

STAGE 1 - RESEARCH ETHICS APPROVAL FORM

Research by students and staff at the University must receive ethical approval before any data collection commences. Applications may be made on the Research Ethics Online system or via approval forms.

If using the approval forms, applicants complete this Stage 1 - Research Ethics Approval Form which includes the Risk Checklist.

For student projects classified as Risk Category 1 (e.g., many literature reviews), these can be approved on this Stage 1 – Research Ethics Approval Form by the Research Supervisor.

Applicants whose research studies are classified as Risk Category 2 or 3 must also complete and submit the separate Stage 2 - Research Ethics Approval Form.

Guidance for completion of this form and the application process is provided on pages 3 and 4.

APPLICANT DETAILS	
Your name (if a group project, include all names)	Ekata Ghimire
School	The British College (Leeds Beckett University)
STATUS	
• Undergraduate student	<input checked="" type="checkbox"/>
• Taught Postgraduate student	<input type="checkbox"/>
• Research Postgraduate student	<input type="checkbox"/>
• Staff member	<input type="checkbox"/>
• Other (give details)	
IF THIS IS A STUDENT PROJECT	
• Student ID	77261096(University ID) , 6091(TBC ID)
• Course title (eg, BA (Hons) History)	BSC (Hons) Computing
• Student email	ekata.ghimire333@gmail.com, gekata20@tbc.edu.np
• Research Supervisor's name Or Director of Studies' name	Sukant Kumar Shau
THE PROJECT/STUDY	
Project /study title	Sentiment based chatbot using Machine learning for Mental Health
Start date of project	Feb 20
Expected completion date of project	May 28
Project summary – please give a brief summary of your study (maximum 100 words)	
Mental Health carries a stigma around it even today. Since some people have hard times expressing themselves with the people around them. The AI has the better solution. The focus of this project is to create a chatbot using Machine Learning that is based on Sentimental Analysis and provides recommendation to the users on mental health issues. By making resources and information more available it also aims at improving mental health awareness and reducing stigma around it. It also enlarges the understanding of the Natural Language Processing.	
CONFIRMATION STATEMENTS	
The results of research should benefit society directly or by generally improving knowledge and understanding. <u>Please tick this box to confirm that your research study has a potential benefit. If you cannot identify a benefit you must discuss your project with your Research Supervisor to help identify one or adapt your proposal so the study will have an identifiable benefit.</u>	<input checked="" type="checkbox"/>
<u>Please tick this box to confirm you have read the Research Ethics Policy and the relevant sections of the Research Ethics Procedures and will adhere to these in the conduct of this project.</u>	<input checked="" type="checkbox"/>

RISK CHECKLIST - Please answer ALL the questions in each of the sections below – tick YES or NO WILL YOUR RESEARCH STUDY.....?		YES	NO
1	Involve direct and/or indirect contact with human participants?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2	Involve analysis of pre-existing data which contains personal or sensitive information not in the public domain?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	Require permission or consent to conduct?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	Require permission or consent to publish?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5	Have a risk of compromising confidentiality?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6	Have a risk of compromising anonymity?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	Collect / contain sensitive personal data?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8	Contain elements which you OR your supervisor are NOT trained to conduct?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9	Use any information OTHER than that which is freely available in the public domain?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
10	Involve respondents to the internet or other visual/vocal methods where participants may be identified?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
11	Include a financial incentive to participate in the research?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
12	Involve your own students, colleagues or employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
13	Take place outside of the country where you are enrolled as a student, or for staff, outside of the UK?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
14	Involve participants who are particularly vulnerable or at risk?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
15	Involve any participants who are unable to give informed consent?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
16	Involve data collection taking place BEFORE informed consent is given?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
17	Involve any deliberate deception or covert data collection?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
18	Involve a risk to the researcher or participants beyond that experienced in everyday life?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
19	Cause (or could cause) physical or psychological harm or negative consequences?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
20	Use intrusive or invasive procedures?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
21	Involve a clinical trial?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
22	Involve the possibility of incidental findings related to health status?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
23	Fit into any of the following security-sensitive categories: concerns terrorist or extreme groups; commissioned by the military; commissioned under an EU security call; involves the acquisition of security clearances? If yes, see the guidance.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

CLASSIFICATION The following guidance will help classify the risk level of your study	Tick the box which applies to your project
If you answered NO to all the above questions, your study is provisionally classified as Risk Category 1 (literature reviews will be Risk Category 1).	<input type="checkbox"/>
If you answered YES to any question from 1-13 and NO to all questions 14-22, your study is provisionally classified as Risk Category 2 .	<input checked="" type="checkbox"/>
If you answered YES to any question from 14-22, your study is provisionally classified as Risk Category 3 .	<input type="checkbox"/>
If question 23 has been answered YES , your application will be reviewed by the Chair of the University Research Ethics Sub-committee	<input type="checkbox"/>

DECLARATION AND SIGNATURE/S			
I confirm that I will undertake this project as detailed above. I understand that I must abide by the terms of the approval and that I may not make any substantial amendments to the project without further approval.			
Signed		Date	

FOR RISK CATEGORY 1 STUDENT PROJECTS					
Approval from the Research Supervisor or Director of Studies for a student project: I have discussed the ethical issues arising from the project with the student. I approve this project.					
Name		Signed		Date	

NEXT STEP
<p>RISK CATEGORY 1 PROJECTS: IF YOUR PROJECT HAS BEEN CLASSIFIED AS RISK CATEGORY 1:</p> <ul style="list-style-type: none"> Students: The Research Supervisor should return the signed form to the student and send a copy to the Local Research Ethics Co-ordinator and where relevant, the Research Module Leader, for information. Staff: Submit this form to your Local Research Ethics Co-ordinator. <p>RISK CATEGORY 2 OR 3 PROJECTS: IF YOUR PROJECT HAS BEEN CLASSIFIED AS RISK CATEGORY 2 OR 3 please complete the <u>Stage 2 - Research Ethics Approval form</u> and submit both forms together with supporting documentation.</p> <p>QUESTION 23: If this question has been answered YES, your application will be reviewed by the Chair of the University Research Ethics Sub-committee, and the forms should be submitted directly to Professor Karl Spracklen, k.spracklen@leedsbeckett.ac.uk. You will need to submit the Security-sensitive research form available from the Research Ethics web page.</p> <p style="text-align: center;"><i>Research ethics application forms will be retained in the School for the purposes of quality assurance of compliance and audit for THREE years</i></p>

NOTES FOR COMPLETION

University Research Ethics Policy and Procedures: The University Research Ethics Policy and Research Ethics Procedures should be read prior to commencing this application. Consideration of the application by the reviewer/s will be undertaken in accordance with the Policy and Procedures.

External requirements for the project: Applicants should consider if there are requirements by any relevant professional, statutory or regulatory body, or learned society, which may be relevant to the project or if the project also requires external approval.

Submission

- Student applicants: email the typed form/s to your Research Supervisor or Director of Studies.
- Staff applicants: email the typed form/s to your Local Research Ethics Co-ordinator.

How to complete the form

You can navigate through the form by using the tab keys. If you prefer to complete a normal Word document, you can unlock the form by selecting the 'Restrict Editing' button on the Developer tab, then click on 'Stop Protection'. The boxes should expand to allow space for your text.

Signatures

Electronic/typed signatures are acceptable for emailed forms, as the emails provide the audit trail for all parties' agreement and approval of the forms (e.g., student applicant →Research Supervisor →Local Research Ethics Co-ordinator).

Outcome

Applicants will be advised of the outcome of the application by receipt of the signed form from:

- The Research Supervisor or Director of Studies for Risk Category 1 student projects;
- The Local Research Ethics Co-ordinator or the School level group for Risk Category 2 and 3 projects.

YOU MAY ONLY BEGIN ANY DATA COLLECTION ONCE YOU RECEIVE NOTIFICATION THAT THE PROJECT HAS ETHICAL APPROVAL. If the circumstances of your research study change after approval it is your responsibility to revisit the Risk Checklist and complete a further application.

Advice

When completing the Stage 1 - Research Ethics Approval Form, if you are uncertain about the answer to any question, read the relevant section of the Research Ethics Procedures document, and if you are still unsure:

- if you are student, seek guidance from your Research Supervisor or Director of Studies;
- if you are a staff member, contact your Local Research Ethics Co-ordinator.

APPROVAL PROCESS

- Local Research Ethics Co-ordinator = LREC
- School level group (if your School uses a different review process, please follow your School guidance)
- University Research Ethics Sub-Committee = URESC

Category	Student applicants	Staff applicants
Risk Category 1	<p>If your study has been provisionally classified as Risk Category 1, your Research Supervisor (or Director of Studies) can normally give approval for the project.</p> <p>You must complete this form and submit it to your Research Supervisor for consideration.</p> <p>A copy of the signed form if approved must be given or emailed to the LREC and, where relevant, the Research Module Leader, for information.</p>	<p>If your study has been classified as Risk Category 1, you do not need ethical approval for the project.</p> <p>You must complete the remainder of this form so that your research project is registered with the University.</p> <p>Please submit this form to your LREC.</p>
Risk Category 2	<p>If your study has been provisionally classified as Risk Category 2, your Supervisor (or Director of Studies) can recommend approval for your study by the LREC.</p> <p>You must complete this application form and also the separate <u>Stage 2 - Research Ethics Approval form</u>.</p> <p>Once you have completed the forms please submit both forms and supporting documentation to your Research Supervisor for consideration. Your Supervisor may disagree with your assessment and ask you to make revisions or reject your application. When the Research Supervisor is happy to recommend the application for approval, they will send the forms to the LREC.</p> <p>The LREC will review your project and then decide to approve it, ask for revisions, reject it or pass it on for review by the School level group.</p>	<p>If your study has been provisionally classified as Risk Category 2, your project will be considered for ethical approval by the LREC.</p> <p>You must complete this application form and also the separate <u>Stage 2 - Research Ethics Approval form</u>. Please submit both forms and supporting documentation to your LREC for consideration.</p> <p>The LREC will review your project and then decide to approve it, ask for revisions or pass it on for review by the School level group.</p>
Risk Category 3	<p>Postgraduate Research Students</p> <p>If your study has been provisionally classified as Risk Category 3, your Supervisor or Director of Studies can recommend approval for your study by the LREC.</p> <p>You must complete this application form and also the separate <u>Stage 2 - Research Ethics Approval form</u> and submit both forms to your Director of Studies.</p> <p>If your Director of Studies recommends approval of your project they will refer it to the LREC who will review your project and decide whether to grant ethical approval, request revisions, reject the application or refer it to the School level group for review.</p> <p>Undergraduate and Taught Postgraduate Students</p> <p>If your study has been provisionally classified as Risk Category 3, you should consult with your Research Supervisor immediately as it is unlikely you will be able to proceed and you should negotiate a project that is of lower risk. However, if you have already discussed the project with your Supervisor and they have agreed that a case for approval is warranted, proceed in line with the details above for Research Students.</p>	<p>If your study has been provisionally classified as Risk Category 3, your project will be considered for ethical approval by an appropriate LREC.</p> <p>You must complete this application form and also the separate <u>Stage 2 - Research Ethics Approval form</u> and submit both forms with supporting documentation to your LREC.</p> <p>The LREC will review your project and then decide to approve it, ask for revisions or pass it on for review by the School level group.</p>
Q23	<p>If question 23 has been answered 'yes', your application will be reviewed by the Chair of the University Research Ethics Sub-committee. The answer does not affect the Risk Category.</p>	