**Protocol Form Guide**

**General instructions:**

* Please complete the form by providing information for all relevant items.
* Do not delete the instructions in blue or any section. Write “not applicable” if an item or a question does not apply to your project.
* Please avoid using discipline-specific jargon (if you must, define it clearly) or provide extensive details. If you are reusing material that you have already written (e.g., your application to the funding body), please do not copy-paste entire sections but rather choose carefully what is relevant for the ethics review.
* Contact CIREP at secretaria.cirep@upf.edu if this guide does not solve your doubts.
* Submit the completed form and supporting materials (questionnaires, interview scripts, etc.) via email to secretaria.cirep@upf.edu.

**Section 1. General Information**

Application Number: This field is to be completed by CIREP.

**1a. Project Title:** Enter the project title.

**1b. Project Description:** Provide a 300-word abstract of your project and keywords.

**1c. Research Team:** Include the name and department of the principal investigator (PI), the name of the applicant (if different from the PI), and the name of any other research team members and their institutions if they are not UPF employees. Note that students cannot submit a project as PIs. Their advisor or supervisor should be the PI on the application.

**1d. Funding:** Indicate whether your project is funded, the source of funding, and whether the funding agency has requested an ethics compliance certificate.

**1e. Project Timeline:** Indicate the start date of the project and its duration. Note that CIREP does not review projects if the data collection or human involvement has started before the application is submitted (or is planned to start while the ethics review is ongoing).

**Section 2. Objectives**

Summarize the objectives, rationale, and motivation for the project. While providing some background may be useful, you do not need to include an extensive literature review.

**Section 3. General Methodology**

**3a.** If you plan to **collect new data:**

* Describe the data collection and analysis methods.
* Provide a copy of any research instruments that you intend to use (e.g., questionnaires, interview scripts, experiments, etc.). If these are not available yet, provide information on the kind of data that will be collected from participants.
* Explain when and where the data will be collected.
* If your data collection involves fieldwork, describe in detail the potential risks for you, your team, and the research participants, as well as the safety measures that will be implemented to mitigate the risks. Consider whether a risk management plan is necessary.

**3b.** If you plan to use **secondary data:**

* Describe the data that will be used.
* Discuss the data sources and confirm that you are allowed to use the data for the purposes you describe.
* Describe the data analysis methods.

**3c.** Describe the methods not directly related to new or secondary data collection and analysis here.

**Section 4. Participants**

Provide information on the type of participants and the recruitment procedure.

**Criteria:**

* Indicate the ages. For participants under 14, consent from participants’ parents or legal guardians is necessary. For participants between 14 and 17 years old, consent both from participants and their parents or legal guardians is necessary.
* Describe the inclusion and exclusion criteria. Indicate if you plan to target any specific populations (UPF students, students at other institutions, vulnerable participants, etc.).
* Justify the need to include vulnerable participants, if applicable.

**Sampling and Recruitment Methods:**

* Describe the sampling and recruitment methods (how will participants be identified and approached?; is there any possibility of undue influence or coercion?; if so, how has it been addressed?; etc.).
* Please note that UPF student mailing lists cannot be used to recruit participants. Please check out these alternative means of communication provided by the University described here: h[ttps://www.upf.edu/intranet/comunicacio-institucional/comunicacio-interna](https://www.upf.edu/intranet/comunicacio-institucional/comunicacio-interna).

**Consenting:**

* Describe when and how consent will be obtained. Confirm that all the relevant information (as listed in the guide) has been included in the information sheet and consent form.
	+ Discuss the duration of participants’ involvement and the number of sessions they will participate in.
	+ Indicate whether participants will be compensated for their time and, if so, how.
	+ List the risks and benefits to participants. If there are any risks to participants, explain how they will be mitigated or addressed.
* If it is unfeasible to obtain consent, please justify your decision.

**Section 5. Personal Data Processing**

Skip this section if a DPIA has been or will be completed. That is, if you have determined that you need to fill out a DPIA based on your responses to the items included in the checklist, please leave section 5 blank.

Please read the following definitions carefully before you complete section 5.

*Personal data*: Any information that relates to an identified or identifiable living individual. To determine whether a person is identifiable one must consider the foreseeable technological evolution and the possible combination with other data by the researcher or third parties. Personal data includes both identifying data (first and last names, home address, etc.) and any other type of data that, on its own or combined with other types of data, can be used to identify persons (image; voice; physiological, economic, cultural, social data, etc.).

*Special categories of personal data*: personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership; genetic data; biometric data; or data concerning health, a person’s sex life or sexual orientation.

Below we provide some options to fill out the protocol form. Feel free to copy and paste (and adapt as necessary) the relevant options.

**Types of Data:**

* Identification data (e.g., names, ID or passport number)
* Personal characteristics (civil status, family data, date of birth, address, languages, etc.)
* Academic or professional data (place of work, studies, academic or work records, etc.)
* Social circumstances (hobbies or lifestyle, memberships, etc.)
* Economic or financial data (income, taxes, accounts, loans, business activities, intellectual property, etc.)
* Behavioral data (attitudes, reaction times, etc.)
* Special categories of personal data (*see definition above*)
* Criminal records
* Other (*specify*)

**Security Measures:**

* Personal data will be stored in infrastructure provided by UPF’s IT services.
* Individual usernames and passwords will be established for each research team member who can access the data.
* Personal data will be pseudonymized. The pseudonymization file will be encrypted and stored separately from the research data.
* Personal data will be encrypted when stored in personal computers.
* A personal data reidentification test will be conducted prior to any dataset disclosure or data dissemination. (*Reidentification tests are usually conducted by a person who did not carry out the anonymization of the data. That person should receive the anonymized dataset and assess if individuals to whom the information belongs might be reidentified somehow, including by combining the dataset with other public or private information.*)
* Personal data will be processed by a service provider. A GDPR-compliant agreement or legal act has been or will be signed.
* A data sharing agreement will be signed with other institutions with whom personal data will be shared *(for templates, contact proteccio.dades@upf.edu)*.
* A non-disclosure agreement will be signed by any project member or collaborator who may have access to the personal data *(for a template, see CIREP’s website)*.
* For transfers, personal data will be encrypted and the data and the encryption key will be shared through different channels.
* Other (*specify*)

**Data Access and Sharing:**

Please list all the people who will have access to the data, especially if they are not affiliated with UPF.

* Data will not be shared with any non-UPF member.
* Personal data will be shared with researchers from other institutions (*indicate whether a contract or an agreement has already been signed or will be signed*).
* Personal data will be imported from non-EU countries (*specify the countries and confirm that data transfers will be made in accordance with the laws of the countries where the data will be collected*).
* Personal data will be exported to non-EU countries (*specify the countries and indicate whether a contract or an agreement has already been signed or will be signed*).

**Data Preservation and Reuse:**

* Personal data will be completely erased       years after the project ends.
* Personal data will be anonymized       years after the project ends.
* Personal data will be kept after the project ends to allow further research in the same research area.

**Dissemination of Personal Data:**

Explain how you plan to disseminate the personal data (if applicable) and confirm that the consent form allows participants to consent to this type of dissemination explicitly.

**Section 6. Ethical Considerations**

You should discuss any other ethical issues raised (e.g., whether the project poses risks, other than those to participants, or who benefits from the research) by your project here.

**Section 7. References**

Include the full citation of the references you have cited.

**Signature**

Please date and sign the form.

**Potential Reviewers**

You may optionally indicate UPF faculty or postdoctoral researchers who may be suitable to review your project. Make sure that they do not have any conflict of interest.