**Instructions:** Before completing this application form please read the instructions and questions on the ethics webpage under the heading: **‘What level of review is required for my project?’**

Please also refer to NOTES in this form for guidance.

# SECTION ONE [Must be completed by all applicants]

|  |  |
| --- | --- |
| Project Details | Answer |
| **Name of applicant/researcher** |  |
| **Title of Project:** [Note 1](#N1) |  |
| **Department** |  |
| **Appointment/position held by applicant within FASS or LUMS** |  |
| **ACP ID Number (if applicable)** |  |
| **Funding source (if applicable)** |  |
| **Grant Code (if applicable)** |  |

**NOTE**

[1](#Note1) **Make your title short and descriptive so that people can easily identify the main topic of the research. The title of your project does not need to be the same as the title you propose to use for your publication (e.g. your thesis).**

### Type of study

Involves existing documents/data only or the evaluation of an existing project with no direct

contact with human participants. **Complete sections** [one](#_SECTION_ONE_[Must)**,** [two](#Section2) **and** [four](#_SECTION_FOUR:_Statement) **of this form**

Includes direct involvement by human subjects (including but not limited to interviews,

completing questionnaires, social media and other internet based research).

**Complete sections** [one](#_SECTION_ONE_[Must)**,** [three](#_SECTION_THREE) **and** [four](#_SECTION_FOUR:_Statement) **of this form.**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Contact details 1. Contact information for applicant:  E-mail:  Telephone:       (please give a number on which you can be contacted at short notice)  Lancaster University Address:  2. Names and appointments/position of all members of the research team:   |  |  | | --- | --- | | Name of research team | Appointment/position | |  |  | |  |  | |  |  | |

|  |
| --- |
| PhD StudentsComplete this section if this is a PhD student project 3. **Project supervisor(s) names**: |

# SECTION TWO

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

### 1. Anticipated project dates (month and year) [Note 2](#N2)

**Start date:**       **End date:**

**NOTE**

[2](#Note2) These dates should indicate when you wish to begin your project (taking into account the timescale of the ethical approval process) and when funding ends or your thesis will be submitted.

### 2. Please state the aims and objectives of the project (no more than 150 words, in lay-person’s language) [Note 3](#N3):

**NOTE**

[3](#Note3) This summary should concisely but clearly tell the reviewer (in simple terms and in a way which would be understandable to a general audience) what you are broadly planning to do in your study.

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

### 4. How will any data or records be obtained?

### 5. 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, conducted by another individual or collective, 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?

### 6. What plan is in place for the storage of data (electronic, digital, paper, etc)? [Note 4](#N4)

**Please ensure that your plans comply with the General Data Protection Regulation (GDPR) and the UK Data Protection Act 2018 .**

**NOTE**

[4](#Note4) State clearly where and in what format your data will be stored.

**Timescales:** The standard guidance we provide to people about length of time for retaining data is for a minimum of 10 years. This is not a requirement but a general recommendation. Your study may have a rationale for retaining data longer, but if so, please explain. Where electronic data is to be stored for longer than the recommended period, we recommend storing data on University storage. If data is collected or stored by own devices they need to be encrypted. For data sharing with external partners we recommend using Box.

**Data security:** Data stored on all portable devices (eg laptops) should be encrypted as well as password protected; data stored on the University server does not, however, need to be encrypted. If you are based and work predominantly away from the University, give consideration to how you will store the data securely as you undertake your research, and how it will be securely transferred to the LU campus for longer term storage.

### 7. What are the plans for dissemination of findings from the research? [Note 5](#N5)

**NOTE**

[5](#Note5) Dissemination covers a wide range of activities including (but not limited to) reports, academic submissions (such as theses and journal articles), newspaper articles, etc.

### 8a. Is the secondary data you will be using in the public domain?

### 8b. 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.

### 9. 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?

### 10a. Will you be gathering data from discussion forums, on-line ‘chat-rooms’ and similar online spaces where privacy and anonymity are contention?

### 10b. If yes, your project requires full ethics review. Please complete Sections [1](#_SECTION_ONE_[Must), [3](#_SECTION_THREE) and [4](#_SECTION_FOUR:_Statement).

# 

# SECTION THREE

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

**NOTE:**

In addition to completing this section you must submit all supporting materials such as participant information sheet(s), consent form(s), interview questions, questionnaires, etc. See the [**checklist**](#Checklist) at the end of this form for guidance.

### 1. Summary of research in lay terms, including aims (maximum length 150 words) [Note 6](#N6):

**NOTE**

[6](#Note6) The summary should concisely, but clearly, tell the reviewers what you are planning to do. It is very important that you describe your study in such a way that it is understandable to a general audience. Your study will be reviewed by colleagues from different disciplines who will not be familiar with your specific field of research and it may also be reviewed by the lay members of the FASS-LUMS Research Ethics Committee; therefore avoid jargon and use simple terms.

### 2. Anticipated project dates (month and year only) [Note 7](#N7)

**Start date:**       **End date:**

**NOTE**

[7](#Note7) These dates should indicate when recruitment will begin, (taking into account the timescale of the ethical approval process) and when funding ends or your thesis will be submitted.

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

### 4. Are members of the public involved in a research capacity, for example as data collector (e.g. participatory research) and if so, do you anticipate any ethical issues resulting from this? [Note 8](#N8)

**NOTE**

[8](#Note8) This does not refer to members of the public being interviewed, but to forms of participatory research, where you invite members of the public to collect data.

### 5. How will participants be recruited and from where? [Note 9](#N9)

**NOTE**

[9](#Note9) Please include here (if applicable) information about the following: How will participants be able to find out about the study? Will all volunteering participants be included or may you have to turn some away? If you will use different recruitment procedures for different participant groups, clearly indicate this and outline each set of procedures.

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

### 7. Consent

### 7a. 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?

**If yes**, please go to question [7b](#Point7b).

**If no**, please go to question [7c](#Point7c).

### 7b. Please explain the procedure you will use for obtaining consent? [Note 10](#N10)

Please include sample participant information sheets (PIS) and consent forms in your application. If applicable, please explain the procedures you intend to use to gain permission on behalf of participants who are unable to give informed consent. Please include copies of any relevant documentation.

NOTE

[10](#Note10) Please include sample participant information sheets (PIS) and consent form(s) or verbal consent protocol (where written consent is not possible) in your application. Written consent is preferable but may not always be possible. If you are using the verbal protocol, please explain why this is appropriate and how you plan to record the consent (for example audio-recording, coded table, etc.). A sample participant information sheet and consent form are available [here](http://www.lancaster.ac.uk/arts-and-social-sciences/research/ethics-guidance-and-ethics-review-process/#howtoapply). A sample verbal protocol is available [here](https://www.lancaster.ac.uk/arts-and-social-sciences/research/ethics-guidance-and-ethics-review-process/#howtoapply).

If non-handwritten forms of consent will be used in the study, explain why and what they will be.

If your research includes anonymous surveys for data collection, no consent form will be used because that would compromise anonymity. However, a cover sheet or opening page/section or some type of introduction should clearly inform participants that by completing the survey they are providing consent for the use of the data for research. The cover sheet or introduction may also remind participants of other aspects of what they are agreeing to (but without requiring them to sign or type identifying information such as a name at the end of the information).

If you are using computer-based forms of data collection, describe carefully how consent processes will be addressed.

### 7c. 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).

### 8. What discomfort (physical and psychological eg distressing, sensitive or embarrassing topics), inconvenience or danger could be caused by participation in the project beyond the risks encountered in normal life?

Please indicate plans to address these potential risks.[Note 11](#N11)

State the timescales within which participants may withdraw from the study, noting your reasons. [Note 12](#N12)

**NOTE**

[11](#Note11) Be as thorough as possible in anticipating potential sources of discomfort.

Provide a plan for addressing the discomfort that may arise during the conduct of the research and discomfort that may develop following the conduct of the research, potentially as a consequence of participation in the research. We suggest you include possible sources of support in the Participant Information Sheet. You may also consider providing a debriefing sheet.

[12](#Note12) **Time limits for withdrawing from the study:** please avoid the phrase “participants may withdraw at any time” because withdrawal for most studies is time limited. For example, once you have published your data, withdrawal is clearly not possible in the true sense. You may want to consider a reasonable time period for withdrawal following data collection, depending on the type of study you are doing, for example:

1. If you are collecting interview data and will be conducting simultaneous data collection and analysis, it may be reasonable to give participants a 2 week period following the interview to withdraw their data. [For other studies, longer periods of time may be appropriate.] An example of wording that may be used is “Participants are welcome to withdraw from the study at any time before or during the interview and up to 2 weeks following their interview (or survey completion).”
2. If you are collecting your data via focus groups or group interviews, it is impractical to allow participants to withdraw their contribution once the group has started and recording begun. An example of wording that may be used is “Participants are welcome to withdraw from the study at any time before the focus group begins, but will not be able to withdraw their contribution to the discussion once recording has started.” You should be explicit in this section about your intention to brief participants about this at the start of the focus group (for example during the setting of ground rules).
3. If you use anonymous surveys, you need to clearly indicate to participants that they will NOT be able to withdraw their data/contribution once they have submitted it because it will not be possible to identify it as theirs.

### 9. How will you protect participants’ confidentiality and/or anonymity in data collection (e.g. interviews), data storage, data analysis, presentation of findings and publications? [Note 13](#N13)

**NOTE**

[13](#Note13) In the context of research confidentiality means that you will only disclose information that participants share with you in the forms agreed by them in the consent form. In most case, this includes offering anonymity, i.e. using pseudonyms and ensuring that individual participants cannot be identified in your dissertation/publications/presentations.

If, as part of your study, you will take photographs of participants or if you will film participants, please explain what you intend to do with these images. You may only use these images to help you with your data analysis. In that case, you will not show these images to other people nor will you use them in publications/your thesis. Or, you may want to use images of participants in your publications and presentations. In that case, you need to ask participants to consent to your use of these images. These images make them identifiable, unless you pixelate/blurr faces. Whatever you intend to do with images of participants, make sure to explain this on the application form and also in the information sheet and consent form.

In some studies, it is possible that in the course of the research information arises that gives the researcher cause for concern and that may require her/him to breach confidentiality. For example, if in an interview a participant discloses information that indicates that they or others may be at risk of harm, the researcher may need to share this information with others. In your PIS, when eliciting consent, explain the limits to confidentiality. This is in particular important when working with vulnerable individuals or groups.

### 10. 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? [Note 14](#N14)

**NOTE**

[14](#Note14) For example, if you are a teacher/former teacher conducting research in the school/language school you used to or are still working in, what are the implications for research participants? Explain clearly that their participation or decision not to take part does not affect their studies or any assessments.

### **11. 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. [Note 15](#N15)

**NOTE**

[15](#Note15) The University’s guidance on Lone Working can help you with this, see here: <http://www.lancaster.ac.uk/depts/safety/files/loneworking.pdf>

### 12. 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.

### 13. Please explain the rationale for any incentives/payments (including out-of-pocket expenses) made to participants. [Note 16](#N16)

**NOTE**

[16](#Note16) If you are intending to use incentives/payments, keep in mind that they should be modest so as not to suggest coercion of the participants. If you are reimbursing for travel, please indicate the financial limit of the reimbursement.

### 14. What are your plans for the storage of data (electronic, digital, paper, etc.)? [Note 17](#N17)

**Please ensure that your plans comply with the General Data Protection Regulation (GDPR) and the UK Data Protection Act 2018 .**

**NOTE**

[17](#Note17) Data storage: non-audio and non-video data. State clearly where and what format your data will be stored.

**Timescales:** The standard guidance we provide to people about length of time for retaining data is 10 years (minimum). This is not a requirement but a general recommendation. Your study may have a rationale for retaining data longer and for various intended purposes, but if so, please explain. For example, some data may be specifically collected with intent to be added to a formal databank (quantitative or qualitative), or there may be plans for secondary data analysis that is anticipated from early in the design of the project. Where electronic data is to be stored for longer than the recommended period, it should only be kept on Lancaster University servers, and not on portable or home devices.

**Data Stewardship:** Please state who will have guardianship of the stored data (and if you are a student, who will be responsible for storing/deleting your data once you have completed your course). Please also include information on who will see the data (e.g. supervisors; research team members; transcribers)

**Location:** If your data is stored centrally or will be accessible to others, you should note in your application who will have access to the data.

**Data security:** Data stored on all portable devices (eg laptops) should be encrypted as well as password protected; data stored on the University server does not, however, need to be encrypted.

If you are based and work predominantly away from the University, give consideration to how you will store the data securely as you undertake your research, and how it will be securely transferred to the LU campus for long term storage.

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

### 15a.Do you intend to deposit your (anonymised) data in a data archive? [Note18](#N18) Yes No

**NOTE**

[18](#Note18) Most funders require researchers to preserve and share their data via a data archive. Lancaster University’s Research Data Management Policy also suggests that all researchers, PhD students included, should store and archive their data in ways appropriate to the specific study and type of data. Please note that if you store data in a data archive where other researchers, upon request, can have access to this data, this needs to be explained on participant information sheets & consent forms.

There are different ways of storing and sharing data, but you are likely to follow one of these two options:

**Example 1**: Data will be deposited in Lancaster University’s institutional data repository and made freely available with an appropriate data license. Lancaster University uses Pure as the data repository which will hold, manage, preserve and provide access to datasets produced by Lancaster University research.

**Example 2**: Data will be offered to the UK Data Archive (as per the standard ESRC procedures) or another similar data archive.

For further guidance on data archiving, please see here: [Library Deposit your research data](http://www.lancaster.ac.uk/library/rdm/deposit-your-data/)

15b. If you have responded ‘**no**’ to question 15a, please explain briefly why you cannot share your

data via a data archive or repository. [Note 19](#N19)

**NOTE**

[19](#Note19) You may have reasons for not making your data widely available. For example, due to the small sample size, even after full anonymization, there may be a small risk that participants can be identified. It may also be the case that due to the (commercially, politically, ethically) sensitive nature of the research, no participants consented to their data being shared.

You can find more information about ethical constraints on sharing data on this site:

[Library data access statements](http://www.lancaster.ac.uk/library/rdm/what-is-rdm/preserve-and-share/data-access-statements/)

### 16. Will audio or video recording take place?

### no audio video

### 16a. Will portable devices (laptop, USB drive, audio- and video- recorders, etc) be encrypted (in particular where they are used for identifiable data)?

yes  no

### 16b If it is not possible to encrypt your portable devices, please comment here on the steps you will take to protect the data. [Note 20](#N20)

**NOTE**

[20](#Note20) Transporting audio/video data: you should state that if you store any identifiable data (audio recordings, participant contact details etc) on portable devices such as a memory stick or laptop you will use encryption. Password protection alone is not sufficient for identifiable data. Information on encryption is available from ISS <http://www.lancs.ac.uk/iss/security/encryptionoptions/> and their service desk is also able to assist.

If your portable device cannot be encrypted, you must confirm that any identifiable data (including recordings of participants’ voices) will be deleted from the recorder as quickly as possible (eg when they have been transferred to a secure medium, such as a password protected & encrypted PC) and state that the device will be stored securely in the meantime.

### 16c What arrangements have been made for audio/video data storage?

### At what point in the research will tapes/digital recordings/files be destroyed? [Note 21](#N21)

**NOTE**

[21](#Note21) **Storage.** Audio and video data is considered more sensitive than most written data because of its capacity to threaten confidentiality more directly. There are, however, no fixed deadlines, and recordings such as oral histories may be kept in perpetuity.

**With audio data** that does not need to be kept for the long term, it is common to erase/destroy the recording once it has been transcribed and checked. However, we suggest that you retain the recordings until your work has been examined and/or published, in case you need to check the original recordings for any reason.

**For video,** it may depend on the types of analyses proposed for the study. There may be good reason to keep the data longer, but the key in completing this section of the application form is to be explicit about timescales for storage, and the reasons for your timescale should be clearly indicated and explained.

### 16d. 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?

### 17. What are the plans for dissemination of findings from the research? If you are a student, include here your thesis. [Note 22](#N22)

Please also include any impact activities and potential ethical issues these may raise.

**NOTE**

[22](#Note22) Dissemination covers a wide range of activities including (but not limited to) reports, academic submissions (such as theses and journal articles), study summaries, and publications:

**-** If you are a student, be sure to include your academic paper (such as dissertation or thesis) as a form of dissemination.

**-** Phrasing regarding publication should reflect that you may pursue submission for publication, but you cannot guarantee that the dissemination will include publication. For example, you may write “Results of the research may be submitted for publication in an academic/professional journal.”

### 18. What particular ethical considerations, not previously noted on this application, do you think there are in the proposed study? [Note 23](#N23)

Are there any matters about which you wish to seek guidance from the FASS-LUMS REC?

**NOTE**

[23](#Note24) It is rare that studies have no ethical considerations at all. Try to be thorough and thoughtful when considering this question. You should not try to invent issues, and at the same time, do not assume that by noting a problem you are hurting your application. This section provides an opportunity for you to demonstrate to the committee that you have a substantial and clear understanding of the potential ethical issues, and that you have given thought to how to address them (even if they may not be able to be addressed perfectly).

# 

**SECTION FOUR** [Must be completed by all applicants]

# Statement and Signatures

## By submitting and signing this form, I confirm that

• 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 institution 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 institution 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](https://modules.lancaster.ac.uk/enrol/index.php?id=7687) is available for staff and students)

• 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:** **please tick this box to confirm**

Please note: If you are not able to confirm the statements above please contact the FASS-LUMS research ethics committee and provide an explanation.

### **Applicant electronic signature:** [Note 24](#N24)       Date:

**NOTE**[24](#Note24) If you are a student, make sure that you have discussed the project and the application with your supervisor. Build in enough time in your preparation schedule for your supervisor to properly review your application and give their comments before submitting it for ethical review.

**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

**Project Supervisor name:**       **Date application discussed**

Students must submit this application from their Lancaster University email address, and copy their supervisor in to the email with this application attached

**All applicants (Staff and 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)*

**In addition to completing this form you must submit all supporting materials. For examples of supporting documents see the checklist below.** [Note25](#N25)

**Checklist**

Advertising materials (posters, emails)

Letters/emails of invitation to participate

Participant information sheets

Consent forms

Questionnaires, surveys, demographic sheets

Interview question guides/interview schedules

Focus group scripts

Confidentiality agreement (if using an external transcriber)

Debriefing sheets, resource lists

**NOTE**[**25**](#Note25)

If you experience formatting issues in your supporting documents after you have copied and pasted them here, at the end of this application form you may find the following guidance useful:

1. On your keyboard select F1 (**or** click on the Microsoft Word help button at the top right of this document)

2. Enter this text in the search field: ‘keep source formatting’ then select ‘Control the formatting when you paste text’ and follow the guidance in the ‘help window’.