

A Principal Investigator/ Supervisor/ Student undertaking a research project that involves human or animal participants should complete this checklist. The checklist will identify whether a project requires a formal application for ethics approval. Before completing this form, please refer to the University's *Code of Practice on Research Ethics*¹. As the Principal Investigator or Supervisor, you are responsible for exercising appropriate professional judgement in this review.

If there is uncertainty in completing any sections of this document, please consult the Chair of the Research Committee (staff) or the Chair of the Research Degrees Committee (students).

You may need formal approval from the Research and Knowledge Exchange Committee (staff) or the Research Degrees Committee (students) to conduct your research, even if the research proposal is also being submitted for approval to a properly constituted ethics committee external to Norwich University of the Arts.

You are unlikely to need formal approval from the Research and Knowledge Exchange Committee (staff) or the Research Degrees Committee (students) if the research is library based, or is 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 the research involves the participation or observation of, contact with, or collection and storage of confidential information about human or animal subjects then you may need ethics approval. Please complete this questionnaire and follow the accompanying guidance to help you decide whether to make a formal application for ethics approval.

1	Does the study involve participants who are unable to give informed consent? <i>Participants who may be unable to give informed consent include vulnerable groups, for example children and young people under 18, those with a learning disability or cognitive impairment, or individuals in a dependent or unequal relationship (e.g. children, people with learning disabilities, unconscious patients).</i>	Yes	No
2	Does the research involving sensitive topics? <i>Sensitive topics include issues such as:</i> <i>Sexual behaviour</i> <i>Illegal or political behaviour</i> <i>Experience of violence, abuse, exploitation and/ or other racist or sexist behaviour</i> <i>Mental health</i> <i>Physical health and treatment</i>	Yes	No
3	Does the research involve groups where the permission of a gatekeeper is normally required for initial access to members?	Yes	No
4	Does the research involve deception or will the research be conducted without participants' full and informed consent at the time of study?	Yes	No

¹ The University supports the implementation of the [Concordat to Support Research Integrity](#), which provides guidance and context for the Higher Education sector on core principles.

5	Does the research involve access to records of personal or confidential information concerning identifiable individuals?	Yes	No
6	Does the research induce, or have the potential to induce, psychological stress, anxiety or humiliation or to cause more than minimal pain?	Yes	No
7	Does the research 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? <i>Such interventions may include vigorous physical exercise.</i>	Yes	No
8	Will the study involve NHS patients or staff?	Yes	No

Staff: If you have answered **Yes** to any of these questions, you should submit a formal application for ethics approval using the 'Research Ethics Approval Form (Staff)', which can be accessed via the Research pages of the University intranet. The form should be submitted to the convening secretary of the Research and Knowledge Exchange Committee for consideration and approval via rke@norwichuni.ac.uk

Students: If you have answered **Yes** to any of these questions, you will need to complete Section B (Research Ethics) of the 'Application for Registration' form, which can be accessed via the Research Degrees Programme VLE, in your first year of study. The 'Application for Registration' form should be submitted to the convening secretary of the Research Degrees Committee via researchdegrees@norwichuni.ac.uk and will be subject to consideration and approval by both the Research Degrees Committee and the University of the Arts London's Research Ethics Sub-Committee.

If you answered **Yes** to Question 8, an application must also be submitted to the appropriate external health authority ethics committee.

If you answered **No** to all of these questions and you are either a member of staff or you are undertaking your research as part of an undergraduate or taught postgraduate qualification, then you probably need not submit your project for formal ethics approval.

However, it is still incumbent on you to observe the University's *Code of Practice on Research Ethics* and in particular, to ensure that your research complies with the Data Protection Act 2018 and the UK GDPR, by which you are legally bound.

If you answered **No** to all of these questions and you are a postgraduate research student, you may still be required to obtain formal ethics approval for your project from the Research Degrees Committee and from the University of the Arts London Research Ethics Sub-Committee. This should be discussed with your Supervisory team.

All materials submitted to the relevant committees at Norwich University of the Arts and (if applicable) the University of the Arts London will be treated confidentially.

Please contact the Research Office (rke@norwichuni.ac.uk) for further information.