***Faculty of Science and Technology Research Ethics Committee (FSTREC)***

***Lancaster University***

***Application for Ethical Approval for Research***

**This form should be used for all projects by staff and research students, whether funded or not, which have not been reviewed by any external research ethics committee.** If your project is or has been reviewed by another committee (e.g. from another University), please contact the FST research ethics officer for further guidance.

In addition to the completed form, you need to submit **research materials** such as:

1. Participant information sheets
2. Consent forms
3. Debriefing sheets
4. Advertising materials (posters, e-mails)
5. Letters/emails of invitation to participate
6. Questionnaires, surveys, demographic sheets that are non-standard
7. Interview schedules, interview question guides, focus group scripts

Please note that **you DO NOT need to submit pre-existing questionnaires or standardized tests** that support your work, but which cannot be amended following ethical review. These should simply be referred to in your application form.

**Please submit this form and any relevant materials by email as** a **SINGLE attachment** to *fst-ethics@lancaster.ac.uk*

**Section One**

***Applicant and Project Information***

# Name of Researcher:

***Project Title:***

# Level: Masters, PhD, Staff

# Supervisor (if applicable):

# Researcher’s Email address:

# Telephone:

# Address:

# Names and appointments/position of all further members of the research team:

# Is this research externally funded? If yes,

# ACP ID number:

# Funding source:

# Grant code:

# Does your research project involve any of the following?

[ ]  Human participants (including all types of interviews, questionnaires, focus groups, records relating to humans, use of internet or other secondary data, observation etc.)

[ ]  Animals - the term animals shall be taken to include any non-human vertebrates or cephalopods.

[ ]  Risk to members of the research team e.g. lone working, travel to areas where researchers may be at risk, risk of emotional distress

[ ]  Human cells or tissues other than those established in laboratory cultures

[ ]  Risk to the environment

[ ]  Conflict of interest

[ ]  Research or a funding source that could be considered controversial

[ ]  Social media and/or data from internet sources that could be considered private

[ ]  any other ethical considerations

**Yes – complete the rest of this form**

 **No – your project does not require ethical review or submission of this form**

**Section Two**

***Type of study***

[ ]  Includes *direct* involvement by human subjects. ***Complete all sections apart from Section 3.***

[ ]  Involves *existing documents/data only*, or the evaluation of an existing project with no direct contact with human participants*.* ***Complete all sections apart from Section 4.***

**If your research involves data from chat rooms and similar online spaces where privacy and anonymity are contentious, please complete all sections**

# Project Details

**1. Anticipated project dates (month and year)**

**Start date:**   **End date:**

**2. Please briefly describe the background to the research (no more than 150 words, in lay-person’s language):**

**3. Please state the aims and objectives of the project (no more than 150 words, in lay-person’s language):**

**4. Methodology and Analysis:**

**Section Three**

***Secondary Data Analysis***

**Complete this section if your project involves *existing documents/data* *only*, or the evaluation of an existing project with no direct contact with human participants**

1. Please describe briefly the data or records to be studied, or the evaluation to be undertaken.

2. How will any data or records be obtained?

3. Confidentiality and Anonymity: If your study involves re-analysis and potential publication of existing data but which was gathered as part of a previous project involving direct contact with human beings, how will you ensure that your re-analysis of this data maintains confidentiality and anonymity as guaranteed in the original study?

4. What plan is in place for the storage of data (electronic, digital, paper, etc)? Please ensure that your plans comply with the General Data Protection Regulation (GDPR) and the (UK) Data Protection Act 2018.

5. What are the plans for dissemination of findings from the research?

6a. Is the secondary data you will be using in the public domain? YES/NO

6b. If NO, please indicate the original purpose for which the data was collected, and comment on whether consent was gathered for additional later use of the data.

7.What other ethical considerations (if any), not previously noted on this application, do you think there are in the proposed study? How will these issues be addressed?

8a. Will you be gathering data from discussion forums, on-line ‘chat-rooms’ and similar online spaces where privacy and anonymity are contentious?      YES/NO

 If yes, your project requires full ethics review. Please complete all sections.

**Section Four**

# Participant Information

**Complete this section if your project** **includes *direct* involvement by human subjects.**

1. Please describe briefly the **intended human participants** (including number, age, gender, and any other relevant characteristics):

2. How will participants be **recruited** and from where?

3. Briefly describe your **data collection methods**, drawing particular attention to any potential ethical issues.

**4. Consent**

4a. Will you take all necessary steps to **obtain the voluntary and informed consent** of the prospective participant(s) or, in the case of individual(s) not capable of giving informed consent, the permission of a legally authorised representative in accordance with applicable law? **YES/ NO**

If yes, please go to question 4b. If no, please go to question 4c.

4b. Please explain the procedure you will use for **obtaining consent**?. If applicable, please explain the procedures you intend to use to gain permission on behalf of participants who are unable to give informed consent.

4c. If it will be necessary for participants to take part in the study **without their knowledge and consent at the time**, please explain why (for example covert observations may be necessary in some settings; some experiments require use of deception or partial deception – not telling participants everything about the experiment).

5. Could participation cause **discomfort** (physical and psychological eg distressing, sensitive or embarrassing topics), **inconvenience or danger beyond the risks encountered in normal life**? Please indicate plans to address these potential risks. State the timescales within which participants may withdraw from the study, noting your reasons.

6. How will you protect participants’ **confidentiality and/or anonymity** in data collection (e.g. interviews), data storage, data analysis, presentation of findings and publications?

7. Do you anticipate any ethical constraints relating to **power imbalances or dependent relationships**, either with participants or with or within the research team? If yes, please explain how you intend to address these?

8. What potential **risks may exist for the researcher** and/or research team? Please indicate plans to address such risks (for example, noting the support available to you/the researcher; counselling considerations arising from the sensitive or distressing nature of the research/topic; details of the lone worker plan you or any researchers will follow, in particular when working abroad.

9. Whilst there may not be any significant direct **benefits to participants** as a result of this research, please state here any that may result from participation in the study.

10. Please explain the **rationale for any incentives/payments** (including out-of-pocket expenses) made to participants:

11. What are your plans for the **storage of data** (electronic, digital, paper, etc.)? Please ensure that your plans comply with the General Data Protection Regulation (GDPR) and the (UK) Data Protection Act 2018.

12. Please answer the following question *only* if you have not completed a Data Management Plan for an external funder.

12.a How will you make your data available under open access requirements?

12b. Are there any restrictions on sharing your data for open access purposes?

13. Will **audio or video recording** take place? [ ]  no [ ]  audio [ ]  video

13a. Please confirm that portable devices (laptop, USB drive etc) will be **encrypted** where they are used for identifiable data. If it is not possible to encrypt your portable devices, please comment on the steps you will take to protect the data.

13b. What arrangements have been made for **audio/video data storage**? At what point in the research will tapes/digital recordings/files be destroyed?

13c. If your study includes video recordings, what are the implications for participants’ anonymity? Can anonymity be guaranteed and if so, how? If participants are identifiable on the recordings, how will you explain to them what you will do with the recordings? How will you seek consent from them?

14. What are the plans for dissemination of findings from the research? If you are a student, mention here your thesis. Please also include any impact activities and potential ethical issues these may raise.

15. What particular ethical considerations, not previously noted on this application, do you think there are in the proposed study? Are there any matters about which you wish to seek guidance from the FSTREC?

**Section Five**

***Additional information required by the university insurers***

If the research involves either the nuclear industry or an aircraft or the aircraft industry (other than for transport), please provide details below:

**Section Six**

***Declaration and Signatures***

I understand that as Principal Investigator/researcher/PhD candidate I have overall responsibility for the ethical management of the project and confirm the following:

* I have read the Code of Practice, [Research Ethics at Lancaster: a code of practice](http://www.lancaster.ac.uk/depts/research/documents/New%20ethics%20docs/Ethics-code-of-practice%20Senate.pdf) and I am willing to abide by it in relation to the current proposal.
* I will manage the project in an ethically appropriate manner according to: (a) the subject matter involved and (b) the Code of Practice and Procedures of the University.
* On behalf of the University I accept responsibility for the project in relation to promoting good research practice and the prevention of misconduct (including plagiarism and fabrication or misrepresentation of results).
* On behalf of the University I accept responsibility for the project in relation to the observance of the rules for the exploitation of intellectual property.
* If applicable, I will give all staff and students involved in the project guidance on the good practice and ethical standards expected in the project in accordance with the University Code of Practice. (Online Research Integrity training is available for staff and students [here](https://modules.lancs.ac.uk/course/view.php?id=7687).)
* If applicable, I will take steps to ensure that no students or staff involved in the project will be exposed to inappropriate situations.
* I confirm that I have completed all risk assessments and other Health and Safety requirements as advised by my departmental Safety Officer.

[ ]  Confirmed

**Please note:** If you are not able to confirm the statement above please contact the FST Research Ethics Committee and provide an explanation.

**Student applicants:**

Please tick to confirm that you have discussed this application with your supervisor, and that they agree to the application being submitted for ethical review [ ]

***Students must submit this application from your Lancaster University email address, and copy your supervisor in to the email in which you submit this application***

**All Staff and Research Students must complete this declaration:**

**I confirm that I have sent a copy of this application to my Head of Department** (or their delegated representative) . **Tick here to confirm**  [ ]
**Name of Head of Department** *(or their delegated representative)*

**Applicant electronic signature**: Click here to enter text. Date