

Research Passport Application Form – [Version 5.1](#) 08/Jul/2020
With suggestions for how to end the exclusion of Public Contributors

Please refer to the guidance notes before completing the form.

Section 1 - Details of Researcher <i>To be completed by Researcher</i>		Comments by Peter Bates						
1.	<table border="1"> <tr> <td>Surname:</td> <td>Prof <input type="checkbox"/> Dr <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/></td> </tr> <tr> <td>Forename(s):</td> <td>Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/></td> </tr> <tr> <td>Contact Tel:</td> <td>Contact Email:</td> </tr> </table>	Surname:	Prof <input type="checkbox"/> Dr <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/>	Forename(s):	Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/>	Contact Tel:	Contact Email:	Promote inclusion by reversing order so high status designations appear last.
Surname:	Prof <input type="checkbox"/> Dr <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/>							
Forename(s):	Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/>							
Contact Tel:	Contact Email:							
2.	Date of birth:	This may serve as an identifier but also permit ageism. Questions about characteristics protected under the Equalities Act 2010 are normally anonymous, so that they are not used in illegal discriminatory ways.						
3.	Professional registration details, if applicable (Doctors undertaking any form of medical practice should confirm they have a licence to practise). N/A <input type="checkbox"/>	Why not other professions with restricted title? Is this intended to weed out people who have been subject to disciplinary action? Throughout this form, there is no explanation of why this information is required – what is the competence or risk that is under examination. This breaches the principle of GDPR, that the rationale for collecting personal data needs to be given.						
4.	<table border="1"> <tr> <td>Employer:</td> <td>or place of study:</td> </tr> <tr> <td>Work Address/Place of Study:</td> <td></td> </tr> <tr> <td>Post or status held:</td> <td></td> </tr> </table>	Employer:	or place of study:	Work Address/Place of Study:		Post or status held:		<p>Add a 3rd category so it reads 'Details of the organisation that is (i) for staff- your employer, (ii) for students - your education provider, or (iii) for Public Contributors - your host.'</p> <p>As above</p> <p>Replace with 'Your role'</p>
Employer:	or place of study:							
Work Address/Place of Study:								
Post or status held:								
Section 2 - Details of Research <i>To be completed by Researcher</i>								
5.	What type of Research Passport do you need? Project-specific <input type="checkbox"/> Multi-project <input type="checkbox"/>	Research organisations should commit to supporting Public Contributors beyond a single project. SUCRAN members were on zero hours contract with De Montfort University and so were on the casual bank when they applied for and were granted a multi-site research passport. The Research Department were then notified						

				about each individual project as they came up.
If you will be conducting one project only please complete the details below. If you anticipate that you will be undertaking more than one project at any one time, please give details in the Appendix.				
Project Title:				At De Montfort University, applicants wrote 'To be advised' and this was accepted.
Project Start Date:		End Date:		
Proposed start and end-date of 3-year Research Passport:				
Start Date:		End Date:		
NHS organisation(s):	Dept(s):	Proposed research activities:	Manager in NHS organisation:	Replace 'Manager in NHS organisation' with 'Name of the person who is accountable for your activities'
Section 3 – Declaration by Researcher <i>To be completed by Researcher</i>				
6.	Have you ever been refused an honorary research contract?		Yes <input type="checkbox"/> No <input type="checkbox"/>	This question should ask if an application for a Research Passport has ever been refused or revoked, rather than confuse things by asking about an Honorary Research Contract.
	Have you ever had an honorary research contract revoked?		Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes to either question, please give details:				
I understand that my data will be used for the purposes described in section 6 of the Information for researchers, R&D and HR staff in Higher Education Institutions and the NHS guidance document. I warrant that the information provided as part of this Research Passport application and the attached documents are a true and accurate reflection.				
Signed*:		Date:		
When Sections 1-3 have been completed, the researcher should forward the form to the appropriate person to complete Section 4. * It is recommended that the researcher prints, signs and scans the form. Where this is not possible, the researcher should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA. Identity and/or other checks may be made using videoconferencing, or other technology, where appropriate.				

Section 4 - Suitability of Researcher <i>To be completed by researcher's substantive employer, e.g. line manager, or academic supervisor</i>		No provision here for Public Contributors
7.a	Will this person's research activity mean that they may be undertaking regulated activity with children and/or adults as defined in the Safeguarding Vulnerable Groups Act 2006, as amended (in particular by the Protection of Freedoms Act 2012)? (please use the Research Passport algorithm to make this judgement)	Yes <input type="checkbox"/> No <input type="checkbox"/> The Research Passport Algorithm has not been updated since 2012 and makes no mention of Public Researchers.
7.b	I am satisfied that the above named individual is suitably trained and experienced to undertake the duties associated with the research activities outlined in this Research Passport form.	This is fine, since Public Contributors will be selected for their 'suitable training and experience'. To be completed by the Chief Investigator or their delegate who is best informed to judge the fit between the Public Contributor's abilities and the task required, and to bear responsibility for putting the person forward.
Signed*:		Date:
Name:		Job Title:
Department and Organisation:		
Address:		
Tel No:		Email:
Managerial responsibility for the applicant:		
<i>When Section 4 has been completed, the researcher should forward the form to the appropriate person to complete Section 5.</i> <i>* It is recommended that the person authorising Section 4 prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA. Identity and/or other checks may be made using videoconferencing, or other technology, where appropriate.</i>		
Section 5 - Pre-engagement checks <i>To be completed by the HR department of the researcher's substantive employer or registry at place of study</i>		Public Contributors are not employed but may be registered by their host organisation. Unclear whether 'pre-engagement' means engagement as an employee or utilising the research passport.
8.	Does the above named individual's research involve Regulated Activity with children and/or adults as defined in the Safeguarding Vulnerable Groups Act 2006, as amended (in particular by the Protection of Freedoms Act 2012)?	<input type="checkbox"/> Yes <input type="checkbox"/> No Appropriate question. Normally answered 'No' as conducting a research interview or handling confidential data does not fall within the definition of a regulated activity, available here

<p>If yes to the above, has the above named individual been checked against ISA barred lists for adults and/or children, as appropriate and have you received confirmation via the criminal record disclosure that the person is not barred from working with adults and/or children? (<i>NB individuals who are barred from working with adults or children must not undertake a regulated activity in the NHS with the vulnerable group from which they are barred, and you must not submit a Research Passport form in such cases</i>).</p>	<p>Checked against: ISA Adults List? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>	<p>Use the Not Applicable option where appropriate.</p>
	<p>ISA Children's List? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>	<p>As above</p>
<p>Can you confirm that a clear criminal record disclosure has been obtained for the above-named individual, with no subsequent reports from the individual of changes to this record? <i>NB for Regulated Activity this must be an enhanced level criminal record check. For non-regulated activity, ensure the criminal record check is at the mandated level.</i></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>	<p>This asks for an Enhanced DBS check for regulated activity, while the algorithm here contradicts it by asking for an Enhanced with Barred Lists check.</p> <p>The Algorithm provides a list of research roles where a criminal records check must not be undertaken.</p> <p>This declaration does not make allowance for people who have been convicted but have an appropriate risk mitigation plan in place. There is nowhere on the form to indicate that a risk mitigation plan is in place¹.</p> <p>This contradicts the principles of rehabilitation of offenders in criminal justice and recovery in mental health, and would mean that no research could take place in forensic or justice services unless the Department of Health's principle of 'nothing about me without me' was abandoned.</p> <p>Not only is this discriminatory, it has a disproportionate impact on research studies that need to be coproduced with Public Contributors who have committed offences.</p>

¹ It would not be appropriate to routinely share the content of either the DBS check or the risk mitigation plan with people who are not directly involved with the person or the research activity they were potentially engaged in.

If yes, please provide details of the clear disclosure:		Ambiguous as to whether 'clear' means well communicated or free of offences.
Date of disclosure:	Type of disclosure:	
Disclosure No.:	Organisation that requested disclosure:	
9.	Have the pre-engagement checks described below been carried out with regard to the above-named individual and is confirmation of the necessary checks, including any required satisfactory documentary evidence, available in the employing organisation's/place of study's records?	These are checks that must be applied to candidates for employment. They are not appropriate for Public Contributors.
<ul style="list-style-type: none"> ▪ Employment/student screening: <ul style="list-style-type: none"> ○ ID with photograph Yes <input type="checkbox"/> No <input type="checkbox"/> ○ two references Yes <input type="checkbox"/> No <input type="checkbox"/> ○ verification of permission to work/study in the UK Yes <input type="checkbox"/> No <input type="checkbox"/> ○ exploration of any gaps in employment Yes <input type="checkbox"/> No <input type="checkbox"/> ▪ Evidence of current professional registration Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> ▪ Evidence of qualifications Yes <input type="checkbox"/> No <input type="checkbox"/> ▪ Occupational health screening / clearance Yes <input type="checkbox"/> No <input type="checkbox"/> 		
<ul style="list-style-type: none"> ○ ID with photograph 		Many employers have discontinued the use of photographs as it invites selection on the basis of skin colour and appearance
<ul style="list-style-type: none"> ○ two references 		The referees should not include the person who has responsibility for completing Q7 or a family member.
<ul style="list-style-type: none"> ○ verification of permission to work/study in the UK 		Not required for voluntary roles in the UK.
<ul style="list-style-type: none"> ○ exploration of any gaps in employment 		Not relevant to Public Contributors
<ul style="list-style-type: none"> ▪ Evidence of current professional registration 		Use Not Applicable option
<ul style="list-style-type: none"> ▪ Evidence of qualifications 		Public Contributors may need basic literacy or more sophisticated academic abilities, depending on the role. Blanket requirement not matched to role is not necessary. Asking for this from Public Contributors will divert those who have substantial employment history and work experience away from their primary role here, which is to bring their lived experience to the fore.
<ul style="list-style-type: none"> ▪ Occupational health screening / clearance 		Not needed for Public Contributors unless the person is taking communicable diseases into direct contact with vulnerable patients.
Is the named individual on a fixed term contract or is the contract end imminent? Yes <input type="checkbox"/> No <input type="checkbox"/> Please indicate current contract end-date Date		Add an option here for Public Contributors. Rename this as 'project end-date.'
Signed*:	Date:	
Name:	Job Title:	Rename as Role Title

Organisation:	Department:	
Address:		
Tel No:	Email:	
<p><i>Please return the form to the researcher.</i></p> <p><i>* It is recommended that the person authorising Section 5 prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA. Identity and/or other checks may be made using videoconferencing, or other technology, where appropriate.</i></p>		

Section 6 - Instructions to applicants <i>To be completed by Researcher</i>		Comments by Peter Bates
Please indicate which of the following documents are attached to this Research Passport:		
Current curriculum vitae, including details of qualifications, training and professional registration (please use the template C.V. at http://www.rdforum.nhs.uk/docs/template_cv.doc)	Yes <input type="checkbox"/> No <input type="checkbox"/>	The CV template makes no reference to Public Contributors or their relevant experience and skills. Treating lived experience as invisible makes the form hard to understand and discounts the contribution of Public Contributors. This relies on the HR Department's records, as the CV is not sent to HR and anyway the template for the CV only goes back 5 years. Unclear what criteria are to be applied to judge acceptability ¹ . Is it criminal or disciplinary events to give an indication that the person may be unreliable, dishonest or destructive in their relationships with others? These may be lived experience assets in some studies.
Researcher's copy of criminal record disclosure. NB where research involves regulated activity with children and/or adults as defined in the Safeguarding Vulnerable Groups Act 2006, as amended (in particular by the Protection of Freedoms Act 2012), the disclosure must include confirmation of a check against the appropriate ISA barred list(s).	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	This has already been covered. Duplication breaches the human right of privacy, excludes essential Public Contributors and diffuses responsibility for developing the risk mitigation plan with the person.
Evidence of occupational health screening / clearance	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	This reduces infection and other risks to patients that may arise from the employee entering NHS premises – but this is a much less significant issue in mental health services than in physical healthcare. It is done by using a

¹ One HR staff member reported that they always tick 'No' to this question and have never had an application returned (personal communication, 18/12/2017).

		standard NHS occupational health clearance form.
Appendix – List of projects and amendments	Appendix numbers: N/A <input type="checkbox"/>	

Please send the completed form and original documents to the Lead R&D office. The completed form and original documents will be returned to you. This package of documents will be used to validate your completed Research Passport form. You may then, and where relevant, provide the Research Passport to other NHS organisations.

You must inform all NHS organisations that have received this Research Passport of any changes to the information supplied above. Failure to do so may result in withdrawal of your honorary research contract or letter of access. As part of the quality control procedures for the Research Passport, random checks on the accuracy of the information held on this Research Passport may be made.

Section 7 This section should be completed by HR in the Lead NHS organisation, only if additional checks are undertaken				Comments by Peter Bates
The following additional checks have been completed:				
Having confirmed that the necessary additional pre-engagement checks have been completed, I am satisfied that the above named researcher is suitable to carry out the duties associated with their research activity outlined in this Research Passport.				Whilst there is a clear expectation that each organisation involved will trust the others, this does not always work out. See Laterza et al (2016) ¹
Signed*:		Date:		
Name:		Job Title:		
Organisation:		Department:		
Email:				
* It is recommended that the person authorising Section 7 prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA.				
Section 8 - For Office Use Only				
This section should be completed by the NHS R&D office that received the initial application. The NHS R&D office must countersign and date retained photocopies of the documents. The grey section must be completed before the form is returned to the applicant.				
CV reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Training?	Yes <input type="checkbox"/> No <input type="checkbox"/>	It is not clear what criteria are to be used to judge whether the CV is adequate. The CV is biased towards academic achievement and contains no space for recounting lived experience or other assets held by the person and only asks about the most recent 5 years.
Evidence of qualifications?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Appendix pages reviewed?	Numbers:	It has been suggested that GCP training is mandatory, despite HRA guidance that it is not. The training being

¹ Laterza et al reports one situation where the university checked the co-researcher's documents as indicated here as they were casual employees of the university, but when the application was passed to the NHS Trust, the applicant had to take their non-EU passport in to be viewed by the Trust HR Department. This seems to be a clear case of mistrust, since the University, not the NHS Trust was the person's employer. See Laterza et al. What's in a "research passport"? A collaborative autoethnography of institutional approvals in public involvement in research *Research Involvement and Engagement* (2016) 2:24. DOI 10.1186/s40900-016-0033-z.

				referred to is GCP training but this is not made clear.
Professional registration details reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Occupational health clearance reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
Criminal record disclosure reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Date of disclosure: Disclosure No:		
For regulated activity as defined in the Safeguarding Vulnerable Groups Act 2006, as amended (in particular by the Protection of Freedoms Act 2012), did the criminal record disclosure confirm a satisfactory check against the appropriate ISA barred list(s)		Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		
Enter Electronic Staff Record Number (if issued):				
Confirmation of valid Research Passport: Project specific <input type="checkbox"/> Three-year <input type="checkbox"/> Other End date <input type="checkbox"/> Date:				
Signed*:		Date:		
Name:				
NHS Organisation Name and contact details				
Date Honorary Research Contract/letter of access issued (<i>delete as appropriate</i>)				
* It is recommended that the person authorising Section 5 prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA. Identity and/or other checks may be made using videoconferencing, or other technology, where appropriate.				

If required, this section should be added to the Research Passport Form and completed by each NHS R&D office receiving the valid Research Passport. The original Research Passport form and documents should be returned to the applicant.

Has the Research Passport been validated by a Lead NHS organisation and is this validation acceptable to this NHS organisation? Yes No

CV reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Training?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Evidence of qualifications?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Appendix pages reviewed?	Numbers:
Professional Registration details reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Occupational health clearance reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Criminal record disclosure reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Date of disclosure: Disclosure No:	

For regulated activity **as defined in the Safeguarding Vulnerable Groups Act 2006, as amended by the Protection of Freedoms Act 2012**, did the **criminal record** disclosure confirm a satisfactory check against the appropriate ISA barred list(s) Yes No N/A

Checked Electronic Staff Record: Yes No N/A

Signed*: _____ Date: _____

Name: _____

NHS organisation name and contact details:

Date honorary research contract/letter of access issued (*delete as appropriate*)

** It is recommended that the person authorising this section prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be retained as evidence.*

Passport Appendix. List of projects and amendments

Appendix Number:

If you are applying for a three-year Research Passport, please use this section to enter details of projects and activities that will be covered by this Research Passport. Once you have a validated Research Passport, you may add details of subsequent projects during the three years that this Research Passport is valid.

If you are applying for a project-specific Research Passport, but need to add further sites to the project, please enter the details below.

Whenever you add further details, the full Research Passport and accompanying documents must be submitted to the relevant NHS organisations.

Title:		Start Date:	End Date:
NHS organisation(s):	Dept(s):	Proposed research activities:	Manager in NHS organisation:

Amendments to the Research Passport

Please state what these are, e.g. they might be a change in name or employment details, or a change in research activities.

Please check with the NHS organisation where you are undertaking your research if you are unsure whether you will need to submit new evidence of pre-engagement checks on a new Research Passport form, which will need to be validated by the NHS organisation(s) hosting your research.

Date	Old Details	New Details	Office use only NHS R&D contact details and signature*

* It is recommended that the person authorising this section prints, signs and scans the form. Where this is not possible, they should state 'authorised by email', in place of a wet-ink and scanned signature. Where authorisation occurs by email, the full email trail should be presented as evidence with the document for further authorisations and/or in application for an HRC/LoA.

To add more projects please copy this page or download further blank pages. Each appendix page should be numbered.

For office use only:

A photocopy of the appendix/copy of email trail including any email authorisations should be retained whenever any amendments or additions to the appendix are made.