This form should be used for any research projects carried out under the auspices of the School of Divinity which involve human subjects and that have been identified by self-audit (Level One) as requiring detailed assessment - i.e. level 2 and level 3. The levels within the system are explained in the Divinity School Ethics in Research Policy document - http://www.div.ed.ac.uk/ethics\_procedures.html

The form provides general School-wide provisions. Researchers should supplement these with the more detailed provisions that may be stipulated by research collaborators (e.g. NHS) or professional bodies (e.g. BSA) or funders (AHRC, ESRC, BA etc.). The signed and completed form should be submitted, **along with a copy of the research proposal** as follows:

* Academic researchers submit one copy of the form with the supporting documents to the convenor of the School Research in Ethics Committee (Emma Wild-Wood) via the research administrator (Karen Duncan) in the general office.
* First Supervisors of postgraduate researchers (PhD) submit one copy of the form with supporting documents to the convenor of the School Research in Ethics Committee (Emma Wild-Wood) via the research administrator (Karen Duncan) in the general office.
* Dissertation supervisors of postgraduate researchers (Masters) and Undergraduate researchers (Honours) submit one copy of the form with supporting documents to the convenor of the School Research in Ethics Committee (Emma Wild-Wood) via the research administrator (Karen Duncan) in the general office, if deemed necessary.

The Ethics in Research Committee will monitor level 2 proposals to ensure that the University Ethics Policy is being adhered to. They will contact researchers and/or supervisors in cases where there may be particular concerns. For research which requires, or may require, level 3 ethics clearance, work should not proceed until the Ethics in Research Committee has considered the issues and given a determination. Level 3 applications should be submitted well in advance of a required date of approval.

### **SECTION 1: PROJECT DETAILS**

1.1 Title of Project

1.2 Principal Investigator, and any Co-Investigator(s)

(Please provide details of Name, Institution, Email and Telephone)

* 1. Does the sponsor/funder require formal prior ethical review? YES NO
	If yes, by what date is a response required
	2. Does the project require approval of any other institution/ethics committee? YES NO

If YES, give details and indicate the status of the application at each other institution or ethics committee (i.e. submitted, approved, deferred, rejected).

* 1. This project has been assessed using the Level One form and is judged to be

LEVEL2 (for information to Research Ethics Committee)

LEVEL 3 (for discussion by Research Ethics Committee)

* 1. If Level 3, is there a date by which a response from the committee is required?

Name……………………………………… Signature…………………………

**PLEASE ATTACH A COPY OF THE RESEARCH PROPOSAL**

Including the information about participants/data subjects that will you collect/use.

## SECTION 2: POTENTIAL RISKS TO PARTICIPANTS

2.1 Could the research induce any psychological stress or discomfort? YES NO

If YES, state the nature of the risk and what measures will be taken to deal with such problems.

* 1. Does the research require any physically invasive or potentially physically harmful procedures?

 YES NO

If YES, give details and outline procedures to be put in place to deal with potential problems.

2.3 Does the research involve the investigation of any illegal behaviour? YES NO

If YES, give details.

2.4 Is it possible that this research will lead to the disclosure of information about child abuse or neglect?

 YES NO

If YES, indicate the likelihood of such disclosure and your proposed response to this. If there is a real risk of such disclosure triggering an obligation to make a report to Police, Social Work or other authorities, a warning to this effect must be included in the Information and Consent documents.

2.5 Is there any purpose to which the research findings could be put that could adversely affect participants?

 YES NO

If YES, describe the potential risk for participants of this use of the data. Outline any steps that will be taken to protect participants.

2.6 Could this research adversely affect participants in any other way? YES NO

If YES, give details and outline procedures to be put in place to deal with such problems.

2.7 Could this research adversely affect members of particular groups of people?

 YES NO

If YES, describe these possible adverse effects and the protection to be put in place against them.

2.8 Is this research expected to benefit the participants, directly or indirectly?

 YES NO

If YES, give details.

2.9 Will the true purpose of the research be concealed from the participants?

 YES NO

If YES, explain what information will be concealed and why. Will participants be debriefed at the conclusion of the study? If not, why not?

* 1. At any stage in this research could researcher’s safety be compromised or could the research induce emotional distress in the researchers?

If yes to either or both, give details and outline the procedures to be put in place to deal with potential problems.

**SECTION 3: PARTICIPANTS**

3.1 How many participants is it hoped to include in the research?

3.2 What criteria will be used in deciding on the inclusion and exclusion of participants in the study?

3.3 Are any of the participants likely to be:

under 16 years of age? YES NO

children in the care of a Local Authority? YES NO

known to have special educational needs YES NO

physically or mentally ill? YES NO

vulnerable in other ways YES NO

members of a vulnerable or stigmatized minority? YES NO

unlikely to be proficient in English? YES NO

in a client or professional relationship with the researchers? YES NO

in a student-teacher relationship with the researchers? YES NO

in any other dependent relationship with the researchers? YES NO

have difficulty in reading and/or comprehending any printed

material distributed as part of the study? YES NO

If YES to any of the above, explain and describe the measures that will be used to protect and/or inform participants.

3.4 How will the sample be recruited?

3.5 Will participants receive any financial or other material benefits because of participation?

 YES NO

If YES, what benefits will be offered to participants and why?

**Before completing Sections 4 & 5 please refer to the University Data Protection Policy to**

**ensure that the relevant conditions relating to the processing of personal data under**

**Schedule 2 and Schedule 3 are satisfied. Details are Available at:**

[www.recordsmanagement.ed.ac.uk](http://www.recordsmanagement.ed.ac.uk)

**SECTION 4: PARTICIPANT INFORMATION AND CONSENT**

4.1 Will written consent be obtained from participants?

 YES NO

If YES, attach a copy of the information sheet and consent forms.

While written consent is the guiding principle, oral consent is also acceptable in some contexts of ethnographic research. If written consent will not be obtained, please explain why and how oral consent will be gained.

Administrative consent may be deemed sufficient:

a) for studies where the data collection involves aggregated (not individual) statistical information and where the collection of data presents:

(i) no invasion of privacy;

(ii) no potential social or emotional risks:

b) for studies which focus on the development and evaluation of curriculum materials, resources, guidelines, test items, or programme evaluations rather than the study, observation, and evaluation of individuals.

4.2 Will administrative consent be obtained in lieu of participants’ consent? YES NO

If YES, explain why individual consent is not considered necessary.

4.3 In the case of minors participating in the research on an individual basis, will the consent or assent of parents be obtained? YES NO

If YES, explain how this consent or assent will be obtained.

If NO, give reasons.

4.4 Will the consent or assent (at least verbal) of minors participating in the research on an individual basis be obtained?

 YES NO

If YES, explain how this consent or assent will be obtained.

If NO, give reasons.

4.5 In the case of participants whose first language is not English, will arrangements be made to ensure informed consent?

 YES NO

If YES, what arrangements will be made?

If NO, give reasons.

4.6 In the case of participants with special educational needs will arrangements be made to ensure informed consent?

 YES NO

If YES, what arrangements will be made?

If NO, give reasons.

**SECTION 5: PROTECTION AND HANDLING OF DATA**

5.1 Will the research require the collection of personal information from e.g. universities, schools, employers, or other agencies about individuals without their direct consent?

 YES NO

If YES, state what information will be sought and why written consent for access to this information will not be obtained from the participants themselves.

5.2 Will any part of the research involving participants be audio/film/video taped or recorded using any other electronic medium?

 YES NO

If YES, what medium is to be used and how will the recordings be used?

5.3 Who will have access to the raw data?

* 1. Will participants be identified? YES NO

5.5 If yes, how will their consent to quotations/identifications be sought?

5.6 If not, how will anonymity be preserved?

5.7 Will the datafiles/audio/video tapes, etc. be disposed of after the study? YES NO

5.8 How long they will be retained?

5.9 How they will eventually be disposed of?

5.10 How do you intend for the results of the research to be used?

5.11 Will feedback of findings be given to participants? YES NO

If YES, how and when will this feedback be provided?

If you are completing a level 2 form because your use of special categories of personal data (health data, datarelating to race or ethnicity, to political opinions or religious beliefs, trade union membership, criminal convictions, sexual orientations, genetic data and biometric data), has raised concerns beyond level 1 ethics approval. Please indicate how your research is proportionate and in the public interest (ie. Will do no harm and will help the understanding of an issue or benefit a group).

Is your research is subject to

A governance framework? YES NO

A peer review from a funder? YES NO

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? YES NO

 Other:

What are the 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. (consult with any collaborators to answer the following questions).

|  |  |  |
| --- | --- | --- |
| 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 | □ | □ | □ | □ | □ | □ |

x.6 Please identify measures you could take to reduce or eliminate risks identified as possible/significant or probable/severe.

Will other people have access to the data?

Yes

No

If yes, what training will staff who have access to the data receive on their responsibilities for its safe handling? Have all staff who have access completed the mandatory data protection training on the self-enrolment page of [Learn](https://www.ed.ac.uk/information-services/learning-technology/virtual-environments/learn)?

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, please explain why this necessary 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.

Other than the use by third parties under section 5.8, will the data be used, accessed or stored away from University premises?

NO YES

If yes, 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

 No

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

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

Does your project involve using secondary data?

 Yes

 No

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](https://www.ed.ac.uk/information-services/research-support/research-data-service) or [Research Data Service flowchart](https://www.ed.ac.uk/files/atoms/files/rds_flowchart_-_20170608_-_dmd_-_v7.pdf)

**SECTION 6: CONFLICT OF INTEREST**

The University has a draft ‘Policy on the Conflict of Interest’ (copies available from the Research Support Office). Regarding research the draft states that a conflict of interest would arise in cases where an employee of the University might be

 **“ compromising research objectivity or independence in return for**

 **financial or non-financial benefit for him/herself or for a relative or friend.”**

The draft policy also states that the responsibility for avoiding a conflict of interest, in the first instance, lies with the individual, but that potential conflicts of interest should always be disclosed, normally to the line manager or Head of Department. Failure to disclose a conflict of interest or to cease involvement until the conflict has been resolved may result in disciplinary action and in serious cases could result in dismissal.

Does your research involve a conflict of interest as outlined above YES  NO

If YES, give details.