Nanzan University Ethical Screening Application Form

for Research Involving Human Subjects

**Documents to submit:**

**# Insert a tick in the brackets to indicate the documents you require in addition to this application form. Please specify the content of any “other documents.”**

：**Explanation sheet\* Please put this together for the participants in your survey or interview etc.**

：**Consent form\* Please create this in order to gain consent from the participants in the surveys**

**or interviews etc.**

：**Signed acknowledgement\* If the survey will focus on people who belong to an external organization, please acquire this from the person in charge of that organization.**

：**Other documents ( )**

Points to note:

1. Refer to the ‘Nanzan University Regulations Governing the Protection of Personal Information’ and the ‘Nanzan University Ethical Guidelines for Conducting Research Involving Human Subjects’ for any clarifications.
2. When conducting joint research with other institutions, specify whether this application is for screening for the entire project or only for the part to be carried out at Nanzan University.
3. Make sure that all the documents that you submit, that is the explanation sheet, consent form and approval form etc. are all filled in with information consistent with that in the other documents.
4. If you would like to use any abbreviations, such as technical terms, conference names, and article names, please state the official name at the beginning (e.g., Japan Association for Language Teaching (hereinafter referred to as "JALT")).
5. If the person conducting the research is a student, the person in charge of the research (academic advisor) should please check and sign all of the documents submitted.
6. Please submit this form to the Education Planning & Research Promotion Office in the Division of Educational and Research Administratio.

Date of submitted: (day/month/year)

**To: Chair of the Nanzan University Committee for Research Screening**

**1. Research title**

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**2. (Applicant) Name of Person Responsible for the Research**

・If the person conducting the research is a student, please enter the name of the academic advisor.

・If the applicant is someone not affiliated with Nanzan University, and this is a joint research project, please write the name of the Nanzan University researcher.

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| Affiliation/position, name |  |

**3. Name of People Conducting the Research**

・ This can be left out if it is the same person as the applicant.

・ Enter the names of all of the researchers involved if there are several researchers, as will be the case with joint research projects,

including the principal investigator.

・If they are students, please enter the faculty or department to which they are affiliated, plus their year of studies and their name(s).

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| Affiliation /position, name |  |
| Affiliation /position, name |  |

**4．Matters for screening**

・Tick to indicate which applies.

・If“Other Matter”is ticked, please enter details in ( ) on the right.

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| Research plan (new) |
| Amendment to research plan (Approval number for the previous plan: - )  ※ If you wish to amend your research plan, please provide a concise outline of the changes to be made. (Change in the subjects etc.)  ※For all the application documents (including explanation sheet and consent form etc.) please highlight the places that have been amended from the previous time.  In addition, please submit the set of application documents as they were before they were amended and the set after they were amended. |
| Other matter :Details（　　　　 　　　　　　　　　　　　　） |

**5. Planned duration of the research**

・If screening is required as part of degree requirements, please set the period to allow for the completion of the screening.

・If you are releasing the results of your research through outside channels please set the period to include the timing of the release of the results. (If the timing of the external release is not set, please enter the date for what could be the longest period for the research project).

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| **From the date approved by the Nanzan University Research Screening Committee**  **to ( dd/mm/yy)** |

**6. Category of research funding**

・Tick those that apply.

・If“Other Subsidy”is ticked, please enter details in ( ) on the right.

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| Grants-in-Aid for Scientific Research (KAKENHI) |
| Pache Research Subsidy |
| Individual Research Subsidy |
| Other Subsidy :Details( 　 ) |
| No cost |

**7. Category of research**

・Tick those that apply.

・If“Other Matter”is ticked, please enter details in ( ) on the right.

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| Graduation thesis or the equivalent |
| Masters thesis or the equivalent |
| Doctoral theses |
| Lectures (practical exercises etc. other than dissertations required for degrees) |
| Other type :Details( ) |

**8. Research Summary**

**8. (1) Explain your research goals and significance, as well as your findings to date. Where necessary, also include reference materials.**

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**8. (2) Research Method: Please enter the details of your research design, method of collecting, managing and analyzing data, etc. (If you have decided upon the survey questions to use, please attach a hard-copy sample of those questions.)**

**8. (2) ① Method of data collection**

・Tick all those that apply.

・If“Other Method”is ticked, please enter details in ( ) on the right.

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| Hard copy survey | Interview | Other method( )  Details( ) |

**8. (2) ② Types of data to be collected**

・Tick all those that apply.

・Indicate if the data will show the participant’s name, or if it will be unnamed (unidentifiable), numbered or if pseudonyms will be used.

・If“Other Matter”is ticked, please enter details in ( ) on the right.

・With regard to the type and handling of the data to be collected, it is necessary to clearly state that in the explanation sheet, and to explain it to those participating in the research. Please check that the entries have been made on the explanation sheet and tick where it says “enter on explanation sheet”.

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| type of medium | type of data | handling of data | entry to the explanation sheet |
| paper media | survey questions sheets | name entered  unnamed  numbered or will use pseudonyms |  |
| interview notes | name entered  numbered or will use pseudonyms |  |
| transcribed data | name entered  numbered or will use pseudonyms |  |
| digital data | interview notes  (entered in MSWord etc.) | name entered  numbered or will use pseudonyms |  |
| transcribed data  (entered in MSWord etc.) | name entered  numbered or will use pseudonyms |  |
| voice recordings | name entered  numbered or will use pseudonyms  ※Regarding the judgment of being name entered as opposed to numbered or will use pseudonyms  “Name entered” = data that at the time of its collection was not blurred or did not have the voice modified.  “Numbered or will use pseudonyms” = data that at the time of its collection was blurred or had the voice modified. |  |
| video data |  |
| image data |  |
| others | others  details ( ) | name entered  unnamed  numbered or will use pseudonyms |  |

**8. (2) ③** Categories of the participants involved in the research and the planned number of the participants involved in the research

・Please give numbers for each survey if you are carrying out several surveys.

Also, if you are dividing the participants into several different categories, please enter the number you plan to have in each category.

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| Survey method | Categories of respondents | Planned number of people to be surveyed |
| “Example entry” Question sheet survey | “Example entry” 4th year students of the \*\* Faculty of Nanzan University | “Example entry” 50 people |
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**8. (2) ④ Method of accessing participants**

・Please explain the method you will use to access your participants (where and how will you advertise?)

・If you are dividing the participants into several different surveys, please explain your method of recruiting participants for each survey.

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**8. (2) ⑤ Give specific detail of the content of your survey, the schedule and method for data analysis**

・If you are carrying out several different surveys, please explain the content of each in an easily understandable manner.

・In your schedule please include the deadline for the submit of papers or the release of results.

・Please also fill in the content of the data to be collected, such as interviews and questionnaires. In particular, please clearly state questions about collecting personal information.

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| 【Survey method and the content of the data to be collected (Enter the content of the survey of interview)】  【Survey schedule】  【Method of data analysis】 |

**9. Method of release of research results etc.**

**9. (1) Method and timing of release of research results etc.**

・Please give specific details. (If still undecided, please give the likely timing.)

・Match this against the length of the scheduled period of research

・e.g.: Will be released as a graduation thesis (master or doctoral) with the planned release being at the ?? Academic Conference scheduled for ??? (month) ??? (year), or in the journal entitled (“????”) planned for publication on ??? (month) ??? (year).

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**9. (2) Whether or not your research results will be released through an external body**

・Tick all those that apply.

・Even if it is not yet decided what external body your research results will be released through, if there is a possibility that this will happen through an external body, please mark “yes”.

・Japanese government (MEXT ordinance) regulations governing degrees require that doctoral theses be released through an external body, so this is a “yes”.

・In the case of graduation theses and a master thesis, then it is not being released through an external body.

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| Yes | No |

**10. Scientific rationality and ethical appropriateness of the research**

**10. (1) Method of securing the understanding and consent of the participants involved in the research**

・When conducting Research Involving Human Subjects, the person conducting the research will use an explanation sheet to explain the research outline and how the data will be handled. If, based on that explanation, the people who are the subject of the research agree to participate, they must submit a consent form to the person conducting the research.

・The format of the explanation sheet and the consent form set out by the Committee for Research Screening, is in keeping with the

Nanzan University Ethical Guidelines for Conducting Research Involving Human Subjects, and is composed of the minimum range

of items that must be explained. If this format is to be used, while it is possible to add items as required in order to explain your

research plan, it is not possible to delete items 1-5 within the format of the explanation sheet.

・Unless there is a special reason not to, please use the format set by the Committee for Research Screening for the explanation sheet

and the consent form.

**10. (1) ① Explanation of the explanation sheet and the consent form**

・If you do use the explanation sheet and the consent form set by the Committee for Research Screening, please tick 'Use format'.

・If you do not use the format set by the Committee for Research Screening for the explanation sheet and the consent form, please tick 'Do not use format' and clearly explain the reason why.

・If you do use the format set by the Committee for Research Screening for the explanation sheet and the consent form, and add explanatory items beyond this, please tick 'Use format but add items' and clearly explain the reason why.

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| --- |
| Use format |
| Do not use format  (Please clearly explain the reason why.)  Use format but add items  (Please clearly explain the reason why.) |

**10. (1) ② Please specifically explain the place where and how the consent form will be collected from the participants.**

・If you plan to carry out several surveys, and some use consent forms while others do not, please state which category of participants submit consent forms.

・After the survey is complete, please submit copies of the consent form to the Office of the Committee for Research Screening.

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| 【Where to give explanations.】  【How to obtain the consent form.】 |

**10. (1) ③ If you do not obtain a consent form, please explain the reason for this**

・If you plan to carry out several surveys, and some use consent forms while others do not, please state which category of participants submit consent forms.

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**10. (1) ④ Whether or not you will obtain “signed acknowledgement”**

・Tick all those that apply. If you mark “yes” please state the names of the organizations that you will focus on.

・If the survey will focus on people who belong to an external organization, in addition to the consent forms from the participants

the survey, you will also require “signed acknowledgement” from the person in charge of that organization.

・There are cases in which you will not need to acquire a“signed acknowledgement” because the person carrying out the research is a connection of the person conducting the research.

・After the survey is complete, please submit copies of the “signed acknowledgement” to the Office of the Committee for Research Screening.

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| yes Name of organization:  already obtained  will obtain after gaining approval from the Committee. |
| unnecessary |
| # For surveys in which students of the Nanzan University Center for Japanese Studies are involved as subjects, approval is required from the Head of the Office of the Center for International Affairs and the Assistant Director of the Center for International Affairs.  Approved  Approval to be given after the Committee gives approval |

**10. (2) Protection of the human rights and safety of the participants involved in the research(please give details of any possible physical or mental impact on the participants and details of measures to ensure that the risk of personal information being disclosed etc. is minimized.)**

**10. (2) ① Period of storage of data and the timing of its deletion**

・If the data is to be released through an external body, as a general rule, in accordance with the Nanzan University Guidelines for the Storage etc. of Research Data” you are required to store the data for at least ten years after its release.

・If “no” is entered for external release, it is preferable that the data is disposed of swiftly after the research has finished.

・If data is to be stored in perpetuity, please explain why this will happen. Also, in the Guidelines it is determined that when the person in charge of the research leaves Nanzan, the faculty or department etc. to which they were affiliated must take measures to confirm the location of the data and the ongoing contact details of the person who was in charge after they leave Nanzan. For this reason, please inform your faculty or department etc. that the data is to be stored in perpetuity.

・Please enter the specific details of by when the data will be disposed of.

　For example: “Will be stored for ten years after being presented at an academic conference and then disposed of by \*\* or “After the graduation thesis is submitted, it will be disposed of by \*\*” etc.

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**10. (2) ② Where and how the research data will be stored**

・Give specific details.

・It is preferable that the computer, hard drive or memory device etc. requires a password to enable access and that it is stored in a place, for example, home or laboratory that can be locked to ensure that it is secure.

・If you use a desk-top computer, do not store the data in the computer itself, but instead on a USB memory stick that requires a password and preferably then store that in a place that can be locked.

・With regard to the place and method of storage of the data, clearly state this on the explanation sheet, and explain this to the participants in the research.

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| Type of data | Method of storage of the data and its location | Entered on the explanation sheet |
| “Example entry” transcribed data (digital data) | “Example entry” Have put a password on the USB memory stick and am storing it in a locked drawer in the home of the person conducting the research. |  |
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**10. (2) ③ Whether or not the data will be anonymized during storage**

・For each type of data, please enter whether or not it is being anonymized.

・If it is being anonymized, please enter the specific method used for doing so for each type of data.

・If it is not being anonymized, you need to explain the reason why to the subjects of the survey.

・With regard to the “method of anonymizing the data” or the “reason for not anonymizing the data or the approach to its storage”, it is a requirement to state that on the explanation sheet and to acquire the consent of the people being surveyed. Check that the details are entered on the explanation sheet and tick the box for “stated on the explanation sheet”.

・If the way the data is handled will differ depending upon the stage of the research (when acquiring the data, storing it and presenting the results etc.) please state that. (For example, when the individual can be identified when the data is acquired, but it will be anonymized when it is stored and when the results are presented.) In addition, if at the \*\* stage the data will be anonymized but then at the \*\* stage it will not be anonymized, the question of whether it is anonymized or not should be entered as “no”. (refer to example entry)

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| Type of data | Anonymized or not | If it is anonymized: the specific method  If it is not anonymized: the reason and the measures taken to store the data | Entered on the explanation sheet |
| “Example entry” voice recordings | “Example entry”  not anonymized | “Example entry”  When the data is acquired: Because of the technical difficulty involved in processing the data, it is not possible to anonymize it.  When the data is stored: Attach a password to the data file, giving it a file name that does not allow the individual to be identified, and store it carefully with the person in charge of the research.  When the data is released: Use a pseudonym to anonymize it. |  |
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**10. (2) ④ Method of deletion of data**

・Please state the specific details regarding the method of disposal of the data for each type of data.

・The standard approach should be to delete the data from the computer or device with related documents being shredded.

・If the person carrying out the research is a student, please dispose of the data under the guidance of the student’s academic advisor.

Also, please clearly state the detail of that guidance.

・With regard to the methods of disposing of the data, it must be clearly stated on the explanation sheet and explained to the people participating in the research. Check that the details are entered on the explanation sheet and tick the box for “stated on the explanation sheet”.

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| Type of data | Method of disposal of the data | Entered on the explanation sheet |
| “Example entry” voice recordings | “Example entry” Delete the data completely from the computer hard drive and the USB memory stick with the guidance from my academic advisor. Report the destruction of data to my academic advisor. |  |
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**10. (2) ⑤ Anticipated mental/physical burden and how to mitigate it**

・Please specifically state whether or not there is a possibility of the subjects participating in the survey suffering physical or mental pain.

・In the case of surveys that may cause mental anguish because they involve a long period of questioning, or questions regarding personal matters (e.g.: non-attendance at school or interviews with people who have lost family members, etc.), it may be necessary to terminate the survey part way through.

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**10. (3) Overall judgment of the scientific benefits and risks involved in this research**

・Please enter any specific risks that might exist and explain why the research should be carried out despite the presence of risk.

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　　　　　　　　　　　　　　　I have checked the details of the ethical screening documents from the person conducting Research Involving Human Subjects.

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| Name of academic advisor |  |

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