

The following pages outline the questions asked in the Professional Services Research Ethics application form, and are current at December 2024.

This document is provided for training and preparation only. Applications **must** be submitted using the online form linked from the [committee webpages](#).

There is a filter question, does your research involve collecting secondary data only? If the answer to this is yes (i.e. your research does NOT involve collecting data from people) then you do not need to answer the following questions in that section, and can skip to the section on Data Storage.

Professional Services Ethics Committee

Ethical Issues Audit Form

This form should be completed for each research study carried out by a member of professional staff

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* Indicates required question

Email *

Record admn1570@york.ac.uk as the email to be included with my response

Title of proposed project *

A short descriptor we will use.

If you will be submitting multiple applications for a number of similar projects please ensure the titles are distinct.

Your answer

First Name/Given Name: *

Your answer

Surname/Family Name: *

Your answer

Have you discussed this project and application with your line manager? *

Projects which could be defined as research should be discussed and approved before progressing to ethical review. If your answer is no, please stop now and return when you are able to answer yes.

Yes

No

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More info

Department/ Service *

Your answer

Topic and description of the proposed research study: *

Your answer

Where will the research be conducted? *

Your answer

What methods will be used to collect data? *

For example, a questionnaire, interview, test, etc.?

Please give a short description of each component of your study (e.g., of each questionnaire or task you are using).

If you plan to ask any potentially sensitive questions in your study, you should submit a copy of your questionnaire(s) for consideration by the Ethics committee. You will be provided with a link to upload supporting documents on completion of this form.

Your answer

How are you going to recruit your participants? *

Your answer

What types or categories of people will your participants be? *

e.g. students, patients, customers, employees, etc?

Your answer

Does your research involve collecting secondary data only? *

If your research involves collecting data from people, select "No".

Yes

No

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Section 1: Studies involving people

Have you screened your study for risk using the [Data Protection Impact Assessment](#) screening questions? *

Yes

No

Did you have to undertake the Data Protection Impact Assessment? *

Yes

No

Is the amount of time you are asking research participants to give reasonable? *

Yes

No

Are any of the questions to be asked, or areas to be probed, likely to cause anxiety * or distress to research participants?

Yes

No

Not sure



Are all the data collection methods used appropriate to the context and participants? *

- Yes
- No

Do you need to collect [personal data](#)? *

- Yes
- No

What type of personal data will you be collecting? *

(e.g. political opinions, contact details, health data, etc)? Put N/A if you are not collecting personal data.

Your answer

Are you capturing the minimum amount of personal data/special category data necessary for your research project? *

- Yes
- No
- N/A (only if no personal data is to be collected)

Could you anonymise or pseudonymise data at any point during the project to minimise data protection risk? *

- Yes
- No
- N/A (only if no personal data is to be collected)

If the answer to the previous question is No, explain why.

Your answer



Will the research involve deception? *

Yes

No

Will the research involve sensitive or potentially distressing topics? (This might include abuse, bereavement, bullying, drugs, ethnicity, gender, personal relationships, political views, religion, sex, violence) *

Yes

No

Maybe

If the answer to the previous question is Yes, what steps will you take to ensure that the methods and procedures are appropriate and are sensitive to ethical considerations?

Your answer

Does your research involve collecting data from vulnerable or high-risk groups? *
(This might include participants who are asylum seekers, unemployed, homeless, looked after children, victims or perpetrators of abuse, or those who have special educational needs).

Yes

No

If the answer to the previous question is Yes, what steps will you take to ensure that the methods and procedures are appropriate and are sensitive to ethical considerations?

Your answer

Are the research participants younger than under 18 years of age? *

Yes

No



If the participants are younger than 18, will you have a full Disclosure and Barring Service check? *

- Yes
- No
- N/A

If research participants are to receive reimbursement of expenses or any other incentives, including financial, before or after the study, please give details. You should indicate what they will receive and, briefly, the basis on which this was decided, ensuring it is in line with the [Policy on the Payment of Individuals for Involvement with and Contribution to Research](#) *

Your answer

If you are conducting research overseas, have you checked whether local ethics approval is needed? *

- Yes
- No
- N/A

If local ethical approval is needed, have you obtained it? *

- Yes
- No
- N/A

If the answer to the previous question is No, please explain.

Your answer



Have you prepared Informed Consent Form/s which participants in the study will be asked to sign, or agree to, and which is/are appropriate for different kinds of participants? *

Yes

No

If the answer to the previous question is No, please explain.

Your answer

Does the informed consent form inform participants in advance about what their involvement in the research study will entail? *

Yes

No

If there is a risk that participants may disclose information to you which you may feel morally or legally bound to pass on to relevant external bodies, have you included this within a confidentiality clause in your informed consent form? *

Yes

No

N/A

Does the informed consent form inform participants of the purpose of the research? *

Yes

No

Does the informed consent form inform participants of what will happen to the data they provide (how this will be stored, who will have access to it, whether and how individuals' identities will be protected during this process)? *

Yes

No



If there is a possibility that you may use some of the data publicly? *

For example, in presentations or online, does the informed consent form inform the participants how identifiable such data will be and does it give them the opportunity to decline such use of data?

Yes

No

Does the informed consent form give the names and contact details (e.g. email) *
of at least two people to whom queries, concerns or complaints should be
directed? One of these people should be on the Professional Services Ethics
Committee and not involved with the research.

Yes

No

In studies involving interviews or focus groups, does the informed consent form *
inform participants that they will be given an opportunity to comment on their
written record of the event?

Yes

No

N/A

If the answer to the previous question is No, have you made this clear on your *
consent form?

Yes

No

N/A

If the answer to the previous questions is No, please explain.

Your answer



Does the informed consent form inform participants how long the data is likely to be kept for? *

- Yes
- No

Does the informed consent form inform participants if any anonymous data will be kept indefinitely? *

- Yes
- No
- N/A

Does the informed consent form inform participants if the data could be used for future analysis and/or other purposes? *

- Yes
- No

Does the informed consent form inform participants they may withdraw from the actual study during data collection? *

- Yes
- No

Does the informed consent form provide a date or timescale by which participants will be able to withdraw their data and tell the participants how to do this? *

(NB. If your data is going to be completely anonymised, any withdrawal of data needs to happen before this.) * N/A if your data will be anonymous at point of collection

- Yes
- No
- N/A

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* Indicates required question

Section 2: Data storage, analysis, management and data protection

Are you accessing data from a non-publicly available source? *

This is regardless of whether the data are identifiable, e.g. student data held by the University, learners' work, etc.

- Yes
- No

If the answer to the previous questions is Yes, have you obtained written permission from a figure of authority who is responsible for holding the data? *

- Yes
- No
- N/A

If the answer to the previous question is Yes, please confirm that the obtained permission:

- acknowledges the purposes for which the data will be used
- acknowledges responsibility for releasing the data
- confirms that releasing the data does not violate any informed consents or implicit agreements at the point the data was initially gathered

Please confirm that you have read and understood the Professional Services Ethics Committee' Guidance on Data Storage and Protection. *

- Yes
- No



Are you working collaboratively with 3rd parties or sharing data with non-University personnel? *

- Yes
- No

If the answer to the previous question is Yes, have you consulted the Research and Knowledge Exchange Contracts Team to ensure appropriate contracts and/or data sharing arrangements are in place? *

- Yes
- No
- N/A

If you are going to share any personal data, who will be the recipients of such data? (put N/A if no personal data will be shared) *

Your answer

If you are going to share personal data with a party outside the UK, which country will it be? (put N/A if no personal data will be shared outside the UK) *

Your answer

What technical and organisational security measures will you put in place to protect the personal data collected (to prevent unauthorised access/use, accidental damage to, or loss of the data) *

Your answer

Have you completed a Data Management Plan? *

- Yes
- No



If the answer to the previous question is No, please explain.

Your answer

If your data can be traced to identifiable participants, who will be able to access your data? *

Your answer

If your data can be traced to identifiable participants, approximately how long will you need to keep it in this identifiable format?

Your answer

Please indicate for how long the project data will be retained for and whether any personal data will be retained and erased in accordance with this retention period. *

Your answer

If any anonymised data is to be kept indefinitely, please indicate where it will be stored.

The name of repository

Your answer

If the Principal Investigator or any other key investigator or collaborators have any direct personal involvement in the organisation sponsoring or funding the research that may give rise to a possible conflict of interest, please give details:

Your answer

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* Indicates required question

Please sign and date the form below. You will then receive directions to upload any supporting documents.

If your plans change as you carry out the research study, you should discuss any changes you make with a member of Professional Services Ethics Committee. If the changes are significant, you may be advised to complete a new Ethical Issues Audit form.

Add your name here *

Please type your name

Your answer

Add the date *

Date

dd/mm/yyyy

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