Detailed guidance to completing a Research Passport

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Section 1: Details of Researcher - To be completed by Researcher.

Question 1
Please state your name and contact details. Please indicate the address to which you wish to have your DBS/OH questionnaire sent (if required) with an asterisk.

Question 2
Please provide basic details about your identity. This information is used to complete the Electronic Staff Record (the NHS HR system).
Question 3
If you are registered with a professional body, please give details.

Question 4
Details of your substantive employer should be given. For students, place of study should be given
Please give your job title or type of study (e.g. undergraduate)
NB NHS organisations need to be informed of any changes in employment.

Section 2: Details of Research - To be completed by Researcher.

Question 5
Enter the type of Research Passport you require. Research Passports are valid for a maximum of 3-years. If you only intend to be involved with 1 project over this period select “project-specific”. If you plan to work over a number of studies in this period select “multi-project”.*

List the NHS organisation(s) and department(s) where you will be working. Continue on the appendix sheet if necessary.

Describe what activities you will be undertaking, e.g. prescribing medicine, taking blood, conducting behavioural therapy, taking consent etc.

If you know who will manage or supervise you or be responsible for your conduct in the NHS organisation please insert her/his name.

If you subsequently find that you need to conduct a study in additional NHS organisations, the details should be added in the Appendix, and the Research Passport should be submitted to the relevant NHS organisation(s).

* For “project-specific” applications provide the title, start and end dates of the project. The start date should be when you plan to be involved in the study at the first site, and the end date should be when you plan to complete your involvement in the study at the last site. For a “multi-project” Research Passport please provide the start date for your involvement in your first study at the first site. The end date should be three years later.

Section 3: Declaration by Researcher - To be completed by Researcher.

Question 6
Please tell us if you have ever been refused an honorary research contract or had it revoked by an NHS organisation, and the reasons for it. Disclosing this information does not necessarily mean that you will be turned down in your application for an honorary research contract or letter of access this time, but it
could be that particular training needs have to be addressed by your substantive employer.

The Research Passport system relies on information you provide in the Research Passport form being shared with relevant NHS organisations. You need to consent to this information being shared otherwise checks that have already been carried out on you may need to be repeated. The information regarding online access to ISA on-line and the ISA-registration status is no longer applicable.

**Section 4: Suitability of Researcher - To be completed by Researcher's line manager / head of academic unit.**

**Question 7**

This section should be completed by an appropriate manager from your School or Institute who is responsible for ensuring that you are suitably trained, qualified and experienced to carry out the research. It could be your line manager or head of department.

For students, your academic supervisor should complete this section.

Confirming suitability does not place individual liability on the signatory. The action of confirming suitability forms part of the core responsibilities of employers and academic institutions.

Your manager, in conjunction with your HR department, will need to indicate whether your research activity will involve regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006.

The Algorithm of Research Activity and pre-engagement checks can be used as a guide, however, full definitions of regulated and controlled activity are available in the Research Passport Vetting and Barring Scheme guide and interim advice on how changes to the Vetting and Barring Scheme affect the Research Passport may be found at the [NIHR Research Passport web site](#).

Training should be commensurate with the nature of the research study and the research environment. Your manager should consult the Principal Investigator or Chief Investigator for the study and then make an assessment of your training needs in relation to Good Clinical Practice, data protection, use of equipment etc.

**Section 5: Pre-engagement checks - To be completed by the HR team**

This section is for the Human Resources (HR) team at the University to complete and sign. Please forward the following forms:

- Research Passport application form
- The role assessment form
• A short CV using the CV template

To the following address:

FAO Dominic Lamb
Human Resources
Newcastle University
Level 4
King’s Gate Building
Newcastle upon Tyne
NE1 7RU

No further action is required from you until you have been contacted by the University’s HR team to inform you that:

You do not require clearances.

You do require clearances and these will be posted to you - please consult the DBS and Occupational Health completion guides. HR will contact you when your clearances have been issued and your form is ready to collect.

In some circumstances you might be contacted for further information to help HR complete this section (e.g. copies of qualifications or training certificates).

**Section 6: Instructions to applicants - To be completed by Researcher**

HR will send your application to the lead NHS organisation for validation. Please see contacts for Trust R&D contacts.

Don’t forget to include details of any appendices, if applicable.

**Section 7 - To be completed by HR in the Lead NHS Organisation**

In some situations it may be necessary to undergo additional occupational checks for a particular research activity (e.g. where specific vaccinations are required, or a discussion with the applicant is necessary).

The R&D office will let you know if you need to have additional checks. Please add the written evidence of these checks to the attachments to your Research Passport.

**Section 8 - For office use only: To be completed by the Lead NHS Site**

NHS organisations should consider the type and/or degree of pre-engagement checks that are required, ensuring that these are commensurate with the role of
the researcher, the type of research and the duty of care. With regard to research involving regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006, NHS organisations should refer to the Research Passport Vetting and Barring Scheme Guidance for information on checking requirements.

Where a researcher is not able to provide evidence of appropriate checks in the Research Passport form, the decision whether or not to issue an honorary research contract or letter of access should take account of the above factors and be made following discussion with the applicant and her/his employer. NHS Employers and the UK Health Departments offer further guidance and advice on issues relating to those working within the NHS as employees, honorary staff, contractors, students or volunteers.

NHS organisations should take a photocopy of the completed form and attachments to provide an auditable system for their records.

For applications submitted after 26 July 2010 only. Where a position is regulated activity and subject to ISA registration, NHS host sites should indicate whether the Research Passport includes written confirmation from the substantive employer that the individual has been registered with ISA (see row 3, question 8, section 5). This is mandatory for all new applications from November 2010.

Section 8 - For office use only: To be completed by the subsequent NHS Site

When the valid Research Passport is presented to other NHS organisations this section can be added to the Research Passport by each new NHS site.

Host sites should consider the type and/or degree of pre-engagement checks that are required, ensuring that these are commensurate with the role of the researcher, the type of research and the duty of care. With regard to research involving regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006, NHS organisations should refer to the Research Passport Vetting and Barring Scheme Guidance for information on checking requirements.

Where a researcher is not able to provide evidence of appropriate checks in the Research Passport form, the decision whether or not to issue an honorary research contract or letter of access should take account of the above factors and be made following discussion with the applicant and her/his employer. NHS Employers and the UK Health Departments offer further guidance and advice on issues relating to those working within the NHS as employees, honorary staff, contractors, students or volunteers.

Following a proportionate risk assessment, subsequent NHS organisations may elect to process the application on the basis of the validated Research Passport only without the requirement to review the original supporting documents.
What type of pre-engagement checks are needed for your research passport?

Please download and complete the role assessment form and return it to Human Resources along with your Research Passport application. This form will be used to assess the type of work you will be undertaking so that HR can send you the appropriate clearance questionnaires.

**DBS Checks, Standard or Enhanced**

If you require a DBS to perform your duties, an online application form will be sent to you by HR. HR will use the answers provided in the role assessment form to decide what type of DBS you will require in line with the Vetting and Barring Scheme (VBS) guidelines for the research passport.

The Academic Unit is responsible for the costs of the DBS check.

**Occupational Health checks**

To comply with NHS occupational health (OH) assessment requirements, if it is identified that you require OH clearance for your research passport then an additional OH assessment may be required on top of Newcastle University pre-employment OH assessment. If you are new to Newcastle University, when you fill in your pre-employment OH questionnaire you need to clearly indicate that you will be applying for a research passport. If you have already had your Newcastle University OH assessment then you will need to contact OH and ask if you have been cleared to research passport level.

**Important information about the Research Passport**

It is very important that you keep your Research Passport up to date. You should inform any NHS organisation where you are conducting research of any change in details, e.g. research project, employment status, registration status, criminal record etc. Any failure to do so may result in termination of your honorary research contract or letter of access and it may have implications for your employment with the University. Additions and amendments to the Research Passport appendix should be countersigned by the relevant R&D office. The R&D office will take a photocopy of any amendments and additions to the Research Passport. You should check that you do not need additional pre-engagement checks (DBS/OH) if you are taking on an entirely new research activity.

Before you can be considered for appointment in a position of trust within the NHS, each NHS organisation needs to be satisfied about your character and suitability. The law requires the NHS to promote equality of opportunities and to treat all applicants for positions fairly and on merit regardless of age, disability, gender, race, ethnic origin, nationality, religion, belief, or sexual orientation. The NHS shall not discriminate unfairly against applicants on the basis of any criminal conviction or other information declared.
Prior to making a final decision concerning your application, each NHS organisation should discuss with you any information declared by you that it believes has a bearing on your suitability for the position. If any information is not raised with you, this is because the NHS organisation believes that it should not be taken into account. In that event, you remain free to discuss any of that information or any other matter that you wish to raise. As part of assessing your application, the NHS organisation will take into account any relevant criminal record and other information declared.

In accordance with the Data Protection Act 1998 you are advised that your personal data will be processed by each NHS organisation to which you submit the Research Passport. In completing and submitting the Research Passport you are deemed to have given consent to processing personal data about you. Processing includes: holding, obtaining, recording, using, sharing and deleting information. The Data Protection Act 1998 defines ‘sensitive personal data’ as including ethnic origin, physical or mental health, commission or alleged commission of offences and any proceedings for any offence committed or alleged to have been committed.

The information that you provide in this Research Passport will be processed in accordance with the Data Protection Act 1998, and may also be used for the purpose of determining your application for this position. It may also be used for the purpose of enquiries in relation to the prevention and detection of fraud. Once a decision has been made concerning your appointment, for successful applicants the Research Passport will be retained on their personal file; if unsuccessful, the Research Passport will be destroyed one month after receipt of the application. This form will be kept securely and in confidence, and access to it will be restricted to designated persons within the NHS organisation who are authorised to view it as a necessary part of their work.

While conducting research in the organisation, all researchers should comply with NHS organisation policies relating to safety and confidentiality. These may include the following:

- incident reporting
- research governance
- misconduct and fraud
- data storage and handling

Your local NHS Trust HR Manager will be able to provide you with these policies.