Anglia Ruskin University

Stage 1 Research Ethics Application Form

Section 1: Details of the Researcher and their Research

Researcher details	
First name	Example
Family name	Student
Department/Faculty	Faculty of Science and Engineering
Email address	Example.student@student.anglia.ac.uk
Name of Institution where you study or work (if not Anglia Ruskin)	N/A
Are you: *Please tick*	☐ 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	
Your course/programme title	MSc Town Planning
Name of your First Supervisor (for PGR) or Supervisor (for UG and PGT)	
Research details	
Title of your research project *N.B. For UG/PGT students, this is not the title of your research module*	Meeting the social need
Name and institutional affiliation of any research collaborators	N/A
Date of application	01/03/19
Start date of proposed research	01/04/19

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Brief Project Summary (up to 700 words) Please summarise your research in non-specialist language. Please describe where relevant. *Methodology* *Theoretical approaches* *Research questions* *Details of participant population (recruitment, inclusion and exclusion criteria*	Study focuses on an urban intensification study, with urban character study sub-focus on the urban area of Southend, defined by Essex's administrative boundary. The rationale for doing so is the huge housing need figure pushed by central Government through national planning policy which will need to be met one way or another by Essex. Essex Council's initial data suggests promoted/available land can provide between xx to yy homes out of a need of up to zz homes over the next 20 years. Therefore a need for further search is needed if the need is to be met. Interesting discussions arise over the capacity for Essex to actually meet this need (where an urban intensification study comes in) and whether Essex should meet the need – the interesting discussions following my results. **Methodology** The methodology for the study will be limited to urban intensification through redevelopment. The sub-division of housing, vacant homes statistics, vacant land and brownfield land will not be examined to explore their potential. This will be the responsibility of other studies. This study will provide indications of the capacity of existing residential areas of Essex to accommodate further housing. The urban intensification study will predominantly be based on the character sensitivity of areas in the County Council, this will help to identify areas suitable to explore intensification. • A baseline will be set bringing in data from the Valuation Office, Office for National Statistics and that of Essex County Council, this data will be built upon using the Typical Urban Areas (TUA) approach to assess urban capacity. • A cross section of residential age, residential character, and residential density will be identified from TUA, and a small sample of participants will be surveyed to assess its potential for intensification, therefore allowing a calculated estimate of the potential of the whole county of Essex. • Data from the TUA assessment for the Urban Intensification study will largely be displayed within a Geographical Information System (GIS) using ESRI software. The data will be gathered from national open-source resources and some from the Local Authorities adopted documents. More specifically, these will be from the National Land Use Database and local authority brownfield land registers and Housing and Employment Land Availability Assessment (HELAA) studies. • Deduced from these studies/documents, the baseline of available land for housing, coupled with my own data sets from research (the outcomes of the TUA and character areas study) will set the baseline for further research into

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individually defined character areas. Other than identified TUA areas, priority areas as defined by URBED will also be studied as another level of detail.

- Once the TUA areas have been fully assessed, the existing density of housing found in those areas will be identified and a minimum to maximum density noted. The final calculation of potential urban capacity will be calculated through looking at the possible dwelling uplift if all character areas were developed to their maximum.

- Any conclusions that are deduced from the data as to what the capacity for urban intensification is will be informed by introducing data from experts such as land viability experts and developers that have had housing delivery in the TUA sample areas. This is to determine in a typical scenario of the realistic maximum intensification for Essex. This is subject to the limitations inherent to an urban intensification study. The concluding overall potential density for each character area will result in a net dwelling potential which can be totalled to give a county wide figure of potential dwelling yield through intensification which will provoke interesting discussions around Essex's ability or inability to deliver its objectively assessed housing need.

Recruitment

Developers, agents and Officers from the Local Authority that are known players in the local housing environment will be invited to talk about the hypothetical intensification of Essex.

Where appropriate, written consent will be obtained from a gatekeeper of the business or Local Authority in question whom is in a position of managerial authority to provide delegated consent to their colleague being interviewed for the purposes of this dissertation.

In the instance where I, the researcher may have an existing relationship with an interviewee, it will be made clear to the interviewee that they can refer to the Participant Information/Consent Forms for more information on how they can easily withdraw from the study and it will be made clear that they should not feel under any pressure to partake in the study or give any answer other than the honest truth.

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Please explain the potential value of your research to society and/or the economy and its potential to improve knowledge and understanding.	This research will be of value to Local Government Authorities in the United Kingdom particularly that of the area of research (Essex- County Council). This research will expand and challenge the traditional/accepted norms on housing delivery and will encourage the research of urban intensification in other areas of the country. It will clearly set out the limitations of a study of this nature and the intent. The intent being as a precursor to potential Green belt development through triggering exceptional circumstances or refuting housing objectively assessed need in an authority area based on hypothetical development maximums. This document will therefore intend to set a best practice approach, in tandem with other documents, to delivering housing need or become a crucial enabler in Duty to Cooperate discussions.

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

N.B. If you are conducting research that involves 'animals and significant habitats', please use the Stage 1 Research Ethics Application Form involving Animals and Habitats (www.anglia.ac.uk/researchethics).

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

	Will your research (delete as appropriate):			
1	Involve human participants?	🟠	YES	
2	Utilise data that is not publically available?	🟠	YES	
3	Create a risk that individuals and/or organisations could be identified in the outputs?	🟠	YES	
4	Involve participants whose responses could be influenced by your relationship with them or by any perceived, or real, conflicts of interest?	🟠	YES	
5	Involve the co-operation of a 'gatekeeper' to gain access to participants?	🟠	YES	
6	Offer financial or other forms of incentives to participants?	🟠		NO
7	Involve the possibility that any incidental health issues relating to participants be identified?	🟠		NO
8	Involve the discussion of topics that participants may find distressing?	🟠		NO
9	Take place outside of the country where you work and/or are enrolled to study?	🟠		NO
10	Cause a negative impact on the environment (over and above that of normal daily activity)?	🟠		NO
11	Involve genetic modification of human tissue, or use of genetically modified organisms classified as Class One activities?[1].	🟠		NO
12	Involve genetic modification of human tissue, or use of genetically modified organisms above Class One activities?[2].	🔴		NO
13	Collect, use or store any human tissue or DNA (including but not limited to, serum, plasma, organs, saliva, urine, hairs and nails)?[3]	🔴		NO
14	Involve medical research with humans, including clinical trials or medical devices?	🔴		NO
15	Involve the administration of drugs, placebos or other substances (e.g. food, vitamins) to humans?	🔴		NO

[1] Email **FST-Biologicalsafety.GMO@anglia.ac.uk** for further information.

[2] As above.

[3] For any research involving human material you must contact Matt Bristow (matt.bristow@anglia.ac.uk) for further guidance on how to proceed

16	Cause (or have the potential to cause) pain, physical or psychological harm or negative consequences to humans?	●		NO
17	Involve the collection of data without the consent of participants, or other forms of deception?	●		NO
18	Involve interventions with people aged 16 years of age and under?	●		NO
19	Relate to military sites, personnel, equipment, or the defence industry?	●		NO
20	Risk damage/disturbance to culturally, spiritually or historically significant artefacts/places, or human remains?	●		NO
21	Contain research methodologies you, or members of your team, require training to carry out?	●		NO
22	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]	●		NO
23	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?	●		NO
24	Does your research involve the NHS (require Health Research Authority and/or NHS REC and NHS R&D Office cost and capacity checks)?	●		NO
25	Require ethical approval from any recognised external agencies (Social Care, Ministry of Justice, Ministry of Defence)?	●		NO
26	Involve individuals aged 16 years of age and over who lack 'capacity to consent' and therefore fall under the Mental Capacity Act (2005)?	●		NO
27	Pose any ethical issue not covered elsewhere in this checklist (excluding issues relating to animals and significant habitats which are dealt with in a separate form)?	●		NO

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.

[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.

Section 3: Approval process

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

FREP = Faculty Research Ethics Panel
DREP = Departmental Research Ethics Panel

NO answered to all questions
Risk category Green

Complete Section 5 of this form and then send it to your DREP (or FREP for the Faculty of Medical Science only).
You do not require ethical approval from a committee.
You can start your research immediately.

YES to any of Questions 1-11 and/or 27 but NO to all other questions
Risk category Yellow

Complete Section 4 and 5 of this form and submit it, and the Participant Information Sheet (PIS) and Participant Consent Form (PCF), to your DREP (or FREP for Faculty of Medical Science only). Your faculty may require further documents.
You need to wait for ethical approval before you start your research.

YES to **any** of Questions 12-23
Risk Category Red

Complete Section 5 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 22 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 24-26
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.

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Section 4: Project details

Management of Ethical Risk
For each of Questions 1-11 and Question 27, 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.

Question 1: Involve Human Participants

Ethical Risks surrounding human participants will be mitigated by obtaining the informed consent of all participants by providing them with a Participant Information Form and then subsequently a Participation Consent Form to sign and date. A key element of these forms is that they set out the process to all those approached to partake in the study with the option to withdraw from the study at any stage. Contact Details for those people approached will be found through publically accessible means only. Any data gathered will be kept anonymous and any personal information will not be recorded unless necessary, and where necessary, kept confidential. All data gathered shall be stored on the Anglia Ruskin computer network and where taken off site, on password protected drives.

Question 2: Utilise Data that is not publically available

This applies to any data obtained via Essex Council or other businesses through interview that is not held openly on their websites or other information sources. This data shall only be used with written consent from a person of authority from the business, local authority. This data will also be kept anonymous and any personal data confidential. It shall too be stored on the Anglia Ruskin computer network or password protected drives.

Question 3: Create a risk that individuals and/or organisations could be identified in the outputs

Confidentiality will be respected with the utmost care. All data used in the dissertation derived from participants shall be carefully analysed to ensure to the best of my ability that the original individual cannot be derived in any way from the context that the data is set in.

Question 4: Involve participants whose responses could be influenced by your relationship with them or by any perceived, or real, conflicts of interest.

As an employee of Essex County Council, I will have to ensure that prospective interviewees from the Council are informed that participation is their choice and that they must make that decision without prejudice of any working relationship we may possess. They shall also be informed fully through the participant consent sheet that they may withdraw from the study at any time.

Question 5: Involve the co-operation of a 'gatekeeper' to gain access to participants

Where appropriate, written consent will be obtained by an Officer from the business or Local Authority in question whom is in a position of managerial authority to provide delegated consent to their colleague being interviewed for the purposes of this dissertation. The gatekeeper shall be made aware via the participant information and consent forms that they or their employee must not feel obliged to take part in the study and if they are to change their mind on participation at a later date that they can follow the process on the participation consent form to withdraw from the study.

Section 5: Confirmation/Declaration statements

	Confirmation Statements (delete as appropriate)

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1	I have completed the relevant training in research ethics.[5]	Yes
2	I have consulted the Research Ethics Policy and the relevant sections of the Code of Practice for Applying for Ethical Approval, available at www.**anglia.ac.uk/researchethics.**	Yes
3	I have completed a Risk Assessment (Health and Safety) and had it approved by the appropriate person.[6]	Not applicable
4	My research complies with the UK Data Protection Act (1998) and/or the data protection laws of the country where the research is being conducted.[7]	Yes
5	For research funded externally where the funding was acquired via Anglia Ruskin, I have completed a Project Risk Assessment.[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 Clerk's Office[9]	Not applicable

Confirmation of Data Storage Compliance

By sending this form you confirm that:

- Physical documents containing personal or confidential information will be stored securely and only accessible to the research team and other authorised individuals.
- You will not store protected information [as defined by the Data Protection Act 1998] in personal cloud services, such as Dropbox, Google Drive or Microsoft OneDrive as their quality or security cannot be guaranteed.
- Any portable media, such as USB storage devices, removable hard drives, CDs or DVDs, that are used to hold personal, confidential or sensitive data will be securely stored on-premises and appropriately encrypted when used off-premises.
- Access to our remote desktop facilities will always be via an approved connection.

The preferred storage solution for electronic files is on a University server accessed from a password protected computer.

Please consult our IT Acceptable Use Policy for further information and guidance: http://web.anglia.ac.uk/it/policy/

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.

[5] 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.
[6] For research conducted at ARU including Ixion, University Centre Petercounty and College of West Anglia, go to **http://web.anglia.ac.uk/anet/staff/sec_clerk/gen_info.phtml** for the relevant guidance. Students at other institutions must follow local processes.
[7] For guidance go to **web.anglia.ac.uk/anet/staff/sec_clerk/dpa.phtml**
[8] For details go to **web.anglia.ac.uk/anet/rdcs/compliance/faqs.phtml**
[9] For details go to **http://web.anglia.ac.uk/anet/staff/sec_clerk/**

Supervisor/FirstSupervisor 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.

Please submit it as follows:

Staff Researchers: Send form directly to the relevant committee.

Student Researchers: Send form to Supervisor/First Supervisor.

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

For FREP/DREP details please visit the Ethics website:
http://web.anglia.ac.uk/anet/rido/ethics/about/frep.phtml. On this page you will also find links to each Faculty's website where more information on DREPS can be found.

Date 23 May 2017

Version 3.5

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