# SCHOOL OF DIVINITY ETHICS IN RESEARCH COMMITTEE



**ETHICS (SELF) ASSESSMENT FORM: LEVEL ONE**

Level One Ethics (Self) assessment is normally to be carried out by the Principal Investigator.

For honours and taught Masters students this is done with the dissertation supervisor/course manager on behalf of the programme manager. **It is the supervisor’s responsibility to make sure it is completed.**

For MTh/MSC by research and PhD students the assessment is carried out with the first supervisor.

For postdoctoral fellows this is done in collaboration with the mentor who is responsible for confirming that it has been carried out. Assessment should be conducted individually or as a group. The following questions have been strengthened in the light of GDPR and the Data Protection Act of 2018.

Masters by Research

Honours

PhD

Taught Masters

Type of student:

Title of Project:.................................................................................................................................................

Funding Body (if applicable):.............................................................................................................................

Principal Investigator/ Supervisor/ Course Manager/Programme Manager name:.........................................

Student name and matriculation Number:.......................................................................................................

# DATA COLLECTION

**Protection of research subject confidentiality**

Are there any issues of confidentiality which are not adequately handled by the normal tenets of ethical

academic research?

NO YES

*If yes, Level Two Ethics review required*

Please see the Divinity Ethics in Research web page for further guidance: http[s://w](http://www.ed.ac.uk/divinity/research/ethics)ww[.ed.ac.uk/divinity/research/](http://www.ed.ac.uk/divinity/research/ethics)e[thics](http://www.ed.ac.uk/divinity/research/ethics)

These include mutually understood agreements about:

* Non attribution of individual responses
* Individuals and organisations being anonymised in publications and presentations, if requested
* Feedback to collaborators, rights to edit responses, and intellectual property rights and publication

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| --- | --- | --- |
| **Obtaining Participants Consent**  Are issues of data consent dealt with adequately and following procedures? ...............................................  ......................................................................................................................................................................... | | |
| * Will respondents consent be sought regarding the collection of personal data? | NO | YES |
| * Are there special issues about informed consent or confidentiality in this case? | NO | YES |
| * Is the research compliant with UOE procedures (www.recordsmanagment.ed.ac.uk) | NO | YES |
| *If research not compliant, Level Two Ethics review required* |  |  |

**Moral Issues and Researcher/Institutional Conflicts of Interest**

Do any special moral issues/conflicts of interest arise? NO YES

*If yes, Level Two Ethics review required*

For example:

•Might the researcher compromise the research objectivity or independence in return for financial or non-financial benefit for her/himself or for a relative or friend?

•Are there particular moral issues or concerns that may arise, for example where the purposes of the research are concealed, where respondents are unable to provide informed consent or where research findings impinge negatively or differentially upon the interests of participants?

•Does the research involve vulnerable persons such as children, institutionalised persons or others entitled to protection and special procedures to protect their interests?

Your research is likely to include special categories of personal data that are necessary for research purposes (for example, data relating to religious beliefs, political opinions, race or ethnicity, or sexual orientations).

In brief, what information about participants will you collect (ie. through your research questions)? ...........

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How might it help you (and others) understand an issue or benefit a group? ................................................

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**Potential physical or psychological harm, discomfort, or stress**

Is there significant foreseeable potential for psychological harm or stress for those involved in your re- search?

YES NO

Is there significant foreseeable potential for physical harm or stress for those involved in your research?

YES NO

Is there significant foreseeable risk to the researcher?

YES NO

*If YES to any section, Level Two Ethics Review required*

**\*Does your research concern groups which may be construed as terrorist or extremist?**

YES NO

If your answer to this question is “Yes”, please complete and submit with this completed questionnaire the supplementary form available as an appendix to this form.

*If YES to any section, Level Two Ethics Review required*

**DATA HANDLING AND PROTECTION**

*Respect for the dignity and privacy of human subjects of research continues in the confidential handling and protecting of data. Please note: Research data can be stored indefinitely as long as it is stored securely. For storage guidance please refer to Research Data Service Webpages or Research Data Service flowchart.*

Describe the physical and security arrangements you will put in place for the data? E.g. Password protec- tion of computers, USB sticks ..........................................................................................................................

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

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

YES NO

Is this a large-scale and/or collaborative project, involving more than one researcher? NO YES

*If yes, Level Two Ethics review required*

Is this research intended for public circulation at anytime (report, article, book)?

YES NO

Is the privacy of research participants at risk, through obvious link with data, low participant numbers, geographical location?

NO YES – please list the risks .....................................................................................................

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Please identify measures you are taking to reduce or eliminate risks such as:

* Compliance with the minimisation principle: use the minimum of personal data required for your

purpose

* Anonymising personal data if you can
* If you cannot anonymise, wherever possible, pseudonymise all personal data

*(Some participants may give their informed consent to be identified in the research, but ethics protocol assumes that this is unlikely*).

Will information containing personal, identifiable data be transferred to, shared with, supported by, or otherwise available to third parties outside the University?

NO YES

*If yes, Level Two Ethics review required*

**OVERALL ASSESSMENT**

Is Level Two Ethics Assessment required?

YES NO

1. If yes, complete a Level Two Ethics Assessment form and submits it to the Ethics in Research Committee via

the research administrator (Karen.Duncan@ed.ac.uk) for a decision.

1. If no, send a signed copy of this form to research administrator ([Karen.Duncan@ed.ac.uk](mailto:Karen.Duncan@ed.ac.uk)):

I/We confirm that I/We have carried out the School Level One Ethics (Self) Assessment in relation to the proposed research project and that no reasonably foreseeable ethical risks have been identified.

Signature of Principal Investigator/ Supervisor:....................................................... Date: ..............................

Signature of Student (if applicable):......................................................................... Date:..............................

## APPENDIX A

The Terrorism Act (2006) outlaws the dissemination of records, statements and other documents that can be interpreted as promoting or endorsing terrorist acts. \*The University is required to comply with the duty to prevent people being drawn into terrorism (“the Prevent duty”. Section 26 (1) of the Counter- Terrorism and Security Act 2015 imposes a duty on ‘specified authorities’ to have due regard to the need to prevent people from being drawn into terrorism. The UK government expects to see clear policies and procedures for students and staff working on sensitive or extremism-related research.

1. Does your research involve the storage on a computer of any such records, statements or other

documents?

YES NO

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

statements?

YES NO

1. 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

1. Will your research involve visits to websites that might be associated with extreme, or terrorist, organisations?

YES NO

1. 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

1. 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

Countersigned by supervisor/manager: ..........................................................................................................