

## 1.1. Ethical Approval Form

### Ethical Approval Form

Internal research ethics application form for taught student modules (where University ethical approval is in place for the module)

For module LUBS5579 covered by University of Leeds ethical approval reference AREA 17-055.

Student ID	201486788
Your name	Shresth Sharma
Degree Programme	M.Sc. Business Analytics and Decision Sciences
Provisional title/ topic area	Between Scarcity and Caution: Navigating the Risk-Procrastination Corridor with Limited Resources
Name of dissertation supervisor	Mr. Martin Durham

Are you planning to conduct fieldwork with (data on) human participants for your dissertation?	Please tick the relevant box
<b>Yes</b> (This includes online research methods and secondary data analysis).	Yes
<b>No</b> , I am conducting library based research or content/ media analysis only.	

If you ticked 'no' you do not need to take further action in respect of ethical approval.  
Please proceed to the declarations on page 8 and 9.

If you ticked 'yes' you need to complete the rest of this form.

You MUST submit discuss your research design and the ethical issues it raises with your dissertation supervisor and receive their signed approval **before you approach any participants or collect any data.**

You MUST attach a copy of your research proposal to this form.

You MUST include a copy of your ethics form (signed by your supervisor), together with your research proposal, as an appendix to your final dissertation submission.

## INTERNAL RESEARCH ETHICS APPLICATION

### Part A: Compliance with the module's block ethical approval

Ethical review is required for all research involving human participants, including research undertaken by students within a taught student module. Further details of the University of Leeds ethical review requirements are provided in the *Research Ethics Policy* available at:

<http://ris.leeds.ac.uk/ResearchEthicsPolicies> and at [www.leeds.ac.uk/ethics](http://www.leeds.ac.uk/ethics).

1. Will your dissertation involve any of the following?	Yes	No
New data collected by administering questionnaires/interviews for quantitative analysis	Yes	
New data collected by qualitative methods		No
New data collected from observing individuals or populations		No
Working with aggregated or population data		No
Using already published data or data in the public domain		No
Any other research methodology, please specify:		No

2. Will any of the participants be from any of the following groups? (Tick as appropriate)	Yes	No
Children under 16		No
Adults with learning disabilities		No
Adults with other forms of mental incapacity or mental illness		No
Adults in emergency situations		No

Prisoners or young offenders		No
Prisoners or young offenders		No
Those who could be considered to have a particularly dependent relationship with the investigator, e.g. members of staff, students		No
Other vulnerable groups, please specify:		No

**3. Will the project/dissertation/fieldwork involve any of the following:**  
(You may select more than one)

	Yes	No
Patients and users of the NHS (including NHS patients treated under contracts with private sector)		No
Individuals identified as potential participants because of their status as relatives or carers of patients and users of the NHS		No
The use of, or potential access to, NHS premises or facilities		No
NHS staff - recruited as potential research participants by virtue of their professional role		No
A prison or a young offender institution in England and Wales (and is health related)		No

If you have answered 'yes' to ANY of the above questions in 2 or 3 then you will need to apply for full ethical review, a faculty committee level process. This can take up to 6-8 weeks, so it is important that you consult further with your supervisor for guidance with this application as soon as possible. Please now complete and sign the final page of this document. The application form for full ethical review and further information about the process are available at <http://ris.leeds.ac.uk/uolethicsapplication>.

If you answered 'no' to ALL of the questions in sections 2 and 3 please continue to part B.

## **INTERNAL RESEARCH ETHICS APPLICATION**

### **Part B: Ethical considerations within block ethical approval**

<b>4. Will the research touch on sensitive topics or raise other challenges?</b>	Yes	No
Will the study require the cooperation of a gatekeeper for initial access to groups or individuals who are taking part in the study (eg students at school, members of self-help groups, residents of a nursing home)?		No
Will participants be taking part in the research without their knowledge and consent (eg covert observation of people in non-public places)?		No
Will the study involve discussion of sensitive topics (eg sexual activity, drug use)?		No
Could the study induce psychological stress or anxiety or cause harm or have negative consequences beyond the risks encountered in normal life?		No
Are there any potential conflicts of interest?		No
Does any relationship exist between the researcher(s) and the participant(s), other than that required by the activities associated with the project (e.g., fellow students, staff, etc)?		No
Does the research involve any risks to the researchers themselves, or individuals not directly involved in the research?		No

If you have answered 'yes' to any of the questions in (5), please describe the ethical issues raised and your plans to resolve them on a separate page. Agree this with your supervisor and submit it with this form. Again, you MAY be referred for light touch or full ethical review.

<b>5. International Research</b>	Yes	No
Does your research involve participants outside of the UK?		
Are any of your research participants located outside of the UK, e.g., will you be gathering data through Skype interviews with participants located overseas?	Yes	

Will any of the fieldwork or research require you to travel outside of the UK to collect data?		No
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If you have answered 'yes' to either part of question (5), please describe the ethical issues raised with: gaining consent and gathering data from participants located overseas, securely storing and transferring data from the field back to the UK, any cultural issues that may be relevant. Please outline your plans to resolve this on a separate page and ensure that you have completed a risk assessment form. Agree this with your supervisor and submit it with this form.

You MAY be referred for light touch or full ethical review if you are unable to demonstrate that you have resolved the ethical issues relating to international research.

#### 6. Personal safety

Where will any fieldwork/ interviews/ focus groups take place?	Yes	No
At the university or other public place (please specify below).		No
At my home address		No
At the research subject's home address		No
Some other location (please specify below).		No

If you conduct fieldwork anywhere except at the university or other public place you need to review security issues with your supervisor and have them confirmed by the Module Leader who may refer you for light touch or full ethical review. Write a brief statement indicating any security/personal safety issues arising for you and/or for your participants, explaining how these will be managed. Agree this with your supervisor and submit it with this form.

Please note that conducting fieldwork at the research subject's home address will require strong justification and is generally not encouraged.

A risk assessment is required before any data is gathered for any dissertation project, please view the Health and Safety advice on the module's Minerva pages.

7. Anonymity	Yes	No
Is there any potential for data to be traced back to individuals or organisations, for instance because it has been unanonymised or anonymised in such a way that there remains risk (eg highlighting people's positions within an organisation, which may reveal them).		No

If you have answered 'yes' to question 7, please discuss this further with your supervisor. You need to provide a strong justification for this decision on a separate sheet. **This application will need to be reviewed by the dissertation Module Leader and may require a full ethical review.**

#### 8. Data management issues

Will the research involve any of the following activities at any stage (including identification of potential research participants)?	Yes	No
Examination of personal records by those who would not normally have access		No
Sharing data with other organisations		No
Use of personal addresses, postcodes, faxes, e-mails or telephone numbers		No
Publication of direct quotations from respondents		No
Publication of data that might allow identification of individuals to be identified		No
Use of audio/visual recording devices		No

Storage of personal data on any of the following:			
	FLASH memory or other portable storage devices		No
	Home or other personal computers		No
	Private company computers		No
	Laptop computers		No

If you have answered 'yes' to any of the questions under 8, you must ensure that you follow the University of Leeds Information Protection Policy:

<http://www.leeds.ac.uk/informationsecurity> and the Research Data Management Policy: [http://library.leeds.ac.uk/research-data-policies#activate-tab1\\_university\\_research\\_data\\_policy](http://library.leeds.ac.uk/research-data-policies#activate-tab1_university_research_data_policy).

You are obliged to provide a copy of your anonymised data to your supervisor for their records and to destroy other copies of your data when your degree has been confirmed.



## Dissertation Research Ethical Approval: Declaration

For students	Please tick as appropriate
<b>Option 1:</b> I <b>will NOT</b> conduct fieldwork with (data on) human participants for my dissertation.	Yes
<b>Option 2:</b> I <b>will</b> conduct fieldwork with (data on) human participants for my dissertation.	

For **options 1 and 2** - I confirm that:

The research ethics form is accurate to the best of my knowledge.

I have consulted the University of Leeds Research Ethics Policy available at <http://ris.leeds.ac.uk/ResearchEthicsPolicies>.

I understand that ethical approval will only apply to the project I have outlined in this application and that I will need to re-apply, should my plans change substantially.

For **option 2** only:

I am aware of the University of Leeds protocols for ethical research, in particular in respect to protocols on **informed consent, verbal consent, reimbursement for participants and low risk observation**. If any are applicable to me, signing this form confirms that I will carry out my work in accordance with them.

<http://ris.leeds.ac.uk/PlanningResearch>

Student's signature: Shresth Sharma

Date: 18/07/2024.....

For supervisors	Yes	No
No further action required		
I confirm that the dissertation is in line with the module's block ethical approval (Part A & question 8).	✓	
I have discussed the ethical issues arising from the research with the student and agree that these have been accurately and fully addressed.	✓	
I have reviewed the student's research proposal.	✓	
I have reviewed the student's Risk Assessment Form. N/A		
Further actions required		
Refer to dissertation Module Leader for further review / discussion.		✓
The dissertation falls outside the module's block ethical approval and the student was advised to apply for full ethical review.		✓

Supervisor's signature: ...M P Durham.....

Date: ...2/8/24.....