Template approved by Academic Board June 2022

Application for Ethical Approval: For all applications for ethical approval (staff/PGR/Masters/UG)

This form should be used by ALL members of the University including undergraduate students, postgraduate research and postgraduate taught students, staff and those in visiting or emeritus roles who wish to undertake research involving human participants under the name of the University of Chichester. You do not need to complete this form if your research does not involve human participants directly or indirectly (e.g. observation studies) (see section 4.1 of the Research Ethics Policy (REP) for more information). However, you are expected to work within the Research Ethics Policy and Researcher Code of Conduct. The University does not conduct research on animals. If your proposed project involves animals in any way please seek advice from the Research Office before proceeding. Researchers wishing to use tissue cultures in their research should contact the Research Office in the first instance. Researchers should consider the provenance of tissue samples/cultures/cell-lines and associated growth media (or similar) and whether immortalised and/or animal-free alternatives are available.

THIS FORM MUST BE COMPLETED AND APPROVED by the relevant person(s) and if categorised as Category B it must be approved by the Research Ethics Committee (REC) prior to commencement of research. Full guidance on the Application process can be found in the body and appendices of the Research Ethics Policy.

REQUIRED DOCUMENTATION Each Application must be submitted alongside relevant consent forms, information letters/sheets, and debriefing sheets. This documentation should be version numbered and dated.

Categorisation of applications for ethical approval

Category A projects are less likely to involve participants from vulnerable groups (e.g. children, or persons with disabilities) and/or involve sensitive issues or areas/activities that entail a level of risk of distress or harm to participants or researchers. They only need to be approved by your supervisor and do not need to be considered by the Research Ethics Committee. The Research Ethics Policy provides further guidance on categorisation and areas of risk.

Category A+ for specific cases of withholding information / intentional deceit as occurs in single blind or double blind trials (as described above), where the only reason for identifying the project as a Category B is the withholding of information / intentional deceit. If there is any other aspect of the study that would lead to a Category B categorisation (e.g. the study involves a vulnerable group such as children, people with a disability, or those with a mental health problem, who are not persons with whom the applicant normally works: see clause 10.1.5 of Research Ethics Policy) then the exception does not apply and the application for ethical approval is classified as Category B and treated accordingly. The application would be approved by the line manager/supervisor (as with Category A applications) and also by an independent scrutiniser drawn from a pool of experienced researchers within the Institute/Department approved by its Head/Director. They do not need to be considered by the Research Ethics Committee. This would apply to category A+ applications from undergraduate students as well as staff and postgraduates.

Category B projects need to be considered by the Research Ethics Committee. The process of approval can take several weeks or longer depending on the number of applications being considered at any one time and the resolution of any issues that are raised by the Committee. It is fairly common for applications to be returned for further amendments prior to approval. The Committee expects applications from students to be of the same quality as those from staff. A helpful way to consider this position is to consider the research project from the point of view of the research participant.

Undergraduate or taught postgraduate student applicants: Your tutors and programme team will be able to advise you on how and when to complete this form. Your project supervisor is responsible for categorising your application as Category A, A+ or Category B and for authorising it.

Communications relating to Category B applications should be between the supervisor and the clerk to the Research Ethics Committee. The student should not contact the clerk directly.

The completed form will be kept for a period of five years after approval.

Postgraduate research students: Your PhD supervisor is responsible for categorising your application as Category A, A+ or Category B and for authorising it.
Academic Staff: Your line manager is responsible for categorising your application as Category A, A+ or Category B and for authorising it.
Emeritus or Visiting roles: The Head of Department / Director of Institute of the area to which you are linked is responsible for categorising your application as Category A, A+ or Category B and for authorising it.

[*this is a detachable front sheet, the form begins on the next page*]

Section A: Basic Information

A1: Title of study:	**C#.NET derived ETL Tool for Transposition of Test Data**
A2: Name of Applicant: (in collaborative projects, just name the lead applicant)	Jack Sargeant
A3: Position of Applicant (e.g. UG/Masters/PGR student, academic) If you hold multiple roles within the University, please write in the role which is pertinent to this specific study.	UG (Degree Apprentice)
A4: Programme of study: (for UG or taught Masters students only)	Digital and Technology Solutions (Software)
A5: Department of Applicant:	Engineering Computing and Mathematics

A6: Checklist to ensure application is complete. Have you prepared the following documents to accompany your application for ethical approval, please tick the appropriate column for each of the following:

Documents / Addenda	**Yes**	**No**	**N/A**
Confirmation of Ethical Approval of any other organisation (e.g. NHS, MoD, National Offender Management Service)			x
Recruitment information / advertisement (e.g. draft text for email/ poster/social media/letter)			x
Information sheet for participants		x	
Information sheet for carers/guardians			x
Information sheet/letter for gatekeepers e.g. Head teacher, teacher, coach			x
Consent form for participants	x		
Assent form for younger children			x
Documentation relating to the permission of third parties other than the participant, guardian, carer or gatekeeper (e.g. external body whose permission is required)			x
Medical questionnaire / Health screening questionnaire			x
Secondary information sheet for projects involving intentional deceit/withholding information			x
Secondary consent form for projects involving intentional deceit/withholding information			x
Debrief sheet to give to participants after they have participated			x
Statements about completeness of the application	**Yes**	**No**	**N/A**
For research involving under 18s or vulnerable groups, where necessary, a statement has been included on all information sheets that the investigators have passed appropriate ***Disclosure and Barring Service***[1] checks			**x**
I can confirm that the relevant documents listed above make use of document references including date and version number	x		

Declaration of the applicant:

I confirm my responsibility to deliver the research project in accordance with the University of Chichester's policies and procedures, which include the University's '*Financial Regulations*', '*Research Ethics Policy', 'Electronic Information Security Policy'* and *'Privacy Standard'* and, where externally funded, with the terms and conditions of the research funder.

In signing this research ethics application form I am also confirming that:

- The research study must not begin until ethical approval has been granted.

[1] *Working with under 18's or other vulnerable groups may require a Disclosure and Barring Service Check. Contact HR@chi.ac.uk if you are not sure whether you have an up to date and relevant DBS check or if you require more information. Do note that a DBS check may take several weeks to obtain.*

- The form is accurate to the best of my knowledge and belief.
- There is no potential material interest that may, or may appear to, impair the independence and objectivity of researchers conducting this project.
- Subject to the research being approved, I undertake to adhere to the project protocol without deviation (unless by specific and prior agreement) and to comply with any conditions set out in the letter from the University ethics reviewers notifying me of this.
- I undertake to inform the ethics reviewers of significant changes to the protocol (by contacting the clerk to the Research Ethics Committee (research@chi.ac.uk) in the first instance).
- I understand that the project, including research records and data, may be subject to inspection for audit purposes, if required in future, in keeping with the University's Privacy Standard.
- I understand that all processing of personal data in relation to the proposed project must comply with data protection legislation.
- I understand that personal data about me as a researcher in this form will be held by those involved in the ethics review procedure (e.g. the Research Ethics Committee and its officers and/or ethics reviewers) for five years after the research has ended, after which time the data will be securely destroyed/deleted.
- I understand that all conditions apply to any co-applicants and researchers involved in the study, and that it is my responsibility to ensure that they abide by them.
- For the Student Investigator: I understand my responsibilities to work within a set of safety, ethical and other guidelines as agreed in advance with my supervisor and understand that I must comply with the University's regulations and any other applicable code of ethics at all times.

Applicant's signature: DocuSigned by: 72461F036D424B5...

Date: 15/02/2024

Section B: Authoriser assessment and approval

Where Applicants are students (undergraduate or postgraduate) supervisors should authorise this form; where applicants are staff members their line manager (or nominated signatory) should authorise this form.

B1: Name of Authoriser:	David Mason
B2: Position of Authoriser: (e.g. supervisor, line manager)	Line Manager

AUTHORISER:
Please categorise the application (A, A+ or B) ensure that the application form and all of the required documentation are complete before signing this application.
Authoriser assessment: (**tick as appropriate** – *see Section 10 of the Research Ethics Policy*)

Category A: Proceed with the research project. ***Undergraduate and Postgraduate Taught Masters applications***: Form and documentation retained at Department level. ***Research Masters, PhD and staff applications***: Form and documentation forwarded to the Research Office research@chi.ac.uk	x
Category A+: for studies where information is withheld/there is an element of deceit or similar (see Appendix 13) Proceed with the research project. ***Undergraduate and Postgraduate Taught Masters applications***: Form and documentation retained at Department level. ***Research Masters, PhD and staff applications***: Form and documentation forwarded to the Research Office research@chi.ac.uk	
Category B: Submit to the Ethical Approval Sub-group for consideration. research@chi.ac.uk Proceed only when approval granted by the Chair of the Research Ethics Committee	

Authoriser, please provide a comment on your assessment of the research project and for those projects involving vulnerable groups that you are authorising as Category A please justify this classification in the box below. As a further point, do make appropriate reference to any other codes of practice in your discipline particularly if you think that the proposed research may be in tension with those codes.
For Category A+: the application would be approved by the line manager/supervisor (as with Category A applications) and also by an independent scrutiniser drawn from a pool of experienced researchers within the Institute/Department approved by its Head/Director

Comment: N/A

Authoriser's declaration:

- I have read the Research Ethics Policy and this has informed my judgement as to the category of assessment of this application.
- I understand that the applicant has taken account of the Research Ethics Policy and other relevant University policies in preparing this application.
- For Supervisors: I understand my responsibilities as supervisor, and will ensure, to the best of my abilities, that the student investigator abides by the University's Research Ethics Policy at all times.

Authoriser, please complete this table making it clear which version of the application form you are approving:

Version of the form (e.g. original version/ amended version following REC sub-group comments)	**Signature of authoriser**	**Date**
1	DocuSigned by: 60510EFF68584A6...	15/02/2024

For Category A+ independent scrutiniser must also sign as authoriser.

For RO use: IF CATEGORY B: Signature of the Chair of the Research Ethics Committee.

Signature:

Date:

Please note that the Research Office will retain all applications for ethical approval for 5 years after the research project has ended as stated in the University's Privacy Standard. It is the researcher's responsibility to let the Research Office know when the project has ended.

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SECTION C: Ethical Review Questions

C1. Does the study involve human participants?

Yes/~~No~~

Participants in research are taken to include all those involved in the research activity either directly or indirectly and either passively, such as when being observed part of an educational context, or actively, such as when taking part in an interview procedure.

NB: the University does not conduct research on animals. If your proposed project involves animals in any way (including animal tissue) please seek advice from the Research Office before proceeding.

C2a. Might the research entail a higher than normal risk of damage to the reputation of the University, since it will be undertaken under its auspices? *(e.g. research with a country with questionable human rights, research with a tobacco company. See section 9.3 of the REP). If a research partnership has been established with an industry partner please ensure that the University is not linked to claims made by that company regarding benefits of their products unless substantiated evidence of beneficial effects is available.*

Answer: ~~Yes/~~No

C2b. If your answer to 2a was yes, please describe the potential risk to the University's reputation and how this risk will be mitigated. If no, please jump to C2c.

C2c. Does the research concern groups or materials that might be construed as extremist, security sensitive or terrorist?

Answer: ~~Yes/~~No

If 'Yes' please describe how you will manage the research so that it is not in breach of the Terrorism Act (2006) which outlaws the dissemination of records, statements and other documents that can be interpreted as promoting or endorsing terrorist acts. For example, relevant documents, records, information and data pertaining to the research can be stored on a secure University server. The research should also not be in breach of the Counter-Terrorism and Sentencing Act (2021) and the Revised Prevent Duty Guidance (2015). Contact the Chair of the Research Ethics Committee in the first instance if you are unsure as to how to proceed.

*If you answered **Yes** to question C2c then please complete the additional pro-forma available from the Research Ethics Moodle: **Approval to undertake research concerning groups or materials that might be construed as extremist, security sensitive or terrorist**. Please append the completed form to this application.*

C2d. Does your research fit into any of the following security-sensitive categories? If so, please indicate which:

i. Commissioned by the military: Yes/No

ii. Commissioned under an EU security call: Yes/No

iii. Involve the acquisition of security clearances: Yes/No

If you answered yes to any of the above please provide further information

C3. Why should this research study be undertaken?

Brief description of purpose of study/rationale (up to 500 words)

The purpose of research in this project is to ensure that delivered artefacts are fit for purpose and pertinent. The artefact is to be used within an organisation, and handle non-sensitive but private data. Research undertaken will direct the artefact in a direction that follows best practice and meets the requirements of the organisation.

C4a. What are you planning to do? (up to 500 words)

Provide a description of the methodology for the proposed research, including proposed method and duration (start and end date) of data collection, recruitment information (including exclusion/inclusion criteria, recruitment methods etc.), tasks assigned to participants of the research and the proposed method and duration of data analysis. Please include information about location, including details of any special facilities to be used and any factors relating to the study site/location that might give rise to additional risk of harm or distress to participants or members of the research team together with measures taken to minimise and manage such risks

If the proposed research makes use of pre-established and generally accepted techniques, e.g. established laboratory protocols, validated questionnaires, please refer to this in your answer to this question. If it is helpful for the panel to receive further documentation describing the methodology then please append this to your application and make specific reference to it in box 3a below. For Category B applications please include the data collection sheet as an appendix.

This research employs an interpretivist approach to understand the qualitative needs and aspirations of stakeholders regarding the project's outcome. This approach delves into underlying motivations and desires to guarantee the developed solution efficiently and effectively achieves the sponsor’s goals. Interviews serve as the primary data collection method, focusing on capturing requirements during the analysis phase. Additionally, stakeholder feedback will be actively sought throughout the project's lifecycle, including design, development, and closure.

C4b. Is this research externally funded?

~~Yes/~~No

If, the answer yes, please name the research funder(s) here:

C5a. Who are you recruiting and how?

Please answer the questions in the table below. If you are using posters/flyers, you may not know the exact number of people you will be contacting for recruitment purposes. If this is the case, please indicate this in the first two questions.

How many people will you contact for recruitment purposes?	*0*
How will you contact them?	*0*
How many participants are you hoping to recruit in total?	*0*
What will they be asked to do? (e.g. x1 hour long interview, answer a questionnaire, etc.)	*0*

C5b. Who are the participants?

Please indicate the number of participants in each of the groups in the table below. If the precise number of participants is not known then please make an estimate. Please enter '0' in the 'Numbers in study' column for those groups that are not included in your study. Please note that the examples provided of different sorts of vulnerability are not an exhaustive list.

Participant	Numbers in study
Adults with no health or social problems known to the researcher, i.e. not in a vulnerable group:	**1**
Children aged 16-17 with no known health or social problems:	**0**
Children under 16 years of age with no known health or social problems:	**0**
Adults who would be considered as vulnerable e.g. those in care, with learning difficulties, a disability, homeless, English as a second language, service users of mental health services, with reduced mental capacity Identify reason for being classed as vulnerable group and indicate 'numbers in study' in next column adjacent to each reason (expand the form as necessary): …….. ……..	**0**
Children (aged <18) who would be considered as particularly vulnerable e.g. those in care, with learning difficulties, disability, English as a second language Identify reason for being classed as vulnerable group and indicate 'numbers in study' in next column adjacent to each reason (expand the form as necessary): …….. ……..	**0**
Other participants not covered by the categories listed above (please list): ***List other categories here:*** ……..	**0**

C6a. Is there something about the context and/or setting which means that the potential risk of harm/distress to participants or research is lower than might be expected normally (see examples below)?

~~Yes~~/No

Consider if the study is part of routine activity which involves persons with whom you normally work in a typical work context e.g. Teachers working with children in a classroom setting, researchers in the performing arts working with performers, sports coaches working with athletes/players or research involving students in an academic setting.

If yes, please elaborate here:

C6b. Is the process of the study and/or its results likely to produce distress, anxiety or harm in the participants <u>even</u> if this would be what they would normally experience in your work with them?
See section 5 of the REP.

Answer: ~~Yes~~/No

If you answered Yes to 6b, please answer 6c below:

C6c. Is the process of the study and/or its results likely to produce distress or anxiety in the participants <u>*beyond*</u> what they would normally experience in your work with them?

Answer: ~~Yes/~~No

If yes this Application must be categorised as 'B'

Please provide details:

C6d. What steps will you take to deal with any distress or anxiety produced?

E.g. have a relevant professional on-hand to support distressed/anxious participants. Careful signposting to counselling or other relevant professional services. Other follow-up support.

C6e. What is the potential for benefit to research participants, if any?
E.g. Participants may gain an increased awareness of some issue or some aspect of themselves.

C7. Are there any conflicts of interests which need to be considered and addressed?
(For example, does the research involve students whom you teach, colleagues, fellow students, family members? Do the funders, researchers, participants or others involved in the research have any vested interest in achieving a particular outcome? *See section 9 of the Research Ethics Policy (REP)*)

Answer: ~~Yes/~~No

If conflicts of interest are envisaged, indicate how they have been addressed:

C8. Will any payment, gifts, rewards or inducements be offered to participants to take part in the study? *See section 11 of the REP.*

Answer: ~~Yes/~~No

Please provide brief details and a justification:

C9a. Will the study involve withholding information or misleading participants as part of its methodology? *(Please refer to sections 6.2 and 10 of the REP for further guidance)*

Answer: ~~Yes/~~No

Please provide details if this has not already been explained in section 3a:

C9b. Do you envisage that withholding information or misleading participants in this way will lead to any anxiety, distress or harm?

Answer: ~~Yes/~~No

Please justify your answer to 9b:

It is the University Research Ethics Policy that all projects with the exception of double-blind placebo trials (or similar) will be categorise as Category B. Double-blind placebo trials (or similar) may be categorised as Category A+.

C10a. Does your proposal raise other ethical issues apart from the potential for distress, anxiety, or harm?

Answer: ~~Yes/~~No

C10b. If your answer to C10a. was 'yes', please briefly describe those ethical issues and how you intend to mitigate them and/or manage them in the proposed study, otherwise jump to C10c.

C10c Does your proposed study give rise to any potential risk of harm or distress to yourself or other members of the research team? OR is there any risk that you could find yourself in a vulnerable position as you carry out your study.

Answer: ~~Yes~~/No

If you answer 'yes' to either of these points please explain briefly what the risks are and what steps you are taking in order to minimise and manage those risks.

For example does your study involve you in 1-1 interviews in a private setting that might suggest precautions need to be taken relating to lone-working (See section 9 of the REP), Have you considered the likelihood of a participant(s) disclosing sensitive information to you about illegal or harmful behaviour and what actions you would take in such circumstances?

C11a. Will informed consent of the participants be obtained and if so, how?

Answer: Yes/~~No~~

See section 6 of the REP to help you answer this question. Section 6.3.1 covers research that involves observing behaviour in a public place where gaining informed consent may not be practical or feasible.

When and how will informed consent be obtained? Will it be written or oral consent bearing mind that oral consent will not be considered adequate other than in exceptional circumstances and must be appropriately justified in your application?

NB: Ethical approval should, as a principle, be sought before research participants are approached.

All participants will have to sign an ethical consent form prior to any data gathering.

C11b. Is there anyone whose permission should be sought in order to conduct your study? E.g. Head teacher of a school, parents/guardians of child participants.

Answer: ~~Yes/~~No

When and how will informed consent be obtained and from whom? Will it be written or oral consent bearing mind that oral consent will not be considered adequate other than in exceptional circumstances and must be appropriately justified in your application? If you are seeking to gain 'loco parentis' consent from a school rather than seeking individual parental consent please describe your reasoning.

C11c. Do you need to seek the permission of any other organisations, individuals or groups other than outlined in 11b? E.g. the Research Ethics Committee of partner or participating organisations. Organisations like the NHS and the Prison Service have specific systems for granting ethical approval for research.

Answer: ~~Yes/~~No

Please note that all applications must go through the University of Chichester Application for Ethical Approval process and that they must meet the Research Ethics Policy (REP) requirements. Other prior approval will be taken into account but will not in itself be sufficient to gain University Research Ethics Approval. Each application must normally be accompanied by evidence (e.g. formal statement from the appropriate Ethics Committee) confirming approval by the external body (and any concerns/issues identified). In cases where an external body requires prior approval from the University Research Ethics Policy (such as some NHS work) the Research Ethics Committee (REC) may grant in principle approval pending written confirmation of ethical approval by the external body.

Please describe the permission that is required and how you will be seeking that permission: Please attach any relevant documentation e.g. letter, that relates to the seeking of the relevant permissions.

C12a. It is normally required that a participant's data is treated confidentiality and stored securely at the outset of, during and after the research study. Will this be the case?
How long will data be stored before being destroyed?

Answer: ~~Yes/~~No

If the answer is 'yes' please describe how you will be maintaining the confidentiality of participants' data. If the answer is 'no' please justify the exceptional circumstances that mean that confidentiality will not be guaranteed. See section 7 of the REP.

Please make reference to measures you are taking to ensure security of data from the point of data collection, transfer from notebooks/voice recorders etc., onto secure devices, to the point of analysis, sharing and final storage. If you are planning to store sensitive data on portable devices or media, you should only store such data if there is an immediate need and should remove these data when this immediate need no longer exists. All sensitive data stored on portable devices or media must be strongly encrypted greatly reducing the risk of the data falling into the wrong hands if the device or media is stolen.

Research projects should be undertaken in accordance with the University's Electronic Information Security Policy and Privacy Standard. Staff should also refer to the Data Protection Guidance for Staff (Section 9 on Research). Completed consent forms should be stored securely and the agreed retention period for these is 5 years, after which they should be securely destroyed/deleted.

Please provide details:

C12b. It is normally required that the anonymity of participants is maintained and/or that an individual's responses are not linked with their identity. Will this be the case?

Answer: Yes~~/No~~

If the answer is 'yes' please describe how you will be maintaining the anonymity of participants. If the answer is 'no' please justify the circumstances that mean that anonymity will not be guaranteed. See section 7 of the REP. NB: in group studies it is likely that each individual in the group will be aware that others in the group are participating in the study – they are therefore not anonymous to each other. However, their identity should not normally be associated with their individual responses. In some studies individual participants may not want their identify known to other participants and the study must be designed and undertaken accordingly.

Please provide details:

C13. Will participants have a right to comment or veto material you produce about them?

Answer: Yes~~/No~~

Please give details and if your answer is 'no' then please provide a justification.

C14. Does the project involve the use of or generation/creation of audio, audio visual or electronic material or recordings directly relating to the participants?

Answer: ~~Yes/~~No

If yes, please describe how the collection and storage of this will be managed bearing in mind data protection, confidentiality and anonymity issues (see section 7 of the REP). If you are planning to store sensitive data on portable devices or media, you should only store such data if there is an immediate need and should remove these data when this immediate need no longer exists. All sensitive data stored on portable devices or media must be strongly encrypted greatly reducing the risk of the data falling into the wrong hands if the device or media is stolen

C15. How will the participants be debriefed?

It is expected that wherever possible all participants will receive some form of debriefing. This might be a verbal debriefing or a written debriefing depending on the context of the study. Debriefing provides an opportunity to remind participants of the procedures and outcomes of the research, and to provide further assurances on areas such as confidentiality, anonymity, and retention of data. Projects that intentionally withhold information or deceive as part of their methodology must include a written debrief sheet. (Please refer to sections 6.1 and 6.2 of the REP for further guidance)

C16a. Will your results be available in the public arena? (e.g. publication in journals, books, shown or performed in a public space, presented at a conference, internet publication and placing a dissertation in the library) s*ee section 8 of the REP*.

Answer: ~~Yes/~~No

If yes, please provide brief details:

NB: Please note that if participants wish to exercise their right to withdraw or request erasure of their personal data following collection and analysis this may not be possible having regard to permitted exemptions for research under data protection legislation i.e. where it would seriously impair the achievement of the research objectives. Notwithstanding the above, data subjects must still be advised of their rights to object in the information sheet, which can only be overridden if the "research is necessary for a task carried out for reasons of public interest".

C16b. Will your research data be made available in the public arena?
Certain research funding bodies require that research data is made Open Access i.e. freely available to the public. The University has an Open Access Policy that outlines the expectations and requirements for researchers at the University. Contact the Chair of the Research Ethics Committee in the first instance if you are unsure as to how to proceed.

Answer: ~~Yes/~~No

If yes, please provide brief details as to how the data will be prepared for public access including an overview of the meta-data that will accompany published data sets. Please also confirm that your intentions with respect to making data open access are clearly communicated to participants so that they can provide informed consent:

C17. Are there any additional comments or information you consider relevant, or any additional information that you require from the Committee?

[end of form]