take account of any legislation. Links to key legislative documents are available in Resources (Section 7).

.

Check partner requirements

If your project will involve external organisations, these organisations may also have regulatory or legislative requirements for ethics review via their own particular channels. Organisations could include, e.g. businesses, schools, care homes, etc. Wherever a partner organisation in your project has an internal ethical approval process these provisions must also be met before you begin.

For example, if the study involves NHS patients or staff, an application must also be submitted to the appropriate external Health Research Authority ethics committee

ii. University policies

Students are required to comply with this Code and conform to the University's policies on Health and Safety and Equality. This means that where appropriate a risk assessment should be conducted at an early stage to ensure the protection of all participants in the research. In the first instance speak with your Unit Leader or Course Leader on preparing for health and safety of your project.

For example, will your project take place outside working hours or off University premises? Will it involve using equipment that requires a licensed user?

A list of potentially relevant University Policies and Regulations are included in Resources (Section 7).

iii. External regulations and policies

Students are required to abide by this Code and to the code of ethics of any professional body or subject association with which they interact or which they research. It is your responsibility to make yourself aware of any additional codes of ethics which apply to potential and actual collaborators on your projects, practice and/or other participants. Where the location of the research is external to the University it is essential that the regulations, procedures, practices and guidelines, which are relevant to Norwich University of the Arts and to external situations, are observed.

In your course you will have learned about professional codes of conduct/ethics. You should always aim to meet those standards. In the case of work conducted as a student of Norwich University of the Arts, the University Code of Ethics for Undergraduate and Postgraduate Taught Students will take precedence should any discrepancy between codes arise.

iv. Good academic and professional citizenship

This is reflected in the Code's core principles of Respect, Honesty, Rigour, Transparency and Care. As an ethical practitioner, the creative work you produce should always:

a) Properly acknowledge the work / contribution of others, including the use or re-use of others' intellectual property and any use of artificial intelligence

b) Be truthful and accurate, and

c) Be made available to any participants or stakeholders.

v. Contractual responsibilities

Any external contracts engaged in as part of the project must not compromise the overriding principles outlined above, or any legal obligations or pre-existing rights.

The terms of practice or research undertaken on behalf of a sponsor or patron must be negotiated and agreed in advance. These should include:

a) the specification of the project,

b) the roles and responsibilities of those involved,

c) the dissemination and exploitation of outputs resulting from the work

d) the need for confidentiality or non-disclosure

e) the intellectual property rights pertaining to the practice or research

f) Students should contact the Ideas Factory for advice on this (see Resources for contact details).

3.3 Planning a project, good ethical practice

When planning a project you should weigh up the potentially conflicting risks and benefits of your project. Benefits are weighed by how much the project's outcome will bring positive impacts to participants, a wider group or community, or to society as a whole. Risks are weighed against the potential benefit. If the benefit does not outweigh the associated risks, the project needs to be reconsidered and, if appropriate, redesigned to reduce the risks.

i. Have you considered?

a) What good will come of your project and what could go wrong / bring harm to those involved?

b) The principle of justice and the fair treatment of participants in research? Can you ensure that the interests of all participants, whether directly involved or indirectly involved (e.g. an audience), are taken into account?

c) The ethical implications of the research and the physiological, psychological, social, political, gender, religious, cultural and economic consequences of the work for the participants? You should be sympathetic to difference when conducting research.

d) Are you fully competent and sufficiently informed to carry out the project, making fair judgement about needs and interests of direct and indirect participants? If you are venturing into areas where you do not hold relevant qualifications or experience it is essential that you seek specialist advice.

For Instance:

If a project involves other people, what are you going to ask them to do? Will it involve any strenuous activity, venture into stressful or sensitive subject areas, or involve working with people in vulnerable categories?

You will need to make an ethics application and, if necessary, explain what measures you are going to put in place to protect your participants.

You might want to:

- Provide information to participants on support services relevant to the research
- Arrange for a qualified person to be present during the activity (e.g. a first aider, mental health specialist, support worker, teacher, care-giver…)
- Take advice from a qualified person on the design of your project

Have you considered the impact of the research on yourself? What provisions have you made to ensure you are not adversely impacted by the topic you have selected?

Such as:

- Conducting a health & safety assessment
- Make yourself aware of the University's relevant support services
- Not putting yourself in a dangerous situation

Thinking about these questions in advance will help you plan for how to mitigate any risks to your participants and yourself.

ii. Informed consent

Ethical conduct in research and practice demands respect for the rights of others who are directly or indirectly affected by your activities. Both the physical and the personal autonomy of human participants should be respected.

a) Participation in the project or activity should always be on the basis of fully informed consent and participant's rights of privacy should be guaranteed. Written consent of participants must be obtained where appropriate.

b) Participants must be informed that they can withdraw from the project at any time, before, during or afterwards, without needing to give a reason.

c) Projects where the nature of the results depend on the participants not being fully informed prior to participating require highly specialised and expert design to protect participants. Such projects would normally be carried out in the fields of Social and Cognitive Sciences. Student projects in this area are unlikely to receive ethical approval. Any application would need to include appropriately qualified advisors with evidence of expertise in this type of research.

d) There should be no coercion of any kind. Due consideration should be given to whether any incentives offered for participation may be construed as exploitative of the intended participants.

e) Prior to obtaining informed consent you should ensure that participants are fully informed of the nature and purpose of your work well in advance of it taking place. One way to obtain informed consent is by issuing a Participant

Information Sheet with the Consent form. You can find an example of a Participant Information Sheet in the appendices of this Code.

f) Where there is marginal participation in the work by third parties, (for example members of the public in an observer capacity), or where groups of people are involved, informal consent might be more appropriate than informed consent. You should consider how to obtain and record informal consent as part of your ethics application.

g) Vulnerable participants:
Some participants may not be in a position to give informed consent. Other participants may be able to give informed consent while falling within a vulnerable category. There are particular areas of law that protect the rights of vulnerable participants. Vulnerable categories can include, and are not limited to:

- Children
- Young people (i.e. teenagers between 16-18)
- Disabled people
- Elderly people
- People with declared mental health issues
- Prisoners
- People in health or social care settings
- Addicts
- People with learning or cognitive impairments

h) Where participants are not in a position to give informed consent on the basis of their health or mental health the University will not normally sanction work 3of this type for undergraduate or postgraduate taught students.

i) Young persons over the age of 16 are generally thought to be able to give informed consent, but you should seek advice before starting your project on whether the nature of the project is appropriate without seeking further consent of an appropriate adult.

j) Work or research involving children under 16 will require informed consent to be obtained from parents, carers or guardians. Even when parental consent has been obtained, you must inform the University's Safeguarding Lead of your proposed project (see Item 7.2 for contact information.)

For instance:

One of the most common situations requiring ethical approval is when you are interviewing people for a project. Assuming that your participants are over 18 and can give their consent, this would require you to:

- Submit an Ethics Application form before you start
- Inform participants of the nature and scope of your project, including possible public outcomes
- Obtain participants' written consent (using a tailored consent form)
- Allow participants to remain anonymous if they wished
- Allow participants to withdraw at any point

iii. Confidentiality and data protection

Participants' confidentiality and anonymity should be maintained, and their personal privacy protected. The identity of participants should not be revealed unless written permission is obtained prior to the work being carried out.

a) The collection, storage, disclosure and use of research data by you as a student researcher must comply with the UK GDPR and the Data Protection Act (see Resources Section 7). Participants should be given detailed information about what will happen to their personal data. Data gathered in the course of research is collected under the lawful basis of Public Task in line with the research provisions in the UK GDPR and the Data Protection Act 2018, which can be viewed here. Where possible, personal data should be anonymised as this protects the individual and removes your obligation to class it as personal data under the legislation. Where personal data cannot be fully anonymised, participants in a research project should be advised that their personal data will be processed under the lawful basis of Public Task which means that they *may* not be able to have their data removed from the project at a later date if it would adversely affect the integrity of the research and that their data *may* be held indefinitely, solely for the purposes covered by the research provisions.

b) You should be aware of the risks of identification and breach of privacy and confidentiality posed by all kinds of information storage and processing, including computer and paper files, e-mail records, photographic material, audio and videotapes, social media platforms and any other information in which an individual is named, or from which an individual could be identified.

For Instance:

Do

- Use your Norwich University of the Arts student One Drive to store your project data
- Set password protection on files containing personal and/or special category data
- Fully and permanently anonymise your participants' data where appropriate in your final project outputs (written or creative). Anonymisation means that participants cannot be identified either directly *or indirectly* in the final outputs of your project. (An exception to this may occur if your project involves actors / models, and agreement on how their participation will receive appropriate credit should be reached in advance.)
- Plan for how long you are going to store the data, will the place you are storing it remain available and secure for the whole period?
- Put in place viable measures to ensure the data is deleted / destroyed at the end of the planned period of retention.

Don't

- Use unencrypted USB, external hard drives or personal devices to store data
- Retain physical copies of data in unsecured locations
- Share results on social media unless you have permission

iv. Animal rights

For general safeguarding reasons, any activity, practice or research which might involve live or dead animals at the University or as part of site research, will not normally be permitted. This is to avoid animal suffering of any kind. In any approved interactions with animals (i.e. during a drawing/photo trip to a zoo) you are required to show respect for animals as fellow sentient beings.

v. Research undertaken in public places

Student researchers should pay particular attention to the implications of research or other activities undertaken in public places.

a) Have consideration for the impact on the environment and the wider community.

b) Observe the laws on obscenity and public decency.

c) Have due regard to religious and cultural sensitivities.

4. Ethics Checklist for Undergraduate and Postgraduate Taught Students.

All Undergraduate and Postgraduate Taught students intending to undertake a project or research must complete this checklist.

The checklist will help you identify whether your project or research requires a formal application for ethical approval from the University before it can go ahead.

Before completing this Checklist, please review the Code of Ethics guidance on planning a project (Sections 1-3 above.)

You must discuss and complete the Checklist with your Unit Leader or Course Leader. They will advise on whether your project or research will require an application to the ethical approval panel. They will also note any health and safety or risk assessment requirements in relation to your course.

If your project or research, or an aspect of it, requires ethical approval, you will be in breach of academic integrity regulations if you begin any element requiring ethical approval before this has been obtained from the relevant University ethics approval panel.

1.	Is your project library based, and/ or confined to the analysis or scrutiny of publicly available documents and **does not** involve the direct observation of, or involvement with, human or animal subjects? *If you answered **Yes**, projects falling within these parameters are unlikely to need formal ethical approval.*	Yes	No
2a.	**Does** your project involve human participants? *If you answered **Yes**, you should complete the ethical approval process** ***this will not apply to normal photography or film shoots with models and actors unless ticking yes to the questions below.**	Yes	No
2b.	**Does** your project involve the use of animals? *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
3.	**Does** your project involve participants who are unable to give informed consent? Participants who may be unable to give informed consent include vulnerable groups such as those listed in Section 3.3 of the Code of Ethics. *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
4.	**Does** your project involves sensitive topics? Such as: sexual behaviour, illegal behaviour, radical or extremist political behaviour, experience of violence, abuse, exploitation and / or other racist or sexist behaviour, mental health, physical health and treatment.	Yes	No

	Consider if your project has the potential to trigger stress in direct / indirect participants (e.g., interviewees / audiences). Or will your project involve simulated stressors to actors/models? Have you discussed this with your Tutor / Unit Leader / Course Leader? *If you answered **Yes**, you should complete the ethical approval process.*		
5.	**Does** your project involve deception or disguise or will be conducted without participants' full and informed consent at the time of the study? *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
6.	**Does** your project involve access to records of personal or confidential information concerning identifiable individuals? *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
7.	**Will** your project induce, or have the potential to induce, psychological or physical stress, anxiety, pain or humiliation? Consider if your project has the potential to induce such stress in direct / indirect participants (e.g., interviewees / audiences). Or will your project involve simulated stressors to actors/models. Have you discussed this with your Tutor / Unit Leader / Course Leader? *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
8.	**Does** your project involve, or have the potential to involve, intrusive interventions that participants would not normally encounter, or which may cause them to reveal information that could cause concern in the course of their everyday life? Such as: vigorous physical exercise. *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No
9.	**Will** your study involve NHS patients or staff? *If you answered **Yes**, you should complete the ethical approval process.*	Yes	No

If you have answered **Yes** to any of the questions in the Checklist requiring completion of the ethical approval process you should continue to the **Timeframe** (Section 5) and **Application Process** (Section 6) below.

You can also use the **Resources** (Section 7) to find information to support your application.

5. Timeframe for ethical approval applications.

5.1 If I need ethical approval from the Panel, when can I begin my project?
You must not begin any part of your project if your response to the Checklist requires you to complete the ethics approval panel process. You must receive approval for your ethics application from the relevant University ethics approval panel before you start. If you start before receiving approval you will be in breach of the regulations on unacceptable behaviours.

5.2 How long will an application take?

The ethical approval process has two stages.

i. Stage 1: You must discuss the ethics Checklist and any related risks or health & safety criteria with your Unit Leader or Course Leader at the planning phase of your project. On completing the Checklist confirm with your Unit Leader or Course Leader if you will now need to proceed to stage two of ethical approval.

ii. Stage 2: You must complete the ethical approval form and collate any relevant supplementary documents and submit these to ltsc@norwichuni.ac.uk.

Following receipt of an application the ethical approval panel meets fortnightly. Your application will be submitted to the next scheduled meeting. This means that you will normally receive a response from the panel within a three-week period, depending on the date of your submitted application.

Be aware: the panel may not grant approval at the first review, and you may be required to submit amendments. If this happens the approval timeline begins again from receipt of your resubmitted documents.

If you make an application for ethical approval outside of normal term time, you may find the process takes longer than usual.

5.3 It is advisable to build this timeframe for making an application for ethical approval into your project design.

6. Ethics Approval Process – Making an Application

6.1 What is the ethics approval process?
The ethics approval process is intended to safeguard you as a practitioner along with participants and others on whom the proposed work might impact, directly or indirectly.

6.2 What do I do?

i. You should read the guidance in the Student Code of Ethics (Sections 1-3) and use this to help you complete the Ethics Approval Form.

ii. You should complete the form in a tutorial discussion with your Unit Leader or Course Leader after reading the Code.

iii. If your Unit Leader or Course Leader determines from your completion of the Checklist that you will need to make an application to the ethics approval panel you should complete the Ethics Approval Form.

iv. If you are going to use any documents in your research you should include these as supplementary supporting information for the University ethics approval panel.

v. Supporting documents could include, and are not limited to…

a) A draft participant information sheet

b) A draft participant consent form

c) Project summary

d) Evidence of any requisite experience of external project partners or advisors

e) Evidence of authority of external persons to grant you access to a location or participant group

vi. On completion of the Ethics Approval Form, submit it as an attachment, along with any supplemental supporting documentation to ltsc@norwichuni.ac.uk.

6.3 What happens next?

i. A University ethics approval panel is convened from the membership of the University's Learning, Teaching & Standards Committee.

The membership of the Panel will be:

a) Pro Vice Chancellor (Academic) (or nominee), Chair

b) 2 academic members of LTSC

c) Quality Manager (or nominee)

ii. The 3 members of the University ethics approval panel will review the documentation and submit a report to the Chair of the panel with a proposed outcome and any Conditions or Recommendations to be attached to the outcome. The Chair will review the report and confirm the final outcome.

iii. Outcomes available to the panel are:

a) Approved

b) Approved with Recommendations

c) Approved subject to Conditions

d) Rejected

Recommendations are not mandatory but are intended to help you enhance your project and follow best practice.

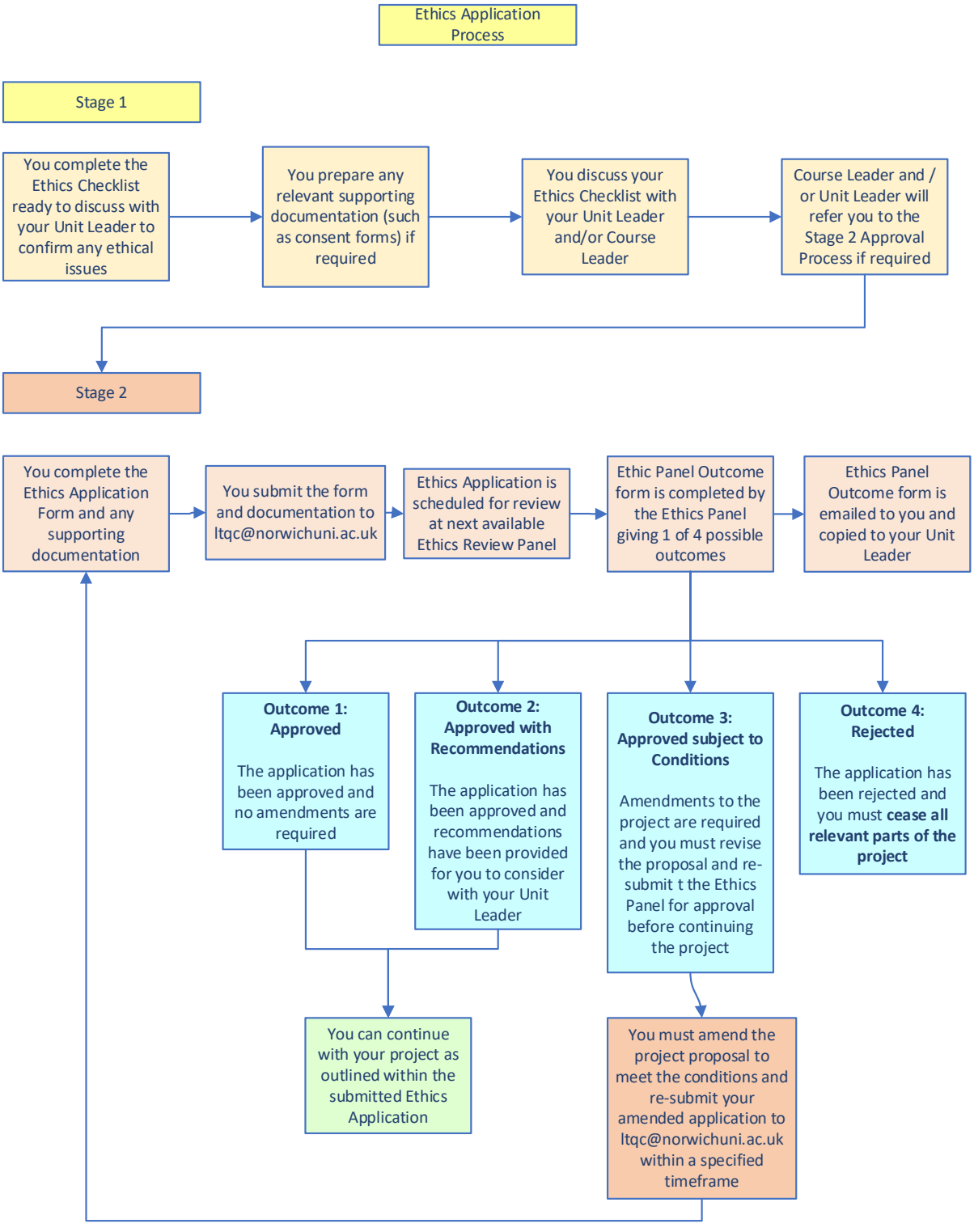
Conditions are actions you must take before you can begin your project. These will often require that you amend and resubmit part, or all, of your application documents for a further examination by the Chair of the panel before your application can be approved.

Rejected means that there were major ethical flaws and that the project cannot be approved. You will need to discuss designing a different project with your tutor or Course Leader.

6.4 How do I find out the outcome of my application?
You will normally receive an email no longer than three weeks after you submit the application with the outcome from ltsc@norwichuni.ac.uk. The email and attached outcome document will explain if you need to do anything further.

6.5 You should retain your ethical approval in case you are required to present it at a later stage in the project.

6.6 You may also find the diagram below helpful in following the application process:


Ethics Application Process
Stage 1
You complete the Ethics Checklist ready to discuss with your Unit Leader to confirm any ethical issues
You prepare any relevant supporting documentation (such as consent forms) if required
You discuss your Ethics Checklist with your Unit Leader and/or Course Leader
Course Leader and / or Unit Leader will refer you to the Stage 2 Approval Process if required
Stage 2
You complete the Ethics Application Form and any supporting documentation
You submit the form and documentation to ltqc@norwichuni.ac.uk
Ethics Application is scheduled for review at next available Ethics Review Panel
Ethic Panel Outcome form is completed by the Ethics Panel giving 1 of 4 possible outcomes
Ethics Panel Outcome form is emailed to you and copied to your Unit Leader
Outcome 1: Approved
The application has been approved and no amendments are required
Outcome 2: Approved with Recommendations
The application has been approved and recommendations have been provided for you to consider with your Unit Leader
Outcome 3: Approved subject to Conditions
Amendments to the project are required and you must revise the proposal and re-submit t the Ethics Panel for approval before continuing the project
Outcome 4: Rejected
The application has been rejected and you must cease all relevant parts of the project
You can continue with your project as outlined within the submitted Ethics Application
You must amend the project proposal to meet the conditions and re-submit your amended application to ltqc@norwichuni.ac.uk within a specified timeframe

7. Resources

7.1 Key University Policies

i. Child Protection and Adult Safeguarding Policy
ii. Data Protection Policy
iii. Freedom of Information Act: Guide to Information
iv. Health, Safety and Environmental Health Policy
v. Intellectual Property Policy and Regulations
vi. IT Acceptable Use Policy
vii. Records Retention Management Schedule and Records Management (Appendix 6 of the Data Protection Policy)
viii. Equality Diversity and Inclusion Policy
ix. Student Regulations and Procedures
x. Procedure for the Investigation of Allegations of Research Misconduct

7.2 University Information

i. Who to ask:
   a) contractual arrangements, contact: careers@norwichuni.ac.uk
   b) safely and securely storing data, contact: helpdesk@norwichuni.ac.uk
   c) safeguarding; caring for participants and caring for yourself, contact: support@norwichuni.ac.uk
      NOTE: please mark your query, 'for the attention of the Mental Health & Wellbeing Advisor or the Mental Health & Safeguarding Manager'
   d) about the ethics application process, contact: ltsc@norwichuni.ac.uk
   e) about designing your project, contact: your Unit Leader or Course Leader
   f) about health and safety of your project, contact: your Unit Leader or Course Leader in the first instance.

7.3 Key Legislation

i. UK GDPR and the Data Protection Act 2018
ii. Freedom of Information Act 2000 and How to make a Freedom of Information request
iii. Computer Misuse Act 1990
iv. The Protection of Children Act 1999
v. Copyright, Designs and Patents Act 1988
vi. Equality Act 2010
vii. Obscene Publications Act 1964
viii. Counter Terrorism & Security Act 2015
ix. Human Rights Act 1998

7.4 Useful websites and information

i. Information Commissioner's Office – Guide to the UK General Data Protection Regulation (UK GDPR) The research provisions ICO

   a) GDPR: 8 Principles of Data Protection:
      - Obtain and process information fairly
      - Keep it only for one or more specified, explicit and lawful purposes
      - Use and disclose it only in ways compatible with these purposes
      - Keep it safe and secure
      - Keep it accurate, complete and up to date

- Ensure that it is adequate, relevant and not excessive
- Retain it for no longer than is necessary for the purpose or purposes
- Provide individuals with a copy of their personal data free of charge, on request

ii. NHS Health Research Authority
iii. UK Research Integrity Office (UKRIO)
iv. UKRIO Code of Practice for Research
v. UKRIO Checklist for Researchers
vi. Concordat to Support Research Integrity
vii. Concordat on Openness on Animal Research
viii. Concordat on Open Research Data

Annex 1

ETHICS APPROVAL FORM

(Undergraduate and Postgraduate Taught Students)

Ethics documents including guidance sheets, checklists and approval forms are available from the Student Enquiries Office. These can also be downloaded from your Course pages on the University VLE.

If participants are involved in the work, this form must be accompanied by:

i. A draft Participant Information Sheet

ii. A draft Participant Consent Form

Once completed please send this form to: ltsc@norwichuni.ac.uk

For guidance on completing this form please refer to the Student Code of Ethics for Undergraduate and Postgraduate Taught Students.

Please complete Questions 1 to 5
1. Project Title
2. Contact Person (normally you) If the application is for a group project only one member of the group should apply. **Name**: **Course**: **Email / Tel. no:** **Address**:
3. Names & contact details of other key people or organisations involved (within or outside the University)
4. Expected duration of project: FROM: TO:
5. Please provide a summary of the project's aims, objectives and methods, including what the ethical considerations relating to this project are: If submitting the summary as a separate attachment, **mark here**: ☐
If your work involves **participants**, please complete **Questions 6 to 14**. If there are **no participants** please go to **Question 15 below**.
6. Will the participants be: (please tick as appropriate) STUDENTS AT THE UNIVERSITY: ☐

OTHER: ☐
(if 'Other' please specify here)

7. How will participants be recruited and how many will be involved?

8. What will participants be asked to do? (Explain in terms appropriate to a lay person)

9. What potential risks to the interests of the participants do you foresee and what steps will you take to minimise those risks?
(A participant's interests include their physical and psychological well-being, their commercial interests, and their rights of privacy and reputation)

10. What potential risks do you foresee to yourself and what steps will you take to minimise those risks?
(e.g., does your work raise issues of potential safety or well-being for yourself during this project?)

11. Please attach copies of your proposed written Participant Consent Form and Participant Information Sheet to be given to participants.

If you are not intending to obtain written consent or supplying an information sheet you must **explain your reasons for this here**:

12. Does your project involve people in a vulnerable category? (Please refer to the **Code of Ethics for Students** for guidance on identifying 'vulnerable' groups)

a) If YES, how will you obtain appropriate consent to involve them in your project?

b) If YES, what measure(s) will you put in place to mitigate any risks associated with involving them in your project?

Please refer to the Norwich University of the Arts' Data Protection Policy before answering Question 13. Please consider **anonymity** and the **secure storage and disposal** of personal information. Particular attention should be paid to projects involving **Special Category** data (**refer to the Code of Ethics for the definitions**).

13. Will you be obtaining personal data from any of the participants?

YES / NO (please delete as appropriate)

If NO go to **Question 14**

If YES please **complete** the rest of the questions in this section.

a) **Give details of the personal data you will obtain**:

b) **How will you use this information? To what extent will the data be confidential? If it is confidential, what steps will you take to protect its confidentiality in the outputs / work resulting from the project?**
(You may need to think about completely and permanently anonymising some or all of the personal data or pseudonymising it by using a secure code)

c) How will you provide participants with detailed information about what will happen to their personal data?
(Do they understand that their personal data will be processed under the lawful basis of Public Task and that this means they *may* not be able to have their data removed from the project at a later date if it would adversely affect the integrity of the project, and that their data *may* be held indefinitely, solely for the purposes covered by the research provisions (e.g. in the participant information sheet). As detailed here.)

d) How will you securely store the personal data during the project?
(please make reference to guidance on safe storage of data in your response)

e) How long will you keep the data?

f) Will you be retaining the data for future use or will it be destroyed at some point?

RETAIN / DESTROY (please delete as appropriate and complete below)

If RETAIN: explain how you will continue to store it securely? How are you informing participants that the data may be used in the future.

If DESTROY: How this will be done? How will you ensure the data is disposed of in such a way that there is no risk of its confidentiality being compromised?

14. Will payments to participants be made?

YES / NO (please delete as appropriate)

If YES, please state amount and whether payment is for out-of-pocket expenses or a fee here:

15. If the project is to receive external financial support please give details, including any conditions that have been imposed upon the work by the funders and the nature of any discussions with Ideas Factory.
Both financial propriety and the protection of commercial rights are important for you, the University and other third parties (e.g. sponsors, participants etc.)

16. Will any restrictions be placed on the dissemination or sharing of your work?

YES / NO (please delete as appropriate)

If YES, please state nature of the restrictions (e.g. details of any confidentiality agreement) here:

17. I confirm my responsibility to deliver the project in accordance with Norwich University of the Arts' Code of Ethics for Undergraduate and Postgraduate Taught Students.

In signing this form I am also confirming that:

i. The form is accurate to the best of my knowledge and belief;

ii. There is no potential material interest that may, or may appear to, impair the independence and objectivity of myself and others in conducting this project;

iii. I undertake to conduct the project as set out in this application unless the University ethics approval panel, as delegated by the Learning, Teaching & Standards Committee, requires or agrees a change, and to comply with any conditions set out in any formal outcome sent by this body;

iv. I understand and accept that the University Learning, Teaching & Standards Committee may monitor the ethical propriety of this project.

Name of Student:

Signature of Student:

Annex 2

SAMPLE PARTICIPANT CONSENT FORM

Norwich University of the Arts

Sample Participant Consent Form

Informed Consent for [insert title of study/project**]**

Project contact: [insert name and contact details]

Thank you for taking part in this project. Ethical procedures for academic research undertaken from UK Higher Education institutions require that participants explicitly agree to taking part and **are informed about** how the information contained in their participation will be used. This form is necessary for us to ensure that you understand the purpose of your involvement and that you agree to the conditions of your participation.

SAMPLE

Please tick the appropriate boxes	Yes	No
1. Taking part in the study/project		
I have read and understood the project information sheet for [insert project title], and it has been given to me to keep.		
I understand that I am taking part in a student research project as part of a taught course at Norwich University of the Arts (Norwich)		
I have been given the opportunity to ask questions about the project and understand how my participation may be used. Any questions I have asked have been answered satisfactorily.		
I understand that my participation in this project is voluntary and that I can withdraw my participation at any time without having to give a reason and without any disadvantage to me.		
I understand that I will not be paid for my participation, and that this project is for educational purposes only.		
I confirm that I am 18 or over		
I understand that my participation in this project involves: [insert information about what participation involves – this would be the same as in the information sheet section 'If I take part, what will I be asked to do / what will happen?']		
I understand that participating in this project has the following potential risk(s)		

[include if appropriate to your project and insert any risks outlined in the participant information sheet]		

2. Use of information

I understand that my personal data will be processed under the lawful basis of Public Task under the UK GDPR. This means that I *may* not be able to have my data removed from the project at a later date if **its removal** would adversely affect the integrity of the project, and that my data *may* be held indefinitely / up to the date outlined in the Participant Information Sheet, solely for purposes covered in the Participant Information Sheet.		
Other consent examples which may optionally be necessary depending on the project:		
I give permission for my real name to be used in connection with participation in this project.		
I understand that all or part of my participation may be used and made public as part of this project. This may include [list what these are from the Participant Information Sheet]		
I understand that my words may be transcribed, used, and stored in text form		
I understand that I may ask for a copy of the participation recording or transcript at any point up until such point as it is destroyed.		

Participant's signature: **Date**:

OR
If participants are children / vulnerable adults, you will need parental / legal guardian consent….

Parent / Legal Guardian's signature: **Date**:

Thank you for agreeing to take part in this student research project. If you have any questions please contact either the project contact above, or the Learning, Teaching & Standards Committee on ltsc@norwichuni.ac.uk

Student's name: **Date:**

Course:

SAMPLE

Annex 3

SAMPLE PARTICIPANT INFORMATION FORM

Norwich University of the Arts

Sample Participation Information Sheet

Title of Project

Is understandable / self-explanatory to a lay person?

Project dates

When does the project start?

Who will conduct the project?

List your name and the names of any others involved in running the project

Invitation paragraph

This outlines the invitation to take part. Example wording could include

> *"I/We would like to invite you to take part in this project. Before you decide whether you would like to participate it is important that you understand what the project is, why it is happening, and also what this involves for you. Please take the time to read the information in this document and feel free to discuss it with others if you wish. Do let me/us know if there are any questions, if anything is not clear, and/or if you would like more information. You will be given a copy of this information sheet to keep."*

What is the purpose of the project?

Explain the background to the project and the aims that the project is seeking to achieve. Explain when the project will end.

Why have I been asked to take part?

Explain why the potential participant has been asked to take part, including the criteria used to select participants. For example, does the person meet a specific age range; do they have a specific occupation?

If there has been a general call with no specific criteria, i.e., poster, social media, explain for participant that their participation is self-selecting.

SAMPLE

Do I have to take part?

Explain that participation is voluntary and that they can withdraw at any time without needing to give a reason, before, during or after the participation activities.

If I take part, what will I be asked to do / what will happen?

Explain what you will be asking of participants. Include information about what methods you will be using, i.e., video, photography, surveys, interviews etc., and set out how long this will take, how often, and where. Try to include as much information as is relevant to enable participants to make an informed decision.

Are there any potential risks / disadvantages to my participation in this project?

Explain if there are any potential risks / disadvantages to someone's participation in the project and how they will be mitigated (e.g if there are any health and safety measures for physical risk, or additional provision for emotional wellbeing of participants). Any risks should have been identified as part of the ethics approval process. You should also state that participants will be informed immediately of any unexpected risks / disadvantages that arise.

What should I do if I want to take part?

Explain how potential participants can confirm / notify that they wish to take part (e.g. completing a survey or other sign up mechanism, email etc).

Explain also that they will be asked to complete a participant consent form before their participation begins.

What personal information will be collected?

Explain what personal information you will be collecting, for example, are you collecting participant's names, ages, occupations, contact details. Remember that according to the General Data Protection Regulation (UK GDPR) you should only collect personal information where this is necessary. Have you considered if it is possible to undertake the project without gathering or storing personal data? Personal data is any data by which an individual participant may be directly or indirectly identifiable.

How will my personal information be processed?

You need to inform participants that any personal information they do share will be processed under the lawful basis of Public Task, in line with the research provisions in the UK GDPR and the Data Protection Act 2018. This means that they may not be able to have their personal data (e.g. names, ages, etc) removed from the project outcome(s) at a later date if it would adversely affect the integrity of the project, and that their data may be held indefinitely, solely for purposes covered by the research project. This does not negate their right to withdraw at any time, but if they withdraw after the project is completed, personal data included in the final piece of work of may not be removeable (e.g. a video, a published text).

SAMPLE

What will happen to the information collected as a result of my participation in the project?

Explain how information collected will be used, i.e. shows, exhibits, papers, etc. Be very clear, as uses beyond what has been agreed to will require further informed agreement / consent.

Confirm whether the participant will be identifiable in the final piece.

Do you plan on using the information for further projects? If so you will need to get their permission to do so.

Explain if participants will get a copy of the results of their participation and also if they will be able to review before publication / submission.

Would my participation in the project be kept confidential?

This will depend on the nature of your project, and you will need to include information about:

- *Who will have access to their personal information if any is collected.*
- *How will confidentiality be ensured? Will the data be anonymised or pseudonymised? Are there any restrictions on confidentiality?*
- *Is there audio/video recordings/photography? If so think about how far can be ensured?*
- *If you at a later date wish to use the participant's information for further, different purposes to that set out in your project, you will need to request further consent from your participants. For example, you may subsequently wish to commercialise your project. Specify that you will obtain consent before doing so and how. If you are not sure, speak to the Data Protection Officer for advice.*
- *How will records be stored, how long for, and how will they be destroyed?*
- *If you are publishing your work you should include a statement on publishing and if it will involve use of any data by which a participant would be identifiable*

Remember that when collecting and storing, you are responsible for ensuring compliance with legal and regulatory requirements.

Will I be paid to take part in the project?

In most cases, no payment will be made, but this should be explicit, and there may be some situations where participants may receive something for participating, e.g. a voucher. Any forms of payment should have been approved through the ethics approval process.

Further information and contact details

Contact details of someone who will answer any questions about the project. You may also wish to include details of a relevant member of staff as well.

SAMPLE

Who has approved/reviewed this project?

Use this text:

This project has been approved by the Undergraduate and Postgraduate Taught Ethics Panel of Norwich University of the Arts. If you wish to confirm this, please contact itqc@norwichuni.ac.uk

Who should I contact if I have a concern / complaint?

Use this text:

If you have any concerns / complaints about this research project, or wish to contact an independent person to whom any questions may be directed or further information may be sought from, please contact ltsc@norwichuni.ac.uk.

Thank you for taking the time to read this information sheet.

SAMPLE