**CONFIDENTIAL**

Stage 1: Research Ethics Application Form involving Animals and Habitats (A&H Stage 1)

**This form is for research which involves animals (dead or alive) and significant habitats. It also includes all the standard Stage 1 questions as the research may also involve humans or raise other ethical issues.**

**Applicants carrying out research with children or vulnerable adults may also need to carry out an online Safeguarding course and submit the pass certificate with their ethics application. Please refer to the Question Specific Advice for the Stage 1 Research Ethics Application Form involving Animals and Habitats on the** [**research ethics website**](https://myaru.sharepoint.com/sites/student-learning-assessment/SitePages/research-ethics-and-integrity.aspx)**.**

# Section 1: Details of the Researcher and their Research

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| --- | --- |
| **Researcher details** | |
| First name | Julian |
| Family name | Flowers |
| School/Faculty | Life Sciences |
| Email address | Jrf128@student.aru.ac.uk |
| Name of Institution where you study  or work (if not Anglia Ruskin) | ARU |
| Are you:  *Please tick relevant box* | Undergraduate (UG) Student  Postgraduate Taught (PGT) Student  Postgraduate Research (PGR) Student  Member of ARU Staff  Member of ARU staff carrying out Masters/Doctorate research |
| **Students (including staff proposing research on a course/programme)** | |
| Your SID | 2050507 |
| Your course/programme title | Applied Wildlife Conservation |
| Name of your First Supervisor (for PGR) or Supervisor (for UG and PGT) | Alvin Helder |
| **Research details** | |
| **Title of your research project**  *N.B. For UG/PGT students, this is not the title of your research module* | Do Tiny Forests increase biodiversity? |
| Name and institutional affiliation of any research collaborators | Earthwatch |
| Date of application | 1st Feb 2023 |
| Start date of proposed research | 1st May 2023 |
| **Brief Project Summary (up to 700 words)** Please summarise your research in non-specialist language.  Please describe where relevant.  *Methodology (please describe what you plan to do as opposed to providing a background in your chosen methodology)*  *Theoretical approaches*  *Research questions*  *Details of participant population (recruitment, inclusion and exclusion criteria* | There is a global biodiversity crisis and Britain is one of the least biodiverse countries in Europe. Drivers of biodiversity loss include global population increases and changes in use of land for food and development with increasing urbanisation. For the last 30 years it has been argued that the urban areas and urbanisation should be an important part of ecological research. Rega-brodsky er al, reviewing the current state of urban biodiversity science and research, found rapid growth in publications over the last 20 years, with an increasing interest in urban restoration and management more recently. However, they highlight the relative paucity of research addressing urban ecological restoration despite this being the UN Decade on Ecosystem Restoration ; including urban settings. There has been a particular interest in tree-planting and urban afforestation as a mechanism for both tackling climate change and ecological restoration.  One recent approach to urban ecological restoration which is growing in popularity is the development of Tiny Forests (TF)1. These are defined as small scale (100 - 200 m2) densely planted native woodlands. There is a strong emphasis on native planting and soil preparation, community engagement and citizen science. There is a focus on local people planting, managing and using TFs. A number of benefits have been attributed to TFs including carbon capture and storage, flood management and improving thermal comfort by providing shade but to date there is limited evidence to demonstrate biodiversity benefits.  The proposed study will combine large scale biodiversity and ecological data from routine datasets including the NBN Atlas with locally collected citizen science (CS) data provided by Earth Watch from serial surveys of biodiversity and other environmental characteristics of Tiny Forests. It will estimate species diversity and richness in Tiny Forests and in a 1km buffer around each Tiny Forest location and explore the relationship between them. It will explore biodiversity trends in buffer zones and model the variation in Tiny Forest biodiversity as a function of buffer diversity, Tiny Forest characteristics and local ecological and environmental variables. |
| Please explain the potential value of your research to society and/or the economy and its potential to improve knowledge and understanding. | Given the rapid growth of Tiny Forests as a nature-based solution for climate change and reversing biodiversity loss, it is important to generate evidence to support their development.  This study will contribute to the evaluation of Tiny Forests and outline a framework for assessing their biodiversity impact. |

# Section 2: Research Ethics Checklist (Refer to Section 3 for an explanation of the colour coding)

**You must provide a response to ALL questions. Please refer to the Question Specific   
Advice for completing the Stage 1 Research Ethics Application Form (Animals and Habitats) for guidance.**

|  | **Will your research (delete as appropriate) :** |  | Yes | No |
| --- | --- | --- | --- | --- |
| 1 | Involve gathering or preparing non-living biological samples *not held already* in university, museum or other research collections? |  |  | x |
| 2 | Involve scarce, vulnerable or protected species, habitats or sites; or genetic resources and traditional knowledge protected by the Nagoya Protocol? |  |  | x |
| 3 | Involve invertebrates (other than cephalopods or decapod crustaceans)? |  |  | x |
| 4 | Manipulate the environment, including introducing new species or destructive collecting/harvesting? |  |  | x |
| 5 | Include work on live decapod crustaceans, cephalopods or vertebrates? **(If YES please answer the following questions 6-11. If NO go to Question 12).** |  |  | x |
| 6 | Include observation of any free-living or captive animals? |  |  | x |
| 7 | Risk causing pain, suffering, psychological or physical harm to an animal? |  |  | x |
| 8 | Involve removal of biological material directly from a live animal? |  |  | x |
| 9 | Involve manipulating an animal’s environment for the explicit purpose of your study? |  |  | x |
| 10 | Involve a) the breeding of animals and/or b) animals that are either pregnant or  raising young? |  |  | x |
| 11 | Involve manipulation of an animal’s diet or drinking water? |  |  | x |
| 12 | Involve human participants? |  |  | x |
| 13 | Utilise data that is not publicly available? |  | x |  |
| 14 | Create a risk that individuals and/or organisations could be identified in the outputs? |  |  | x |
| 15 | Involve participants whose responses could be influenced by your relationship with them or by any perceived, or real, conflicts of interest? |  |  | x |
| 16 | Involve the co-operation of a ‘gatekeeper’ to gain access to participants (for example, a pet owner or zoo, a company manager or a head teacher)? |  | x |  |
| 17 | Offer financial or other forms of incentives to participants? |  |  | x |
| 18 | Involve the possibility that any incidental health issues relating to participants could be identified? |  |  | x |
| 19 | Involve the discussion of topics that participants may find distressing? |  |  | x |
| 20 | Take place outside of the country where you work and/or are enrolled to study? |  |  | x |
| 21 | Cause a negative impact on the environment (over and above that of normal daily activity)? |  |  | x |
| 22 | Involve genetic modification of animal or human tissue, or use of genetically modified organisms as Class One activities?[[1]](#footnote-1) |  |  | x |
| 23 | Involve genetic modification of animal or human tissue, or use of genetically modified organisms above Class One activities?[[2]](#footnote-2) |  |  | x |
| 24 | Collect, use or store any human tissue or DNA (including but not limited to, serum, plasma, organs, saliva, urine, hair and nails)?[[3]](#footnote-3) |  |  | x |
| 25 | Involve medical research with humans, including clinical trials or medical devices? |  |  | x |
| 26 | Involve the administration of drugs, placebos or other substances (e.g. food, vitamins) to animals or humans? |  |  | x |
| 27 | Cause (or have the potential to cause) pain, physical or psychological harm or negative consequences to humans? |  |  | x |
| 28 | Involve the collection of data without the consent of participants, or other forms of deception? |  |  | x |
| 29 | Involve interventions with people aged 16 years and under? |  |  | x |
| 30 | Relate to military sites, personnel, equipment, or the defence industry? |  |  | x |
| 31 | Risk damage/disturbance to culturally, spiritually or historically significant artefacts/places, or human remains? |  |  | x |
| 32 | Contain research methodologies you, or members of your team, require training to carry out? |  |  | x |
| 33 | Involve access to, or use (including internet use) of material covered by the Counter Terrorism and Security Act (2015), or the Terrorism Act (2006), or which could be classified as security sensitive?[[4]](#footnote-4) |  |  | x |
| 34 | Risk being construed as encouraging terrorism or inviting support for proscribed organisations and/or contain extremist views that risk drawing people into terrorism or are shared by extremist groups |  |  | x |
| 35 | Involve you or participants in  a) activities which may be illegal and/or  b) the observation, handling or storage (including export) of information or material which may be regarded as illegal? |  |  | x |
| 36 | Does your research involve the NHS (require Health Research Authority and/or NHS REC and NHS R&D Office cost and capacity checks)? |  |  | x |
| 37 | Require ethical approval from any recognised external agencies (Social Care, Ministry of Justice, Ministry of Defence)? |  |  | x |
| 38 | Involve individuals aged 16 years of age and over who lack ‘capacity to consent’ and therefore fall under the Mental Capacity Act (2005)? |  |  | x |
| 39 | Involve processing special category data[[5]](#footnote-5) and/or you intend to recruit 100 or over participants? |  |  | x |
| 40 | Pose any ethical issue not covered elsewhere in this checklist? |  |  | x |

Please note that the Faculty Research Ethics Panel (FREP) will refer to the Office of the Secretary and Clerk any application where, in the view of the Chair, the proposed research poses a risk of a legal or security related nature to Anglia Ruskin University. The Chair will seek guidance from the Secretary and Clerk before the FREP decides if the proposed research can be granted ethical approval and/or the nature of any special arrangements which need to be put in place.

# Section 3: Approval process

**1. FREP = Faculty Research Ethics Panel, SREP = School Research Ethics Panel**

**2. All student applications must be sent to your Supervisor for checking. Your Supervisor must then forward the application to the SREP/FREP (as appropriate)**

**NO** answered to **all** questions

## Risk category Green

Complete Section 6 of this form and then send   
it to your SREP.

## You do not require ethical approval from a committee.

**You can start your research immediately.**

**YES** to **any of** Questions 1-22 and/or 40 but **NO** to all other questions

## Risk category Yellow

Complete Section 4 - 6 of this form and submit it, and the Participant or Owner Information Sheet (PIS) and Participant or Owner Consent Form (PCF), to your SREP. Your faculty may require further documents.

## You need to wait for ethical approval before you start your research.

**YES** to **any** of Questions 23-35

## Risk Category Red

Complete Section 5 and 6 of this form and complete the Stage 2 Approval form. Submit both, and any other documents required, to your FREP.

**If you answered YES to Question 34 you must also complete and submit for consideration by the committee the Stage 3 Approval form.**

## You need to wait for ethical approval before you start your research.

**YES** to **any** of Questions 36-38

## Risk Category Purple

You need external approval(s) which, if granted, may be regarded as equivalent to approval from an Anglia Ruskin ethics committee.

Refer to the Question Specific Advice for the Stage 1 Research Ethics Application Form and Code of Practice for Applying for Ethical Approval for   
further information

**You need to wait for ethical and/or governance approval before you start your research**

## YES to Question 39

## Risk Category Blue

You must also complete the Further Data Protection Questions and submit this with your application

# Section 4: Project details

|  |
| --- |
| **Management of Ethical Risk** |
| **For each of Questions 1-22 and/or 40 where you have responded ‘Yes’, please explain for the committee how you justify and will manage the ethical risk created. Your research is in the Yellow risk category.**  **This study will involve the use of data supplied by Earth Watch which is the charitable organisation which oversees the development of Tiny Forests in Europe. I have already been in conversations with them and they have kindly supplied sample data for preliminary analysis to support the development of this proposal. I will hold regular meetings with the Earth Watch research manager to share work as it develops. In addition I intend to make field visits to a convenience of local, publicly accessible Tiny Forest sites and hope, through liaison with Earth Watch, to talk to Tree-Keepers – local Tiny Forest custodians, about management and maintenance, and ongoing biodiversity monitoring.** |

# Section 5: Data Protection

# **If your research involves personal data and will be in the European Economic Area (EEA) or involve transferring data in or out of the EEA (the EEA includes EU member states and also Iceland, Liechtenstein and Norway).**

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# You must complete the Research Checklist for Data Protection and confirm that you have done this in Section 6.

<https://myaru.sharepoint.com/sites/student-office-for/SitePages/data-protection-in-research.aspx#research-checklist-for-data-protection>

# If you have said ‘yes’ to Question 28, you must also complete the Further Data Protection Questions and follow further instructions if applicable. You need to submit this document with your ethics application.

<https://myaru.sharepoint.com/sites/student-office-for/SitePages/data-protection-in-research.aspx#further-data-protection-questions>

# If your research will not involve the EEA, you need to confirm in Section 6 that you will comply with the data legislation relating to the country you are carrying research out in or transferring data in or out of.

# Section 6: Confirmation/Declaration statements

|  |  |  |
| --- | --- | --- |
|  | **Confirmation Statements** | |
| 1 | I have completed the relevant training in research ethics.[[6]](#footnote-6) | Yes |
| 2 | I have consulted the Research Ethics Policy and the relevant sections of the Code of Practice for Applying for Ethical Approval, available on the [research ethics website](https://myaru.sharepoint.com/sites/student-learning-assessment/SitePages/research-ethics-and-integrity.aspx). | Yes |
| 3 | I have completed a Risk Assessment (Health and Safety) and had it approved by the appropriate  person[[7]](#footnote-7) | Yes |
| 4 | Either  I have reviewed the Research Checklist for Data Protection and comply with its requirements. If I needed to complete the Further Data Protection Questions, I obtained advice from our Data Protection Officer if any of my responses were ‘no’ and submit the correspondence with this ethics application.  Or for research that does not involve the EEA, I will comply with any data protection legislation of the country or countries that my research will involve. | Yes |
| 5 | For research funded externally where the funding was acquired via Anglia Ruskin, I have completed a Project Risk Assessment.[[8]](#footnote-8) | Not applicable |
| 6 | I have attached my confirmation of passing a Safeguarding course. | Not applicable |
| 7 | If my research project involves a contract between Anglia Ruskin University and an external party, I have had the contract approved by the Secretary and Clerks Office[[9]](#footnote-9) | Not applicable |

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| **Applicant Declaration** |
| By sending this form from my Anglia Ruskin e-mail account, I confirm that I will undertake the research as detailed here. I understand that I must abide by the terms of my ethical approval and that I may not amend the research without further ethical approval. I also confirm that the research will comply with all Anglia Ruskin ethical guidance, all relevant legislation and any relevant professional or funding body ethical guidance. |

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| **Supervisor/First Supervisor Declaration** |
| By sending this form from my Anglia e-mail account, I confirm the statements in the Applicant Declaration and that I will supervise the research as detailed in the application. |

Thank you for completing the Stage 1 Research Ethics Application Form involving Animals and   
Habitats (A&H Stage 1).

Please note that ethics applications for research involving animals and habitats must be submitted to the Life Sciences (Animal and Environmental Biology) School Research Ethics Panel in the first instance. For details see:

[**https://canvas.anglia.ac.uk/courses/6910/pages/fse-frep-and-drep-information**](https://canvas.anglia.ac.uk/courses/6910/pages/fse-frep-and-drep-information)

Please submit it as follows:

**Staff Researchers:** Send form directly to the relevant committee.

**Student Researchers (including staff carrying out research in a student capacity):** Send form to Supervisor/First Supervisor.

**Supervisor/First Supervisor:** Check application and forward to the relevant committee.

For FREP/SREP details please visit the [Ethics website](https://myaru.sharepoint.com/sites/student-learning-assessment/SitePages/research-ethics-and-integrity.aspx). On this page you will also find links to each Faculty’s website where more information on SREPS can be found.

Date: 24 July 2019

Version 1.1

1. Email [FST-Biologicalsafety.GMO@aru.ac.uk](mailto:FST-Biologicalsafety.GMO@aru.ac.uk) for further information. [↑](#footnote-ref-1)
2. As above. [↑](#footnote-ref-2)
3. For any research involving human material you must email [ARU-HBMC@aru.ac.uk](mailto:ARU-HBMC@aru.ac.uk)for further guidance on how to proceed. [↑](#footnote-ref-3)
4. The Counter Terrorism and Security Act (2015) and Terrorism Act (2006) outlaws web posting of material that encourages or endorses terrorist acts, even terrorist acts that have occurred in the past. Sections of the Terrorism Act also create a risk of prosecution for those who transmit material of this nature, including transmitting the material electronically. The storage of such material on a computer can, if discovered, prompt a police investigation. Visits to websites related to terrorism and the downloading of material issued by terrorist groups (even from open-access sites) may be subject to monitoring by the police. Storage of this material for research purposes may also be subject to monitoring by the police. Therefore, research relating to terrorism, or any other research that could be classified as security-sensitive (for example, Ministry of Defence-commissioned work on military equipment, IT encryption design for public bodies or businesses) needs special treatment. If you have any doubts about whether your research could be classified as security-sensitive, please speak to your FREP Chair. [↑](#footnote-ref-4)
5. Special category data is defined as personal data which reveals racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a person, and data concerning health or data concerning a person’s sex life or sexual orientation. [↑](#footnote-ref-5)
6. Where required, UG or PGT students must submit confirmation with this form that they have passed the on-line ethics training. Some courses have exemption from this requirement. Please check with your supervisor. [↑](#footnote-ref-6)
7. For research conducted at ARU including, University Centre Peterborough and College of West Anglia, go to [[https://myaru.sharepoint.com/sites/student-office-for](http://web.anglia.ac.uk/anet/staff/sec_clerk/%20%20%20%20%20)](file:///C:/Users/student-office-for)

   for the relevant guidance. Students at other institutions must follow local processes. [↑](#footnote-ref-7)
8. For details go to <http://web.anglia.ac.uk/anet/rdcs/compliance/faqs.phtml> [↑](#footnote-ref-8)
9. For details go to <http://web.anglia.ac.uk/anet/staff/sec_clerk/> [↑](#footnote-ref-9)