

**Doctoral Student Ethics Application Form**

Anyone conducting research under the auspices of the Institute of Education (staff, students or visitors) where the research involves human participants or the use of data collected from human participants, is required to gain ethical approval before starting. This includes preliminary and pilot studies. Please answer all relevant questions in simple terms that can be understood by a lay person and note that your form may be returned if incomplete.

**Registering your study with the UCL Data Protection Officer as part of the UCL Research Ethics Review Process**

If you are proposing to collect personal data i.e. data from which a living individual can be identified **you must be registered with the UCL Data Protection Office before you submit your ethics application for review**. To do this, email the complete ethics form to [data-protection@ucl.ac.uk](mailto:data-protection@ucl.ac.uk). Once your registration number is received, add it to the form\* and submit it to your supervisor for approval. If the Data Protection Office advises you to make changes to the way in which you propose to collect and store the data this should be reflected in your ethics application form.

***Please note that the completion of the UCL GDPR online training is mandatory for all PhD students. The link is here:*** [***https://www.ucl.ac.uk/legal-services/ucl-general-data-protection-regulation-gdpr/gdpr-online-training***](https://www.ucl.ac.uk/legal-services/ucl-general-data-protection-regulation-gdpr/gdpr-online-training)

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| **Section 1 Project details** | | | | | | |
| a. | Project title | | | |  | |
| b. | Student name and ID number (e.g. ABC12345678) | | | |  | |
| c. | **\*UCL Data Protection Registration Number** | | | | Date issued | |
| c. | Supervisor/Personal Tutor | | | |  | |
| d. | Department | | | |  | |
| e. | Course category  (Tick one) | | | PhD | | EdD |
|  |  | | | DEdPsy | |  |
| f. | **If applicable,** state who the funder is and if funding has been confirmed. | | | |  | |
| g. | Intended research start date | | | |  | |
| h. | Intended research end date | | | |  | |
| i. | Country fieldwork will be conducted in  *If research to be conducted abroad please check* [*www.fco.gov.uk*](http://www.fco.gov.uk) *and submit a completed travel risk assessment form (see guidelines). If the FCO advice is against travel this will be* ***required*** *before ethical approval can be granted:*  [*http://ioenet.inst.ioe.ac.uk/about/profservices/international/Pages/default.aspx*](http://ioenet.inst.ioe.ac.uk/about/profservices/international/Pages/default.aspx) | | | |  | |
| j. | | Has this project been considered by another (external) Research Ethics Committee? | | | | |
|  | | Yes | External Committee Name: | | | |
|  | | No  *go to Section 2* | Date of Approval: | | | |
| ***If yes:***   * Submit a copy of the approval letter with this application. * Proceed to Section 10 Attachments**.** | | | | | | |
| **Note**: Ensure that you check the guidelines carefully as research with some participants will require ethical approval from a different ethics committee such as the [National Research Ethics Service](http://www.nres.nhs.uk/) (NRES) or [Social Care Research Ethics Committee](http://www.scie.org.uk/research/ethics-committee/) (SCREC). In addition, if your research is based in another institution then you may be required to apply to their research ethics committee. | | | | | | |

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| **Section 2 Research methods summary (tick all that apply)** | |
| Interviews  Focus groups  Questionnaires  Action research  Observation  Literature review | Controlled trial/other intervention study  Use of personal records  Systematic review ***if only method used go to Section 5.***  Secondary data analysis ***if secondary analysis used go to Section 6.***  Advisory/consultation/collaborative groups  Other, give details: |
| Please provide an overview of the project, focusing on your methodology. This should include some or all of the following: purpose of the research, aims, main research questions, research design, participants, sampling, data collection (including justifications for methods chosen and description of topics/questions to be asked), reporting and dissemination. Please focus on your methodology; the theory, policy, or literary background of your work can be provided in an attached document (i.e. a full research proposal or case for support document). *Minimum 150 words* *required.* | |

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| **Section 3 Research Participants (tick all that apply)** | |
| *Tic*  Early years/pre-school  Ages 5-11  Ages 12-16  Young people aged 17-18 | Adults *please specify below*  Unknown – specify below  No participants |
| **NB:** Ensure that you check the guidelines carefully as research with some participants will require ethical approval from a different ethics committee such as the [National Research Ethics Service](http://www.nres.nhs.uk/) (NRES) or [Social Care Research Ethics Committee](http://www.scie.org.uk/research/ethics-committee/) (SCREC). | |

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| **Section 4 Security-sensitive material (only complete if applicable)** | | | |
| Security sensitive research includes: commissioned by the military; commissioned under an EU security call; involves the acquisition of security clearances; concerns terrorist or extreme groups. | | | |
| a. | Will your project consider or encounter security-sensitive material? | Yes  \* | No |
| b. | Will you be visiting websites associated with extreme or terrorist organisations? | Yes  \* | No |
| c. | Will you be storing or transmitting any materials that could be interpreted as promoting or endorsing terrorist acts? | Yes  \* | No |
| *\* Give further details in* ***Section 8 Ethical Issues*** | | | |

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| **Section 5 Systematic reviews of research (only complete if applicable)** | | | |
| a. | Will you be collecting any new data from participants? | Yes  \* | No |
| b. | Will you be analysing any secondary data? | Yes  \* | No |
| *\* Give further details in* ***Section 8 Ethical Issues***  *If your methods do not involve engagement with participants (e.g. systematic review, literature review)* ***and*** *if you have answered* ***No*** *to both questions,**please go to* ***Section 8 Attachments.*** | | | |

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| **Section 6 Secondary data analysis (only complete if applicable)** | | | | | | |
| a. | Name of dataset/s |  | | | | |
| b. | Owner of dataset/s |  | | | | |
| c. | Are the data in the public domain? | Yes | No | | | |
|  | ***If no,*** *do you have the owner’s permission/license?*  Yes  No\* | | | |
| d. | Are the data special category personal data (i.e. 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)? | | | Yes\* | | No |
| e. | Will you be conducting analysis within the remit it was originally collected for? | | | Yes | | No\* |
| f. | **If no,** was consent gained from participants for subsequent/future analysis? | | | Yes | | No\* |
| g. | **If no,** was data collected prior to ethics approval process? | | | Yes | | No\* |
| *\* Give further details in* ***Section 8 Ethical Issues***  *If secondary analysis is only method used* ***and*** *no answers with asterisks are ticked, go to* ***Section 9 Attachments.*** | | | | | | |
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| **Section 7 Data Storage and Security**  *Please ensure that you include all hard and electronic data when completing this section.* | | | | | | |
| a. | **Data subjects -** Who will the data be collected from? | | | | | |
| b. | **What data will be collected?** Please provide details of the type of personal data to be collected | | | | | |
| c. | |  | | --- | | **Is the data anonymised?** Yes  No\*    Do you plan to anonymise the data? Yes\*  No    Do you plan to use individual level data? Yes\*  No  Do you plan to pseudonymise the data? Yes\*  No  *\* Give further details in* ***Section 8 Ethical Issues*** | | | | | | |
| e. | **i. Disclosure** – Who will the results of your project be disclosed to?  **ii. Disclosure** – Will personal data be disclosed as part of your project? | | | | | |
| f. | **Data storage** – Please provide details on how and where the data will be stored i.e. UCL network, encrypted USB stick\*\*, encrypted laptop\*\* etc.  \*\* Advanced Encryption Standard 256 bit encryption which has been made a security standard within the NHS | | | | | |
| g.. | **Data Safe Haven (Identifiable Data Handling Solution)** – Will the personal identifiable data collected and processed as part of this research be stored in the UCL Data Safe Haven (mainly used by SLMS divisions, institutes and departments)? | | | | Yes  No | |
| h. | How long will the data and records be kept for and in what format?  Will personal data be processed or be sent outside the European Economic Area? (If yes, please confirm that there are adequate levels of protections in compliance with GDPR and state what these arrangements are)  Will data be archived for use by other researchers? (If yes, please provide details.) | | | | | |
| i. | If personal data is used as part of your project, describe what measures you have in place to ensure that the data is only used for the research purpose e.g. pseudonymisation and short retention period of data’ | | | | | |
|  | *\* Give further details in* ***Section 8 Ethical Issues*** | | | | | |

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| **Section 8 Ethical issues** | |
| Please state clearly the ethical issues which may arise in the course of this research and how will they be addressed.  **All** issues that may apply should be addressed. Some examples are given below, further information can be found in the guidelines. *Minimum 150 words required.* | |
| * Methods * Sampling * Recruitment * Gatekeepers * Informed consent * Potentially vulnerable participants * Safeguarding/child protection * Sensitive topics | * International research * Risks to participants and/or researchers * Confidentiality/Anonymity * Disclosures/limits to confidentiality * Data storage and security both during and after the research (including transfer, sharing, encryption, protection) * Reporting * Dissemination and use of findings |
| Please confirm that the processing of the data is not likely to cause substantial damage or distress to an individual Yes | |

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| **Section 9 Attachments** Please attach the following items to this form, or explain if not attached | | | |
| a. | Information sheets, consent forms and other materials to be used to inform potential participants about the research *(List attachments below)* | Yes | No |
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|  | ***If applicable/appropriate:*** |  |  |
| b. | Approval letter from external Research Ethics Committee | Yes | |
| c. | The proposal (‘case for support’) for the project | Yes | |
| d. | Full risk assessment | Yes | |

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| **Section 10 Declaration** | |
| I confirm that to the best of my knowledge the information in this form is correct and that this is a full description of the ethical issues that may arise in the course of this project.  I have discussed the ethical issues relating to my research with my supervisor.  I have attended the appropriate ethics training provided by my course.  **I confirm that to the best of my knowledge:**  The above information is correct and that this is a full description of the ethics issues that may arise in the course of this project. | |
| Name |  |
| Date |  |

**Please submit your completed ethics forms to your supervisor for review.**

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| **Notes and references** |
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| **Professional code of ethics**  You should read and understand relevant ethics guidelines, for example:  [British Psychological Society](https://www.bps.org.uk/news-and-policy/bps-code-ethics-and-conduct) (2018) *Code of Ethics and Conduct*  or  [British Educational Research Association](https://www.bera.ac.uk/wp-content/uploads/2018/06/BERA-Ethical-Guidelines-for-Educational-Research_4thEdn_2018.pdf?noredirect=1) (2018) *Ethical Guidelines*  or  [British Sociological Association](https://www.britsoc.co.uk/media/24310/bsa_statement_of_ethical_practice.pdf) (2017) *Statement of Ethical Practice*  Please see the respective websites for these or later versions; direct links to the latest versions are available on the Institute of Education <http://www.ucl.ac.uk/ioe/research/research-ethics>  **Disclosure and Barring Service checks**  If you are planning to carry out research in regulated Education environments such as Schools, or if your research will bring you into contact with children and young people (under the age of 18), you will need to have a Disclosure and Barring Service (DBS) CHECK, before you start. The DBS was previously known as the Criminal Records Bureau (CRB) . If you do not already hold a current DBS check, and have not registered with the DBS update service, you will need to obtain one through at IOE.  Ensure that you apply for the DBS check in plenty of time as will take around 4 weeks, though can take longer depending on the circumstances.  **Further references**  The [www.ethicsguidebook.ac.uk](http://www.ethicsguidebook.ac.uk) website is very useful for assisting you to think through the ethical issues arising from your project.  Robson, Colin (2011). *Real world research: a resource for social scientists and practitioner researchers* (3rd edition). Oxford: Blackwell.  This text has a helpful section on ethical considerations.  Alderson, P. and Morrow, V. (2011) *The Ethics of Research with Children and Young People: A Practical Handbook.* London: Sage.  This text has useful suggestions if you are conducting research with children and young people.  Wiles, R. (2013) What are Qualitative Research Ethics? Bloomsbury.  A useful and short text covering areas including informed consent, approaches to research ethics including examples of ethical dilemmas. |

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| **Departmental use** | | |
| If a project raises particularly challenging ethics issues, or a more detailed review would be appropriate, the supervisor **must** refer the application to the Research Development Administrator (via [ioe.researchethics@ucl.ac.uk](mailto:ioe.researchethics@ucl.ac.uk) so that it can be submitted to the IOE Research Ethics Committee for consideration. A departmental research ethics coordinator or representative can advise you, either to support your review process, or help decide whether an application should be referred to the REC. If unsure please refer to the guidelines explaining when to refer the ethics application to the IOE Research Ethics Committee, posted on the committee’s website. | | |
| Student name |  | |
| Student department |  | |
| Course |  | |
| Project title |  | |
| **Reviewer 1** |  | |
| Supervisor/first reviewer name |  | |
| Do you foresee any ethical difficulties with this research? |  | |
| Supervisor/first reviewer signature |  | |
| Date |  | |
| **Reviewer 2** |  | |
| Second reviewer name |  | |
| Do you foresee any ethical difficulties with this research? |  | |
| Supervisor/second reviewer signature |  | |
| Date |  | |
| **Decision on behalf of reviews** |  | |
| Decision | Approved |  |
| Approved subject to the following additional measures |  |
| Not approved for the reasons given below |  |
| Referred to REC for review |  |
| Points to be noted by other reviewers and in report to REC |  | |
| Comments from reviewers for the applicant |  | |
| ***Once it is approved by both reviewers, students should submit their ethics application form to the Centre for Doctoral Education team:*** [IOE.CDE@ucl.ac.uk](mailto:IOE.CDE@ucl.ac.uk). | | |