Level 3 Ethics application
Research ethics checklist - University of Edinburgh Business School

This code applies to all research carried out in the CHSS, whether by staff or students. The checklist should be completed by the Principal Investigator, leader of the research group, or student(s) in consultation with their supervisor. Those completing the checklist should ensure, wherever appropriate, that training and induction in research skills and ethics has been given to researchers involved prior to completion of the checklist, including reading the **College's Code of Research Ethics** http://www.ed.ac.uk/schools-departments/humanities-soc-sci/research-ke/support-for-staff/college-research/ethics-framework

This is particularly important in the case of student research projects.

If the answer to any of the questions below is 'yes', please give details of how this issue is being/will be addressed to ensure that ethical standards are maintained. Please give as much information as possible and attach (draft) consent forms, participant information sheets, examples of questionnaires, etc. to enable the School Ethics Committee to make an informed decision about approval.

1 THE RESEARCHERS	
Your name and position	
Proposed title of research	
Funding body	
Time scale for research	
List those who will be involved in conducting the research, including names and positions (e.g. UoE academic staff, Co-I from 'x', PhD student)	
Please provide a brief outline of a) the research aims b) the proposed methodology and c) detailing what information about participants/data subjects you will collect/use. (Use a separate sheet if necessary)	
2 RISKS TO, AND SAFETY OF, RESEARCHERS	
Do those named above need appropriate training to enable them to conduct the proposed research safely and in accordance with the ethical principles set out by the College?	**Yes/No**

Are researchers likely to be sent or go to any areas where their safety may be compromised? *If yes, what measures are they taking? For example, making sure someone knows where they are, giving contact information. If the research is to be carried out outside the UK, you may need to complete appropriate risk assessment procedures – contact the Research Office for further details.*	**Yes/No**
Where will the research take place? *Please say if this is a location which could pose any risks or explain why this is an appropriate choice of location.*	
Could researchers have any conflicts of interest?	**Yes/No**
Does your research concern groups which may be construed as terrorist or extremist?	**Yes/No**[1]
3 RISKS TO, AND SAFETY OF, PARTICIPANTS	
Does the research involve any physically invasive or potentially physically harmful procedures?	**Yes/No**
Could this research adversely affect participants in any other way (e.g., psychologically)?	**Yes/No**
4 DATA PROTECTION and DATA MANAGEMENT See www.ed.ac.uk/is/research-data-policy for further guidance of the University's requirements and helpful sources of information. You must also complete Appendix A.	
Will any part of the research involve audio, film or video recording of individuals?	**Yes/No**
Will the research require collection of personal information from any persons without their direct consent?	**Yes/No**
How will the confidentiality of data, including the identity of participants (whether specifically recruited for the research or not) be ensured? How will participants be reassured of this?	
Who will be entitled to have access to the raw data? Will information containing	

[1] If your answer to this question is "Yes", please also complete and submit the supplementary form available here as Appendix B

personal, identifiable data be transferred to, shared with, supported by, or otherwise available to third parties outside the University?	
Whilst the project is ongoing: What steps have been taken to ensure that only entitled persons will have access to the data? (Please see https://www.ed.ac.uk/information-services/research-support/research-data-service for information on data security and storage.)	
Other than use by third parties, will the data be used, accessed or stored away from University premises?	**Yes/No**
When project is finished: How and where will the data be stored (archived), in what format, and for how long?	
If, 'Yes' to above, how will the data be anonymised in a way that will still fulfil the Open Data requirements)? *(e.g. removing any identifying details from qualitative interviews; appropriate meta-data for quantitative data sets etc*)	
How will the data be disposed of? *We suggest shredding/confidential waste disposal for paper copies*	
How will the results of the research be used? *e.g. in academic publications, student dissertation / thesis, conference presentations, presented to non-academic stakeholders, etc*	
What feedback of findings will be given to participants?	
Are results from the study likely to be shared with any non-academic stakeholders? If *yes*, what steps will be taken to protect the anonymity or interests of participants?	**Yes/No**
5 RESEARCH DESIGN	
The research involves living human subjects specifically recruited for this research project *If 'no', go to section 6*	**Yes/No**

Does your project involve health and/or social care (including NHS data)? *Health research is defined[2] 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."*	**Yes/No**
Will you be collecting any special categories of personal data? If so, is this essential for your project's aims? *(health data, data relating to race or ethnicity, political opinions, religious beliefs, trade union membership, criminal convictions, sexual orientations, genetic data and biometric data)*	
What criteria will be used in deciding on inclusion/exclusion of participants?	
How will the sample be recruited? Who will select particular participants, e.g., children in a class?	
Will the study involve groups or individuals who are in custody or care, such as students at school, hospital patients, self-help groups, residents of a nursing home?	**Yes/No**
If yes, who will be providing informed consent? (for example will it be a parent or teacher – if children/ the resident care institution or the family of the elderly in care – if in nursing home?) *Best practice is for the participants themselves (e.g. children) to also give their consent. We recommend that consent is*	

[2] Definitions from "UK policy framework for health and social care research (2017)"

based on an opt-in basis (rather than opt-out)	
If *yes*, please explain why this group has been chosen and how they will be involved in the research	
What will the group be doing, and how will they be studied? Will they be observed? Interviewed? In group or individually?	
Please provide an indication of the questions to be asked *(if a study involves particularly sensitive questions, further details such as questionnaires or detailed topic guides may be sought before full ethical approval is granted)*	
What information will be provided to participants prior to their consent? (e.g. information leaflet, briefing session) Please provide details of this – e.g., sample letters, leaflets.	
Participants have a right to withdraw from the study at any time. Please confirm that participants will be advised of their rights. *Remember to explain that there will be no adverse consequences for withdrawal.*	**Yes/No**
Will it be necessary for participants to take part in the study without their knowledge and consent? (e.g. covert observation of people in non-public places)	**Yes/No**
Where consent is obtained, what steps will be taken to ensure that a written record is maintained? *Please provide a copy of informed consent letters – see templates – for parents and children.*	
In the case of participants who have difficulties with English, what arrangements are being made to ensure informed consent?	
Will participants receive any financial or other benefit from their participation? If Yes – What happens if they participate and then withdraw? Do they keep the financial reward?	**Yes/No**
Are any of the participants likely to be particularly vulnerable, such as elderly or	**Yes/No**

disabled people, adults with incapacity, UEBS students, members of ethnic minorities, or in a professional or client relationship with the researcher? *Even if they are of sound mind they may still be vulnerable – please give details*	
Will any of the participants be under 16 years of age? If Yes – Please give details of the ages. Will a teacher be present? Will children be in a focus group?	**Yes/No**
Do the researchers named above need to be cleared through the Disclosure/Enhanced Disclosure procedures (for protecting vulnerable groups)?	**Yes/No**
Will any of the participants be interviewed in situations which will compromise their ability to give informed consent, such as in prison, residential care, or the care of the local authority?	**Yes/No**
6 EXTERNAL PROFESSIONAL BODIES	
Is the research proposal subject to scrutiny by any external body concerned with ethical approval?	**Yes/No**
If so, which body?	
Date approval sought	
Outcome, if known *or*	
Date outcome expected	
7 RESEARCHER TRAINING	
Have all researchers/staff who have access to project data completed the mandatory data protection training available in LEARN?	**Yes/No**
Have all researchers/staff who will be conducting the research completed the	**Yes/No**

Research Ethics and Integrity training module in LEARN?	
Have all researchers/staff who will have access to the project data completed the mandatory Information Security Essentials training module in LEARN?	**Yes/No**

8 ISSUES ARISING FROM THE PROPOSAL
In my view, ethical issues have been satisfactorily addressed, OR In my view, the ethical issues listed below arise and the following steps are being taken to address them: **Signature** **Date**

8 Ethical consideration by School

The following section should be completed by the Director of Research once the proposal has been considered by the School's research ethics committee.

I confirm that the proposal detailed above has received ethical approval from the School [* subject to approval by the external body named in section 6].

Signature …… Date ……..

* Delete as appropriate

APPENDIX A: 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.

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.

Will feedback of findings be given to your research project participants Yes

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

Does your project involve using secondary data? Yes

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:

Please indicate how your research is in the public interest:

☐ Your research is proportionate[3]

☐ 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:

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

APPENDIX B

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

2. Might your research involve the electronic transmission (eg as an email attachment) of such records or statements?

Yes

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

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

Signature:

Countersigned by supervisor/manager: