



Research and Ethics Policy

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Linked policies:	ASQ 1.1 Quality Assurance and Enhancement Policy; ASQ 1.4 Teaching and Learning Strategy; ASQ 1.6 Academic Integrity and Misconduct Policy; DIG 2.1 Data Protection and Confidentiality Policy; DIG 2.5 Information Technology and Digital Resources Policy; DIG 2.6 Information Security and Acceptable Use Policy; PC 5.3 Equality, Diversity and Inclusion Policy.
Audience:	Staff & Students

1. Purpose

The purpose of this Policy is to establish the ethical principles, standards and approval processes governing research undertaken under the auspices of UK College of Business and Computing (UKCBC).

The Policy seeks to ensure that all research involving human participants, personal data, organisations or other sensitive information is conducted lawfully, responsibly and with appropriate regard for the dignity, rights, safety and wellbeing of all participants and researchers.

The Policy provides a proportionate framework for the ethical review and approval of research activities undertaken by students and staff. It supports compliance with applicable legislation, including data protection requirements, and aligns with the principles of research integrity, transparency and accountability expected within the United Kingdom higher education sector.

The Policy adopts a risk based approach to ethical review, recognising that the majority of research undertaken within UKCBC relates to undergraduate dissertation projects, scholarly activity and institutional enhancement activities. Ethical review arrangements are therefore designed to be proportionate to the nature, scale and potential risks associated with the proposed research.

This Policy supports UKCBC's commitment to academic quality, student success, research integrity and the protection of participants throughout the entire research lifecycle, from project design and data collection through to dissemination, retention and disposal of research data.

2. Scope

This Policy applies to all staff, students, consultants, visiting academics and other individuals undertaking research under the auspices of UKCBC.

The Policy applies to:

- Undergraduate dissertation projects involving primary research.
- Research projects undertaken as part of assessed academic work.
- Staff scholarly activity.
- Institutional research undertaken by UKCBC.
- Research involving human participants, personal data, interviews, questionnaires, focus groups, observations or organisational case studies.

Where students are enrolled on programmes validated by a partner university, students must comply with the relevant research ethics requirements, regulations and procedures of that awarding body.

This includes, but is not limited to:

- University of West London (UWL).
- Plymouth Marjon University (PMU).
- Ravensbourne University London (RUL).

Where partner university ethical review arrangements apply, those requirements shall normally take precedence over UKCBC procedures.

UKCBC may undertake local ethical review where:

- The partner institution delegates responsibility to UKCBC.
- The proposed research falls outside the scope of partner arrangements.
- The research relates primarily to UKCBC operations, staff or students.
- The Director of Education determines that local review is required.

This Policy does not apply to:

- Literature reviews that do not involve primary research.
- Analysis of fully anonymised secondary data already in the public domain.

- Routine quality assurance, operational monitoring or student feedback activities that do not constitute research.

Where uncertainty exists regarding whether ethical approval is required, advice must be sought from the relevant supervisor, Head of School or Director of Education before research activity commences.

3. Definitions

For the purposes of this Policy, the following definitions apply:

Research

A process of systematic investigation designed to generate, develop or contribute to knowledge, understanding or evidence through the collection, analysis and interpretation of information.

Primary Research

Research involving the direct collection of data from participants, organisations or other sources through methods such as interviews, questionnaires, focus groups, observations or surveys.

Secondary Research

Research involving the analysis of existing information, publications, datasets or materials where no new data is collected directly from participants.

Research Participant

Any individual, group or organisation from whom data, information, opinions or experiences are collected for research purposes.

Researcher

Any student, staff member, consultant, visiting academic or other individual undertaking research under the auspices of UKCBC.

Research Ethics

The application of moral, professional and legal principles to the planning, conduct, management and dissemination of research.

Informed Consent

The voluntary agreement of a participant to take part in research following receipt of sufficient information regarding the purpose, methods, risks, benefits and intended use of the research.

Personal Data

Any information relating to an identified or identifiable living individual as defined by applicable data protection legislation.

Special Category Data

Personal data requiring additional protection under data protection legislation, including information relating to health, ethnicity, religious beliefs, political opinions, trade union membership, biometric data, genetic data, sexual orientation or sexual life.

Vulnerable Participant

Any participant whose ability to provide informed consent or protect their own interests may be limited by age, disability, illness, dependency, social circumstances or other factors.

Research Ethics Review

The process by which proposed research is assessed to determine whether ethical risks have been identified and appropriately mitigated before research commences.

Research Ethics Panel

A panel convened by UKCBC to review research proposals that present elevated ethical, legal, safeguarding or reputational risks.

Research Integrity

The commitment to conducting research honestly, transparently, responsibly and in accordance with recognised professional, ethical and legal standards.

4. Research Ethics Principles

All research conducted under the auspices of UKCBC shall be guided by the following principles.

4.1 Respect for Persons

Researchers must respect the dignity, autonomy, privacy and rights of all participants. Participation must be voluntary and based upon informed consent unless an alternative lawful and ethically justified basis has been approved.

4.2 Beneficence and Non-Maleficence

Research should seek to maximise potential benefits while minimising actual or foreseeable harm to participants, researchers, organisations and wider communities.

Researchers must identify, assess and appropriately mitigate ethical, safeguarding, health and safety, legal and reputational risks before commencing research activity.

4.3 Research Integrity

Research must be conducted honestly, accurately and transparently.

Researchers must not engage in fabrication, falsification, plagiarism, misrepresentation of findings or any other form of research misconduct.

4.4 Justice and Fair Treatment

Participants must be treated fairly and equitably throughout the research process.

Selection and recruitment processes must be appropriate, proportionate and free from unlawful discrimination.

4.5 Independence and Objectivity

Researchers must maintain professional independence and disclose any actual, perceived or potential conflicts of interest that may affect the design, conduct, analysis or reporting of research.

4.6 Transparency and Accountability

Researchers are accountable for ensuring that research activities comply with this Policy, applicable legislation and relevant academic and professional standards.

Researchers must maintain accurate records and provide information required to demonstrate ethical compliance where requested.

4.7 Protection of Personal Data

The collection, use, storage, sharing and disposal of research data must comply with applicable data protection legislation, UKCBC policies and partner university requirements.

Only information necessary for the stated research purpose should be collected.

4.8 Proportionality

Ethical review requirements shall be proportionate to the nature, scale and level of risk associated with the proposed research.

Low risk research shall be subject to streamlined approval processes, while higher risk research shall be subject to enhanced scrutiny and oversight.

4.9 Ongoing Ethical Responsibility

Ethical responsibilities continue throughout the research lifecycle.

Researchers must review ethical considerations during project design, participant recruitment, data collection, analysis, dissemination, publication and data retention.

Where significant changes occur after approval has been granted, researchers must seek further review before continuing the research.

5. Roles and responsibilities

5.1 Director of Education

The Director of Education is the Policy Sponsor and is responsible for:

- Providing strategic oversight of research ethics arrangements.
- Promoting a culture of ethical research and academic integrity.
- Receiving assurance reports regarding research ethics activity and compliance.
- Escalating significant ethical, regulatory or reputational concerns to Academic Board where appropriate.
- Providing institutional oversight of the Research Ethics Review Process.
- Chairing Research Ethics Panels convened for high risk or complex research applications.
- Reviewing escalated applications and making final approval decisions where delegated authority applies.
- Ensuring consistency of ethical review decisions across the College.
- Reporting significant themes, risks and trends to Academic Board.

5.2 Head of School

The Head of School is responsible for:

- Overseeing ethical review activity within their academic area.
- Reviewing and approving low risk research applications.
- Chairing reviews of medium risk research applications.
- Determining whether applications should be escalated for enhanced review.
- Ensuring students and staff are aware of their ethical responsibilities.
- Maintaining records of ethical review outcomes.
- Supporting compliance with partner university requirements where applicable.

5.3 Supervisors

Research supervisors are responsible for:

- Providing guidance on ethical research practice.
- Reviewing proposed research before submission for ethical review.
- Ensuring that researchers have appropriately identified and considered ethical risks.
- Confirming that supporting documentation is complete and suitable.
- Monitoring approved research throughout its duration.
- Advising researchers where amendments or further ethical review may be required.

5.4 Researchers

Researchers are responsible for:

- Complying with this Policy and all applicable legal, regulatory and professional requirements.
- Identifying and managing ethical risks associated with their research.
- Obtaining ethical approval before commencing any research activity requiring review.
- Conducting research honestly, responsibly and with integrity.
- Maintaining confidentiality and protecting personal data.
- Reporting any significant ethical concerns, incidents or breaches promptly.
- Seeking further approval where material changes are proposed following initial approval.

5.5 Academic Registrar and Data Protection Officer

The Academic Registrar, acting as Data Protection Officer, is responsible for:

- Providing advice regarding data protection and information governance requirements.
- Supporting the review of research involving personal data, special category data or information security risks.
- Advising on compliance with applicable data protection legislation and institutional policies.

5.6 Research Ethics Panel

The Research Ethics Panel shall be convened where enhanced ethical review is required.

The Panel shall normally be chaired by the Director of Education and may include:

- Head of School.
- Academic Registrar and Data Protection Officer.
- Student Support representative where safeguarding considerations arise.

- Subject specialists or other advisers co-opted as required.

The Panel is responsible for:

- Reviewing high risk or complex research proposals.
- Assessing the adequacy of proposed risk mitigation measures.
- Approving, conditionally approving or rejecting applications.
- Recommending additional safeguards where appropriate.
- Maintaining the integrity and consistency of ethical review decisions.

5.7 Academic Board

Academic Board is responsible for:

- Receiving assurance regarding the effectiveness of research ethics arrangements.
- Monitoring institutional compliance with this Policy.
- Considering significant ethical risks, trends and recommendations for enhancement.
- Approving substantive amendments to this Policy.

6. Research Ethics Review Process

6.1 General Principles

All researchers must consider ethical implications at the earliest stage of project design and before any data collection activity commences.

Research must not begin until any required ethical review and approval processes have been completed.

The level of ethical review required shall be proportionate to the nature, complexity and potential risks associated with the proposed research.

6.2 Initial Ethical Screening

Researchers undertaking primary research must complete the Research Ethics Screening Checklist contained within Appendix 2.

The purpose of the screening process is to determine:

- Whether ethical approval is required.
- The level of ethical review required.
- Whether additional safeguards or specialist advice are necessary.

The completed screening checklist must be reviewed by the research supervisor prior to submission.

6.3 Research Requiring Ethical Review

Formal ethical review is normally required where research involves one or more of the following:

- Human participants.
- Personal data or special category data.
- Interviews, focus groups or observations.
- Vulnerable individuals or groups.
- Children and young people.
- Sensitive personal, social, cultural or political topics.
- Organisationally confidential information.

- Audio, video or photographic recording of participants.
- Safeguarding considerations.
- External organisations requiring formal approval or gatekeeper consent.
- Any activity presenting more than minimal risk to participants, researchers or the College.

6.4 Low Risk Research

Low risk research may be approved by the Head of School following supervisor review.

Examples may include:

- Anonymous questionnaires involving competent adults.
- Non-sensitive educational surveys.
- Business research involving adult participants and non-sensitive topics.
- Organisational case studies where appropriate permissions have been obtained.

Low risk applications may be approved without referral to a Research Ethics Panel.

6.5 Medium Risk Research

Medium risk research shall be reviewed by the Head of School and at least one additional reviewer with appropriate academic or professional expertise.

Examples may include:

- Focus groups.
- Research involving identifiable participants.
- Research involving organisational data.
- Research involving potentially sensitive topics.
- Research requiring additional risk mitigation measures.

The reviewers shall determine whether the application may be approved or requires escalation.

6.6 High Risk Research

Research presenting significant ethical, safeguarding, legal, data protection or reputational risks must be referred to a Research Ethics Panel.

Examples may include:

- Research involving children or young people.
- Research involving vulnerable adults.
- Research involving safeguarding concerns.
- Research involving special category personal data.
- Research involving covert observation.
- Research involving deception.
- Research conducted in high risk environments.
- Research involving National Health Service (NHS) participants or settings.
- Research that may expose participants or researchers to more than minimal risk.

The Director of Education shall determine whether a Research Ethics Panel is required where uncertainty exists.

6.7 Research Ethics Panel Review

The Research Ethics Panel shall review:

- The proposed research objectives and methodology.
- Potential risks to participants, researchers and third parties.
- Data protection and confidentiality arrangements.
- Participant information and consent procedures.
- Safeguarding considerations.
- Proposed mitigation measures.

The Panel may seek clarification, request amendments or require additional safeguards before reaching a decision.

6.8 Ethical Review Outcomes

Following review, one of the following outcomes may be issued:

- Approved
- The research may proceed as submitted.
- Approved with Conditions
- The research may proceed once specified amendments or conditions have been satisfied.
- Deferred
- Additional information, clarification or revisions are required before a decision can be made.
- Not Approved
- The research may not proceed in its current form.
- The reasons for the decision shall be communicated to the researcher.

6.9 Amendments Following Approval

Researchers must notify their supervisor and, where applicable, the approving authority if significant changes are proposed after approval has been granted.

Examples include:

- Changes to participants.
- Changes to methodology.
- Changes to data collection methods.
- Introduction of additional risks.
- Changes affecting consent, confidentiality or data protection arrangements.

Approval may be suspended pending further review.

6.10 Reporting Ethical Concerns

Researchers must promptly report any ethical concerns, safeguarding issues, complaints, adverse events, data breaches or unexpected risks arising during the course of research.

The Head of School or Director of Education may suspend or withdraw ethical approval where significant concerns arise.

6.11 Appeals

Researchers may request a review of an ethical decision by submitting a written appeal to the Director of Education within ten working days of notification of the decision. Where the Director of Education chaired the Research Ethics Panel or made the decision, the appeal is submitted to the Chief Academic Officer.

The appeal must clearly explain the grounds for review and provide any additional information relevant to the application.

The decision following review shall be final.

7. Research Integrity and Responsible Conduct of Research

7.1 Research Integrity

UKCBC is committed to maintaining the highest standards of integrity, professionalism and ethical conduct in all research activities undertaken under its auspices.

All researchers must conduct research honestly, transparently and responsibly, ensuring that research activities are undertaken in accordance with applicable legal, ethical and professional standards.

7.2 Responsibilities of Researchers

Researchers must:

- act with honesty and integrity throughout the research lifecycle;
- ensure that research methods, findings and conclusions are reported accurately and truthfully;
- maintain appropriate records of research activities and decisions;
- acknowledge the contributions of participants, collaborators and sources appropriately;
- comply with applicable legislation, institutional policies and partner university requirements;
- maintain confidentiality and protect personal data;
- declare and appropriately manage actual, perceived or potential conflicts of interest;
- act professionally when engaging with participants, organisations and external stakeholders.

7.3 Prohibited Conduct

Researchers must not:

- fabricate, falsify or misrepresent research data;
- selectively report findings in a manner that creates a misleading impression;
- engage in plagiarism or present the work of others as their own;
- conduct research without the required ethical approval;
- knowingly breach confidentiality or data protection requirements;
- conceal ethical concerns, risks or incidents arising during the course of research.

7.4 Authorship and Acknowledgement

Researchers must ensure that authorship, acknowledgement and attribution are fair, accurate and transparent.

Individuals should only be identified as authors where they have made a substantive intellectual contribution to the research.

Contributors who do not meet authorship criteria should be acknowledged appropriately.

7.5 Conflicts of Interest

Researchers must disclose any actual, potential or perceived conflict of interest that could influence, or be perceived to influence, the design, conduct, analysis, reporting or approval of research.

Where a conflict of interest is identified, appropriate measures must be implemented to ensure the integrity and independence of the research process.

7.6 Use of Artificial Intelligence and Digital Technologies

Researchers using Artificial Intelligence or other digital technologies within the research process must do so responsibly, transparently and in accordance with applicable academic integrity requirements.

Researchers remain fully accountable for:

- the accuracy of research outputs;
- the validity of analysis and conclusions;
- compliance with ethical and legal obligations;
- appropriate acknowledgement of the use of AI tools where required.

The use of Artificial Intelligence technologies must not compromise informed consent, confidentiality, data protection obligations or the integrity of research findings.

7.7 Research Misconduct

Research misconduct includes, but is not limited to:

- fabrication of data;
- falsification of data or findings;
- plagiarism;
- misrepresentation of research outcomes;
- failure to obtain required ethical approval;
- serious breaches of confidentiality;
- deliberate breaches of this Policy.

Allegations of research misconduct shall be investigated in accordance with applicable UKCBC policies and procedures.

7.8 Reporting Concerns

Researchers, supervisors and staff members must report concerns relating to research integrity, ethical conduct or potential misconduct as soon as reasonably practicable.

Reports shall be considered appropriately and investigated where necessary to protect participants, researchers, the College and the integrity of research activities.

8. Data Protection, Confidentiality and Information Security

8.1 General Principles

Researchers must ensure that all personal data and research information are collected, processed, stored, shared and disposed of in accordance with applicable legislation, UKCBC policies and partner university requirements.

Research activities must be designed to protect the privacy, dignity and confidentiality of participants throughout the research lifecycle.

8.2 Data Protection Compliance

All research involving personal data must comply with applicable data protection legislation and institutional information governance requirements.

Researchers must ensure that:

- only information necessary for the research purpose is collected;
- personal data is processed lawfully, fairly and transparently;
- participants are informed how their data will be used;
- access to research data is restricted to authorised individuals;
- data is retained only for as long as necessary.

Where research involves special category personal data, additional safeguards may be required before approval is granted.

8.3 Confidentiality

Researchers must take reasonable steps to protect the confidentiality of participants and organisations involved in research.

Information obtained during the course of research must not be disclosed to unauthorised individuals unless:

- the participant has provided explicit consent;
- disclosure is required by law;
- disclosure is necessary to prevent serious harm to an individual or others;
- safeguarding concerns require escalation in accordance with UKCBC policies.

Participants must be informed in advance of any limitations to confidentiality.

8.4 Anonymity and Pseudonymisation

Where reasonably practicable, research data should be anonymised or pseudonymised to reduce the risk of identifying participants.

Researchers must consider the risk of indirect identification, particularly where small sample sizes, specialist groups or organisational case studies are involved.

Where anonymity cannot be guaranteed, participants must be informed before providing consent.

8.5 Information Security

Researchers must ensure that research data is stored securely and protected against unauthorised access, loss, alteration or disclosure.

Research data must be stored using approved UKCBC systems and in accordance with institutional information security requirements.

The storage of research data on unauthorised personal devices, personal cloud storage services or unencrypted removable media is prohibited unless expressly authorised by the Academic Registrar and Data Protection Officer.

8.6 Participant Information and Consent

Researchers must provide participants with sufficient information to enable informed decision making regarding participation.

Participant information should normally include:

- the purpose of the research;
- what participation involves;
- any reasonably foreseeable risks or benefits;
- how data will be collected and used;
- confidentiality and anonymity arrangements;
- data retention arrangements;
- the right to withdraw participation where applicable;
- contact details for the researcher and supervisor.

Consent must normally be obtained before participation commences and must be recorded appropriately.

8.7 Data Retention and Disposal

Research data must be retained in accordance with UKCBC records management requirements, partner university regulations and any applicable legal obligations.

At the end of the retention period, research data must be securely deleted, destroyed or anonymised in accordance with institutional procedures.

Researchers must ensure that disposal arrangements protect the confidentiality and security of participants and organisations.

8.8 Data Breaches and Information Security Incidents

Any actual, suspected or potential data breach, loss of research data or information security incident must be reported immediately to the Academic Registrar and Data Protection Officer.

Where necessary, research activity may be suspended pending investigation and implementation of appropriate corrective actions.

9. Monitoring, Reporting and Review

9.1 Monitoring of Approved Research

The Head of School shall maintain oversight of research activities approved within their area of responsibility and ensure that approved research is conducted in accordance with this Policy.

Researchers and supervisors are responsible for ensuring that approved projects continue to comply with ethical requirements throughout the research lifecycle.

9.2 Reporting Requirements

Researchers must promptly report any significant ethical concerns, safeguarding issues, complaints, adverse events, data breaches or material changes to approved research.

Reports must be submitted to the relevant supervisor and Head of School as soon as reasonably practicable.

Where concerns present significant ethical, legal, safeguarding, regulatory or reputational risks, the matter shall be escalated to the Director of Education.

9.3 Suspension or Withdrawal of Approval

UKCBC reserves the right to suspend or withdraw ethical approval where:

- information provided during the approval process is found to be inaccurate or incomplete;
- approved research is not conducted in accordance with this Policy;
- significant unmitigated risks emerge during the course of the research;
- legal, regulatory or safeguarding concerns arise;
- a researcher fails to comply with conditions attached to approval.

Where approval is suspended or withdrawn, research activity must cease immediately until the matter has been resolved.

9.4 Annual Monitoring and Assurance

The Director of Education shall provide an annual summary report to Academic Board regarding the operation and effectiveness of research ethics arrangements.

The report may include:

- the number of applications reviewed;
- approval outcomes and trends;
- significant ethical issues or incidents;
- recommendations for enhancement;
- changes in regulatory, legal or sector expectations.

9.5 Policy Review

This Policy shall be reviewed at least every two years or sooner where required by:

- changes in legislation or regulatory requirements;
- changes to partner university requirements;
- changes to sector guidance or professional standards;

- recommendations arising from audits, investigations or quality assurance activities;
- significant operational or organisational changes within UKCBC.

9.6 Continuous Improvement

UKCBC is committed to the continuous improvement of its research ethics arrangements.

Feedback from researchers, supervisors, students, external partners, audits and review activities shall be used to inform future enhancements to research ethics processes, guidance and supporting documentation.

10. What This Means for You

10.1 For Students

If your research involves questionnaires, interviews, focus groups, observations or any other form of primary research, you must consider ethical requirements before collecting data.

You must complete the required ethical screening process, obtain any necessary approvals and follow the approved research procedures throughout your project.

You must not begin collecting data until any required ethical approval has been granted.

10.2 For Supervisors

You are responsible for supporting students to identify ethical issues at an early stage and ensuring that applications are complete before submission.

You should monitor approved projects and advise students where changes to approved research require further review.

10.3 For Staff Researchers

You must ensure that research activities are conducted in accordance with this Policy, applicable legislation and relevant professional standards.

You are responsible for identifying and managing ethical risks, protecting participants and maintaining research integrity throughout the research lifecycle.

10.4 For Participants

UKCBC is committed to ensuring that research participants are treated fairly, respectfully and ethically.

Participants should be provided with clear information about the research, how their information will be used and any rights available to them before agreeing to take part.

10.5 For Senior Lecturers and Academic Leaders

You are responsible for supporting compliance with this Policy, promoting good research practice and ensuring that ethical concerns are addressed appropriately and in a timely manner.

Appendix 1: Research Ethics Application Form

Research Ethics Application Form

This form must be completed where the Research Ethics Screening Checklist identifies that further ethical review is required.

The application must be reviewed by the supervisor before submission.

Research activity must not commence until approval has been granted.

Part A: Applicant Details

Item	Response
Student Name	
Student Number	
Programme	
Module	
Project Title	
Supervisor	
UKCBC Email Address	
Date of Submission	

Proposed Research Method(s)

- ☐ Questionnaire
- ☐ Interview
- ☐ Focus Group
- ☐ Observation
- ☐ Case Study
- ☐ Mixed Methods
- ☐ Other (please specify)

Part B: Project Summary

B1 Research Overview

Provide a summary of the proposed research, including the purpose, objectives and intended outcomes of the project.

Maximum 300 words.

Response

B2 Research Participants

Describe who will participate in the research.

Include:

- anticipated number of participants;
- participant characteristics;
- recruitment methods;
- inclusion and exclusion criteria where applicable.

Response

B3 Research Methods

Describe how data will be collected.

Include any questionnaires, interviews, focus groups, observations or other methods that will be used.

Response

Part C: Ethical Risk Assessment

C1 Ethical Considerations

Describe any ethical issues identified and explain how these risks will be managed.

Consider:

- informed consent;
- confidentiality;
- anonymity;
- participant wellbeing;
- safeguarding;
- organisational permissions;
- researcher safety.

Response

C2 Potential Risks to Participants

Identify any reasonably foreseeable risks to participants.

Response

C3 Risk Mitigation Measures

Describe the measures that will be implemented to reduce identified risks.

Response

C4 Potential Risks to the Researcher

Identify any risks that may arise for the researcher during the project.

Response

C5 Researcher Risk Mitigation

Describe the measures that will be implemented to manage researcher risks.

Response

Part D: Data Protection and Information Governance

D1 Personal Data

Will personal data be collected?

☐ Yes

☐ No

If Yes, provide details.

Response

D2 Special Category Personal Data

Will special category personal data be collected?

☐ Yes

☐ No

If Yes, provide details.

Response

D3 Data Storage

Describe how research data will be stored and protected.

Response

D4 Data Retention

Describe how long data will be retained and how it will be securely disposed of.

Response

D5 Confidentiality and Anonymity

Describe how confidentiality and anonymity will be protected.

Response

Part E: Supporting Documentation

Please confirm that the following documents are attached where applicable.

Document	Attached
Research Ethics Screening Checklist	☐
Participant Information Sheet	☐
Participant Consent Form	☐
Interview Schedule	☐
Questionnaire	☐
Focus Group Questions	☐
Organisational Permission Letter	☐
Risk Assessment	☐
Other Supporting Documents	☐

Details of additional documents attached:

Response

Part F: Applicant Declaration

I confirm that:

- ☐ The information provided within this application is accurate and complete.
- ☐ I have read and understood the UKCBC Research Ethics Policy and Procedures.
- ☐ I will not commence data collection until ethical approval has been granted.
- ☐ I will conduct the research in accordance with approved procedures.
- ☐ I will immediately report any significant ethical concerns, safeguarding issues, data breaches or material changes to the approved project.

Item	Response
Applicant Name	
Signature	
Date	

Part G: Supervisor Review

I confirm that:

- ☐ I have reviewed the application and supporting documentation.
- ☐ The proposed research is academically appropriate.
- ☐ Ethical risks have been identified and considered.

☐ The application is suitable for submission for ethical review.

Supervisor Comments

Comments	
Item	Response
Supervisor Name	
Signature	
Date	

Part H: Ethical Review Outcome

Risk Classification

- ☐ Low Risk
- ☐ Medium Risk
- ☐ High Risk

Outcome

- ☐ Approved
- ☐ Approved Subject to Conditions
- ☐ Deferred Pending Further Information
- ☐ Not Approved

Conditions or Feedback

Comments	
Item	Response
Reviewer Name	
Position	
Signature	
Date	

Escalation Decision

- ☐ No Further Review Required
- ☐ Escalate to Additional Reviewer
- ☐ Escalate to Director of Education
- ☐ Refer to Research Ethics Panel

Appendix 2: Research Ethics Screening Checklist

Research Ethics Screening Checklist

This checklist must be completed before any primary research activity commences.

Completion of this checklist will determine whether further ethical review is required.

Section A: Project Information

Item	Response
Student Name	_____
Student Number	_____
Programme	_____
Module	_____
Project Title	_____
Supervisor	_____

Proposed Research Method(s)

Research Method	Tick (✓)
Questionnaire	☐
Interview	☐
Focus Group	☐
Observation	☐
Case Study	☐
Mixed Methods	☐
Other (please specify)	☐ _____

Section B: Ethical Risk Screening

Yes or No for each question.

No.	Question	Yes	No	Comments (if applicable)
1	Does the research involve human participants?	☐	☐	_____
2	Does the research involve participants under the age of 18?	☐	☐	_____
3	Does the research involve vulnerable adults or individuals who may have limited capacity to provide informed consent?	☐	☐	_____
4	Does the research involve sensitive topics, including health, wellbeing, criminal activity,	☐	☐	_____

	religious beliefs, political opinions, ethnicity, sexuality or other personal matters?			
5	Does the research involve collecting personal data that could identify an individual?	☐	☐	_____
6	Does the research involve collecting special category personal data?	☐	☐	_____
7	Does the research involve audio, video or photographic recording?	☐	☐	_____
8	Does the research involve participants recruited through an employer, educational institution or other gatekeeper organisation?	☐	☐	_____
9	Does the research require permission from an organisation, employer or third party?	☐	☐	_____
10	Does the research involve access to confidential or commercially sensitive information?	☐	☐	_____
11	Does the research involve observation of individuals without their knowledge or consent?	☐	☐	_____
12	Does the research involve any form of deception?	☐	☐	_____
13	Could participation reasonably cause distress, anxiety, embarrassment or discomfort?	☐	☐	_____
14	Could participation expose the researcher to physical, emotional or safeguarding risks?	☐	☐	_____
15	Does the research involve international participants or the transfer of data outside the United Kingdom?	☐	☐	_____
16	Does the research involve NHS patients, NHS staff or NHS facilities?	☐	☐	_____
17	Does the research involve financial incentives or rewards beyond reasonable expenses?	☐	☐	_____
18	Has a risk assessment identified any significant ethical, legal, safeguarding or reputational risks?	☐	☐	_____

Section C: Outcome

If all responses are "No", the project will normally be classified as **Low Risk** and may proceed to Head of School approval.

If one or more responses are "Yes", further review may be required.

Risk Classification

Classification	Tick (✓)
Low Risk	☐
Medium Risk	☐
High Risk	☐

Section D: Supervisor Review

I confirm that I have reviewed the proposed research and the completed screening checklist.

Item	Response
Supervisor Name	_____
Signature	_____
Date	_____

Comments

Section E: Head of School Decision

Outcome

Decision	Tick (✓)
Approved as Low Risk	☐
Further Information Required	☐
Escalate for Additional Review	☐
Refer to Director of Education	☐

Item	Response
Head of School	_____
Signature	_____
Date	_____

Comments

Comments

Version History

Version	Date	Author	Summary of changes	Approved by
1.0	23 October 2026	Head of School	Initial version. Amendments to align with the new restructure; Associate Director of Education replaced with Director of Education (section 5 renumbered); appeals against decisions of the Director of Education go to the Chief Academic Officer; staff comments of 23 October 2026 addressed. Heading level of section 4 corrected in line with GA 3.1 (25 October 2026).	Quality of Education Committee