

**ELMPS Ethics Committee Application Form**

(Version: 15th March 2023)

This form is for all *staff and PhD candidates* in the five departments (Economics, Law, Management, Politics and Sociology), and two research centres (Centre for Human Rights and the Centre for Women’s Studies). ***Please note: Masters and UG research is dealt with at department level***

Your ELMPS application is intended to ensure that your research will be compliant with the University codes of practice, ethical guidelines on research integrity and the General Data Protection Regulation (in line with University Data Management Policy) as well as any relevant professional guidelines for your discipline (e.g. the Statement of Ethical Practice for the British Sociological Association) or funding organisation (e.g. ESRC Framework for Research Ethics). Please ensure, **prior to your submission of this form**, that you familiarise yourself with the following guidance:

University of York data protection and research data management guidance:

Data protection: <https://www.york.ac.uk/records-management/dp/>

Research data management:<https://www.york.ac.uk/library/info-for/researchers/data/>

Personal data: <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/>

Special category data:

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/special-category-data/>

Criminal offence or conviction data

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/criminal-offence-data/>

Internet research may involve new and unfamiliar ethics questions and dilemmas. A good place to start is the Association of Internet Researchers 2002 Guidelines and the BPS ‘Conducting Research on the Internet: Guidelines for ethics practice in psychological research online (2007)’.

**Note:** **If you are collecting data from NHS patients or staff, or Social Service users or staff, you will need to apply for approval through the Integrated Research Application System (IRAS)** at <https://www.myresearchproject.org.uk/Signin.aspx>, in which case you do not apply to ELMPS. When your IRAS application has been approved you should email a copy of your completed IRAS form to ELMPS with their approval for our records. Masters and Undergraduate student applications for approval through IRAS should be pre-reviewed by the relevant department level ethics committees.

Completed ELMPS application forms should be submitted by the advertised deadline (see ELMPS webpage). Applications **will not be accepted after the deadline unless the Chair agrees that there are exceptional circumstances. Exceptional circumstances are for example, that the timing of your application is beyond your control and that funding will be lost if you do not get approval before the next ELMPS committee meeting.**

**Email one signed electronic copy** (including attachments e.g. consent form and participant information sheet) combined into **ONE** **pdf file** (email to: [elmps-ethics-group@york.ac.uk](mailto:elmps-ethics-group@york.ac.uk) ). We no longer require a signed hard copy. Initial decisions will normally be made and communicated to you within two weeks of the Committee meeting.

**SECTION 1: ABOUT YOU**

### 1a. Please provide the following details about the principal investigator at YORK

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| --- | --- |
| Name of Applicant: | \* |
| E-mail address: | \* |
| Telephone: | \* |
| Staff/Student Status: |  |
| Dept/Centre or Unit: |  |
| Head of Department: |  |
| HoD E-mail address: |  |
| Head of Research:  (if applicable) |  |
| HoR E-mail address:  (if applicable) |  |
| If you are a student please provide details about your supervisor(s) | \* |

### 1b. Any other applicants (for collaborative research projects) Expand as necessary

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| --- | --- |
| Name of Applicant: |  |
| e-mail address: |  |
| Telephone: |  |
| Staff/Student Status: |  |
| Dept/Centre or Unit: |  |
| Head of Department: |  |
| HoD e-mail address: |  |
| Head of Research:(if applicable) |  |
| HoR e-mail address:(if applicable) |  |

**SECTION 2: ABOUT THE PROJECT**

**2.1 Details of Project**

|  |  |
| --- | --- |
| Title of Project: |  |
| Date of Submission to ELMPS: |  |
| Project Start Date: |  |
| Duration: |  |
| Funded Yes/No: |  |
| Funding Source: |  |
| External Ethics Board Jurisdictions (if any): |  |

# 2.2 Aims and objectives of the research

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| Please outline the aims of your project and key research questions. Show briefly how existing research has informed the research proposal and explain what your research adds and how it addresses an area of importance (**N.B. Max 300 words**). |
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**2.3 Methods of Data Collection**

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| Provide a brief summary of the method(s) of the research making clear what it will involve for participants (e.g. interviews, observation, questionnaires). If you (or your research assistants) are meeting face-to-face with research participants, specify *where* you will be meeting them (and you will need to address how any risks associated with this will be managed in Section 2.10) |
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# 2.4 Sampling and Recruitment of participants

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| How many participants will take part in the research? How will they be identified – describe your ***sampling*** method? How will they be invited to take part in the study – describe your ***recruitment*** method? If research participants are to receive any payments, reimbursement of expenses or any other incentives or benefits for taking part in the research please give details, indicating what and how much they will receive and the basis on which this was decided. |
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**2.5 ‘Vulnerable’ Participants**

**Please indicate whether any research participants will be from the following groups; if so, please explain the justification for their inclusion.** In most cases, researchers working with vulnerable people will need to be registered with ISA (www.isa.homeoffice.gov.uk) which has links with the DBS (formerly the CRB). The DBS offers organisations a means to check the background of researchers to ensure that they do not have a history that would make them unsuitable for work involving children and vulnerable adults.

***NB****: If you are collecting data from NHS patients or staff, or Social Service users or staff, you will need to apply for approval through the Integrated Research Application System (IRAS).*

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| --- | --- |
| Children under 18 |  |
| Those with learning disability |  |
| Those who are severely ill or have a terminal illness |  |
| Those in emergency situations |  |
| Those with mental illness (particularly if detained under Mental Health Legislation) |  |
| People with dementia |  |
| Prisoners |  |
| Young offenders |  |
| Adults who are unable to consent for themselves |  |
| Those who could be considered to have a particularly dependent relationship with the investigator or gatekeeper, e.g. those in care homes |  |
| Other vulnerable groups (please specify) – discuss the issues this raises |  |

If yes to any of the above, do you have Disclosure and Barring Service Clearance?

Yes/No

Describe the procedures you are using to gain (a) consent and/or (b) proxy consent if applicable

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**2.6. ‘Sensitive’ topics**

During your study, will anyone discuss sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity)? If so, please give details of the procedures in place to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Consider, too, the risks this may pose to the researcher. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities.

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**2.7 Covert research**

If the research involves covert data gathering or deception of any kind, please explain and justify the deception. Specify what procedures (if any) will be used to debrief participants after the data have been collected.

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# 2.8 Informed Consent

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| Please attach (1) the privacy notice/project information sheet to be given to all participants and (2) the informed consent form. In line with the University’s Code of Practice on Research Integrity, participants and/or their representatives should be provided with details of a first point of contact through which any concerns can be raised: this should be your Head of Department (or if you *are* a Head then the Pro-Vice-Chancellor for Research). |
| i. If you are not seeking informed consent  It is usually the case that informed consent is required for research with human participants. If you do NOT intend to seek informed consent please explain carefully why you believe this is not necessary for your project. You should explain this with reference to the research ethics guidelines for your discipline and cite other recent published research using your methodological approach or ethics discussions about this to support your case. |
| ii. Please confirm you have included the privacy notice/project information sheet to be given to all participants with your submission to ELMPS. If these have not been attached, please explain why this is the case. |
|  |
| iii. Please confirm you have included all the relevant informed consent forms. If these have not been attached, please explain why this is the case. |
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| iv. Are the results to be given as feedback or disseminated to your participants (if yes please specify when, in what form, and by what means). If no, why not? |
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**2.9 Anonymity**

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| In most instances the Committee expects that anonymity will be guaranteed to research participant. If anonymity cannot be guaranteed then you must provide a rationale for this and make this explicitly clear in the information sheet to participants that they are consenting on that basis. Please set out below how you intend to ensure anonymity. If anonymity is not guaranteed) then this also has implications that you must address in Section 3 below.  Note: if you are using a transcriber or translator you must have a signed confidentiality agreement with them. |
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**2.10 Anticipated Risks or Ethical Problems**

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| Please outline any anticipated risks or ethical problems that may adversely affect any of the participants, the researchers and/or the university, and the steps that will be taken to address them. (Note: all research involving human participants can have adverse effects.) Please also refer to the University’s [Health, Safety and Welfare Policy Statement and associated Management Procedures](http://www.york.ac.uk/admin/hsas/safetynet/atoz.htm), as well as to any ethical guidelines you have consulted. Where relevant, [risk assessments](http://www.york.ac.uk/admin/hsas/safetynet/Risk%20Assessment/risk_assessment.htm) should be carried out not only in relation to the researchers themselves, but also for those participating in the project or affected by its conduct, and in relation to any impact on the environment. Researchers should ensure that appropriate [insurance](http://www.york.ac.uk/admin/hsas/safetynet/Insurance/insurance_home.htm) is in place, liaising with the University’s Insurance Officer as necessary (via standard departmental procedures where these exist). |
| 1. Risks to participants (e.g. emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information…) |
|  |
| 1. Risks to researchers (e.g. personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest…) |
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| 1. University/institutional risks (e.g. adverse publicity, financial loss, data protection…) |
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| 1. Financial conflicts of interest (e.g. perceived or actual with respect to direct payments, research funding, indirect sponsorship, board or organisational memberships, past associations, future potential benefits, other…) |

**2.11 Research outside the UK**

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| If you are planning research overseas, you should also take account of the ethical standards and processes of the country/countries in question as well as those of the University. If the research is being conducted outside the UK please specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK. Also specify whether there are any specific ethical issues raised by the local context in which you are conducting research, for example, particular cultural sensitivities or vulnerabilities of participants. |

**SECTION 3: General Data Protection Regulation**

**3.1 DATA PROTECTION**

All [personal data (e.g. names, contact details)](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/) must be collected and used in accordance with the UK General Data Protection Regulation (UK GDPR) 2018, the UK Data Protection Act (DPA) 2018, the University’s Data Protection Policy and the University’s research data management (RDM) Policy.

Personal data which have undergone pseudonymisation (e.g. replacing names or other identifiers which are easily attributed to individuals with a code) will still remain personal data and within the scope of the UK data protection law (particularly while the code can be tied back to the individual).

Before completing this section, please ensure that you have read the University’s [data protection](https://www.york.ac.uk/records-management/dp/) and [research data management](https://www.york.ac.uk/library/info-for/researchers/data/) guidance.

Does your project involve [personal data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/) as defined by the UK GDPR?

☐Yes ☐ No

If you answered No, go to [next section].

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| **Data categories and subjects** | |
| What types of personal data will you be processing? Tick all that apply.  ● [Personal data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/key-definitions/what-is-personal-data/) ☐  ● [Special category personal data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/special-category-data/) ☐  ● [Criminal offence or conviction data](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/criminal-offence-data/) ☐  ● Data of children (under 18s) or of otherwise vulnerable individuals (e.g. elderly individuals or individuals with certain disabilities) ☐  ● Pseudonymised data (e.g. an NHS Digital dataset) ☐  ● Anonymised data where there is a risk of re-identification ☐ | |
| Describe the nature of the personal or special category data you will be collecting or using (e.g. opinions, contact details, financial information, health data, information on beliefs)? | [Text] |
| If the data is from NHS Digital, a registry (e.g. Eurostat) or organisation, give the identifiers for the datasets and/or reference the sharing agreements. | [Text] |

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| **Data protection by design and default** | |
| Will you be collecting the minimum amount of personal data necessary for the specified research purpose e.g. gathering anonymised data at source if person-identifiable information is not needed and ensuring all data to be captured can be justified? | ☐ Yes  ☐ No |
| Will you use the data only for the purposes of this research project? If you plan to use the data for additional purposes, will you bring this to the attention of the research participants at point of data collection or, where this is not possible, the University’s Data Protection Officer? | ☐ Yes  ☐ No |
| Will you anonymise personal data wherever and as soon as possible: either at point of data capture, collation, analysis or output? | ☐ Yes  ☐ No |
| Will you use pseudonymised data wherever possible in cases where information cannot be anonymised e.g. will you separate research participant contact details from the data to be analysed and/or remove identifiers e.g. specific date of birth and replace with age within a date range? | ☐ Yes  ☐ No |
| Confirm you will issue research participants with a UK GDPR compliant participant information sheet/privacy notice at the point of data collection if you are gathering personal data? | ☐ Yes  ☐ No |
| Will the research cause substantial damage or substantial distress to research participants? | ☐ No – not  likely  ☐ Yes –  likely |
| Will you process personal data to take ‘measures or decisions’ about particular individuals? [An exception can apply in the case of (NHS REC) approved medical research]. | ☐ No  ☐ Yes |
| Where you are working collaboratively, will you document data flows between the various research partners (e.g. in a basic data flow diagram) and retain a copy of this document with your ethics application? | ☐ Yes  ☐ No |
| Where you are working collaboratively, will you ensure the Research and Knowledge Exchange Contracts Team are consulted before any data is gathered or shared to ensure appropriate contracts and/or data sharing arrangements are in place? | ☐ Yes  ☐ No |
| Where you are looking to engage third party services such as a transcription service, will you ensure the Research and Knowledge Exchange Contracts Team are consulted before any data is gathered or shared to ensure appropriate contracts and/or data sharing arrangements are in place? | ☐ Yes  ☐ No |
| Where you are working collaboratively, will you ensure data transfers to the collaborators are undertaken in accordance with IT guidance? | ☐ Yes  ☐ No |
| Will data subjects be identifiable in the final research output / data publication(s)? E.g. Publication of direct quotations from respondents, publication of data that might allow the identification of individuals. | ☐ Yes  ☐ No |
| Where you have answered ‘no’ to any of the questions above or ‘yes’ to the questions around causing substantial damage or distress or using data to take ‘measures or decisions’, please confirm that you have consulted the University’s Data Protection Officer and obtained any necessary approval. | ☐ Yes |

**3.2 Data Security**

|  |  |
| --- | --- |
| How will the data be collected and stored electronically? | [Text] |
| Please detail who will have control of, and act as custodian(s) for, data generated by the study. | [Text] |
| Will you use University approved software? | ☐ Yes  ☐ No (if no, please provide further  details and consult IT Services before proceeding) |
| Will you use University approved file storage (Google Drive, University networked storage, research computing)? | ☐ Yes  ☐ No (if no, please provide further  details) |
| Will you store personal or confidential data on laptop(s) with appropriate device encryption? | ☐ Yes  ☐ No (if no,  please provide  further details) |
| If capturing audio, will you use an encrypted device for recording (e.g. an Apple iOS device or encrypted voice recorder)? | ☐ Yes  ☐ No (if no,  please provide  further details) |
| Where data is held on an encrypted portable device (e.g. laptop, tablet) will you back it up to a University approved service as soon as possible and perform periodic checks to ensure data is being backed up appropriately? | ☐ Yes  ☐ No  ☐ N/A |
| Will you ensure confidential information is encrypted before it is transmitted/shared digitally? | ☐ Yes  ☐ No |
| Please detail what other protections will be used for digital data (e.g. access/edit permissions, procedural safeguards re downloads/making copies, remote access via VDS/VPN, 2 factor authentication)? | [Text] |
| Confirm you have reviewed the user commitments under the Policy for the safe use of University information on devices.  Detail anything in the user commitments that will pose a challenge in carrying out your proposed research. | ☐ Yes  ☐ No  [Text] |
| How will hard copy/analogue data (e.g. in paper form) be collected, sent and stored? | [Text] |
| Will you ensure that personal data or confidential data held on paper are stored in a lockable filing cabinet or container, and/or a locked room in secure premises? | ☐ Yes  ☐ N/A (will not  create/hold paper copies personal or confidential data)  ☐ No (if no,  please provide  further details) |
| How will devices be physically protected (e.g. in transit, when not in use or left unattended)? | [Text] |
| Will you ensure the device(s), accounts, or storage area(s) used to store data are not accessible to any unauthorised parties? | ☐ Yes  ☐ No |
| Set out any other measures or procedures for maintaining the confidentiality of information about the participant and information that the participant shares (e.g. other methods of anonymisation). | [Text] |

**3.3 Data Retention**

|  |  |
| --- | --- |
| How long will you keep personal data after the project, in what form and for what reason?  https://www.york.ac.uk/library/info-for/researchers/data/sharing/  [Data retention may be set by University policy, a data sharing agreement/data provider, be based on professional guidelines, or be approved by a York ethics committee. If the data is not going to be destroyed within a set time-scale please include a justification for this. The University's Research Data Management (RDM) policy applies to research undertaken by postgraduate research students and research staff only. This recommends retaining important data for a period of 10 years. Taught postgraduates should retain such data until their degree is awarded]. | [Text] |
| When will the research data be destroyed, by whom, and how?  https://www.york.ac.uk/library/info-for/researchers/data/sharing/#tab-2 | [Text] |
| Will any personal or special category data (i.e. data that is not truly and irrevocably anonymised) be deposited in an archive or external repository?  https://www.york.ac.uk/library/info-for/researchers/data/sharing/#tab-4 | ☐ Yes  ☐ No  ☐ N/A |
| Where personal data are to be transferred to an archive or repository, please confirm that your information sheet or privacy notice will:  (i) cover the archiving and reuse of any personal data and participant agreement to this,  (ii) explain to participants the benefits of any data sharing,  (iii) indicate where possible whether research data will be deposited in a named, recognised repository (e.g. Archaeology Data Service, UK Data Service, York’s institutional repository, etc.) | ☐ Yes  ☐ No  ☐ N/A  [Text] |
| Where you have special category personal data or criminal data, will it be destroyed in line with an agreed retention policy (set by the University, the data provider, or approved by this ethics committee)? | ☐ Yes  ☐ No |
| Where will results that include/may include personal data be reported and disseminated (e.g. reference data output, research publication)? | [Text] |

**3.4. DPIA Screening Questions (Data Protection Impact Assessment)**

A DPIA should be undertaken for data processing likely to be high risk under the UK GDPR. The Regulation does not define ‘high risk’, but the Information Commissioner’s Office has produced a checklist for determining when assessments should be undertaken. This is available on the ELMPS website [DIPA Screening Questions (MS Word , 15kb)](https://www.york.ac.uk/media/abouttheuniversity/governanceandmanagement/governance/ethicscommittee/elmps/DIPA%20Screening%20Questions.docx)**.**

**Please consult the University of York’s guidance on DPIAs prior to completing the declaration below. This is available at:** <https://www.york.ac.uk/records-management/dp/dataprivacyimpactassessments/>

It is your responsibility to ensure that a DPIA is undertaken if it is required for your research project. Please tick **ONE** appropriate statement below:

|  |  |
| --- | --- |
| **Declaration** | **Agreement** |
| 1. I have completed the DPIA screening questionnaire and consider that a DPIA **is not required** as the data collected is not ‘high risk.’ | ☐ |
| 1. I have completed the DPIA screening questionnaire and consider that a DPIA **is required** as the data collected is likely to be ‘high risk.’ I have submitted the completed assessment to the University of York’s Data Protection Officer for review and **am awaiting a decision on approval.** | ☐ |
| 1. I have completed the DPIA screening questionnaire and consider that a DPIA **is required** as the data collected is likely to be ‘high risk.’ The completed assessment is attached to this application and **has been approved** by the University of York’s Data Protection Officer. | ☐ |

**SECTION 4: SIGNED UNDERTAKING**

In submitting this application, I hereby confirm that I undertake to ensure that the above-named research project will meet the University’s Code of Practice on Research Integrity https://www.york.ac.uk/staff/research/governance/policies/research-code/.

………………………………… (Signed Lead Researcher/Principal Investigator)

……………………………………….. (Date)

PhD Supervisor (for all PhD applications)…I confirm I have carefully read and approved this application

(*Electronic signature required*)

……………………………………..

(Date) …………………..

**Submission Checklist for Applicants**

**One signed electronic copy** (including attachments) in **one** **pdf file** to: [elmps-ethics-group@york.ac.uk](mailto:elmps-ethics-group@york.ac.uk)

|  |  |
| --- | --- |
|  | ELMPS Application form |
|  | Consent form for participants |
|  | UK GDPR compliant participant information sheet |
|  | ELMPS Compliance form  Initial |