University of Edinburgh Business School
Level 2[1] Research Ethics Applications

Name(s) of Investigators:

Title of Proposal:

Please provide a brief outline of a) the research aims, b) the <u>proposed methodology</u>, highlighting any anticipated ethical issues and c) detailing what information about participants/data subjects you will collect/use (on separate sheet if required):

I have read the *Business School Research Ethics Policy* and agree to abide by it.

In the case of human participants: (delete as necessary)

Participants will be told about the objectives of the study.

Any hazards will be explained to them.

Participants will be informed they are participating of their own free will and consent.

They will be informed that they are free to withdraw at any point should they wish to.

Information will be held in confidence and any information used will be used anonymously unless consent has been given otherwise[2]. (Please also complete Appendix B)

I confirm that this study does NOT involve children (under 18), institutionalised people; or other individuals who are vulnerable or unable to give consent.

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[1] **Level two**: : applies to 'straightforward' non-intervention, observational research (data, observation, questionnaires) and 'straightforward' engagement with participants or participant groups (interviews, focus groups etc.)

[2] Please see https://www.ed.ac.uk/information-services/research-support/research-data-service for information on data security and storage.

I have considered the risks of physical or psychological harm to research participants (including the researchers) and how to address these
Please provide explanations in the case of a negative response to any of the above questions.
I confirm this project does NOT involve health and/or social care[3] (including NHS data)
I confirm that this research does NOT concern groups which may be construed as terrorist or extremist (if NO please complete Appendix C)
Have all researchers/staff who have access to project data completed the mandatory data protection training available in LEARN
Will you be collecting any special categories of personal data[4] (if YES please go to Appendix B)
Will information containing personal, identifiable data be transferred to, shared with, supported by, or otherwise available to third parties outside the University? (if YES please go to Appendix B)
Other then use by third parties, will the data be used, accessed or stored away from University premises? (if YES please go to Appendix B)

Please attach a copy of your Research Data Management Plan

Signed		Date	

APPENDIX A

Health and Social Care Research

Definitions from "UK policy framework for health and social care research (2017)"
Health research is defined as "any research into matters relating to people's physical or mental health. Excludes anything authorised under the Animals (Scientific Procedures) Act 1983."
Social care research is defined as "any research into matters relating to personal care or other practical assistance for individuals (in England and Scotland, specifically individuals aged 18 or over) who are in need of care or assistance because of age, physical or mental illness, disability, pregnancy, childbirth, dependence on alcohol or drugs or other similar circumstances."

If the aim of your project falls within these definitions then it may require formal "sponsorship" by the University. As this is a complex area if in doubt contact ethics@business-school.ed.ac.uk with any queries.

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[3] Please see definitions in Appendix A.
[4] Special categories are: health data, data relating to race or ethnicity, political opinions, religious beliefs, trade union membership, criminal convictions, sexual orientations, genetic data and biometric data

APPENDIX B

Data Protection Compliance

The legal basis for using personal data as part of academic research is Article 6(1)(e) of the Data Protection Act 2018 (DPA) – public task of the University – ensure that you do not rely on consent for the actual **processing** of research data.

This means that while you will need participants' consent such as "I agree to participate in the ... study." linked to the participant information sheet. Note, however, that you will not need to obtain consent for processing, sharing or storing the research data.

Describe the physical and security arrangements you will put in place for the data:

It is expected that you will have consulted with collaborators to enable you to answer the following questions:

It is essential that you identify and list all risks to the privacy of research participants. You will then need to consider the likelihood of the risks actually manifesting and the severity of harm if the risks actually manifest.

Risk	Likelihood of risk manifesting			Severity of harm		
	Remote	Possible	Probable	Minimal	Significant	Severe
Identifiable due to data linkage	☐	☐	☐	☐	☐	☐
Identifiable due to low participant numbers	☐	☐	☐	☐	☐	☐
Identifiable due to geographical location	☐	☐	☐	☐	☐	☐
Identifiable due to transfer of data	☐	☐	☐	☐	☐	☐
Identifiable due to access of data	☐	☐	☐	☐	☐	☐

Please identify measures you could take to reduce or eliminate risks identified as possible/significant or probable/severe.

Please explain why it is necessary to transfer information outside the University of Edinburgh and how the transfer of the information will be made secure. If the third party is based outside the European Economic Area please obtain guidance from the Data Protection Officer.

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Describe the arrangements you have put in place to safeguard the data from accidental or deliberate access, amendment or deletion when it is not on University premises, including when it is in transit, and (where applicable) it is transferred outside the EEA.

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Will feedback of findings be given to your research project participants   Yes/No

How do you intend the results of your research project to be used?

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Does your project involve using secondary data?   Yes/No

Please note: Research data can be stored indefinitely as long as it is stored securely.

Ensure that your legal basis for using one or more of the "special categories" of personal data (if applicable) in your research is Article 9(2)(j) – gathering and processing is **necessary** for research purposes.

Explain what safeguards e.g. technical or organisational you have in place, such as:
- [ ] Compliance with the minimisation principle – use only the absolute minimum of personal data required for your purpose
- [ ] Anonymising personal data if you can
- [ ] If you cannot anonymise, wherever possible, pseudonymise all personal data
- [ ] Storing the data securely
- [ ] Other:

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Please indicate how your research is in the public interest:
- [ ] Your research is proportionate[5]

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[5] The principle of proportionality discourages researchers from going beyond stated objectives or imposing more than is necessary on research participants

- ☐ Your research is subject to a governance framework
- ☐ REC review (does not have to be a European REC)
- ☐ Peer review from a funder
- ☐ Confidentiality Advisory Group (CAG) recommendation for support in England and Wales or support by the Public Benefit and Privacy Panel (PBPP) for Health and Social Care in Scotland
- ☐ Other:

APPENDIX C

The Terrorism Act (2006) outlaws the dissemination of records, statements and other documents that can be interpreted as promoting or endorsing terrorist acts.

1. Does your research involve the storage on a computer of any such records, statements or other documents?
Yes ☐ No ☐

2. Might your research involve the electronic transmission (eg as an email attachment) of such records or statements?
Yes ☐ No ☐

3. If you answered 'Yes' to questions 1 or 2, you are advised to store the relevant records or statements electronically on a secure university file store. The same applies to paper documents with the same sort of content. These should be scanned and uploaded. Access to this file store will be protected by a password unique to you and your School Research Ethics Officer. Please indicate below that you agree to store all documents relevant to questions 1 and 2 on that file store:
Yes ☐

3a. Please indicate below that you agree not to transmit electronically to any third party documents in the file store:
Yes ☐

4. Will your research involve visits to websites that might be associated with extreme, or terrorist, organisations?
Yes ☐ No ☐

5. If you answer 'Yes' to question 4, you are advised that such sites may be subject to surveillance by the police. Accessing those sites from university IP addresses might lead to police enquiries. Please acknowledge that you understand this risk by putting an 'X' in the 'Yes' box.
Yes ☐

6. By submitting to the ethics process, you accept that your School Research Ethics Officer and the convenor of the University's Compliance Group will have access to a list of titles of documents (but not the contents of documents) in your document store. Please acknowledge that you accept this by putting an 'X' in the 'Yes' box.

Yes ☐

Signed ☐ Date ☐

Head of Group ☐ Date ☐