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| **Faculty of Arts, Design and Humanities**  **Ethics SAMPLE Application Form**  **POSTGRADUATE (PhD, MPhil) and RESEARCH STAFF** | | | | | |
| Please complete section A and B in the first instance  If any ethical issues are identified in section B, please continue to complete the rest of the form.  Please refer to all notes highlighted in orange indicate where further action/additional documentation may be required by you the researcher (applicant) or additional information may be suggested to assist you with the completion of this form.  For resubmissions please ensure that you track or highlight all changes  Only electronic versions of the forms must be completed/submitted **(word documents only**). Forms must be checked and authorised by your Supervisor/Line Manager in the first instance. Your Supervisor/Line Manager must then submit to the relevant inbox indicated in section 13 of this application form.  ADH Ethics faculty submission procedures, sample application forms, supporting document templates and links to university guidance can be located at the [ADH Ethics website](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx)  ***If your research involves using 1) human tissue or fluid samples or 2) animals, you MUST seek guidance from the ADH Head of Research Ethics before planning the project.*** | | | | | |

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| **Section A: Researcher Details** | | | | | | | | | | |
| **This section is a mandatory requirement and MUST be completed by ALL applicants**  Once you have completed this section please complete **Section B** | | | | | | | | | | |
| **1. Researcher Details** | | | | | | | | | | |
| First name: | *Add your first name* | | | | | Surname: | | *Add your surname (last name)* | | |
| DMU e-mail address: | | | *Add your DMU e-mail address only. Please ensure that all communication regarding your ethics application is sent using your DMU e-mail address.* | | | | | | | |
| **School (please indicate with a tick ✓):** | | | | | | | | | | |
| Humanities and Performing Arts | | **✓** | | | Art, Design and Architecture | |  | | Fashion & Textiles |  |
| **Study Level (please indicate with a tick ✓):** | | | | | | | | | | |
| Research Student (PhD, MPhil…) | | | | **✓** | | Academic Staff | | | |  |
| **If you are an undergraduate or taught postgraduate student please do not use this form. Please complete the ADH Taught Student Ethics Application form available on the** [**ADH Ethics website**](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx)**.** | | | | | | | | | | |

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| **Section B: Disclaimer** |  |  |
| **This section is a mandatory requirement. ALL fields MUST be completed in collaboration with the applicants supervisor/line manager to ascertain if ethics approval is required**  ***If the applicant answers YES to one or more questions in section B 2 it is recognised that certain ethical issues have been identified which require formal assessment by the Faculty Research Ethics Committee (FREC). Approval from the committee must be obtained in advance before undertaking any data collection associated with the proposed research activity.***   1. *To obtain approval the applicant MUST then complete* ***all fields in Section C – H*** *of this application form and complete any required supporting documents (as indicated in the orange sections of this form).* 2. *Fully completed ethics forms MUST be submitted for checking, authorisation and risk assessment by the applicant’s supervisor/line manager in the first instance, who MUST complete section 13 of this form.*   ***If the applicant answers NO to all questions in section B 2 it is identified that the proposed study does not require assessment by the FREC panel.***   1. *The* **supervisor/line manager** *MUST add their name and date this section to confirm that the study does not require ethical assessment.* 2. *The* **supervisor/line manager** *MUST then submit the application form (copying in the applicant) to the following e-mail address:* [*ADHethics@dmu.ac.uk*](mailto:ADHethics@dmu.ac.uk) | | |

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| **2. Activity Declaration**  **(Tick ✓ as applicable all of the following questions and refer to the notes below)** | | | | **YES** | **NO** |
| Does the research involve direct contact with humans (e.g. face-to-face interviews, observational studies, focus groups, workshops, user tests, telephone/Skype call, shadowing)? | | | | **✓** |  |
| Does the research capture any human data that would identify an individual person (e.g. a person’s name, their particular job or their position in an identified business)? | | | | **✓** |  |
| Does the research involve animal participants? | | | | **✓** |  |
| Does the research present an indirect or physical risk to participants (human or animal)? | | | | **✓** |  |
| Does the research involve any activities which may pose a risk to the environment? | | | | **✓** |  |
| Does the research involve observing, interacting or otherwise with children (under the age of 18) or with [**adults at risk**](#adultsrisk)**\***? | | | | **✓** |  |
| Does the research raise ethical issues due to the potential social or environmental implications of the study? | | | | **✓** |  |
| Does the research re-use previously collected or archived personal data which is sensitive in nature, or enables the identification of individuals? | | | | **✓** |  |
| Does the research involve topics concerned with the following ‘sensitive research’ areas: illegal activities, including the collection of source data, e.g. ethics statistics, or access to web sites normally prohibited on university servers, or extremism and radicalisation, pornography etc. | | | | **✓** |  |
| **Supervisor/Line Manager use only** | | | | | |
| Supervisor/Line Manager Name: | *Write name here - To be completed by* ***Tutor/Supervisor/Line Manager only*** | Date: | *DD/MM/YYYY* | | |

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| ***\*Adult at risk*** *is defined by the Department of Health as 'a person aged 18 years or over who is or may be in need of community care services by reason of mental or other disability, age or illness; and who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation', Department of Health paper, 'No Secrets'* [*https://www.gov.uk/government/publications/safeguarding-policy-protecting-vulnerable-adults/sd8-opgs-*](https://www.gov.uk/government/publications/safeguarding-policy-protecting-vulnerable-adults/sd8-opgs-) |

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| **Section C: Project Proposal** |
| **This section MUST be completed by the applicant if they marked YES to one or more questions in section B**  Once you have completed this section please complete the rest of this form. |

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| **3. Project Details** | | | |
| Project Title: | *Add project title – make it short sharp and clear. You can add abbreviations but ensure that you list the full title as well.* | | |
| Project Start date: | *DD/MM/YYYY* | Expected End Date | *DD/MM/YYYY* |
| Is this the first time you have requested ethical approval for this study/project? Please indicate with a ‘Yes’ or ‘No’ | | | *No* |
| **If you answered “no” to the above, please submit your previously approved Ethics Application to accompany this submission.** | | | |
| Project Outline: | | | | |
| *Give a brief overview -. For examples see* [*sample application form*](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | | | | |
| **Subject area and background of the study (100 words max):**  (Recommended: list bullet points)  *Be brief and concise to allow the reviewer to make an informed decision of the proposed study.*   * *What is the study about?* * *What is the reason for this study? (For example: is it for a thesis, dissertation or research project? or describe the study’s value to your project)* * *Will the project being funded by a third party and who is funding the study? A simple sentence to say “This research is not being funded” will be sufficient if this does not apply.* | | | | |
| **Purpose, aims and objectives of the research (100 words max):**  (Recommended: list bullet points)  *Be brief and concise to allow the reviewer to make an informed decision of the proposed study.*   * *What will the study lead to? Consider possible outcomes or benefits for yourself and the participant* * *How will the research assist you with completing your dissertation or study?* * *Who will you be participating in this study? What is their age or background and why have they been chosen? Are they an individual or are they part of a company or organisation?* * *Where will the research take place? Will the research take place overseas? Likewise if you are not doing research overseas, just provide a sentence to that effect “I will not be conducting research overseas”* | | | | |

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| **Section D: Ethical Issues Checklist** |
| **This section MUST be completed by the applicant if they marked YES to one or more questions in section B**  **Once you have completed this section please complete the rest of this form.**  *For sample forms, document templates and additional information relating to any of the supporting documents listed below please refer to faculty templates and guidance located at the* [*ADH Ethics website*](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) |

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| **4.1 Principal data collection methods** | | | | **SUPPORTING DOCUMENT REQUIRED FOR ASSESSMENT**  *If you mark* ***YES*** *to any of the data collection methods within question 4.1 please provide copies of the relevant* ***Participant Information Sheet*** *and* ***Participant Consent Form (using the templates available on the*** [***ADH Ethics website***](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx)***)*** *for assessment and submit with your application. Please note that questionnaires and question lists are not required for FREC assessment but must be referred to their Supervisor/Line Manager* |
| **Please tick ✓ as applicable for all of the relevant methods and refer to notes highlighted to the right** | | **YES** | **NO** |
| Interviews | | **✓** |  |
| Questionnaires | | **✓** |  |
| Audio/video recordings | | **✓** |  |
| Observations | | **✓** |  |
| Focus groups/workshops | | **✓** |  |
| Documents/archives | | **✓** |  |
| Other (please briefly specify) | *If none of the methods above relate to your proposed study then please specify the methods you will be using in this text box. Keep this statement brief and concise.* | **✓** |  |

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| **4.2 Anonymisation of data** | | | |
| **Please tick ✓ as applicable for the following question** | | **YES** | **NO** |
| Will you be anonymising the data collected from participants? | | **✓** |  |
| If you mark **YES** please briefly state how and why you will be anonymising that data. For examples see [sample application form](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | *How: Consider anonymising the participant by identifying them with an unidentifiable ID number, e.g. “Participant A”. (Do not use their initials as this may identify them)*  *Why: For example: to maintain confidentiality, you may be using data personal to the participant.*  *Keep this statement brief and concise.* | | |

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| **4.3 Working with children/** [**adults at risk**](#adultsrisk) | | | | |
| Will you be observing, interacting or otherwise with the following participants? | | | | **SUPPORTING DOCUMENT REQUIRED FOR ASSESSMENT**  *If you mark* ***YES*** *within question 4.3 please provide copies of the copies of the relevant* ***Parent/Guardian Consent Form (using the templates available on*** [***ADH Ethics website***](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx)***)*** *for assessment and submit with your application* |
| **Please tick ✓ as applicable all of the following questions and refer to notes highlighted to the right** | | **YES** | **NO** |
| Children (under the age of 18) | | **✓** |  |
| Adults without capacity to consent | | **✓** |  |
| Those with learning disabilities | | **✓** |  |
| Adults at risk | | **✓** |  |
| Other (please briefly specify) | *If none of the participants listed above relate to your proposed study then please specify in this text box.*  *Keep this statement brief and concise.* | **✓** |  |

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| **4.4 Injury risk declaration** | | | |
| **Please tick ✓ as applicable for the following question and refer to notes highlighted to the right** | **YES** | **NO** | **SUPPORTING DOCUMENT REQUIRED**  *If you mark* ***YES*** *to question 4.4 please provide a* ***DMU Risk Assessment Form*** *and submit with your application - Please liaise with your Supervisor/Line Manager and consult with your Faculty Health and Safety Officer for this form* |
| Will you be researching into activities that may involve a risk of personal injury to the participants? | **✓** |  |

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| **4.5 Human behaviour declaration** | | | |
| **Please tick ✓ as applicable for the following question** | | **YES** | **NO** |
| Will your research be supporting innovation that might impact on human behaviour?  e.g. Behavioural Studies and/or Activities which may pose a physical risk to other people not directly participating in the research | | **✓** |  |
| If **YES** please briefly specify. For examples see  [sample application form](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | *Will you be conducting a study where you will be physically involved with participants or if you will be undertaking an activity that may involve harm or risk, physically or otherwise?*  *Keep this statement brief and concise.* | | |

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| **4.6 Environmental risk declaration** | | | | |
| **Please tick ✓ as applicable for the following question and refer to notes highlighted to the right** | | **YES** | **NO** | **SUPPORTING DOCUMENT REQUIRED**  *If you mark* ***YES*** *to question 4.6 please provide a* ***DMU COSHH Form*** *and submit with your application - Please liaise with your Supervisor/Line Manager and consult with your Faculty Health and Safety Officer for this form* |
| Will your research involve any activities which may pose a risk to the environment using a potentially hazardous substance? | | **✓** |  |
| If **YES** please briefly specify. For examples see [sample application form](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | *Describe exactly what will be used, how and why. Keep this statement brief and concise.* | | |

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| **4.7 Sensitive Research declaration** | | | |
| **Please tick ✓ as applicable for the following question** | | **YES** | **NO** |
| Will you be researching topics that are concerned with the following ‘sensitive research’ areas: illegal activities, including the collection of source data, e.g. access to web sites normally prohibited on university servers, or extremism and radicalisation, pornography etc.? | | **✓** |  |
| If **YES** please briefly specify. For examples see [sample application form](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | *Using the examples above give an overview of the topic and concern, highlighting to the reviewer exactly which sensitive research area you will be studying and why*  *Keep this statement brief and concise* | | |

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| **Section E: How Ethical Issues Will Be Addressed** |
| **This section MUST be completed by the applicant if they marked YES to one or more questions in section B**  **Once you have completed this section please complete the rest of this form.** |

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| **5. Ethical Issues – Please state briefly how all ethical issues (identified in Section D: Ethical Issues Checklist) will be addressed, describing the research methods that you will use** |
| ***IMPORTANT NOTICE:*** *Please refer to guidance/examples in the ADH Sample Application form available on the* [*ADH Ethics website*](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) |
| (Recommended: list bullet points)  *Please refer to the university’s Ethics and Governance support advice* [*here*](https://www.dmu.ac.uk/research/ethics-and-governance/research-integrity-and-ethics.aspx)  *Consider the following points:*   * *Your study may require you to complete the following faculty approved templates a) Participant Information Sheet and b) relevant Consent Form.*   *If this applies you must state here that you will a) provide the participant/organisations with full details of the study in non-specialist language, using the faculty approved Information Sheet (this will allow participant to make an informed decision whether to take part or not) and b) confirm in writing if the participant: is willing to take part; agrees to their data to be used; acknowledges that they have read and understood the proposed study by completing a consent form. (If you are obtaining data or otherwise working with participants under the age of 18 or with adults at risk, written consent must be obtained from a parent/guardian using the Parent/Guardian Consent Form). Example text “I will be interviewing participants aged 15 – 17. Therefore I will provide them with a Participant Information Sheet and obtain written consent from a Parent/Guardian using the faculty approved Parent/Guardian Consent Form (see document attached to this application)”*   * *How will you be recruiting participants? What methods will you use?* * *You must state in this section that (where applicable) participants will be informed that participation is voluntary and granted the right and freedom to withdraw from the study.* * *If you are conducting a study that may cause physical and/or psychological harm or distress provide details of how you will protect participants' interests and protecting them from harm.* * *Indicate where the research will take place. Researchers must minimise personal risks to themselves. Where possible, data collection should be conducted on DMU premises, a host organisation’s premises, or in a public place. If data has to be collected in a private area such as a participant’s home, then researchers should refer to DMU’s Lone Worker Policy (available from POD/HR).* * *All human data must be stored securely on DMU campus on either a password protected or encrypted devise. Be specific about how and where you will be storing the data collected and who will have access to it. (If you are a student you tutor/supervisor will apply, if you are a member of staff this will be your Line Manager). Storage methods to consider: encrypted data stick/locked filing cabinet/password protected devise such as laptop or DMU computer etc.* * *All applicants must confirm that they will obtain full approval of their ethics application and any required supporting documents before any data collection takes place. Please note that failure to do so may lead to disciplinary action, withdrawal of the study, or if a project is funded externally lead to a funding body taking action against the university. It is also important to state here that you will obtain informed consent from participants before the study takes place.* * *Your study may require you to obtain or work with data that may be culturally, legally, politically sensitive (e.g. studies classes as sensitive research, some aspects of personal body form and intimate health etc.). If you are conducting research into sensitive topics please indicate that you will not conduct any part of this study until you have obtained approval from the Faculty Head of Research Ethics/University Research Ethics Committee.* |

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| **Section F: Ethical References and Additional Factors** |
| **This section MUST be completed by the applicant if they marked YES to one or more questions in section B**  **Once you have completed this section please complete the rest of this form.** |

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| **6. To which ethical codes of conduct have you referred?** | | | | **COMPULSORY**  **This section MUST be completed as a COMPULSORY REQUIREMENT**  **By government law all data must be handled in accordance with** [**GDPR**](http://www.dmu.ac.uk/policies/data-protection/data-protection.aspx) **and all researchers must comply to DMU’s guidelines for** [**Good Research Practice**](http://www.dmu.ac.uk/research/ethics-and-governance/research-integrity-and-ethics.aspxhttp:/www.dmu.ac.uk/research/ethics-and-governance/research-integrity-and-ethics.aspx) |
| **Please tick ✓ as applicable all of the following questions** | | **YES** | **NO** |
| a) I confirm that all information collected will be processed by use in accordance [GDPR 2018](http://www.dmu.ac.uk/policies/data-protection/data-protection.aspx) | | **✓** |  |
| b) I confirm that I will follow DMU’s ethical codes of conduct for [Good Research Practice](http://www.dmu.ac.uk/documents/research-documents/ethics-faculty-procedures/guidelines-for-good-research-practice-update-links-sept-2017.pdf) | | **✓** |  |
| c) Are there any other ethical codes not listed above that you will be referring to?  If **YES** please specify and include any links below: | | **✓** |  |
| Name:  *add name of ethical code (if yes is answered to question 6 c)* | Web address:  *add web address (if yes is answered to question 6 c)* | | | |

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| **7. Additional factors** | | | |
| **Please tick ✓ as applicable for the following question** | | **YES** | **NO** |
| Are there other additional factors that could/will give rise to ethical concerns e.g. communication difficulties? | | **✓** |  |
| If **YES** please specify. For examples see  [sample application form](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | *For example: Translating documents into a different language - All applicants whose research requires the use of information/consent forms will complete the faculty approved templates (which are in English) and submit them with their application for research ethics approval. Once approval has been granted these documents should then be translated into another language for distribution in the field. It is your (the applicant) and their tutor/supervisor’s joint responsibility to ensure that the non-English versions of the form have the same meaning and sense as the approved English versions. Translated versions of the forms are NOT required for inspection (only the DMU English ones). Translated versions may be requested if the Faculty Head of Research Ethics deems it necessary.*  *If there are no factors you could state that “There are no additional factors will give rise to any ethical concerns.* | | |

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| **Section G: Questions for Ethical Approval of Sensitive Research** |
| **This section MUST be completed by the applicant if they marked YES to one or more questions in section B**  **Once you have completed this section please complete the rest of this form.** Further guidance can be located at: <http://www.dmu.ac.uk/research/ethics-and-governance/sensitive-research.aspx> |
| **ALL RESEARCH WHICH ANSWERS YES TO ONE OR MORE QUESTIONS IN SECTION G IS CLASSED AS HIGH RISK AND MUST BE REFERRED TO** [**ADHethics@dmu.ac.uk**](mailto:ADHethics@dmu.ac.uk) **FOR CONSIDERATION BY THE FACULTY HEAD OF ETHICS ONCE FULLY COMPLETED AND AUTHORISED BY THEIR SUPERVISOR/LINE MANAGER** |

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| **8. Sensitive Research** | | |
| **Please tick ✓ as applicable all of the following questions** | **YES** | **NO** |
| 1. Does the intended research include research into illegal activities? (This may include, but is not limited to, research into hate crime, theft, fraud, or harmful and illegal cultural practices, etc.). ***Please note: the university does not permit any crime to be committed for research purposes, such as accessing images of paedophilia*** ***or child abuse, unless special permission has been granted by the Home Office.*** |  | **✓** |
| 1. Does the research involve deception? (if yes, please give brief details as to why/how in the space below) |  | **✓** |
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| 1. Will the research require the use of sites usually prohibited on university computers (e.g. pornography or the sites of these [prohibited organisations](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/472956/Proscription-update-20151030.pdf))? |  | **✓** |
| 1. Has the research been commissioned under a commercial contract requiring secure storage for related materials? |  | **✓** |
| 1. Does the intended research fit into any of the following categories? If so, please indicate which in the points below: |  | |
| 1. Terrorism, extremism, terrorist or extremist organisations or groups, extremist ideologies, radicalisation, de-radicalisation |  | **✓** |
| 1. Commissioned by the military or GCHQ: |  | **✓** |
| 1. Commissioned under an EU/US security call or similar: |  | **✓** |
| 1. Involve the acquisition of security clearances (including the Official Secrets Act): |  | **✓** |

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| **9. Accessing Websites for the Research Areas Outlined in Section 9, question 5 a - e** | | | |
| **Please tick ✓ as applicable the following question and refer to the note highlighted below** | | **YES** | **NO** |
| Will your research involve visits to websites that might be associated with radicalisation or terrorist/extremist organisations or groups? | |  | **✓** |
| *If you answer* ***YES*** *to question 9 you are advised that such sites may be subject to surveillance by the police and accessing those sites might lead to police enquiries. It is strongly recommended that you use your university network address, once you have received ethical approval, which will ensure these activities are flagged as a legitimate part of your research. Whilst acquiring ethical approval for this project and adhering to University guidance on accessing websites and storing related materials securely will allow the University to verify the legitimacy of you accessing these websites, it cannot guarantee legal protection.* | | | |
| **If you answered YES please acknowledge that you understand this risk by marking the ‘I Agree’ box with a tick (✓)** | **I Agree** | |  |

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| **10. Storage and Transmission of Research Materials** | | | |
| The secure storage of data and research material is strongly recommended to all who answered **YES** to section 8 question 5 (although all researchers may make use of the Information Media Technology Services (ITMS) provisions detailed in this form). Please note that anyone storing participants’ personal data is subject to separate legislation and requirements. Details are outlined [here](https://www.jisc.ac.uk/guides/data-protection-and-research-data/security-of-research-data), and in the university’s [Research Records Retention Policy](http://www.dmu.ac.uk/documents/about-dmu-documents/quality-management-and-policy/records-management/research-records-retention-policy.pdf). | | | |
| **Please tick ✓ as applicable for the following questions and refer to notes highlighted below** | | **YES** | **NO** |
| Does your research involve the downloading and storage on a computer of any materials relating to extremism or radicalisation (for example, records, statements or other documents)? | | **✓** |  |
| *If you answered* ***YES*** *to question 10, you should request a secure file share from ITMS to be created for your project, with access restricted to you, or if absolutely necessary, any internal co-investigator(s). The research materials should not be kept on a personal computer, and all online research in this area should be done on university servers. Physical data should be scanned and uploaded to the password-protected server; where this is not possible, it should be kept in a locked filing cabinet or similar on university premises.*  *You will need to agree to store all materials relevant to question 9 and question 11, as well as any other materials related to your research project in accordance with this advice in order to gain ethical approval.* | | | |
| **If you answered YES please confirm you will store *all* research documents in accordance with this advice by marking the ‘I Agree’ box with a tick (✓)** | **I Agree** | | **✓** |

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| **11. Storage and Transmission of Research Materials** | | | |
| **Please tick ✓ as applicable for the following question and refer to the note highlighted below** | | **YES** | **NO** |
| Might your research involve the electronic transmission of such materials to project Co-Investigators? | |  | **✓** |
| **NOTE:** *The Terrorism Act (2006) and the Counter-Terrorism and Security Act (2015) outlaw the dissemination of terrorist publications if the individual concerned has the intention to encourage or induce others. Publications disseminated for the purposes of an approved and clearly defined research project should not amount to an offence, because the requisite intention is unlikely to be present. However, you are advised to exercise caution and avoid dissemination of raw research materials where possible.* | | | |
| **If you answered YES you will need to agree to only transmit these materials to Co-Investigators after they have been password-protected and that you will only use ‘**[**Zend**](https://zend.dmu.ac.uk/)**’, which encrypts materials in transmission by marking the ‘I Agree’ box with a tick (✓)** | **I Agree** | |  |

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| **DEFINITIONS**  **Illegal activities** incorporates **any illegal activity;** for example,trespassing, theft, or online piracy  **Hate Crimes** are those committed against someone because of their disability, gender-identity, race, religion or belief, or sexual orientation.  **Harmful and illegal cultural practices**: these include violence against women and girls, Female Genital Mutilation (FGM), forced marriage, child sexual exploitation and honour-based violence.  **Accessing** **prohibited websites:** You will need to seek permission from ITMS; advice on how to gain permission is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx).  **Radicalisation** refers to the process by which a person comes to support terrorism and forms of extremism leading to terrorism  **De-radicalisation** usually refers to activity aimed at a person who supports terrorism and in some cases has engaged in terrorist related activity, which is intended to effect cognitive and/or behavioural change leading to a new outlook on terrorism and/or disengagement from it.  **Secure File Share:** You will need to ask ITMS to create a Secure File Share for your project, with access restricted to yourself, or if absolutely necessary, any internal co-investigator(s). Advice is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx).  **Zend**: advice on using Zend is available from the [ITMS helpdesk](http://www.dmu.ac.uk/about-dmu/professional-services/information-technology-and-media-services/service-desk.aspx). |

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| **Section H: Authorisation and Approval** |
| **This section MUST be completed by the applicant and supervisor/line manager if YES is marked to one or more questions in section B**  **BEFORE COMPLETING THIS SECTION PLEASE REFER TO THE NOTE BELOW:**   * **Applications must undergo formal assessment BEFORE undertaking any data collection directly associated with the proposed research activity** * Applicants must submit their fully completed application and supporting documents **from an official DMU e-mail account** to their Supervisor/Line Manager for checking, authorisation and risk assessment in the first instance * Please consider naming and numbering documents appropriately to assist reviewers * **Accepted file formats: word.doc / word.docx** – only electronic forms must be completed/submitted * Signing **Section H (12 – 13)**, confirms that the applicant and Supervisor/Line Manager has read, understood and will/assist the applicant to comply with the ethical procedures stated in this application * If you are requested to resubmit please use the same completed form and clearly track/highlight all changes   ADH Ethics Overview Guide, sample application forms and supporting document templates and submission dates can be located the [ADH Ethics website](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) |

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| **12. Applicant – Checklist and Authorisation FOR COMPLETION BY APPLICANT ONLY** | | | | | | | |
| **Please check your application and tick ✓ as applicable to the following questions** | | | | | **YES** | | **NO** |
| a) I declare that I have completed all fields, understand and will comply with the ethical procedures declared in **Section A – H** of this application form | | | | | **✓** | |  |
| b) I confirm that I have consulted with the Sample ADH Ethics Application when completing this form - [available](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.asp) on the [ADH Ethics website](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) | | | | | **✓** | |  |
| c) I confirm that I have referred this ethics application to my Supervisor/Line Manager | | | | | **✓** | |  |
| d) I confirm that I have read the [Responsibilities of the Researcher](http://www.dmu.ac.uk/research/ethics-and-governance/responsibilities-of-the-researcher.aspx) guidelines and I will comply with them | | | | | **✓** | |  |
| e) I confirm that I have completed **Section G Questions for Ethical Approval of Sensitive Research** **(COMPULSORY)** | | | | | **✓** | |  |
| f) I declare that I have considered the ethical implications of the research proposed in this application and understand that I must not undertake any research activity until this form is fully approved | | | | | **✓** | |  |
| g) If the circumstances of my study changes I agree to re-apply for ethical approval before commencing with my research | | | | | **✓** | |  |
| h) I confirm that I have submitted for assessment the following required supporting documents (listed below) with this application form. ***Please refer to section D of this form to ensure the correct documents are submitted*** | | | | | | | |
| Participant Information Sheet | | **✓** | Consent Form | | | **✓** | |
| DMU Health and Safety Assessment Form | | **✓** | DMU COSHH Risk Assessment Form | | | **✓** | |
| **Applicant Name:** | *Write name here (To be completed by applicant only)* | | | **Date:** | *DD/MM/YYYY* | | |

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| **13. Supervisor/Line Manger – Authorisation FOR COMPLETION BY SUPERVISOR/LINE MANAGER ONLY** | | | | | | | | |
| **BEFORE COMPLETING THIS SECTION PLEASE REFER TO THE NOTE BELOW:**   * **Supervisors/Line Managers** MUST confirm that they fully authorise the content of the application and supporting documents by completing this section in full. Forms must be checked and risk assessed in the first instance by the **Supervisor/Line Manager** * By completing this section the Supervisor/Line Manager confirms that they have read, understood and will support the applicant to comply with the above ethical procedures stated in this application * **Accepted file formats: word.doc / word.docx** – only electronic forms must be submitted * [Sample application forms](http://www.dmu.ac.uk/research/ethics-and-governance/faculty-specific-procedures/art-design-and-humanities-ethics-procedures.aspx) are available to assist you with your assessment   ***Authorised forms MUST be sent by the Supervisor/Line Manager to the ADH Ethics inbox*** ***[ADHethics@dmu.ac.uk](mailto:ADHethics@dmu.ac.uk) for final assessment by a member of the Faculty Research Ethics Committee (FREC).***  ***Applicants must not conduct the proposed research without written approval from the ADH Ethics inbox/FREC*** | | | | | | | | |
| **Please tick ✓ as applicable** | | | | | | | | |
| a) Risk Assessment: I declare the research proposed in this application to be (please refer to the colour coded guidance below to assist you with your decision and tick (✓) the relevant risk level box below) | | | | | | | | |
| **MEDIUM RISK\*** | |  | | **HIGH RISK\*\*** | | | **✓** | |
| b) I confirm that I have read and agreed the content of this form and fully support the research proposed in this application | | | | | | | | **✓** |
| c) I declare that the applicant named above has completed their application in collaboration with myself as the applicant’s Supervisor/Line Manager and will be working under my supervision | | | | | | | | **✓** |
| d) I confirm that the applicant has completed all fields in **Section A – H** of this application form | | | | | | | | **✓** |
| e) I confirm that I have assessed and agreed the content of all supporting documents required as part of this submission (as indicated in **Section D** of this form) | | | | | | | | **✓** |
| **Supervisor/Line Manager Name:**  **(e-signature or manually entered name)** | *Write name here (To be completed by* ***Supervisor/Line Manager only)*** | | **Date authorised:** | | | *DD/MM/YYYY (For first submissions only)* | | |
| **Date re-authorised:**  **(Resubmissions only)** | | | *DD/MM/YYYY Only for resubmissions that have already undergone FREC approval* | | |
| ***Medium Risk\**** *Studies where direct human contact will take place and participant anonymity cannot be maintained (e.g. face-to-face focus groups, workshops and interviews), collection of and/or research using human tissue/fluids, studies which involve participants under 18 or* [*adults at risk*](#adultsrisk)*, studies that induce anxiety, stress or other harmful psychological states*  ***Medium risk Supervisor/Line Manager authorised forms MUST undergo assessment by the Faculty Research Ethics Committee.***  ***Applicants must not conduct research of this type without written approval from the committee.***  ***Applications must be submitted by the authorising supervisor/line manager (copying in the applicant) to the*** [***ADHethics@dmu.ac.uk***](mailto:ADHethics@dmu.ac.uk) ***for final approval.*** | | | | | **High Risk\*\*** Research topics concerned with the following ‘sensitive research’ areas: illegal activities, including the collection of source data, e.g. ethics statistics, or access to web sites normally prohibited on university servers, or extremism and radicalisation. Studies which will need to be reported to University Research Ethics Committee (UREC).  ***High risk forms MUST undergo assessment by the Faculty Head of Research Ethics (FHRE). Applicants must not conduct research of this type without written approval from the FHRE.***  ***Applications must be submitted by the authorising supervisor/line manager (copying in the applicant) to the*** [***ADHethics@dmu.ac.uk***](mailto:ADHethics@dmu.ac.uk) ***for final approval.*** | | | |

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| **14. Medium Risk Reviewer Outcome – (To be edited by the assessment panel only)** | | | | |
| **Version 1: First Submission Outcome (tick ✓ as applicable)** | | | | |
| **Approved** |  | **Rejected** | **✓** | ***DD/MM/YYYY*** |
| **Comments/feedback:** | | | | |
| *To facilitate full approval there are several amendments that need to be made to the ethics submission. Please amend the following:*  *1. Participant Information Sheet and Parent/Guardian Consent form has not been provided. Please complete using the faculty approved template available on ADH Ethics website*  *2. …*  *3. …*  *4. …*  ***Please note that the applicant must not conduct any participant data collection methods proposed in this application until full approval has been granted by the faculty ethics assessment panel.*** | | | | |
| **Version 2: Resubmission Outcome: (tick ✓ as applicable)** | | | | |
| **Approved** | **✓** | **Rejected** |  | ***DD/MM/YYYY*** |
| **Comments/feedback:** | | | | |
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| **15. High Risk Reviewer Outcome – (ADH Faculty Head of Research Ethics Use Only)** | | | | | | | | |
| Name: |  | | | | Assessment Date: | | | **DD/MM/YYYY** |
| **Outcome** (**tick ✓ as applicable)** | | | | | | | | |
| I declare that high ethical risks have been identified which must be referred to UREC before granting full approval. | | |  | | | *Please* ***do not*** *conduct any research proposed in this application until full UREC approval has been obtained* | | |
| I declare that high ethical risks have been identified and the following rules must be adhered to by the applicant and their supervisor as indicated in the recommendations box below. | | |  | | | *Please* ***do not*** *conduct any research proposed in this application until you (the applicant) has confirmed that this has been addressed in writing* | | |
| **Recommendations required to conduct sensitive research** | | | | | | | | |
| (Clearly indicate what is required) | | | | | | | | |
| **ADH Head of Research Ethics Outcome: I declare this application to be (Please tick ✓ as applicable)** | | | | | | | | |
| **Approved** | |  | | **Rejected** | | |  | |