

**ETHICS APPLICATION FORM**

**Section 1 – Collaboration**

**& 6 – Data Protection**

(Staff and Research Students)

Sept 2023)

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| --- | --- |
| **Name** |  |
| **Reference** |  |
| **Project Title** |  |

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| **SECTION 1b: EXTERNAL COLLABORATOR DETAILS**  **Please give details of any external collaborators on this project (i.e. anyone involved in in the creation or co-creation of the research)**  This information is required to ascertain whether some form of collaboration agreement (e.g. MoU/ Data Sharing Agreement/ contract) is necessary to formalise the collaboration. Further information about Data Sharing Agreements can be found in section 6 of this application form. | |
| **If there are no collaborators involved in your research (other than organisations that are participants rather than collaborators) please tick the box below and go to section 1c**  **NO COLLABORATORS** | |
| 1. Collaborator name  Collaborator Organisation.  Type of Organisation  If international, please give country of origin |  |
| 2. Please give details of the collaboration, including who will be collecting data or will be present when data collection takes place. | |
| 3. Is/ will there be documentation in place formalising the collaboration (e.g. Contract/ Agreement/ Data Sharing Agreement/ Material Transfer Agreement etc)?  YES  NO    If you have answered yes, please give details of what this documentation is and, if available, provide a copy of with this ethics application. (This can be provided at a later stage if not completed yet).  If you have answered no, the Research Office will advise you if some form of collaboration agreement should be in place. | |
| 4. Is your research subject to the data requirements of the collaborator? YES  NO  If you have ticked yes please provide further details. | |

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| **SECTION 1c: THIRD PARTY DETAILS**  **Please give details of any third parties who are not involved in conducting the research but are integral to the research being carried out or disseminated.**  This information is required to ascertain whether some form of agreement (e.g. Agreement/ Data Sharing Agreement/ contract) is necessary to formalise their role in the project. Further information about Data Sharing Agreements can be found in section 6 of this application form. | |
| **If there are no third parties involved in your research (other than organisations that are participants rather than third parties) please tick the box below and go to section 1d**  **NO THIRD PARTIES** | |
| 1. Name of Third Party (if individual please give person’s name; if an organisation please give name of organisation).  Type of Third Party:  University  School  Other educational institution (please give details)  Friend/ colleague from another University  External PhD Supervisor  Charity  NHS  Funder  Professional Bodies  Commercial Organisation  Research assistants (non-Roehampton)  Translators  Transcription Service  Other (please give details) | |
| 2. Role of Third Party, including funding details if from a third party.  Will any third parties be present when data collection takes place (and will therefore be privy to participants’ personal data)?  YES  NO  If yes, please give details. | |
| 3. Is your research subject to the data requirements of the third party? YES  NO  If you have ticked yes please provide further details. | |
| 4. Is/ will there be documentation in place formalising the relationship between Roehampton and the third party (Contract/ Agreement/ Data Agreement etc)?  YES  NO    If you have answered yes, please give details of what this documentation is and, if available, provide a copy of with this ethics application. (This can be provided at a later stage if not completed yet).  If you have answered no, the Research Office will advise you if some form of agreement should be in place. | |
| **SECTION 1d: EXTERNAL GUIDELINES AND APPROVAL** | |
| 1. Please mention any relevant subject-specific ethics guidelines (e.g. from a professional society) and state how these will inform your research process.  2. Has/ will the project be submitted for approval to the ethics committee of any other organisation, e.g. NHS ethics approval or another University if a collaborative project?  YES  NO  If yes, please give details and let us have confirmation of their approval. | |
| **SECTION 6: DATA PROTECTION** | | | |
| Before completing this section of the form, you should read the [Data Protection and Storage Guidance for Researchers](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf). It is the responsibility of researchers to ensure that they comply with the University’s policies and procedures regarding data protection.  I confirm that I have read the [Data Protection and Storage Guidance for Researchers](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf)  Please confirm that you have completed the University’s **Data Protection training**. The link to the training is here: [https://mhr-unroe.docebosaas.com](https://eur02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fmhr-unroe.docebosaas.com%2Fl&data=05%7C01%7CJan.Harrison%40roehampton.ac.uk%7Cb4782109a84d4195312c08db088cf9f3%7C5fe650635c3747fbb4cce42659e607ed%7C0%7C0%7C638113173846371816%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=km3d9HMlPTmSrM6Wewhe08h7Fqzgb6ceyM9P1mWiM3E%3D&reserved=0). **Please note that applications will not be processed if this has not been done**. (If you are unable to access the training please contact [Ethics@roehampton.ac.uk](mailto:Ethics@roehampton.ac.uk)).  I have completed the training YES  NO  Please let us have a copy of the certificate confirming completion with your ethics submission.  Copy included with application submission  YES  NO  (if No, please advise why)  All research data must also be processed in line with the [University’s IT Policy](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/roehampton-it-policy.pdf), which states,  “You must not, unless exempted through the University’s ethics procedures, create, download, store or transmit unlawful material, or material that is indecent, offensive, threatening or discriminatory or extremist. Following such approval, the University of Roehampton has procedures to enable staff and students to access and store downloaded research materials and data into a specially provisioned university secure safe storage area.” | | | |
| **6.1.** **Personal data processing** | | | |
| 1. Will the research project involve collecting, storing or processing personal data relating to research participants? (‘Personal Data’ is defined as “Any information relating to an identified or identifiable person (a ‘data subject) or from which a person can be identified either directly or indirectly.”) Please note that email addresses are personal data, and personal opinions can be.  YES  NO  N/A  (no human participants)  If yes, other than signed consent forms, please give details of the types of personal data to be collected/ stored/ processed as part of the research project.  2. Will the research project involve collecting, storing or processing special categories of personal data (please note that this includes ethnicity) or criminal convictions relating to research participants (please check Section 7 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf))?    YES  NO  If yes please give details  Researchers are expected to consider anonymising personal data, or where this would be impractical they are expected to use pseudonymisation as standard practice in accordance with Section 17 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf)).  3. Will the data you collect be Anonymised  Pseudonymised  Neither  (Please see the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf) for definitions)  If both methods are to be used, please give details of what data will be anonymised and what pseudonymised, and why:  If neither please give details: | | | |
| **6.2. Legal basis of the research** | | | |
| 1. Please confirm what the legal basis for your data collection is. The legal basis for most data collection by researchers at the University will be ‘in the public interest’. If the research is being conducted for commercial purposes or sponsored or funded by a commercial organisation, the legal basis for the research may be legitimate interest (there may be some commercial benefit to an organisation even if to only generate goodwill). However if the public interest of the research is the primary reason/ outweighs the commercial interest then we can rely on public interest as the lawful basis for the research.  Information on the legal basis for research can be found in section 12 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf).  If neither public interest nor legitimate interests are the legal basis for your research please give details or contact the Research Office for advice.  The legal basis for data collection is:    Public Interest  Legitimate Interest (usually for commercial projects)  Other (please give details)  2. If you have selected **legitimate interest** as the legal basis for conducting research  a) please identify the legitimate interest (normally the purpose of the project):  b) Consider and comment on whether the processing of personal data is necessary to meet those interests:  c) Please amend the consent form - the legal basis for your research in the consent statement will need to be amended to replace “in the public interest” with “in the University’s legitimate interest.”  d) Please complete a **Legitimate Interest Assessment** Completed  (please contact [Ethics@roehampton.ac.uk](mailto:Ethics@roehampton.ac.uk) to obtain this template). | | | |
| **6.3. Automated decision making** | | | |
| 1. Will the research project involve/ result in any automated decision-making?  (Automated decision making is defined by the ICO (Information Commissioner’s Office) as “making a decision solely by automated means without any human involvement”. Profiling, defined as “automated processing of personal data to evaluate certain things about an individual”, can be part of an automated decision-making process).  YES  NO  2. **If yes**, is this likely to result in significant or legal effects on the research participant?  YES  NO  If you have answered yes to this question, please contact the Research Office for advice. | | | |
| **6.4. Information provided to research participants** | | | |
| All research participants should be provided with information about how their personal data will be used. The [Participant Consent Form template](https://www.roehampton.ac.uk/globalassets/documents/ethics/2023/participant-consent.docx) has been designed to include the necessary information where personal data is collected directly from a research participant.  1. How will the Participant Consent form and [Data Privacy Notice for Research Participants](https://www.roehampton.ac.uk/globalassets/documents/ethics/2023/data-privacy-notice-for-research-participants.docx) be handed out? (**Please include a copy of the Data Privacy Notice in your ethics application documentation).**  Hard copiesYES  NO  Electronically YES  NO  Both hard copies and electronicallyYES  NO  If electronic please describe how you will get signed consent forms back.  2. If your research is being conducted in a country where English **is not** the native language, or if in the UK but participants are not English language speakers, will the Participant Consent form and Data Privacy Notice be translated into the native language?  YES  NO  N/A  - English is the native language  3. If no, please explain why not. | | | |
| **6.5. Re-using data from a previous research project** | | | |
| 1. Is data is being used from a previous research project?  YES  NO  If yes, then the research participants from the original study will need to be provided with information about how their personal data will be processed within 1 month of it being received, unless an exemption such as disproportionate effort applies (see Section 13 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf)). A template for this is available ([Research Participant Information Sheet for Indirectly Collected or Re-Used Personal Data](https://www.roehampton.ac.uk/globalassets/documents/ethics/feb-2021/research-participant-information-sheet-for-indirectly-collected-or-re-used-data.docx)).  2. If the above applies but it is not possible to provide the Research Participant Information Sheet to participants, please explain why.  Please note that if you are providing the previous participants with a consent form to participate in this current project, then the information from the Research Participant Information Sheet for Indirectly Collected or Re-Used Personal Data can be incorporated into this. | | | |
| **6.6.** **Data transfers TO Roehampton** | | | |
| 1. Is data from research participants to be received from any collaborators or third parties listed in sections 1b and 1c , or from any other source (e.g. an organisation that is a participant rather than a collaborator) rather than the data subject themselves (including where the researcher has brought research data with them upon starting employment at the University)?  YES  NO  2. If yes, please give details of the data to be supplied and outline which person/ collaborator/ Third party outlined in section 1b or 1c (or other source) of this application form was/ will be responsible for collecting the data.  3. Is any data to be transferred anonymised  pseudonymised  neither  (**if Neither please give details below**).  4. If pseudonymised, please confirm that the ‘key’ will not be transferred to yourself, so that you will not be able to identify participants (please note that such data will therefore be pseudonymised on the part of the sender but anonymised when held by yourself) YES  NO  **Please note** that if you answered Neither in 6.6.3 above, then a Data Sharing Agreement may be required. The Research Office will provide further information. | | | |
| **6.7. Data transfers FROM Roehampton** | | | |
| 1. Is data from research participants to be transferred to/ shared with any collaborators or third parties listed in sections 1b and 1c, or from any other source (e.g. an organisation that is a participant rather than a collaborator)?  YES  NO  2. If yes please give details (what data/ to whom)  3. Is any data to be transferred anonymised  pseudonymised  neither  (**if Neither please give details below**).  4. If pseudonymised, please confirm that the ‘key’ will not be transferred by yourself, so that the recipients will not be able to identify participants (please note that such data will therefore be pseudonymised at Roehampton but anonymised when held by the recipients) YES  NO  This should also be mentioned on the Participant Consent form.  **Please note** that if you answered Neither in section 6.7.3 above, then a Data Sharing Agreement may be required. The Research Office will provide further information. | | | |
| **6.8. Transferring Special Category Data** | | | |
| 1. Is special category data from research participants to be shared with or received from the collaborators/ third parties? Information on what constitutes special data can be found in the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf), section 7.  YES  NO  N/A (no collaborators or third parties)  2. If yes, please give details | | | |
| **6.9. Transfers out of the UK or European Union** | | | |
| 1. Are any of these collaborators/ third party senders/ recipients based outside of the UK or European Union?  YES  NO  N/A (no collaborators of third parties)  2. If yes, please give details.  You will need to ensure that you comply with Section 18 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf).  Please note that some cloud storage services use servers that may be based outside the European Union. Use of these services would constitute a transfer of data outside the EU. The cloud storage provided by the University is EU based.  3. If transferring personal (non-anonymised or pseudonymised) data outside the UK and EU then a **Transfer Risk Assessment** may need to be completed. We will advise you if this is the case.  4. If using an online questionnaire/ survey platform that is domiciled outside of the European Union, please confirm that their terms and Terms and Conditions state that they are GDPR compliant.    5. I confirm that the Terms and Conditions of the survey platform state they are GDPR compliant  YES  NO  N/A | | | |
| **6.10. Record retention** | | | |
| 1. Will the research data be stored and destroyed in line with the University’s [Record Retention Schedule](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/uor-retention-schedule-jan-2019.pdf) (this states that data subject consent forms for trials and studies should be stored for 6 years after the completion of the project and that research data produced through the life of the project (including audio files) should be stored for 10 years after the completion of the project. Anonymised data can be kept indefinitely)?  YES  NO  2. If no, please explain why. | | | |
| **6.11. Data storage and security** | | | |
| 1. Will you be storing/ backing up your research data using University IT facilities (see Section 17 of the [Guidance](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf))?  YES  NO  2. If no, please explain why and give details of the storage medium you intend to use.  3. If yes, do you intend to use any additional storage media?  YES  NO  If yes, please give details.  4. Please give details of how and where data will be stored (this should be on your Roehampton One Drive) and how they will be kept secure, including details of any personal electronic devices that you will be using e.g. laptops, mobile phones, audio devices etc. If using audio recordings will they be deleted from recording devices once transferred to your Roehampton One Drive? Will they be deleted from your Roehampton One Drive once transcribed or will they be retained for 10 years from completion as with other research data?  5. Please tick the box to confirm that all electronic data will be **password protected**, and also **encrypted** if on personal devices e.g. laptops, mobile phones, audio devices etc  YES  N/A – no personal electronic devices being used  6. If using an online questionnaire/ survey, please give details of the survey platform, the organisation hosting it and data protection implications associated with using an online survey. | | | |
| **6.12. Data Protection Impact Assessment (DPIA)** | | | |
| Depending on the answers you have provided in section 6 you may be required to complete a Data Protection Impact Assessment before the project can begin. This is always required if the research itself or data collected for that research is likely to result in a high risk to individuals.  Is a Data Protection Impact Assessment required for your research (if Yes please submit along with this application)?  YES  NO  The ICO (Information Commissioner’s Office) checklist relating to this and the DPIA document are at the links below:  [ICO Checklist](https://www.roehampton.ac.uk/globalassets/documents/ethics/guide-to-the-general-data-protection-regulation-gdpr-1-0.pdf)  [DPIA](https://www.roehampton.ac.uk/globalassets/documents/ethics/dpia-template.docx) | | | |
| **SECTION 7: CHECKLIST**  **Please read through the checklist and check the box to confirm** | | (*double click on the check box and select ‘checked’)* | | |
| 1. **Documentation - have you provided the following:** 2. Ethics Application form 3. Participant Consent form (and deleted the notes for completion at end) 4. Data Privacy Notice for Research Participants 5. Research Participant Info Sheet for indirectly collected/ re-used data 6. Participant Information Sheet 7. Participant Debrief 8. Translations of participant documents 9. Overseas Background Information form 10. H & S Risk Assessment for Ethics Applications 11. H & S Compliance Declaration 12. Copies of questionnaires being used 13. Sample interview questions 14. Advertising material (posters/ flyers) 15. OR no human participants therefore most items above do not apply      1. **Collaboration/ Third Parties - have you provided the following:** 2. Copies of documentation formalising the relationship (e.g. Contract) 3. Copies of data sharing documentation (Data Sharing Agreement) 4. Have you amended the participant consent form if the legal basis of the research is legitimate interest 5. Confirmation of ethics approval from other organisations      1. **Guidelines/ training – have you consulted/ completed the following (as necessary):** 2. [Ethics Guidelines](https://www.roehampton.ac.uk/globalassets/documents/ethics/ethics20guidelines20may20201420-20v22.docx) 3. [Data Protection and Storage Guidance for Researchers](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf) 4. [Records Retention Schedule](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/uor-retention-schedule-jan-2019.pdf) 5. [Code of Good Research Practice and Research Integrity](https://www.roehampton.ac.uk/globalassets/documents/ethics/code-of-good-research-practice-and-research-integrity-nov-2022.docx) 6. Good Clinical Practice (GCP) training 7. Good Research Practice (GRP) training 8. H & S Office regarding your risk assessment 9. [Lone & Remote Working Policy](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/loneworking-policy_may2022.pdf) 10. [Safeguarding Policy](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/safeguardingpolicy_dec2021.pdf) 11. Subject-specific ethics guidelines (e.g. from a professional body) 12. [Animal Experimentation – Guide to Research and Ethics](https://www.roehampton.ac.uk/globalassets/documents/ethics/november-2021/animal-experimentation---guide-to-research-and-ethics-.docx) | | YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A  YES  NO  N/A | | |
| **Next Steps - Please note:**   1. We aim for the ethics approval process to take one month from submission to final approval but please note that this can take longer. 2. The School/ Faculty Ethics Representative/ Reviewer will contact you if any revisions are required for your application. 3. The ethics application will be reviewed by your School/ Faculty; the Research Integrity and Ethics Committee may be asked to advise on complex cases. 4. You must not begin your project or start data collection until receiving email confirmation from the Ethics Officer of final ethics approval. 5. Upon submitting your application, please advise if the application is urgent (e.g. if there are deadlines imposed by funders). | | | |
| **SECTION 8: APPLICANT’S CONFIRMATION** | | | |
| I confirm that the information supplied on this form is correct and confirm that the above checklist has been fully completed. | | | |
| Applicant’s signature: | | *Please use an electronic signature or type your name* | |
| Date: | |  | |
| Applicant’s signature for revised version: | |  | |
| Date for applicant’s signature for revised version: | |  | |
| **FOR STUDENTS ONLY: DIRECTOR OF STUDIES SIGNATURE**  (Where there is not a Director of Studies this should be completed by the Academic Supervisor) | | | |
| *The Director of Studies is required to:*   * *scrutinise the Ethics Application and all participant-facing documentation* * *suggest and check any changes which need making before the form is submitted*   *Please tick the box to confirm that you have approved the application and participant-facing documentation* | | | |
| Signature: | | *Please use an electronic signature or type your name* | |
| Date: | |  | |
| DoS Signature for revised version: | |  | |
| Date for DoS’s signature for revised version: | |  | |

**Section 1 and 6 of the Application Form does not need to be printed out.**

**The form and attachments should be sent by email to the Research Ethics and Governance Officer at** [**ethics@roehampton.ac.uk**](mailto:ethics@roehampton.ac.uk)