



UCL Research Ethics Committee

Note to Applicants: It is important for you to include all relevant information about your research in this application form as your ethical approval will be based on this form. Therefore anything not included will not be part of any ethical approval.

You are advised to read the Guidance for Applicants when completing this form.

Application For Ethical Review: Low Risk

Are you applying for an urgent accelerated review?

Yes ☐

No ☒

If yes, please state your reasons below. Note: Accelerated reviews are for exceptional circumstances only and need to be justified in detail.

Is this application for a continuation of a research project that already has ethical approval? *For example, a preliminary/pilot study has been completed and is this an application for a follow-up project?*

Yes ☐

No ☒

If yes, provide brief details (see guidelines) including the title and ethics id number for the previous study:

Section A: Application details

1	Title of Project	Analysis of geographical areas and characteristics of malnutrition and food sustainability studies in London based on Tesco data.
2	Proposed data collection start date	21/05/2021
3	Proposed data collection end date	30/06/2021
4	Project Ethics Identification Number	20747/001
5	Principal Investigator (*for student projects, your supervisor should be identified as the PI)	Dr Adam Dennett
6	Position held	Senior Lecturer
7	Faculty/Department	Centre for Advanced Spatial Analysis Faculty of the Built Environment
9	Contact Details Email: Telephone:	a.dennett@ucl.ac.uk

10	Provide details of other Co-Investigators/Partners/Collaborators who will work on the project. <i>Note: This includes those with access to the data such as transcribers.</i>	
Name: Position held: Faculty/Department: Location (UCL/overseas/other UK institution): Email:		Name: Position held: Faculty/Department: Location (UCL/overseas/other UK institution): Email:
If you do not know the names of all collaborators, please write their roles in the research.		

11	If the project is funded (this includes non-monetary awards such as laboratory facilities)	
Name of Funder		
Is the funding confirmed?		

12	Name of Sponsor The Sponsor is the organisation taking responsibility for the project, which will usually be UCL. If the Sponsor is not UCL, please state the name of the sponsor.
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13	If this is a student project	
Name		Zihao Li
Faculty/Department		The Bartlett Centre for Advanced Spatial Analysis
Position Held (please tick)		<input type="checkbox"/> Undergraduate/Bachelor project (if so, provide course title/number: _____) <input checked="" type="checkbox"/> Master's project (if so, provide course title/number: _CASA0004/0010/0012: Dissertation (20/21)_____ <input type="checkbox"/> PhD <input type="checkbox"/> staff led research project which may involve one or more students
Contact details		

Section B: Project details

The following questions relate to the objectives, methods, methodology and location of the study. Please ensure that you answer each question in lay language.

14	Provide a <i>brief</i> (300 words max) background to the project, including its intended aims. My research is designed to screen and characterise undernourished areas in London and to provide the FEAST project with sustainable solutions to food waste and nutrition problems. In addition, the research question is about what can nutrition data from grocery purchasing habits reveal about the nutritional geographies of London? And how might these interact with the geographies of malnutrition and other diet related diseases in
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London. Subtitle: How might this information be used to help target charitable services dealing with nutrition and access to food in London?

1. review the existing literature on addressing food waste, nutritional deficiencies and food safety hazards, and identify the value and need for different nutrition labels, and the level of implementability of different solutions.
2. collate and cleanse Tesco sales and nutrition data to assign values to different nutrients. Determine calculation functions and approximation algorithms for regional nutritional levels and use cluster analysis (Jenks Natural Breaks and spatial clustering) after using weighted calculations to identify and filter out areas of London that are undernourished.
3. summarise the characteristics of such areas and the factors influencing nutrient limitation, establish the spatial distribution of impacts and explore any regional variations through spatial and regression analysis and explore potential causes.
4. propose possible solutions in relation to the FEAST project's objectives and action models and compare the results of the scenario's simulations across London's regions, comparing the extent of improvement in malnutrition in different areas.
5. Identify the better sustainable solutions when combined and assess their effectiveness. Finally compare it with other national or regional solutions to food waste and nutrition and whether the programme or project has superiority and welfare value in the London area.

15	Methodology & Methods (tick all that apply)	
	<input type="checkbox"/> Interviews* <input type="checkbox"/> Focus groups* <input type="checkbox"/> Questionnaires (including oral questions)* <input type="checkbox"/> Action Research <input type="checkbox"/> Observation Participant Observation <input type="checkbox"/> Documentary analysis (including use of personal records) <input type="checkbox"/> Audio/visual recordings (including photographs)	<input type="checkbox"/> Collection/use of sensor or locational data <input type="checkbox"/> Controlled Trial <input type="checkbox"/> Intervention study (including changing environments) <input type="checkbox"/> Systematic review <input checked="" type="checkbox"/> Secondary data analysis – (See Section D) <input type="checkbox"/> Advisory/consultation groups <input type="checkbox"/> Other, give details:
	*Attach copies to application (see below).	
16a	<p>Provide – in lay person's language - an overview of the project; focusing on your methodology and including information on what data/samples will be taken (including a description of the topics/questions to be asked), how data collection will occur and what (if relevant) participants will be asked to do. This should include a justification for the methods chosen. (500 words max)</p> <p>Please do not attach or copy and paste a research proposal or case for support.</p> <p>The project will mainly use the shopping information of TESCO's clubcard users and the anonymized information collected by FEAST for some of their customers. I will use the data used in the previous study. The data is as follows</p> <ol style="list-style-type: none"> 1. Clubcard linked purchase data for 2015 from TESCO at 411 shops in London. 2. Feast will provide a detailed service evaluation survey of people using its services in London. Contains demographic information and data on 92 variables such as diet, cooking skills and eating habits – these are anonymised with no personally identifiable characteristics. 	

	<p>3. grocery stores in London. supermarket distribution and demographic and economic data for the London area.</p> <p>4. Other datasets that may be used, such as Manufacture of homogenised food preparations and dietetic food; Manufacture of other food products; Take away food shops and mobile food stands</p>
16b	<p>Attachments</p> <p>If applicable, please attach a copy of any interview questions/workshop topic guides/questionnaires/test (such as psychometric), etc and state whether they are in final or draft form.</p>

17	Please state which code of ethics (see Guidelines) will be adhered to for this research (for example, BERA, BPS, etc).
BERA	

Location of Research	
18	<p>Please indicate where this research is taking place.</p> <p><input checked="" type="checkbox"/> UK only (Skip to 'location of fieldwork')</p> <p><input type="checkbox"/> Overseas only</p> <p><input type="checkbox"/> UK & overseas</p>
19	<p>If the research includes work outside the UK, is ethical approval in the host country (local ethical approval) required? (See Guidelines.)</p> <p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If no, please explain why local ethical approval is not necessary.</p> <p>If yes, provide details below including whether the ethical approval has been received.</p> <p>Note: Full UCL ethical approval will not be granted until local ethical approval (if required) has been evidenced.</p>
20	<p>If you (or any members of your research team) are travelling overseas in person are there any concerns based on governmental travel advice (www.fco.gov.uk) for the region of travel?</p> <p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Note: Check www.fco.gov.uk and submit a travel insurance form to UCL Finance (see application guidelines for more details). This can be accessed here: https://www.ucl.ac.uk/finance/secure/fin_acc/insurance.htm (You will need your UCL login details.)</p>

21	State the location(s) where the research will be conducted and data collected. For example public spaces, schools, private company, using online methods, postal mail or telephone communications.
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22	<p>Does the research location require any additional permissions (e.g. obtaining access to schools, hospitals, private property, non-disclosure agreements, access to biodiversity permits (CBD), etc.)?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please state the permissions required.</p>
23	<p>Have the above approvals been obtained? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please attach a copy of the approval correspondence.</p> <p>If not, confirm they will be obtained prior to data collection. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>

Section C: Details of Participants

In this form 'participants' means human participants and their data (including sensor/location data, observational notes/images, tissue and blood samples, as well as DNA).

24	<p>Does the project involve the recruitment of participants?</p> <p>Yes <input type="checkbox"/> Complete all parts of this Section.</p> <p>No <input checked="" type="checkbox"/> Move to Section D.</p>
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Participant Details

25	<p>Approximate maximum number of participants required:</p> <p>Approximate upper age limit: Lower age limit:</p> <p>Justification for the age range and sample size:</p>
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Recruitment/Sampling

26	<p>Describe how potential participants will be recruited into the study.</p> <p>Note: This should include reference to how you will identify and approach participants. For example, will participants self-identify themselves by responding to an advert for the study or will you approach them directly (such as in person or via email)?</p>
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Informed Consent

27a	<p>Describe the process you will use when seeking to obtain consent.</p> <p>Note: This should include reference to what participants are being asked to consent to, such as whether their contribution will be identifiable/anonymous, limits to confidentiality and whether their data can be withdrawn at a later date.</p> <p><i>(An annotated template information sheet and consent form have been provided for your use.)</i></p>
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27b	<p>Attachments Please list them below:</p> <p><i>Ensure that a copy of all recruitment documentation (recruitment emails/posters, information sheet/s, consent form/s) have been attached to the application.</i></p>
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27c	<p>If you are not intending to seek consent from participants, clarify why below:</p>
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28	How will the results be disseminated (including communication of results with participants)?
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Section D: Accessing/Using Pre-collected Data

Access to data

- 29 If you are using data or information held by third party, please explain how you will obtain this. You should confirm that the information has been obtained in accordance with the General Data Protection Regulation 2018.

Accessing pre-collected data

- 30 Does your study involve the use of previously collected data?

No ☐ Move to Section E.

Yes ☒ Complete all parts of this Section. **Note:** If you ticked any boxes with an asterisk (*), ensure further details are provided in Section E: Ethical Issues.

- 31 Name of dataset/s: **FEAST Customer Nutrition Information Collection Form. Tesco clubcard data on shopping basket items for London neighbourhoods.**

- 32 Owner of dataset/s (if applicable): **FEAST With Us (Charity Number 1172884)**

- 33 Is the data in the public domain? Yes ☐ No ☒
If not, do you have the owner's permission/license? Yes ☒ No* ☐

- 33 Is the data anonymised? Yes ☒ No ☐
If not:
- i. Do you plan to anonymise the data? Yes ☐ No* ☐
 - ii. Do you plan to use individual level data? Yes* ☐ No ☐
 - iii. Will you be linking data to individuals? Yes* ☐ No ☐

- 34 Is the data sensitive? Yes* ☐ No ☒

- 35 Will you be conducting analysis within the remit it was originally collected for? Yes ☒ No* ☐

- 36 If not, was consent gained from participants for subsequent/future analysis? Yes ☒ No* ☐

Section E: Ethical Issues

Ethical Issues

- 37** Please address clearly any ethical issues that may arise in the course of this research and how they will be addressed. Further information and advice can be found in the guidelines.
- Note:** All ethical issues should be addressed - **do not leave this section blank**. All projects give rise to ethical issues. If you think there are no ethical issues, you need to provide an explanation as to why.
- FEAST data were collected as part of their annual service evaluation and were done so for the purposes of improving their service provision. Participants were informed of this. The project will not use private information such as customer names and addresses in the data analysis, but will focus on issues related to nutritional aspects. Finally, there is no deception in the collection of information for this project.
- Tesco data are freely available online via - https://figshare.com/collections/Tesco_Grocery_1_0/4769354/2 - these data are fully anonymised and spatially aggregate so pose no ethical risk.

Risks & Benefits

- 38** Please state any *benefits* to participants in taking part in the study (this includes feedback, access to services or incentives),
- There may be a public interest in providing policy recommendations or means of improving food security or malnutrition in London through the analysis of nutritional information on the collectors
- 39** Do you intend to offer incentives or compensation, including access to free services)?
- Yes ☐ No ☒
- If yes, specify the amount to be paid and/or service to be offered as well as a justification for this.**
- 40** Please state any *risks* to participants and how these risks will be managed.
- As the data has already been collected, there is little risk to the person whose data is being collected (the customer) in the event of secondary use, and there are no children or sensitive groups.
- 41** Please state any *risks* to you or your research team and how these risks will be managed.
- As far as I am concerned the data collection risk for this project is very low and I need to secure the information and prevent it from being leaked.

Section F: Appropriate Safeguards, Data Storage & Security

Please ensure that you answer each question and include all hard and electronic data.

42	<p>Will the research involve the collection and/or use of personal data?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>Personal data is data which relates to a living individual who can be identified from that data OR from the data and other information that is either currently held, or will be held by the data controller (the researcher).</p> <p>This includes:</p> <ul style="list-style-type: none"> – any expression of opinion about the individual and any intentions of the data controller or any other person toward the individual. – sensor, location or visual data which may reveal information that enables the identification of a face, address, etc (some postcodes cover only one property). – combinations of data which may reveal identifiable data, such as names, email/postal addresses, date of birth, ethnicity, descriptions of health diagnosis or conditions, computer IP address (if relating to a device with a single user). <p>If you do not have a registration number from Legal Services, please clarify why not:</p>
43	<p>Is the research collecting or using</p> <ul style="list-style-type: none"> – special category data as defined by the General Data Protection Regulation and/or – data which might be considered sensitive in some countries, cultures or contexts. <p>If yes, state whether explicit consent will be sought for its use and what data management measures are in place to adequately manage and protect the data.</p> <p>No</p>

44	<p>All research projects using personal data must be registered with Legal Services before the data is collected, please provide the Data Protection Registration Number:</p> <p>If you do not have a registration number from Legal Services, please clarify why not:</p>
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During the project (including the write up and dissemination period)	
45	<p>State what types of data will be generated from this project (i.e. transcripts, videos, photos, audio tapes, field notes, etc).</p> <p>none</p> <p>How will data be stored, including where and for how long? This includes all hard copy and electronic data on laptops, share drives, usb/mobile devices.</p> <p>The data will be stored on the laptop until the end of the project</p> <p>Who will have access to the data, including advisory groups and during transcription?</p>
46	<p>Do you confirm that all personal data will be stored and processed in compliance with the General Data Protection Regulation (GDPR 2018).</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If not, please clarify why.</p>

47	<p>Will personal data be processed or be sent outside of the European Economic Area (EEA)?*</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please confirm that there are adequate levels of protection in compliance with the GDPR 2018 and state what the arrangements are below.</p>
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After the project	
48	<p>What data will be stored and how will you keep it secure?</p> <p>Where will the data be stored and who will have access?</p> <p>Will the data be securely deleted? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please state when this will occur: 23/08/2021</p>
49	<p>Will the data be archived for use by other researchers? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please provide further details including whether researchers outside the European Economic Area will be given access.</p>

Section G: Declaration to be Signed by the Principal Researcher	
I confirm that the information in this form is accurate to the best of my knowledge.	
<u>For staff project:</u>	Adam Dennett
Signature	
Date	5/5/2021
<u>For student project:</u>	
I have met with and advised the student on the ethical aspects of this project design.	
Signature	
Date:	

<p>Signature of your Head of Department (or Chair of your Departmental Ethics Committee or Departmental Ethics Lead)</p>

Part A

I have read the 'criteria of minimal risk' as defined on page 3 of the Guidelines (<http://ethics.grad.ucl.ac.uk/forms/guidelines.pdf>) and I recommend that this application be considered by the Chair of the UCL REC.

Yes ☒ No ☐

Part B

I have discussed this project with the principal researcher who is suitably qualified to carry out this research and I approve it. I am satisfied that (highlight as appropriate):**

1. Data Protection registration:

- has been satisfactorily completed
- has been initiated
- ☒ is not required

2. A risk assessment:

- ☒ has been satisfactorily completed
- has been initiated

3. Appropriate insurance arrangements are in place and appropriate sponsorship [funding] has been approved and is in place to complete the study.


Yes ☒ No ☐

4. A Disclosure and Barring Service check(s):

- has been satisfactorily completed
- has been initiated
- ☒ is not required

Note: Links to details of UCL's policies on the above can be found at:
<http://ethics.grad.ucl.ac.uk/procedures.php>

****If any of the above checks are not required please clarify why below.**

Name:	Jens Kandt
Signature:	
Date:	6/5/2021

Updated March 2019