

**Staff Ethics Application Form**

Anyone conducting research under the auspices of the Institute (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 terms that can be understood by a lay person and note that your form may be returned if incomplete.

The guidelines on the UCL IOE Research Ethics webpage provide support and advice. You can also contact IOE.researchethics@ucl.ac.uk.

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| **Section 1 Project details** | | | | | | | |
| a. | Project title | |  | | | | |
| b. | Principal Investigator (PI) | |  | | | | |
| c. | Co-Investigators/Partners/ Collaborators | |  | | | | |
| d. | Department | |  | | | | |
| e. | Start date | |  | | | | |
| f. | End date | |  | | | | |
| g. | Funder | |  | | | | |
| h. | Funding confirmed? | |  | | | | |
| i. | Expedited review requested? | | Yes | | | No  *go to 1j.* | |
|  | ***If yes,***please give your reason for expedited review. **Note:** Expedited reviews are for exceptional circumstances only. | | | | | | |
| j. | Specify which professional code of ethics will be adhered to for this research: | | | | | | |
| k. | Is this application a continuation of a research project that has already received ethical approval? | | | | Yes | | No |
|  | ***If yes,*** provide details below (see guidelines) including the ethics reference number. | | | | | | |
| l. | Country fieldwork will be conducted in  *If research to be conducted abroad please ensure travel insurance is obtained through UCL* [*http://www.ucl.ac.uk/finance/insurance/travel*](http://www.ucl.ac.uk/finance/insurance/travel) | | |  | | | |
| m. | 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 9 Attachments**.** | | | | | | | |

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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)** | |
| Approximate maximum number of participants required:  Approximate lower age limit:  Approximate upper age limit:  *Tic* | Early years/pre-school  Ages 5-11  Ages 12-16  Young people aged 17-18  Adults - *please specify:*  Unknown *– please specify:*  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** | | | |
| 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 |
| d. | Will your research involve personal data involving criminal convictions and offences? | Yes  \* | No |
| *\* Give further details in* ***Section 8 Ethical Issues*** | | | |

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| **Section 5 Systematic reviews of research** | | | |
| 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** Complete for all secondary analysis | | | | | | |
| 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 and any risks 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 |
| PPlease 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 |
|  | ***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. | |
| Name |  |
| Date |  |

Please submit your completed ethics forms to the Research Development Administrator via the Research Ethics Applications Page in Moodle.

**Timescales** for receiving the Committee’s decision following submission are as follows:

Standard – 25 working days

Expedited – 15 working days

**Please note** that the above are guidelines for response times which will vary depending on the quality of the application and the number of applications being processed. All applications are assessed prior to forwarding to the Research Ethics Committee and **incomplete** applications will be returned for further detail.

**Decisions:**

**Approved:** The research is fully approved and can commence immediately.

**Provisionally approved:** The application is incomplete and/or raises concerns so further information and/or changes need to be made and submitted before full approval can be granted.

**Extensive revision required:** The application raises considerable concerns and needs extensive revision before resubmission.

**Rejected:** The application is considered to raise fundamental concerns that means it cannot be approved by the committee.

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| **Data Protection Registration** (Office use only) | |
| UCL Data Protection Registration Number | Date issued |