UCL Research Ethics Committee

Note to Applicants: It is important for you to include all relevant information about your research in this application form as your ethical approval will be based on this form. Therefore anything not included will not be part of any ethical approval.

You are advised to read the Guidance for Applicants when completing this form.

Application For Ethical Review: Low Risk

Are you applying for an urgent accelerated review? Yes ☐ No ☐ If yes, please state your reasons below. Note: Accelerated reviews are for exceptional circumstances only and need to be justified in detail.	
Is this application for a continuation of a research project that already has ethical approval? *For example, a preliminary/pilot study been completed and is this an application for a follow-up project?*	Yes ☐ No ☐
If yes, provide brief details (see guidelines) including the title and ethics reference number for the previous study:	

Section A: Application details

1	**Title of Project**	
2	**Proposed start date**	
3	**Proposed end date**	
4	**Project Ethics Identification Number**	
5	**Principal Investigator**	
6	**Position held** (Staff/Student)	
7	**Faculty/Department**	
8	**Course Title** *(if student)*	
9	**Contact Details** Email: Telephone:	
10	**Provide details of other Co-Investigators/Partners/Collaborators who will work on the project.** ***Note:*** *This includes those with access to the data such as transcribers.*	
Name: Position held:		Name: Position held:

Faculty/Department: Location (UCL/overseas/other UK institution): Email:	Faculty/Department: Location (UCL/overseas/other UK institution): Email:
If you **do not know** the names of all collaborators, please write their roles in the research.	

11	**If the project is funded *(this includes non-monetary awards such as laboratory facilities)***
Name of Funder	
Is the funding confirmed?	

12	**Name of Sponsor**
The Sponsor is the organisation taking responsibility for the project, which will usually be UCL. If the Sponsor is not UCL, please state the name of the sponsor.	

13	**If this is a student project**
Supervisor Name	
Position held	
Faculty/Department	
Contact details	

Section B: Project details

The following questions relate to the objectives, methods, methodology and location of the study. Please ensure that you answer each question in lay terms.

14	**Provide a *brief* (300 words max) background to the project, including its intended aims.**

15	**Methodology & Methods** (tick all that apply)	
	☐ Interviews* ☐ Focus groups* ☐ Questionnaires (including oral questions)* ☐ Action Research ☐ Observation ☐ Documentary analysis (including use of personal records) ☐ Audio/visual recordings (including photographs) **Attach copies to application (see below).*	☐ Collection/use of senor or locational data ☐ Controlled Trial ☐ Intervention study (including changing environments) ☐ Systematic review ☐ Secondary data analysis – ***(See Section D)*** ☐ Advisory/consultation groups ☐ Other, give details:

16a	**Provide – in lay person's language - an overview of the project;** focusing on your methodology and including information on what data/samples will be taken (including a description of the topics/questions to be asked), how data collection will occur and what (if relevant) participants will be asked to do. This should include a justification for the methods chosen. **(500 words max)** Please **do not** attach or copy and paste a research proposal or case for support.
16b	**Attachments** If applicable, please attach a copy of any interview questions/workshop topic guides/questionnaires/test (such as psychometric), etc and state whether they are in final or draft form.

17	**Please state which code of ethics (see Guidelines) will be adhered to for this research (for example, BERA, BPS, etc).**

Location of Research	
18	**Please indicate where this research is taking place.** ☐ UK only (Skip to 'location of fieldwork') ☐ Overseas only ☐ UK & overseas
19	**If the research includes work outside the UK, is ethical approval in the host country (local ethical approval) required?** ***(See Guidelines.)*** Yes ☐ No ☐ **If no,** please explain why local ethical approval is not necessary/possible. **If yes,** provide details below including whether the ethical approval has been received. **Note:** Full UCL ethical approval will not be granted until local ethical approval (if required) has been evidenced.
20	**If you (or any members of your research team) are travelling overseas in person are there any concerns based on governmental travel advice (*www.fco.gov.uk)* for the region of travel?** Yes ☐ No ☐ **Note:** *Check www.fco.gov.uk and submit a travel insurance form to UCL Finance (see application guidelines for more details). This can be accessed here:* https://www.ucl.ac.uk/finance/secure/fin_acc/insurance.htm (You will need your UCL login details.)

21	**State the location(s) where the research will be conducted and data collected. For example public spaces, schools, private company, using online methods, postal mail or telephone communications.**

22	**Does the research location require any additional permissions (e.g. obtaining access to schools, hospitals, private property, non-disclosure agreements, access to biodiversity permits (CBD), etc.)?** Yes ☐ No ☐ **If yes,** please state the permissions required.
23	**Have the above approvals been obtained?** Yes ☐ No ☐ **If yes,** please attach a copy of the approval correspondence. **If not,** confirm they will be obtained prior to data collection. Yes ☐ No ☐

Section C: Details of Participants

In this form 'participants' means human participants and their data (including sensor/locational data, observational notes/images, tissue and blood samples, as well as DNA).

24	**Does the project involve the recruitment of participants?**
Yes ☐	Complete all parts of this Section.
No ☐	Move to Section D.

Participant Details	
25	Approximate maximum number of participants required: Approximate upper age limit: Lower age limit: Justification for the age range and sample size:
Recruitment/Sampling	
26	Describe how potential participants will be recruited into the study. **Note:** This should include reference to how you will identify and approach participants. For example, will participants self-identify themselves by responding to an advert for the study or will you approach them directly (such as in person or via email)?
Informed Consent	
27a	Describe the process you will use when seeking to obtain consent. **Note:** This should include reference to what participants are being asked to consent to, such as whether their contribution will be identifiable/anonymous, limits to confidentiality and whether their data can be withdrawn at a later date. *(Template information sheets and consent forms have been provided should you wish to use them.)*
27b	**Attachments** Please list them below: *Ensure that a copy of all recruitment documentation (recruitment emails/posters, information sheet/s, consent form/s) have been attached to the application.*
27c	If you are ***not*** intending to seek consent from participants, clarify why below:

28	How will the results be disseminated (including communication of results with participants)?

Section D: Accessing/Using Pre-collected Data

Access to data	
29	If you are using data or information held by third party, please explain how you will obtain this. You should confirm that the information has been obtained in accordance with the UK Data Protection Act 1998.

Accessing pre-collected data	
30	**Does your study involve the use of previously collected data?** **No** ☐ Move to Section E. **Yes** ☐ Complete all parts of this Section. **Note:** If you ticked any boxes with an asterisk (*),ensure further details are provided in Section E: Ethical Issues.

31	**Name of dataset/s:**		
32	**Owner of dataset/s (if applicable):**		
33	**Are the data in the public domain?**	Yes ☐	No ☐
	If no, do you have the owner's permission/license?	Yes ☐	No* ☐
33	**Are the data anonymised?**	Yes ☐	No ☐
	If no:		
	i. Do you plan to anonymise the data?	Yes ☐	No* ☐
	ii. Do you plan to use individual level data?	Yes* ☐	No ☐
	iii. Will you be linking data to individuals?	Yes* ☐	No ☐

34	Are the data sensitive (DPA 1998 definition)?	Yes* ☐ No ☐
35	Will you be conducting analysis within the remit it was originally collected for?	Yes ☐ No* ☐
36	If no, was consent gained from participants for subsequent/future analysis?	Yes ☐ No* ☐

Section E: Ethical Issues

Ethical Issues

37	Please address clearly any ethical issues that may arise in the course of this research and how they will be addressed. Further information and advice can be found in the guidelines. **Note:** All ethical issues should be addressed - **do not leave this section blank**. All projects give rise to ethical issues. If you think there are no ethical issues, you need to provide an explanation as to why.

Risks & Benefits	
38	Please state any *benefits* to participants in taking part in the study (this includes feedback, access to services or incentives),
39	Do you intend to offer incentives or compensation, including access to free services)? Yes ☐ No ☐ **If yes,** specify the amount to be paid and/or service to be offered **as well as a justification for this**.
40	Please state any *risks* to participants and how these risks will be managed.
41	Please state any *risks* to you or your research team and how these risks will be managed.

Section G: Data Storage & Security

Please ensure that you answer each question and include all hard and electronic data.

42	**Will the research involve the collection and/or use of personal data?** Yes ☐ No ☐ ***Personal data*** *is data which relates to a living individual who can be identified from that data OR from the data and other information that is either currently held, or will be held by the data controller (the researcher).* *This includes:* – *any expression of opinion about the individual and any intentions of the data controller or any other person toward the individual.* – *sensor, location or visual data which may reveal information that enables the identification of a face, address, etc (some postcodes cover only one property).* – *combinations of data which may reveal identifiable data, such as names, email/postal addresses, date of birth, ethnicity, descriptions of health diagnosis or conditions, computer IP address (if relating to a device with a single user).* If you do not have a registration number from Legal Services, please clarify why not:

43	**Is the research collecting or using** – sensitive personal data as defined by the UK Data Protection Act (racial or ethnic origin / political opinions / religious beliefs / trade union membership / physical or mental health / sexual life / commission of offences or alleged offences), and/or – data which might be considered sensitive in some countries, cultures or contexts. **If yes,** state whether explicit consent will be sought for its use and what data management measures are in place to adequate manage and protect the data.

44	**All research projects using personal data must be registered with Legal Services before the data is collected, please provide the Data Protection Registration Number:** If you do not have a registration number from Legal Services, please clarify why not:

During the project *(including the write up and dissemination period)*	
45	**State what types of data will be generated from this project** (i.e. transcripts, videos, photos, audio tapes, field notes, etc). **How will data be stored, including where and for how long?** This includes all hard copy and electronic data on laptops, share drives, usb/mobile devices. **Who will have access to the data, including advisory groups and during transcription?**
46	**Do you confirm that all personal data will be stored and processed in compliance with the Data Protection Act 1998 (DPA 1998).** Yes ☐ No ☐ **If no,** please clarify why.
47	**Will personal data be processed or be sent outside of the European Economic Area (EEA)?*** Yes ☐ No ☐ **If yes,** please confirm that there are adequate levels of protection in compliance with the DPA 1998 and state what arrangements are below. ***Please note** that if you store your research data containing identifiable data on UCL systems or equipment (including by using your UCL email account to transfer data), or otherwise carry out work on your research in the UK, the processing will take place within the EEA and will be captured by Data Protection legislation.

After the project	
48	**What data will be stored and how will you keep it secure?**

	Where will the data be stored and who will have access? **Will the data be securely deleted?** Yes ☐ No ☐ **If yes,** please state when will this occur:
49	**Will the data be archived for use by other researchers?** Yes ☐ No ☐ **If yes,** please provide further details including whether researchers outside the European Economic Area will be given access.

Declaration: **I confirm that the information in this form is accurate to the best of my knowledge.**	
Signature	
Date	
If student: **I have met with and advised the student on the ethical aspects of this project design.** Supervisor Name:	
Supervisor Signature:	
Date:	

Signature of Head of Department (or Chair of the Departmental Ethics Committee) This **must not** be the same signature as the Principal Researcher.
Part A **Applying for Chairs Action review?**
I have read the 'criteria of minimal risk' as defined on page 3 of the Guidelines (http://ethics.grad.ucl.ac.uk/forms/guidelines.pdf) and I recommend that this application be considered by the Chair of the UCL REC. Yes ☐ No ☐
Part B **I have discussed this project with the principal researcher who is suitably qualified to carry out this research and I approve it. I am satisfied that** (highlight as appropriate):** **1. Data Protection registration:**

- has been satisfactorily completed
- has been initiated
- is not required

2. **A risk assessment:**
   - has been satisfactorily completed
   - has been initiated

3. **Appropriate insurance arrangements are in place and appropriate sponsorship [funding] has been approved and is in place to complete the study.**

Yes ☐ No ☐

4. **A Disclosure and Barring Service check(s):**
   - has been satisfactorily completed
   - has been initiated
   - is not required

Note: Links to details of UCL's policies on the above can be found at: http://ethics.grad.ucl.ac.uk/procedures.php

****If any of the above checks are not required please clarify why below.**

Name:	
Supervisor Signature:	
Date:	