<http://www.cumbria.ac.uk/>

**Research Ethics Application for University Staff and Postgraduate Researchers (PGRs):**

**Studies Involving Human Participants**

Completion of the sections below should be informed wherever relevant by parallel completion of a University of Cumbria (UoC) [General Data Protection Regulation Consent Checklist](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/GDPRConsentChecklist-%289%29-%281%29.docx), Risk Assessment and a Data Impact [Screening](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/DPIA-Screening-Questions.docx) and [Impact Assessment](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/DPIA_Template.docx). While any such supporting documents should be stored for the lifetime of the project, they do not need to be submitted to the [Research Ethics Panel](https://www.cumbria.ac.uk/research/research-ethics-and-integrity/) (REP) along with your ethics application.

Please note that, it is the responsibility of all applicants to be conversant with the UoC [Research Ethics Policy](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/Research_Ethics_Policy.pdf). Moreover, and as per this policy:

* It is the responsibility of all researchers to be conversant with any guidelines, laws or treaties that may further govern the design/conduct of human research in their chosen domain. These could include the [Human Rights Act](https://www.legislation.gov.uk/ukpga/1998/42/contents), the [Mental Capacity Act 2005](https://www.legislation.gov.uk/ukpga/2005/9/contents), the [Children Act 1989](https://www.legislation.gov.uk/ukpga/1989/41/contents), the [UK Trusted Research Agenda](https://www.npsa.gov.uk/trusted-research), and the [National Security and Investment Act](https://www.legislation.gov.uk/ukpga/2021/25/contents).
* Any misrepresentation in an ethics application - by falsification or omission - will be considered [research misconduct](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC_Code-of-Practice-for-Researchers_Final.pdf), which will be investigated in all cases.
* If your project has already received ethics approval from another HEI or similarly reputable body, there is no need to complete these forms in the first instance. You should instead complete [this short survey](https://forms.office.com/Pages/DesignPageV2.aspx?subpage=design&id=HdsntliZ0U-OpIrDsnzwD9dtET1MYMBMpjIoG6-OzElUNFg0OFowQ1RHMlRXTkdBU1FGQk1XVlFDQS4u&analysis=false) to register the project with the UoC Research and Knowledge Exchange (RKE). If this renders relevant any further questions about your research, you will be contacted directly by the REP.

It is considered good practice to draft your [participant information](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC-Participant-Information-Sheet---Good-Practice-Template.docx), [consent questions](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC-Consent-Form---Good-Practice-Template.docx) and [participant debrief](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC-Debrief-Sheet---Good-Practice-Template.docx) before beginning your main application. These can help focus your approach to the main application. Guidance notes on completion of this document are available in a separate file.

Before submitting these forms by email to the UoC Research Office, please ensure that there are no contradictions between sections, or between the application form and any appended participant-facing documentation. The presence of any such contradictory evidence will result in the forms being returned by the (REP) without review.

If you have any queries relating to this document or the UoC research review ethics process in general, please contact the Chair of the REP via the Research Office.

##### ****Project Details****

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| **1.** Full Title of Project:  |  |
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| **2.** Name of Applicant: |  |
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| **3.** Email address: |  |
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| **4.** Please specify below the role of the applicant by checking the relevant box and providing the requested additional details. |
| [ ]  UoC Staff - please specify job title(s): |  |
| [ ]  UoC PGR - please specify degree (e.g. PhD, DBA, MRes). |  |
| [ ]  Other - please describe: |  |
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| **5.** Institute/Service of Applicant:  |  |
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| **6.** Is the named applicant the Principal Investigator (i.e. research lead) for the proposed project? For PGR projects, the Primary Supervisor should be named below.[ ]  Yes[ ]  No – please provide below the name, role, institute/service, institution (if not UoC) and email address of the Principal Investigator / Primary Supervisor. |
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| **7.** In line with the conditions set out in the UoC [Research Ethics Policy](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/Research_Ethics_Policy.pdf) and Code of Conduct for Researchers, it is the responsibility of a project’s Principal Investigator (for staff research) or Primary Supervisor (for PGR projects) to take responsibility for the matters below. Please check the boxes to confirm this has been completed. |
| [ ]  I confirm that the Principal Investigator / Primary Supervisor has reviewed the UoC [Research Ethics Policy](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/Research_Ethics_Policy.pdf) and Code of Conduct for Researchers. |
| [ ]  I confirm that the Principal Investigator / Primary Supervisor has determined that the proposed research requires UoC REP approval and does not require approval from any superseding ethics body (e.g. the [NHS](https://www.hra-decisiontools.org.uk/research/)). |
| [ ]  I confirm that all pertinent details in this application are, to the satisfaction of the Principal Investigator / Primary Supervisor, true and complete. |
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| **8.** Please list all thus far unnamed members of the research team below, adding in additional rows if necessary, or check the box to confirm that there are none to report. [See note **a**][ ]  I confirm that there are no other members of the research team. |
| *Name* | *Job Title / Role and Institution* | *Email address* |
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| **9.** Please confirm the present status of the research regarding internal or external funding by checking the relevant box. |
| [ ]  The research is not funded, and no application has been made. | [ ]  The research has confirmed funding. | [ ]  A funding decision pertaining to the research is pending.  |
| If the research is subject to confirmed or pending funding, please specify the funding agency: |  |
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| **10.** Please list any other partner individuals or agencies involved in the proposed research who/which are not already named above via funders or the affiliations of research team members. [See note **b**] Add in additional rows if necessary or check the box to confirm that there are no further partners to report. [ ]  I confirm that there are no other individuals or bodies involved in the research. |
| *Partner Individual or Agency* | *Role in the Research* |
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| To be completed by the researcher | **To be completed by the Research Ethics Panel** |
| **11.** Please specify the anticipated start and end dates for the research. The start date *must* factor-in the ethical review process itself which, in line with the sector norm, can take upwards of six weeks depending on the range of revisions necessary. [See note **c**] | **11.** Comment (if applicable): |
| Start date: |  | End date:  |  |
|  |
| **12.** Please describe below any generalised clearance checks (e.g. DBS, HRA) necessary for the researcher(s) to undertake this project, which external bodies (if any) have mandated these checks, and which members of the team have the relevant clearance. If there are none to report, please check the box to confirm this.[ ]  I confirm that there are no generalised clearance checks necessary for this research. | **12.** Comment (if applicable): |
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| **13.** It is an expectation of the UoC REP that, prior to submission, all ethics applications will have been peer-reviewed at the very least for (a) intelligibility to a non-specialist and (b) consistency within and between documents. This will greatly reduce the likelihood of the application being returned without formal ethics review. Please confirm that the research has been peer-reviewed in this way by checking the box below and give details of up to two reviewers. [See note **d**][ ]  I confirm that this application has been peer-reviewed. | **13.** Does the peer-review process appear suitable?Yes: [ ]  No: [ ] Comment (if applicable): |
| *Reviewer Name* | *Job Title / Role and Institution* | *Email address* |
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##### ****Design and Recruitment****

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| **14.** Please check **all** boxes that relate to your proposed research design and specify any other design-related keywords if you feel they are relevant. [See note **e**] |  |
| [ ]  Qualitative | [ ]  Quantitative | [ ]  Mixed Method |
|  |  |  |
| [ ]  Survey(s) | [ ]  Interview(s) | [ ]  Observation / Ethnography |
| [ ]  (Quasi-) Experiment(s) | [ ]  Focus Group(s) | [ ]  Action Research |
| [ ]  Audit/Evaluation | [ ]  (Clinical) Trial | [ ]  Social Media |
| Other(s): |  |
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| **15.** Please provide a [Plain English Summary](https://arc-nenc.nihr.ac.uk/virtual-college/toolkit-how-to-create-a-plain-english-summary-of-your-research/) of the proposed research, in a minimum of 100 and maximum of 200 words. This should (insofar as possible) briefly detail background, purpose, population and method. Citations should be avoided if possible and, if used, will factor into the word count. Where the summary exceeds 200 words, the application will be returned to the applicant without review. It is, however, accepted that some more complex projects may require a longer description to capture all relevant aspects of the prospective work. If the applicant feels this is the case, they should firstly contact the Chair of the REP, via the Research Office, to discuss. Where formal clearance for a longer summary has been given, please check the box below.[ ]  This summary has been cleared by the REP Chair to exceed the 200-word limit. | **15.** Comment (if applicable): |
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| **16.** Please concisely describe your key inclusion criteria for participants in this project. Inclusion criteria are herein defined as the characteristics/experiences (or range thereof) that individuals must have to qualify for participation. [See note **f**] | **16.** Comment (if applicable): |
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| **17.** Does your project have any exclusion criteria? Exclusion criteria are herein defined as characteristics or experiences that would disqualify an individual from participation, usually on design, consent or safeguarding grounds. If there are none to report, please check the box below. [See note **g**][ ]  This project has no specific exclusion criteria.   | **17.** Comment (if applicable): |
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| **18.** Please describe your sampling method, and your projected minimum and maximum sample size. The minimum should be specified as the smallest number of participants with which the project would still proceed as planned. [See note **h**]  | **18.** Comment (if applicable): |
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| **19.** Please outline where your participants will be recruited from, and how. Be specific about all key agencies and mechanisms involved, including points of access, use of social media and other technologies, and necessary gatekeepers. [See note **i**] | **19.** Comment (if applicable): |
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##### ****Information and Consent****

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| **20.** Please outline how participant information will be distributed (and to whom), and how their consent will be collected. This should make clear which physical and/or electronic systems will be used (e.g. institutional email, surveys, virtual learning environments, hard copy). Systems provided through the University itself (e.g. MS Teams, JISC Online Surveys, MS Forms) should be used unless there is a demonstrable reason not to do so. If there are any specialised issues around consent relevant to your project (e.g. participants under 16 years of age), you should address them here. [See note **j**] | **20.** Comment (if applicable):  |
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| **21.** Please confirm whether you will make clear in all participant-facing documentation that participants can withdraw from the project (a) at any time before and during making their contribution, and (b) without giving a reason. [See note **k**] [ ]  I confirm the above.[ ]  I cannot confirm the above – please outline your reasons below. | **21.** Comment (if applicable): |
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| **22.** Please indicate whether you intend to offer participants the option of *post-hoc* withdrawal, and if so, (a) for how long after they have made their contribution (e.g. ‘Up to seven full days after the participant’s interview’), and (b) the mechanism for withdrawing (e.g. ‘By emailing the lead researcher via the UoC email address supplied’). [See note **l**] [ ]  No *post-hoc* withdrawal is to be offered (please briefly indicate why).[ ]  *Post-hoc* withdrawal is to be offered (please indicate the pertinent time period and mechanism). | **22.** Comment (if applicable): |
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##### ****Data Management and Participant Risk****

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| **23.** Please describe below your projected data collection and data analysis methodsin no more than 500 words total, providing brief justifications for each where appropriate. Additional rows should be added where required. If citations are used, the full (Harvard) references should be included in the space provided. These will not be included in the 500-word count. [See note **m**] | **23.** Comment (if applicable): |
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| ***References:*** |
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| **24.** Does the research involve any deception of the participants? It is accepted that some human studies, such as Placebo-Controlled Trials, will require a degree of deception. Careful justification is, however, required for its use.[ ]  No, there is no deception involved in this project.[ ]  Yes, there is some deception involved – please outline below. | **24.** Comment (if applicable): |
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| **25.** Has there been (or will there be) any public/community involvement in the design/conduct of the project, or in the design/testing of the instruments to be used therein?[ ]  No – please account for this below.[ ]  Yes – please outline below. | **25.** Comment (if applicable): |
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| **26.** Does the research prospectively raise any issues relating to [safeguarding and child protection](https://my.cumbria.ac.uk/media/MyCumbria/Documents/Student-services/Safeguarding-Policy-24-25.pdf)? Applicants should also outline any adhered-to professional ethical standards in this section [See note **n**][ ]  No. [ ]  Yes – please outline below. | **26.** Comment (if applicable): |
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| **27.** While it is seldom possible to eliminate risk from the research process, it is a key expectation that UoC researchers will anticipate and pragmatically mitigate risks to participants to the best of their capacity. Please outline below any physical, psychological or reputational risks to participants that might arise from their involvement in the proposed project, and steps that will be taken to mitigate these (which may amount to simply informing the participants of said risks in all participant information). Add additional rows if necessary. If the project poses no potential risks to participants, please check the pertinent box. [See note **o**][ ]  Involvement in this project poses no potential risks to participants. | **27.** Comment (if applicable): |
| *Risk* | *Mitigation* |
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| **28.** Are any incentives/payments (including out-of-pocket expenses) being offered to participants?[ ]  No.[ ]  Yes – please outline these below. | **28.** Comment (if applicable): |
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##### ****Other Risks****

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| **29.** While it is accepted that some project designs and/or the needs of particular participant groups will mandate carbon-creating activities, it is expected that all UoC researchers will, to the best of their capacity, demonstrate a commitment to minimising their carbon footprint in the business of undertaking a project [see note **p**]. Will the execution of the project likely require carbon-creating activities that might appear avoidable? If so, please outline and justify these below. For example, your participant group might request access to paper copies of consent materials, or travel to in-person data collection sessions may be deemed essential to the method. [ ]  No.[ ]  Yes – please outline/justify below. | **29.** Comment (if applicable): |
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| **30.** Is any proposed activity by the researcher(s) during this project covered by the UoC [Lone Worker Procedures](https://www.cumbria.ac.uk/media/Lone-Worker-Procedures-for-Researchers.pdf)?[ ]  No[ ]  Yes - please describe below any pertinent risks to the researcher(s), and how they will be mitigated.  | **30.** Comment (if applicable): |
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| **31.** Please outline below any other physical, psychological or reputational risks to the researcher(s) that might arise from their involvement in the project, and steps that will be taken to mitigate these, adding additional rows if necessary. [See note **q**]. If the project poses no potential risks to the researcher(s), please check the pertinent box. [ ]  Involvement in this project poses no potential risks to the researcher(s). | **31.** Comment (if applicable): |
| *Risk* | *Mitigation* |
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##### ****Data Storage and Deletion****

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| **32.** Do you intend to make any direct recordings of your participants, i.e. using audio, image or video capture? [ ]  No.[ ]  Yes - please describe below.  | **32.** Comment (if applicable): |
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| **33.** Please describe below the plan for storage of all data and other project-generated materials that could potentially identify participants (electronic, digital, paper, etc.). This plan must (a) comply with the [Data Protection Act 2018](http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted) and University of Cumbria [Research Data Management](https://my.cumbria.ac.uk/Student-Life/Learning/postgraduate-study-and-research/Research-Data-Management/) guidelines, (b) be highly specific about which forms of data will be kept and where, and (c) clearly detail all steps that will be taken to protect participants’ identities. It is expected that Multi-Factor Authenticated (MFA), UoC-provided systems such as OneDrive, Teams and JISC Online Surveys will be used in consent/data management wherever possible. Where they are not, full justification for chosen alternatives should be provided. [See note **r**]. | **33.** Comment (if applicable): |
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| **34.** Do you intend to archive any of your raw or redacted data in a public repository, as sometimes requested by funders and/or publishers? If so, participants must be made fully aware of all archiving strategies in your [participant information](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC-Participant-Information-Sheet---Good-Practice-Template.docx).☐ No.☐ Yes – please provide details below, including a clear account of how participants’ identities will be protected. | **34.** Comment (if applicable): |
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| **35.** Please detail if/how you intend to destroy both raw and redacted data, and by when. This must be entirely conversant with the details in Section 33, and participants must be made fully aware of all data deletion strategies in your [participant information](https://www.cumbria.ac.uk/media/university-of-cumbria-website/content-assets/public/researchoffice/documents/UoC-Participant-Information-Sheet---Good-Practice-Template.docx). | **35.** Comment (if applicable): |
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##### ****Debrief and Dissemination****

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| **36.** Please detail below how/when participants will be provided with a debrief on the research, and how/when they will be made aware of the findings of the project. [See note **s**]. | **36.** Comment (if applicable): |
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| **37.** Please indicate all anticipated forms of output from the research, and give details if/where they are available, such as target journals and conferences. [See note **t**] | **37.** Comment (if applicable): |
| *Output* | *Details* |
| [ ]  PGR thesis |  |
| [ ]  Peer-reviewed journal article(s) |  |
| [ ]  Conference presentation(s) |  |
| [ ]  Report (for funders/stakeholders) |  |
| [ ]  Exhibition/performance |  |
| [ ]  Book chapter(s) |  |
| [ ]  Monograph |  |
| [ ]  Policy document |  |
| [ ]  Educational materials |  |
| [ ]  Other output(s) – please detail: |  |
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| **38.** Does the proposed project raise any ethical issues not already addressed on this application?☐ No.☐ Yes – please provide details below. | **38.** Comment (if applicable): |
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**Supporting Materials Checklist**

Please attach all necessary supportive materials and indicate in the checklist below:

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| **Supporting Material** | **Confirm** |
| Participant Information Sheet/Text  | Choose an item. |
| Consent Form/Text | Choose an item. |
| Debriefing Sheet/Text | Choose an item. |
| Letter/Email/Message of invitation  | Choose an item. |
| Other (such as interview schedules, questionnaires etc. please describe): |  |

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| **To be completed by the Research Ethics Panel:**Are the supporting materials satisfactory?Yes [ ]  No [ ] If ‘no’, please comment below: |