# 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 IOE Research Ethics webpage provide support and advice. If you require further guidance or require an alternative format of this form, please contact the IOE Research Ethics team at ioe.researchethics@ucl.ac.uk.

# Section 1 – Project Details

1. Project Title: Enter text
2. Principal Investigator (PI): Enter text
3. Department: Enter text
4. Research Centre (if applicable): Enter text
5. Co-Investigators (Co-I):
	1. UCL-based Co-Is/Collaborators: Enter text
	2. Non-UCL Co-Is/Partners/Collaborators: Enter text

*(Please enter Co-Is/Collaborators separated by a semi-colon. I.e. John Smith – Oxford University; Jane Smith – LSE; etc)*

1. Start Date for data collection/systematic review/secondary analysis : Enter text
2. End Date: Enter text
3. Funder : Enter text
4. Funding confirmed? Yes [ ]  No [ ]

***If yes***, please could you provide your Worktribe ID: Enter text

1. Expedited review requested? Yes [ ]  No [ ]

***If yes,*** please give your reason for expedited review. **Note:** Expedited reviews are for exceptional circumstances only. Enter text

Please see our [guidance](https://www.ucl.ac.uk/ioe/research/research-ethics/ethics-applications-ioe-staff/staff-ethics-application-guidance) on how to request expedited reviews

1. Specify which professional code of ethics will be adhered to for this research:

Enter text

1. 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. Enter text

1. Country fieldwork will be conducted in Click or tap here to enter text.

*If research to be conducted abroad please ensure travel insurance is obtained through UCL*. ***Details can be found on the***[*UCL travel advice webpage*](http://www.ucl.ac.uk/finance/insurance/travel)

1. Has this project been considered by another (external) Research Ethics Committee?

Yes [ ]  External Committee Name: Enter text

 Date of Approval: Enter text

No [ ]  **If no, *continue to Section 2***

***If yes:*** *Submit a copy of the approval letter with this application.*

*Proceed to Section 9 - Attachments*

# 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 complete the below then go to Section 5.**

[ ]  Secondary data analysis - **if only method used complete the below then go to Section 6.**

[ ]  Advisory/consultation/collaborative groups

[ ]  Other, give details: Enter text

**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.*

Click or tap here to enter text.

# Section 3 – Research Participants (tick all that apply)

Approximate maximum number of participants required: Enter text

Approximate lower age limit: Enter text

Approximate upper age limit: Enter text

[ ]  Early years/ pre-school

[ ]  Ages 5-11

[ ]  Ages 12-15

[ ]  Young people aged 16-18

[ ]  Adults - *please specify:*

[ ]  Unknown – *please specify*

[ ]  No participants

Click or tap here to enter text.

**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).

# 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.

1. Will your project consider or encounter security-sensitive material? Yes\* [ ]  No [ ]
2. Will you be visiting websites associated with extreme or terrorist organisations? Yes\* [ ]  No [ ]
3. Will you be storing or transmitting any materials that could be interpreted as promoting or endorsing terrorist acts?

Yes\* [ ]  No [ ]

1. Will your research involve personal data involving criminal convictions and offences?

 Yes\* [ ]  No [ ]

*\* Give further details in* ***Section 8 Ethical Issues***

# Section 5 – Systematic reviews of research

1. Will you be collecting any new data from participants

Yes\* [ ]  No [ ]

1. 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 9 Attachments.***

Section 6 - Secondary data analysis (Complete for all secondary analysis)

1. Name of dataset/s Enter text
2. Owner of dataset/s Enter text
3. Are the data in the public domain?

Yes [ ]  No [ ]

***If no,*** *do you have the owner’s permission/license?*

Yes\* [ ]  No [ ]

1. 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 [ ]

1. Will you be conducting analysis within the remit it was originally collected for?

Yes [ ]  No\* [ ]

1. **If no to above,** was consent gained from participants for subsequent/future analysis

Yes [ ]  No\* [ ]

1. **If no to above,** 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.***

Section 7 – Data Storage and Security

***Please ensure that you include all hard and electronic data when completing this section.*** *Guidance about data storage and security can be found on the* [*UCL Research Data Management webpage*](https://www.ucl.ac.uk/library/research-support/research-data-management)

1. **Data subjects -** Who will the data be collected from? Click or tap here to enter text.
2. **What data will be collected?** Please provide details of the type of personal or special category data to be collected Click or tap here to enter text.
3. **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 [ ]

*Guidance on anonymisation vs pseudonymisation can be found on* [*Practical Data Protection Guidance Notices*](https://www.ucl.ac.uk/data-protection/guidance-staff-students-and-researchers/practical-data-protection-guidance-notices/personal-data)

1. Disclosure - Who will the results of your project be disclosed to? Enter text

Disclosure - Will personal data be disclosed as part of your project? Enter text

1. **Data storage** – Please provide details on how and where the data will be stored

*Guidance can be found on* [*Best Practice to Store and Preserve Data*](https://www.ucl.ac.uk/library/research-support/research-data-management/best-practices/how-guides/storing-preserving-data)

Click or tap here to enter text.

1. **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](https://www.ucl.ac.uk/isd/services/file-storage-sharing/data-safe-haven-dsh) (mainly used by SLMS divisions, institutes and departments)?

Yes [ ]  No [ ]

1. **How long will the data and records be kept for and in what format?**

Please note that the [UCL Records Retention Schedule](https://www.ucl.ac.uk/library/sites/library/files/retention-schedule.pdf) recommends research data is retained for 10 years after completion of the research.

Click or tap here to enter text.

**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)*

Yes [ ]  No\* [ ]

**Will data be archived for use by other researchers?**

(*If yes, please provide details.*)

Click or tap here to enter text.

1. 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)

Click or tap here to enter text.

1. **Data sharing**. Will data be shared with other organisations, e.g. research partners or collaborators, funders, contractors or government departments?

Yes\* [ ]  No [ ]

***If yes to the above***:

1. What is the name of the organisation (or type, if name not known) that data will be shared with: Enter text
2. Please provide a brief purpose for the data sharing:

Click or tap here to enter text.

1. **Please clarify** whether you will be the [data controller or data processor](https://www.ucl.ac.uk/data-protection/data-protection-overview/understanding-data-protection-ucl#controller-and-processor):

Click or tap here to enter text.

1. Will a [data sharing agreement](https://www.ucl.ac.uk/data-protection/sites/data-protection/files/data-sharing-agreement.docx) be put in place?

Yes [ ]  No [ ]

*\* Give further details in* ***Section 8 Ethical Issues***

# 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
* Consideration of positionality and reflexivity
* 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
* Impact, public engagement, and knowledge exchange activities

Click or tap here to enter text.

Please confirm that the processing of the data is not likely to cause substantial damage or distress to an individual Yes [ ]

# Section 9 – Attachments

Please attach the following items to this form or explain if not attached. Please see our

guidance and templates on [informed consent](https://www.ucl.ac.uk/ioe/research/research-ethics/resources-all-ioe-research/informed-consent-guidance) and [General Data Protection](https://www.ucl.ac.uk/ioe/research/research-ethics/resources-all-ioe-research/data-protection-guidance-and-gdpr%22%20%5Cl%20%22gdpr)

[Regulation (GDPR)](https://www.ucl.ac.uk/ioe/research/research-ethics/resources-all-ioe-research/data-protection-guidance-and-gdpr%22%20%5Cl%20%22gdpr)

* Information sheets, consent forms and other materials to be used to inform potential participants about the research *(List attachments below)* Yes [ ]  No [ ]

Click or tap here to enter text.

***If applicable/appropriate:***

* Approval letter from external Research Ethics Committee Yes [ ]
* The proposal (‘case for support’) for the project Yes [ ]

# Section 10 – Declaration

I confirm that to the best of my knowledge the information in this form is correct, that this is a full description of the ethical issues that may arise in the course of this project and that I will have completed risk assessment on RiskNET before commencing my study.

Name: Enter text

Date: Enter text

# Timescales

For receiving the Committee’s decision following submission are as follows:

Standard –30 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.

**Revision required:** 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.

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