White University of York logo

**Department of Environment & Geography, University of York**

**Research Ethics Approval Form (Form 3)**

**Research involving animal subjects/participants or using related data not publicly available.**

# **Read this first**

## **Who should apply?**

You should apply if you are carrying out any research activity or consultancy project through the Department of Environment and Geography, University of York: This includes:

1. Members of academic, research and SEIY staff
2. Honorary members of staff associated with the Department.
3. Research degree students (masters and PhD).
4. Undergraduate students and taught postgraduate students who are doing research projects.

**Can I begin work before the project is ethically approved?**

NO primary data collection can begin until you have approval from one of the following:

The Departmental Ethics Committee

1. An External Research Ethics Committee (NHS Research Ethics Committee, Lead Partner University etc) and communication of such to the departmental ethics committee

**What will happen if I proceed without approval or falsely self-certify research ethics approval?**

1. Collecting primary data in the absence of ethical approval or falsely self-certifying the level of risk associated with a project will constitute a disciplinary offence. This will result in:

* + - 1. Student – Disciplinary action resulting in immediate failure in any module or project associated with the research and potentially dismissal from the University.
    1. Staff - Disciplinary action which may potentially lead to dismissal.

If you do not have ethical approval, the University’s insurers will not cover you for legal action or claims for injury. In addition, you may face debarment from membership of some professional or statutory bodies and excluded from applying for some types of employment or research funding opportunities. You may not be able to publish your research.

You should consider the following codes of ethical practice and conduct relevant to your project before completing your form:

[The University’s Code of practice and principles for good ethical governance](https://www.york.ac.uk/staff/research/governance/research-policies/ethics-code/)

[The University’s Research Data Management Policy](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/research-data-management-policy/)

[Animal research at the University](https://www.york.ac.uk/research/animal-research/)

You may also find these links useful:

[Society of Environmental Toxicology and Chemistry (SETAC) code of ethics](http://www.setac.org/?page=SETACEthics)

[Guidelines for the Treatment of Animals in Behavioural Research and Teaching](http://asab.nottingham.ac.uk/ethics/guidelines.php)

**1. Does this project need full ethical review?**

**1a)**

Does the project involve research with non-human animals (vertebrates or invertebrates)? Yes/No

**1b)**

Does the project involve collecting or analysing primary or unpublished animal data about or from organisations or agencies of any kind, other than data that are already in the public domain? Yes/No

If you answered **Yes** toany of these questions, please proceed to **fill out this form**. **Expand spaces as necessary to give full information.**

If you answered **No** to all of the above questions, you are using the wrong form please look at the other download option – Form 1 and Form 2. If your project also involves work with human participants, you may need to fill out form 2 for that element of research along with this form for any animal research.

**2. Project Information**

**2a)**

Give the title of the project

**2b)**

Name of Principal Investigator (PI) or Research Student and Supervisor

**2c)**

Degree course (students) or SEI-Y or Env & Geography Dept (staff)

**2d)** Names of Co-investigators (CIs) and their organisational affiliation

**2e)**

How many additional research staff will be involved with the data for the project?

Give names and their organisational affiliation (please specify country)

**2f)**

Proposed project start date (At least four weeks in the future)

**2g)**

Estimated project end date

**2h)**

Who is funding the project and has funding been confirmed?

**3. More detail about the project**

**3a)**

What are the aims and objectives of the project?

**3b)**

Describe the principal methods, the sources of data or evidence to be used and the number and type of animals who will be used for the project.

**3c)**

If you are using an external validated research method, please specify.

**3d)**

In which country/countries will research be conducted?

**3e)**

In which country/countries will the data analysis take place?

**4) External Ethical Reviews**

**4a)**

Is this project liable to scrutiny by external ethical review arrangements? Yes/No

**4b)**

Has a favourable ethical opinion been given for this project by a social care research ethics committee, NHS, or by any other external research? Yes/No

**4c)**

Will this project be submitted for ethical approval to a social care committee or any other external research ethics? Yes/No

**Please** submit any external review documents that you can along with this form

**5 Confidentiality and personal data**

Does your project involve [personal data](https://www.york.ac.uk/records-management/dp/whatispersonaldata/) as defined by the UK GDPR? Yes/No

If you answered **Yes**, you will also have to fill out **Ethics Approval Form 2**.

**6. Research with non-human animals**

**6a)**

Will any part of your project involve the study of animals in their natural habitat? Yes/No

**6b)**

Will your project involve the recording of behaviour of animals in a non-natural setting that is outside of the control of the researcher? Yes/No

**6c)**

Will your field work involve any direct intervention other than recording the behaviour of the animals available for observation? Yes/No

**6d)**

Is the species you plan to research endangered, locally rare or part of sensitive ecosystem protected by legislation? Yes/No

**6e)**

Is there any significant possibility that the welfare of the target species or those sharing the local environment/habitat will be detrimentally affected? Yes/No

**6f)**

Is there any significant possibility that the habitat of the animals will be damaged by the project, such that their health and survival will be endangered? Yes/No

**6g)**

Will project work involve intervention work in a non-natural setting in relation to invertebrate species other than Octopus vulgaris? Yes/No

**6h)**

Will project work involve intervention work or handling non-human vertebrates or Octopus vulgaris? Yes/No (If yes, then you may require a licence under the Animals Scientific Procedures Act (1986) – contact the Ethics Committee)

**6i)**

If you answered Yes to any of these questions, explain: the reasons for conducting the project in the way you propose, and the academic benefits that will flow from it; the nature of the risks to the animals and their habitat; how you propose to assess, manage and mitigate these risks.

**7. Data Security**

**7a)**

How will the data be collected and stored electronically?

**7b)**

Please detail who will have control of, and act as custodian(s) for, data generated by the study.

**7c)**

Will you use University approved software? (if no, please provide further details and consult IT Services before proceeding)

**7d)**

Will you use University approved file storage (Google Drive, University networked storage, research computing)? (if no, please provide further details)

**7e)**

Where data is held on an encrypted portable device (e.g. laptop, tablet) will you back it up to a University approved service as soon as possible and perform periodic checks to ensure data is being backed up appropriately? Yes/No/NA

**7f)**

Please detail what other protections will be used for digital data (e.g. access/edit permissions, procedural safeguards re downloads/making copies, remote access via VDS/VPN, 2 factor authentication)?

**7g)**

How will hard copy/analogue data (e.g. in paper form) be collected, sent and stored?

**8. Other ethical risks**

**8a)**

Are there any other ethical issues or risks of harm raised by your project that have not been covered by previous questions? Yes/No

**8b)**

If you answered Yes to this question, explain: the nature of these ethical issues and risks; why you need to incur these ethical issues and risks; how you propose to deal with these ethical issues and risks.

**9. Principal Investigator’s Declaration**

Please ensure that you can answer YES to all questions below:

**9a)**

I have completed all the required sections and kept a copy for my own records. Yes/No

**9b)**

I confirm that I will carry out the project in the ways described in this form. I will immediately suspend research and request a new ethical approval if the project subsequently changes the information I have given in this form. Yes/No

**9c)**

I confirm that I, and all members of my research team (if any), have read and agree to abide by the University’s [Code of practice and principles for good ethical governance](https://www.york.ac.uk/staff/research/governance/research-policies/ethics-code/) Yes/No

**9d)**

I confirm that I, and all members of my research team (if any), have read and agree to abide by the [University’s Research Data Management Policy](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/research-data-management-policy/) Yes/No

**Signatures**

Submit this form and any attachments by e-mail **including your surname** in the filename.

You should type your name in the signature space.

An email attachment sent from your University inbox will be assumed to have been signed electronically.

Students must get their Project Supervisor to countersign this declaration. Students should not submit forms directly. The supervisor must check the application and submit it.

**Principal Investigator**

Signed (Type your name)...................................................... (Principal Investigator or Student)

Date .................................................................

Students must ask their Project Supervisor to type their name here and to submit the application.

The email submission will be taken as an electronic countersignature

Countersigned (Type your name)............................................................(Student’s Project supervisor)

Date .................................................................

I have read this form and confirm that it covers all the ethical issues raised by this project

fully and frankly. I also confirm that these issues have been discussed with the student and

will continue to be reviewed in the course of supervision.

**Submit to:** [**environment-ethics@york.ac.uk**](mailto:environment-ethics@york.ac.uk)

**For office use only**

Date form initially received:

Date considered by committee:

Approve? Yes/No (if no give details in Comment section below detailing potential actions)

Comments:

Date of reply to applicant:

Signature: (Chair of Ethics Committee)