**Research registration form**

All research projects using Personal Data must be registered with the UCL Data Protection Office before the data is collected. Completing this form is part of that process.

For research projects that require a review by a Health Research Authority (HRA), Research Ethics Committee (REC), or if your study involves the processing of special category personal data (sensitive), and you are an undergraduate, or postgraduate student.

Where UCL is a Controller it must comply with the Data Protection Legislation. For students who are processing Personal Data as part of their UCL programme of studies, UCL will be the Controller.

This form should be completed if Personal Data is collected and used as part of the research project. Research registration will not be required when staff or students are only processing Anonymous Data.

Definitions of terms used in this form, such as Personal Data, are given below.

All sections **must** be completed before submitting this form. Please ensure all required supporting documentation is also uploaded. Failing to comply will result in a delay to your research registration.

If you are external to UCL, please complete the following form below instead of completing the online Microsoft form and submit it electronically to data-protection@ucl.ac.uk together with the supporting documentation.

If you are having issues accessing or using this form, please notify us at data-protection@ucl.ac.uk.

We may have some questions about the information you provide, but you will normally be provided with a registration number within 10 working days of submitting the form. However, the period leading up to meeting of Ethics Committees is always very busy, and you should allow more time for your application to be processed.

If you are having issues accessing or using this form, please notify us at data-protection@ucl.ac.uk

**Definitions**

**Personal Data**: any information relating to an identified or identifiable living individual.

**Pseudonymised personal data** means:

‘...**personal data** [that] can no longer be attributed to a specific data subject without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure that the personal data are not attributed to an identified or identifiable natural person'
[GDPR, Article 4]

**Anonymised data**: data which does not relate to an identified or identifiable natural person or personal data that has been rendered anonymous in such a manner that the data subject is not or no longer identifiable.

**Special categories of personal data**: personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation.

**Controller**: a person which, alone or jointly with others, determines the purposes and means of the Processing of Personal Data.

**Data Protection Legislation**: all applicable laws and regulations relating to the Processing of Personal Data as the same may be in force from time to time.

**Joint Controller**: a Controller which, jointly with one or more other Controllers, determines the purposes and means of Processing.

**Processing**: any operation or set of operations which is performed on Personal Data or on sets of Personal Data.

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| 1. **STUDY DETAILS**
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1. Title of the study:

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1. Proposed start date:

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1. Proposed end date (if known):

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| 1. **CHIEF INVESTIGATOR (CI); PRINCIPAL INVESTIGATOR (PI)**
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**Please note:** *students cannot be the CI/PI for Ethics purposes.*
*If the CI/PI is not a UCL employee you should provide details below of a responsible UCL employee below.*

1. Full Name:

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1. Position held:

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1. Confirm Email:

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1. Telephone:

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| 1. **DATA COLLECTOR(S)**
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Data Collector(s) Details *(if Applicant is not the CI/PI e.g. student details)*.
If the CI/PI is also the Data Collector, applicants are advised to insert **N/A** below.

1. Full Name:

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1. Position held:

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1. Faculty:

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| 1. **DETAILS OF THE PROJECT**
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1. Please provide a brief summary of the project, including an explanation of the aims, design, methodology and plans for analysis that you propose to use.

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| 1. **PRIVACY IMPACT SCREENING QUESTIONS**
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If the answer to any of these questions is ‘yes’, then a [DPIA](https://www.ucl.ac.uk/data-protection/guidance-staff-students-and-researchers/practical-data-protection-guidance-notices/data-protection) is required.

1. Will the project require individuals to provide information about themselves?

[What is personal data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/)?

[ ]  Yes [ ]  No

1. Will information about individuals be shared with organisations or people who have not previously had routine access to the information?

[ ]  Yes [ ]  No

1. Will the project use information about individuals for a purpose it is not currently used for, or in a way it is not currently used?

[ ]  Yes [ ]  No

1. Does the project involve you using new technology that might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.

[ ]  Yes [ ]  No

1. Will the project result in you making decisions or treating individuals in ways which can have a significant impact on them?

[ ]  Yes [ ]  No

1. Will the project involve processing special category personal data?

[Special category data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/special-category-data/)

[ ]  Yes [ ]  No

1. Will the project require contact with individuals in ways they may find intrusive, e.g. unexpected telephone calls?

[ ]  Yes [ ]  No

1. Will the project use personal data, including personal data obtained from live or operational systems for access or transfer outside the UK (e.g. use of Cloud, Hybrid or offshore support purposes)?

[ ]  Yes [ ]  No

1. Will the project involve the processing of under 18’s personal data?

[Children and the UK GDPR](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/children-and-the-uk-gdpr/)

[ ]  Yes [ ]  No

1. Will your research involve the use of secondary data (e.g. books, personal sources, journals, newspapers, websites, government records etc.)?

[ ]  Yes [ ]  No

1. If your research involves re-analysis of secondary data, please indicate the original purpose for which the data was collected, and comment on whether the original participants were supplied with relevant information at data collection for additional use later on.

If this section does not apply, applicants are advised to insert **N/A** below.

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| 1. **PARTICIPANTS**
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Will the study enrol potentially vulnerable groups (e.g. children, older persons or adults with learning difficulties for those who fall under the remit of the Mental Capacity Act 2005) participants? Vulnerability may be defined in different ways and researchers will need to assess the level of potential vulnerability within the context of the research.

1. Children under 18

[Children and the UK GDPR](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/children-and-the-uk-gdpr/)

[ ]  Yes [ ]  No

1. People lacking capacity (e.g. unable to understand information provided about a particular decision. Retain that information long enough to make a decision. Consider and assess the information to make a decision. Communicate a decision by talking through sign language or any other means.

[ ]  Yes [ ]  No

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| 1. **DETAILS OF PARTICIPANTS**
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Please provide details of the participants for this project, including how they will be selected and recruited.

1. How many participants will be involved in the research?

☐ 1 – 20

☐ 21 – 100

☐ 101 – 1000

☐ 1001 – 5000

☐ Greater than 5000

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| 1. **DATA COLLECTION**
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1. What type of information will be collected?
*If a mixture of types will be collected, select all that are applicable.*

[ ]  **Anonymised data** – no personal identifiers with no link between the individual and the data.

[ ]  **Pseudonymised personal data** – e.g. key-coded data which includes some (often partial) personal identifiers (e.g. initials and DOB) thus potential for indirect identification of participants from the information in combination with other information.

[ ]  **Fully identifiable personal data** – e.g. data with any of the following; names, addresses, hospital number, and NHS number.

1. If personal identifiers (including within pseudonymised data) will be collected, please list all e.g. *initials, DOB, names, addresses, NHS number.*

[What is personal data?](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/)

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1. Is it intended to include participants who are prisoners or young offenders in the custody of HM Prison Service or supervised by the probation service?

[ ]  Yes [ ]  No

1. Have you completed a [Data Protection Impact Assessment](https://www.ucl.ac.uk/data-protection/guidance-staff-students-and-researchers/practical-data-protection-guidance-notices/data-protection) (DPIA)?

[ ]  Yes [ ]  No [ ]  Pending

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| 1. **DATA STORAGE**
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1. What type of information will be stored?

*If a mixture of types will be collected, select the most identifiable option.*

[What is personal data?](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/)

[ ]  Anonymised data

[ ]  Pseudonymised personal data

[ ]  Fully identifiable personal data

1. Where will the data be stored by UCL?
For data storage outside of UCL, see **section** **M**.

[ ]  UCL Data Safe Haven

[ ]  UCL system, e.g. ‘S’ or ‘N’ drive

[ ]  Hard drive of a portable device

[ ]  Cloud (UK)

[ ]  Cloud (inside EU/EEA)

[ ]  Cloud (outside EU/EEA)

[ ]  Manual files (e.g. paper) at UCL

[ ]  Other, please specify in Q39

1. If the data will be stored outside UCL, please provide details below. (This should include any stipulations of the security of the data, such as an encrypted storage facility, geographical location of physical servers; please also outline who will be accessing it for analysis).

If this section does not apply, applicants are advised to insert **N/A** below.

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| 1. **PARTNERS AND DATA PROCESSORS**
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Please list all study collaborators / third parties, who will be sending / receiving personal data for study purposes or their own purposes. These can include contract research organisations, funders, other universities involved in the research or in publishing findings from the study.

[Key definitions](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/)

If there are more than one study collaborator involved with the research, please provide details of them all.

If this section does not apply, applicants are advised to insert **N/A** below.

1. Name of third party:

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1. Status of party:

☐ Controller

☐ Processor

☐ Both

☐ N/A

1. If you are working with an external collaborator, where are their offices located?

[ ]  Inside EU/EEA

[ ]  Outside EU/EEA

[ ]  Inside the UK

☐ N/A

1. Activity/ purpose (e.g. storage, processing, analysis):

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1. Method of data transfer (e.g. UCL Data Safe Haven, AES-256 encryption with password):

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1. Data storage (e.g. private company computers/ system, NHS computers/ system, home or other personal computers, cloud):

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1. Length of data retention (e.g. duration of trial and archive for x years):

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1. Is there a contract in place. If **Yes,** please upload below:

[ ]  Yes [ ]  No [ ]  Pending

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| 1. **INTERNATIONAL TRANSFER**
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1. Please indicate if personal data will be transferred outside the EU (including the UK) as part of this study:

[ ]  Yes [ ]  No

1. If personal data is transferred outside the EU (including the UK) confirm you have followed the [guidance on transfers](https://www.ucl.ac.uk/legal-services/sites/legal-services/files/ucl_guidance_note_-_transfers_outside_the_eea.pdf):

[ ]  Yes [ ]  No

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| 1. **SPONSOR**
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Please provide details of the sponsor for this research below. This can be an individual, company, institution, funding council, or another organisation which takes responsibility for the initiation, management and/or financing of the research.

If this section does not apply, applicants are advised to insert **N/A** below.

1. Proposed sponsorship arrangement:

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1. Details of sponsor:

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1. Is there a contract in place with the sponsor? If **Yes**, please upload below.

[ ]  Yes [ ]  No

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| 1. **SUPPORTING DOCUMENTATION AND CHECKLIST**
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1. **Please provide**a summary of the study including:
* A description of the study and any information flows.
* Details of any personal data being collected, e.g. ‘basic identifiers’ or Special Category Data.
* The methods of data collection and analysis.
* A diagram setting out the information flows, if available.
* Details of any partners not already identified in the form, e.g. other universities or organisations.
* Details of any processors being used, e.g. data storage providers or transcription services.

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1. Data Protection Impact Assessment (DPIA). If **Yes**, please attach.

[ ]  Yes [ ]  No [ ]  N/A

1. Participant information sheet(s) (PIS) and Privacy Notice if separate. If **Yes**, please attach.

[ ]  Yes [ ]  N/A

1. Informed consent form(s). If **Yes,**please attach.

[ ]  Yes [ ]  N/A

1. Other documentation being used to invite/inform participants about the research. If **Yes,** please attach.

[ ]  Yes [ ]  N/A

1. Data Sharing/Processor agreements. If **Yes**, please attach.

[ ]  Yes [ ]  N/A

1. Local Data Protection Coordinator notified. **Please confirm.**
**Please note:***not all departments have a local data protection coordinator. This role is different from the data protection officer (which is a centralised function) and you should check with your department whether this requirement applies to you.*

[ ]  Yes [ ]  N/A

1. Appropriate [safeguards guidance](https://bit.ly/3yZqo3u)read and implemented. **Please confirm.**

[ ]  Yes [ ]  N/A

1. If this application is linked to a previously approved research registration, please provide the number issued.

If this question does not apply, applicants are advised to insert **N/A** below.

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1. If you have answered **Yes,** to Q47, Q52, Q54 - Q58, please attach relevant documentation to your email to data-protection@ucl.ac.uk.