THE UNIVERSITY OF LEEDS

**Research Ethics Application Checklist**

**PLEASE NOTE:** A minimum of 6-8 weeks should be allowed for the ethics review process. This can take longer in periods of high numbers of submissions across the University. This does not include any time when the action is with the applicant, or when the University is closed.

**Please ensure you follow this checklist prior to submitting.**

1. For applicants who are based in Faculties of Business, Environment and Social Sciences please use the electronic application system Phoenix (<https://researchethics.leeds.ac.uk/ActivityForm/Index>).

For applicants who are based in Faculties of Arts, Humanities & Culture, Biological Sciences, Engineering & Physical Sciences and Medicine & Health please use the “legacy” [University ethics application form](https://secretariat.leeds.ac.uk/wp-content/uploads/sites/109/2023/12/Ethical-Review-Form.doc).

More information can be found on the [Research Ethics webpages](https://secretariat.leeds.ac.uk/research-ethics/how-to-apply-for-research-ethics-approval/).  
  
For the legacy ethics form, there are superscript numbers following questions, which correspond to numbered points in the accompanying guidance notes document. For example, point 5 in the guidance document corresponds to question A.4: highlighted in red here “A.4 Purpose of the research:**5**”.

A [Proportionate Review (PR) application form](https://secretariat.leeds.ac.uk/wp-content/uploads/sites/109/2023/12/Proportionate_Ethics_Review_Form.doc) may be submitted for studies that fit the PR criteria. If you tick “Yes” to any of the high risk ethical checklist statements in Section C1 of the PR form, your research project will require a full ethical review. If it is deemed the project does not fit PR criteria, the application will be rejected and will need to be resubmitted on the standard form. **Please note PR applications are not accepted within Faculty of Medicine & Health.**

If you are a student, it is essential that you discuss any ethics application with your supervisor.

If your research project also requires Health Research Authority (NHS) approval, a draft IRAS form should be submitted for University ethics review instead of a University ethics application form. More information about this can be found at the [NHS ethical review page](https://ris.leeds.ac.uk/research-ethics/nhs-ethical-review/).

1. Answer all the questions on the form, including those with several parts (please refer to the guidance notes document if you are not sure how to answer a question or how much detail is required).
2. Refer to the document list on page 3 and ensure all relevant supporting documents are attached to your application. **If there are any missing documents, your application will not progress.**
3. If you do not use participant information sheets or consent forms, please explain why in your application form, and explain how meaningful consent will be obtained.
4. It is a submission requirement to use version control and dates on the documents and also short, meaningful file names for the documents, e.g. “**A Smith Consent Form v1.0 2023.10.29**”. This also applies to all documents altered in response to Reviewers comments following review.
5. Submit a **signed** copy (e-signature is accepted) of the application electronically to the relevant research ethics committee inbox:

* Faculty of Arts, Humanities and Cultures:  [AHCresearchethics@leeds.ac.uk](mailto:AHCresearchethics@leeds.ac.uk)
* Faculty of Biological Sciences:  [FBSResearchEthics@leeds.ac.uk](mailto:FBSResearchEthics@leeds.ac.uk)
* Faculty of Engineering and Physical Sciences:  [EPSResearchEthics@leeds.ac.uk](mailto:EPSResearchEthics@leeds.ac.uk)
* Faculty of Medicine and Health:
* School of Dentistry: [J.K.McDermott@leeds.ac.uk](mailto:J.K.McDermott@leeds.ac.uk)
* School of Healthcare: [FMHUniEthics@leeds.ac.uk](mailto:FMHUniEthics@leeds.ac.uk)
* School of Medicine: [FMHUniEthics@leeds.ac.uk](mailto:FMHUniEthics@leeds.ac.uk)
* School of Psychology: Use the [Psychology SharePoint ethics site](https://leeds365.sharepoint.com/sites/psychology/Ethics/SitePages/Home.aspx).  Please note only staff and post graduate research students (PGRs) in the School of Psychology have permission to access this site. Any enquiries should be sent to [psyc-ethicssubmissions@leeds.ac.uk](mailto:psyc-ethicssubmissions@leeds.ac.uk).

Students must ensure their supervisor has signed the declaration page as well. **Student submissions will not be accepted without a supervisor’s signature.**

1. Any queries should be sent to the relevant ethics inbox listed above.

**Supporting documents**

* Attach supporting documents to your submission email as separate files.
* The research title on consent forms, information sheets, other supporting documentation and the application form should be consistent. The title should make clear (where appropriate) what the research is about.

**SUPPORTING DOCUMENT CHECKLIST**

**Please refer to the** [**Supporting Documentation and Information required section**](https://secretariat.leeds.ac.uk/research-ethics/how-to-apply-for-research-ethics-approval/) **on the Research Ethics website for further guidance and templates on the matters below.**

* **Participant Information Sheet(s):**

Include different versions for different groups of participants e.g. for children and adults if applicable. The link to the [Research Participation Privacy Notice](https://dataprotection.leeds.ac.uk/research-participant-privacy-notice/) should be provided for data protection compliance.

* **Consent Form(s):**

Include different versions for different groups of participants e.g. for children and adults if applicable.

* **Recruitment Materials:**

Provide copies of poster(s), email and social media text/posts etc. that will be used to advertise and to invite participants to your research project.

* **Gatekeeper (Recruitment) Approval:**

Provide written approval confirmation (letter/email) from host/gatekeeper (authorised person of organisation that you intend to recruit participants from) if recruiting participants via organisations e.g. charities, professional bodies, universities.

Please note if recruiting medical students from University of Leeds, approval must be sought from the Director of Student Education at Leeds Institute of Medical Education (prior to the application being submitted.

If recruiting participants abroad, the relevant ethics permission is also required from the relevant country/countries.

* **Provide copies of (if applicable):**
* Questionnaire(s)
* Survey questions
* Topic guide for focus group/interviews
* **Health and Safety Risk Assessment:**

Fieldwork risk assessments are required for all fieldwork taking place off campus (with exception of fieldwork conducted solely via online interviews/focus groups).

* **Data Management Plan:**

A data management plan (DMP) is a requirement for all research ethics applications. If this document is not included with your application it will be sent back to you causing a delay.

* **Data Sharing Agreement or Data Processing Agreement:**

Check if a Data Sharing Agreement or a Data Processing Agreement is required (Further information for researchers is available on the University's [Data Protection webpage](https://dataprotection.leeds.ac.uk/information-for-researchers/)).

This is usually required if personal data is being transferred or received via a 3rd party – e.g. transcription confidentiality agreement (if internal University staff transcriber is used).

* **Data Protection Impact Assessment (if applicable):**

There are many types of research taking place at the University, consult the [Data Protection webpage](https://dataprotection.leeds.ac.uk/information-for-researchers/) on whether your project and any data collected may require you to complete a [Data Protection Impact Assessment (DPIA)](https://dataprotection.leeds.ac.uk/wp-content/uploads/sites/48/2023/10/Do-I-need-to-do-a-Data-Protection-Impact-Assessment-.docx).