



PROCEDURE FOR SEEKING RESEARCH ETHICS APPROVAL

The procedure for applying for ethical approval depends on your status as a student (taught or research) or staff member *and* the nature of the research project you are proposing. In all cases, the Research Ethics Clearance Form must be completed for research or related (e.g. evaluation) projects involving data collection from human participants, and/or if the subject matter is sensitive. Subjects may be deemed sensitive if they impose any potential risk (psychological or physical or otherwise) to either participants or researchers.

In all cases, projects cannot proceed until ethical clearance has been granted. The process by which clearance is granted may occur at either a local or institutional level.

1. Local level approval: Undergraduate, PGCE and Masters (taught) students

- 1.1. All taught students, with the exception of EdD students in their taught phase, must complete the 'Research Ethics Clearance form' which must be reviewed at a local (subject) level and signed by your designated tutor. Ordinarily a second member of staff with appropriate, relevant expertise should act as a second reviewer. If a tutor has ethical concerns, they will provide feedback and may apply conditions. They may request that a change of project topic is considered and/or may refer the form to the Research Ethics Sub-Committee for consideration.
- 1.2. Researchers cannot recruit participants or commence data collection with human participants until the research ethics clearance form has been signed and approval has been confirmed.
- 1.3. Where a particularly sensitive topic is being proposed, taught students must demonstrate a detailed understanding of the topic and its ethical implications, as well as a competency to undertake the project in question, within the Research Ethics Clearance Form. The application will be submitted to the Research Ethics Sub-Committee for consideration and review, as outlined in 2 below.
- 1.4. Subject groups may coordinate local level review and approval processes that best suit their group's needs.
- 1.5. It is recommended that at least two experienced staff reviewers consider each ethics application, normally independently.
- 1.6. Outcomes need to be recorded and submitted annually for audit, as advised by the Chair of the Research Ethics Sub-Committee / Research Centre administrative colleagues.

2. Institutional level approval: Research (Doctoral) students and all staff

- 2.1. All Doctoral students, including EdD students in their research phase, and all staff must complete the same 'Research Ethics Clearance Form', along with all necessary supporting documentation as outlined in the form, and submit these to the Research Centre. All applications will be submitted to peer review by either two members of the Research



Ethics Sub-Committee (in most cases) or the full Sub-Committee (if further consideration or discussion is required).

- 2.2. Doctoral students should ask their supervisor to provide a statement of support. This is **not** authorisation to proceed with the study, but is required before institutional review can commence.
- 2.3. Minor modifications to existing projects can be submitted for review and consideration by editing and tracking changes to the previously-approved application documents. Approvals may be granted via Chair's Action if the amendments are minor, otherwise institutional level review will occur, as per 2.1.
- 2.4 Outcomes and review progress will be recorded and audited within the Research Centre.
- 2.5 For EdD students in the taught phase, a streamlined process is outlined in this document, whereby the Programme Leader for Doctoral EdD/PhD will coordinate and administer the ethics approval process. The Research Ethics Clearance Form needs to be completed and submitted, as outlined in the process, along with endorsement from one supervisor. A second supervisor will provide a formal review, along with the Programme Leader for Doctoral Programmes, except in cases of potential conflict of interest, in which case the Research Ethics Lead or their nominee will act as signatory.

3. Scheme level approval

3.1 If a whole cohort of students are undertaking an assessment which requires blanket ethical approval, a member of staff can seek to obtain ethical approval on their behalf at institutional level (see section 2) under the "scheme of activity" option within the application process.

Indicative research ethics review documents.

Please note that the current versions of the documents should be accessed for use from the Policies and Procedures website (<https://www.lincolnbishop.ac.uk/about/policies-and-procedures>). They will also be accessible, along with training and supportive resources, on the Research Ethics BlackBoard course site.

Students, please consult your module tutors for guidance on accessing and completing the correct version of the form for your programme.

Research Ethics Clearance Form

For all student and staff research projects

Note: You must wait until you have received confirmation that you have received ethical approval in writing BEFORE commencing any data collection.

All research projects require ethical approval and need to abide by Lincoln Bishop University's current Research Ethics Policy.

It is anticipated that all **Undergraduate and Masters** level projects can be reviewed at **local level**, requiring an internal process of review and supervisory sign-off. Consult your module specific guidance for more information.

For more **sensitive projects** and all **doctoral student and staff** projects they must be reviewed at institutional level. Please complete this form and email to the Research Centre (Jessica.alvey@lincolnbishop.ac.uk) to initiate this process.

Please note that projects are deemed sensitive if issues are outlined within section 3.1 or 3.2.

If you require support with designing your project or completing the form, please consider discussing your project requirements with at least one of the following key contacts:

For students: Your supervisor OR module leader (please consult your module specific guidance).

For staff: Your specific subject ethics representative; or one of your subject-based Research Ethics Sub-Committee representatives (a full list of contacts can be found here: <https://www.lincolnbishop.ac.uk/student/research/research-ethics-and-integrity>).

You may also wish to discuss your project with colleagues within your Research and Knowledge Exchange Unit, if applicable.

Please address every question within the form. If required, please indicate the details of the anticipated ethical issue, including how you plan to address it within your project.

Please note that check boxes can be completed by double-clicking on the boxes, then changing the "default value" to **ticked**.

If you have queries about the research ethics review process, please contact the Research Administrative Assistants: Jessica.alvey@lincolnbishop.ac.uk or Ellie.foster@lincolnbishop.ac.uk.

Please consult the Research Ethics site on BlackBoard, available to all staff and students, for additional support documents and videos.

You may also wish to see: <https://www.lincolnbishop.ac.uk/student/research/research-ethics-and-integrity>.



Part I – General Information

1.1	Name of main applicant(s)
1.2	Student ID number (if applicable)
Name(s) of additional investigators and collaborators, including affiliation. <i>Students, please include name(s) of supervisors. Supervisors must endorse this application prior to submission in section 6.1.</i> <i>Please list the corresponding applicant as the first main applicant, where relevant.</i> <i>Please note that if you are collaborating on a project, but not leading on it, ethical approval may be sought from the lead institution/organisation. Final versions of approved documents will need to be sent to the Research Office for auditing. Please speak to an Ethics Representative for guidance with this process. For a full list of ethics representatives and contacts, please see: https://www.lincolnbishop.ac.uk/student/research/research-ethics-and-integrity</i>	
1.3	Degree or qualification for which this research is being conducted <u>and/or</u> staff position at Lincoln Bishop University
1.4	Is ethical approval being sought from another institution or organisation?
YES <input type="checkbox"/> NO <input type="checkbox"/>	
1.5	Names of any additional partners, organisations and/or collaborators you will be working with (e.g. a school, a museum). If none, please state, "None". <i>Formal agreements should normally be in place before research commences, where research is conducted in partnership with individuals or organisations outside of the University and agreement needs to be documented regarding topics such as:</i> <ul style="list-style-type: none">• publication and authorship;• ownership of intellectual property; - link to policy <i>International collaborations</i> <ul style="list-style-type: none">• the responsibilities of researchers;• financial liabilities;• indemnity;• data ownership; and• procedures for the resolution of issues and the investigation of allegations of misconduct.



1.6 Please list any specific additional policies, guidance notes, professional body requirements or additional ethical documents that need to be adhered to. Where relevant, please provide details of relevant ethical, legal, and professional considerations.

If external/alternative ethical approval is required, for instance NHS approval via IRAS, or approval from a leading or collaborating institution, we recommend that you complete external documents and await approval, and then submit those same documents to Lincoln Bishop University. An additional Lincoln Bishop University application is not required unless it has been specifically requested.

1.7 Period during which research will be conducted (start and end date) OR (for continuous schemes involving data collection) date for next review.

The start date must allow sufficient time to submit and receive full ethics approval. We recommend at least 4 weeks between submission and the start date.

1.8 Please indicate that you have read and will abide by Lincoln Bishop University's Research Ethics Policy

Yes, I have read and will abide by Lincoln Bishop University's Research Ethics Policy

1.9 Do you have any conflicts of interest to declare?

YES NO

If yes, please outline the details below:

Part II – Project Overview

2.1 Please state the title of your research study.

2.2 Please write a short summary of the aims and objectives of your research, with references to appropriate literature in your field (max 250 words).



2.3 Do you intend to collect data from participants?

If yes, please ensure you read the guidance document concerning data usage: https://dmponline.dcc.ac.uk/template_export/1638514350.pdf. Please also remember that Knowledge Exchange projects often involve data collection.

YES NO

2.4 Do you plan to access data from archives?

YES NO

2.5 Do you plan to use open data, and/or make your own data openly accessible?

If yes, please consult the LORIC ethics guidance document for helpful information, please see <https://www.lincolnbishop.ac.uk/student/research/research-ethics-and-integrity> or the Research Ethics BlackBoard site for the current documentation. Open Data are available in a form that everyone can access, modify, use, reproduce and combine with other information. It is therefore free from restrictions on use. Open Data are not necessarily free. For further information please see: <https://loric.lincolnbishop.ac.uk/>.

YES NO

2.6 Is this research [to be] funded?

If you are applying for external funding, please be aware that most funders require a completed data management plan, outlining how data will be stored and used. Guidance will be provided by your funding body, but a list of some templates from major UK funding bodies can be found here: <http://www.dcc.ac.uk/resources/data-management-plans/faq-data-management-plans> Many issues overlap with those provided in the DCC guidance document, so we recommend you read the DCC document first.

YES NO

If yes, please provide details:

2.7 What kind of project are you seeking ethical approval for? (please check box)

Most projects will be single studies. Some projects may involve more than one phase of data collection, such as focus groups and then questionnaires. In this case, please select "A programme of research". If you are applying for external funding and wish to demonstrate institutional support in principle for your project, please select "Outline approval in principle". Similarly, this could also reflect a programme of research, in which you cannot yet provide all supporting materials, such as where specific materials will be developed from a preceding phase of the project. In these cases, you may be granted approval, pending the submission and review of all participant-facing documentation in due course. If you are a member of staff applying for approval for a teaching activity involving data collection, an on-going programme of work involving collecting data, or if you are working with data in a non-conventional way, such as collecting and sharing views on a website, please select "approval for a scheme or other activity".

Single Study	<input type="checkbox"/>	Outline approval in principle	<input type="checkbox"/>
A programme of research	<input type="checkbox"/>	Approval for a scheme or other activity	<input type="checkbox"/>



2.8 Please provide details of the structure of the project, such as a timeline or flowchart.
Methodological details will be requested in 2.10.

2.9 Will you be using a survey?

If yes, please note that online surveys should only be run through University approved processes (as these are GDPR compliant) and operated on/through Lincoln Bishop University systems/equipment which include: Online Survey; BlackBoard surveys; Office 365 software as per Lincoln Bishop University's Microsoft subscription (i.e., via university login, not an individual's own Microsoft licence).

YES NO

If Yes, please indicate which [approved] platform you will be using for this:

2.10 Please outline your method with reference to your design (e.g. quantitative, qualitative, mixed methods) and your proposed tools (e.g. questionnaires, interviews, experimental trials). You may wish to structure this section using the following section headings: Participants; Design; Materials/Measures; Procedure; Analyses. Please be detailed and clear, using non-technical language where appropriate.

*It is helpful in this section to state in simple terms what you plan to do as part of this project, so reviewers can ascertain exactly how participants are involved, if at all.
Please include full details of the number and types of participants involved at each stage.*

2.11 In order to ensure the integrity of the research project, have you reflected on your researcher competency?

YES NO

Please provide a brief statement of your researcher competency and indicate here if you have any specific research support needs for your project that your supervisor/collaborators need to put in place, for the project to be feasible.

This may include, for example, demonstrating that you have already learned about your topic or analytic method in a particular module, or that you have discussed these with your supervisor, and you are prepared to develop the relevant skills independently.



For support needs, please note that this is not a request for support, but rather a consideration of the feasibility of the study being conducted. This relates largely to research training and equipment.

2.12 Have you already sought support for or review of the development of your methods and analytic approach?

YES NO

Would you like for this to be considered as part of the ethics review process?

YES NO

2.13 Where will the study take place? Please select as many as are appropriate

- On campus
- Online
- Off campus
- In schools
- In participants' homes

Please provide further details regarding the settings you plan to work in, where relevant.

In addition to considering access issues to your relevant settings, please consider whether you will be lone working, and whether you have appropriate support mechanisms in place.

2.14 If you need to travel beyond your usual place of work/study to conduct your research, will there be particular risks associated either with this travel, or the location?

YES NO

If yes, please provide details below, including how to plan to minimise any risk.

2.15 Will you be using the internet to collect your data, recruit participants or at any other point in the research project?

If yes, please consult relevant guidelines from your associated subject area concerning this, for instance <https://www.bps.org.uk/news-and-policy/ethics-guidelines-internet-mediated-research-2017>)



Please bear in mind that, in order to comply with GDPR, data cannot be stored outside the EU. If you have concerns or questions about this, please contact informationcompliance@lincolnbishop.ac.uk. You may need to consider an alternative method of data collection or storage.

YES NO

Please provide details of how you will be using the internet in this project.

2.16 Please describe your target sample (e.g. size, gender, age, occupation) and whether or not participation will be individual or in groups.

2.17 Are any of your participants in vulnerable groups (e.g. children, individuals with learning difficulties or mental illness)?

YES NO

If yes, please provide further details below, stating the nature of the vulnerability, including how you plan to work sensitively, supportively, and ethically with your participants.

2.18 How will you recruit and approach your intended participants? E.g. in writing, by phone, in person.

Please include here, or in appendices, intended recruitment advertisements or letters, if relevant.

2.19 Will there be any impact or evaluation activities for the project?

YES NO

If yes, please provide details below.



2.20 Please describe how participants will be debriefed, as relevant. Please include a Debrief Sheet within your appended documents, if required.

2.21 Will you be using AI (artificial intelligence) in this project? If so, please describe what and what for. If not, please state, "none".

Part III – General ethical considerations

Please note – all studies with human participants have the potential to create a level of risk. You are fully responsible for their protection, as well of that of the research team (including yourself). Please try to anticipate the context and perspective of your participants when completing this section as well as a duty of care to yourself as a researcher.

3.1 Do you anticipate any risks of the following nature to participants?

- Physical
- Psychological
- Emotional
- Socio-cultural

If you have ticked any of the above, please provide details, including how you intend to minimise any anticipated risk(s).

Please ensure that you include, if relevant, contact details for relevant support services in the Participant Information Sheet and/or the Debrief.

3.2 Will your research explore topics that may be deemed contentious or sensitive, and/or are linked to illegality?

YES NO

If yes please provide details, including how you intend to minimise any anticipated risk.



3.3 Will you need to address any considerations of cultural difference during your project?

YES NO

If yes please provide details, including how you intend to minimise any anticipated risk. Please also include any relevant details should you be working internationally.

3.4 Do you anticipate any risks to yourself, or another member of the research team?

YES NO

If yes please provide details, including how you intend to minimise any anticipated risk.

3.5 Will you encounter foreseeable risks to your or others' physical safety as a result of undertaking the research?

YES NO

If yes please provide details, including how you intend to minimise any anticipated risk.

3.6 Might you encounter risks to your or others' emotional safety (e.g. working with documents of a sensitive or distressing nature, or participants who may become distressed)?

YES NO

If yes please provide details, including how you intend to minimise any anticipated risk.

3.7 Are there any further anticipated ethical issues associated with this research project? If so, please state how will they be addressed.



YES NO

3.8 Where relevant, please indicate how participants might benefit from taking part in this research, to demonstrate the rationale for your project. As a general rule, the project should aim to be beneficial to someone.

3.9 Does your study require that participants are naïve? (i.e. Some information is to be withheld about exact aims of the research). If yes, please explain why and give details of debriefing procedures. Please provide full information if any deception is to be anticipated.

YES NO

If yes, please provide further details.

3.10 It is expected that all studies involving human participants will include a thorough Participant Information Sheet. Please provide details of the way(s) in which these will be shared with participants. Otherwise, please explain why no information sheet is required.

3.11 Is written consent to be obtained?

If yes, please complete a Consent Form and attach to this documentation. A template Consent Form is available and should be edited to reflect the specific project requirements, as appropriate.

Please note that when gaining consent for online studies, all consent questions must be completed before any other aspect of the study can continue. All consent items must be compulsory to complete however no other aspects of the survey/study should be compulsory, in order to uphold participants' right to withdraw.

YES NO

Please indicate below how consent will be obtained.

If relevant, please demonstrate how consent will be obtained for both study participation and data collection, and for each phase of the project.

If no, please state why.



Part IV – Data collection, storage, and retention

Before completing this section, we recommend that you consider a data management plan. Please see <http://www.dcc.ac.uk/sites/default/files/documents/resource/DMP/DMP-checklist-flyer.pdf> for a brief overview of relevant considerations, and for a more comprehensive set of questions to consider, along with some useful guidance tools please see here:

[http://www.dcc.ac.uk/sites/default/files/documents/resource/DMP/DMP Checklist 2013.pdf](http://www.dcc.ac.uk/sites/default/files/documents/resource/DMP/DMP%20Checklist%202013.pdf)

If you are unsure whether your data collection involves any non-research data processing, feel free to contact informationcompliance@lincolnbishop.ac.uk for guidance.

4.1 Do you plan to collect any data that could identify the participant at any point?

YES NO

If yes, please provide full details, including (where relevant) when and how you will digitise data, when and how you will anonymise the data, and how you will work sensitively with the data.

Materials including data should have the participants’ real names and identifying features removed, unless that is unavoidable.

If data could identify the participant, you will need to explain how data will be stored securely, and anonymised ASAP where possible. Sensitive or identifiable data needs to be considered carefully, in line with the Lincoln Bishop University Research Ethics Policy and GDPR.

Please be aware that in some cases, we will need you to complete a Data Protection Impact Assessment (DPIA) to ensure that data will be processed in line with GDPR and Lincoln Bishop University requirements.

4.2 In line with General Data Protection regulations, please give details of steps you will take to ensure the security of any data you collect, including when you plan to delete or publish data (if relevant).

Data should be stored securely and not be accessible to or interpretable by individuals outside of the project. If you need to share the data, please state who with, and how this will be achieved.

All data stored on individual electronic devices must be password protected and encrypted. Passwords should be strong. Paper copies must be stored securely (e.g. in locked facilities). Security of personal devices must be considered.

Data should be deleted at a stated point in time following publication or completion of examinable work which allows time for any reviewer / marker to recall the data for interrogation / verification. Some funders will stipulate times in their criteria.



4.3 Where and how do you intend to store any data collected from this research? Please identify electronic and paper forms of storage. Data should be stored securely and not be accessible to or interpretable by individuals outside of the project. If you need to share the data, please state who with, and how this will be achieved.

We recommend that all data are anonymized and digitized as soon as possible.

In line with the Lincoln Bishop University IT User Policy, we strongly recommend that all data are stored on staff/student OneDrive accounts. These will be deleted following graduation/ceasing employment with Lincoln Bishop University.

4.4 What steps will you take to safeguard the confidentiality of personal records? Please consider, where relevant, how you may safeguard participants' data or participation in your study.

You may need to consider the potential for disclosures within the process of conducting your research, and the need to breach confidentiality. If this occurs, you must give clear information about this potential occurrence within the Participant Information Sheet.

4.5 Will this research require the use of any of the following, subject to participants' consent?

Video recordings

YES NO

Audio recordings

YES NO

Observation of participants

YES NO

Photographs

YES NO

If yes to any of the above, please provide details of how you will safeguard the data and ensure anonymity. Please also state when data will be deleted.

4.6 Have you identified and communicated the legal basis for processing data?



Please note that, in virtually all cases, you should state the following to your participants: *“This research is being conducted in the public interest”*.

YES NO

Part V – Wider use and implications of your research

5.1 Will your project involve working with any partners (individuals or organisations), other than those listed in 1.2?

YES NO

If yes, please provide details, including whether you have approached these partners already, and whether they have indicated a willingness to collaborate with you.

Please also comment on whether any of these partners will have access to the data.

5.2 Will you need a DBS check in order to undertake any aspect of this research?

YES NO

If yes, please provide evidence of this.

5.3 Please outline the plans for publication of your findings, if relevant.

If yes, please provide details.

5.4 Do you anticipate any issues that may challenge institutional integrity?

YES NO

If yes, please provide details.

Part VI – Checklist

For **all student** (undergraduate, PGCE programme, Masters and doctoral level) applicants: A supervisor needs to endorse this prior to submission, in accordance with your module processes for review.

FOR COMPLETION BY SUPERVISOR(S)
6.1 Do you endorse this application for review?
YES <input type="checkbox"/> NO <input type="checkbox"/>
Supervisors, please add your name(s) for transparency, and feel free to add further comments here if relevant:

Please ensure that you have attached and completed the following as applications will not be processed if any documents are missing. All sections, especially participant facing materials must be carefully proof-read.

6.2		
Document or relevant section	Included	n/a
Consent form	<input type="checkbox"/>	<input type="checkbox"/>
DBS check (if required)	<input type="checkbox"/>	<input type="checkbox"/>
Participant information sheet(s)	<input type="checkbox"/>	<input type="checkbox"/>
Recruitment advertisements/details	<input type="checkbox"/>	<input type="checkbox"/>
Indicative measures e.g. questionnaires, interview schedule, focus group prompts, experimental stimuli.	<input type="checkbox"/>	<input type="checkbox"/>
Debrief statement	<input type="checkbox"/>	<input type="checkbox"/>

UG, PGCE and MA students: please submit as per your module instructions for local level review.

Staff and Doctoral students: please submit to the Research Administrative Assistant, Jessica Alvey Jessica.alvey@lincolnbishop.ac.uk for forwarding to members of the Research Ethics Committee for review.



**Lincoln Bishop
University**



For Staff and Doctoral Student Applications Only

Outcome of the Research Ethics Committee

Please indicate which of these options is to be followed by placing a tick in the appropriate box(es), following review of the application by members of the committee.

Ethical approval granted	<input type="checkbox"/>
Grant ethical clearance in principle, pending submission of final approved documents or other outlined conditions	<input type="checkbox"/>
Ethical approval <u>not</u> granted	<input type="checkbox"/>

Research Ethics Committee Chair (or nominee) signature:

Date:



RESEARCH INFORMATION SHEET FOR POTENTIAL PARTICIPANTS

Please delete guidance notes and other text in blue before submitting your form

Title of the research project:

What is the project about? *(use non-specialist language which is appropriate for your audience)*

Who is the researcher?

Name:

Institution: *(with address)*

Contact details *(including Lincoln Bishop University e-mail):*

Supervisor's contact details *(including Lincoln Bishop University e-mail) (delete when not appropriate)*

What will my participation in the research involve? *(What kinds of activities are involved? How long will this take? Where will it take place?)*

Will there be any benefits in taking part?

Will there be any risks in taking part?

What happens if I decide I don't want to take part during the actual research study, or decide I don't want the information I've given to be used? *If you are approaching your students to take part you need to ensure they do not feel obliged to participate, or that if they don't, there will be no repercussions. If a participant decided to withdraw, how can they do this?*

What will you do with my data? *(How will you try to make my contribution is anonymous?)*

Please note that your confidentiality and anonymity cannot be assured if, during the research, it comes to light you are involved in illegal or harmful behaviours which I may disclose to the appropriate authorities.

In case of any need to raise queries or concerns about this research project, you are welcome to use these independent contact's details:

e.g. Module leader name and email (if not your supervisor)

OR Prof. Caroline Horton, Chair of Bishop Grosseteste University's Research Ethics Committee,
caroline.horton@lincolnbishop.ac.uk.

This research is being conducted in the public interest.

Lincoln Bishop University is a Company Limited by Guarantee; Company Number 11963500.

Research consent form

Title of research project:

Name of researcher:

By signing below:

1. I confirm that I have read and understood the information sheet for the above research project and have had the opportunity to ask questions.
2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.
3. I consent for my data to be stored and used as outlined in the information sheet, including publication and other forms of dissemination as appropriate.
4. I consent for my anonymised data to be added to a wider dataset and shared publicly as a research resource.
5. I agree to take part in this research project.

For parents only (*delete where not appropriate to include*):

6. I consent to my child(ren) being approached to see if they wish to take part

Name of participant/parent:

Signature:

Date:

Name of researcher:

Signature:

Date:

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Appendix: Research Ethics Application Process for EdD Programme Taught Phase

