Research Ethics and Integrity

Application for Level 3 Approval

This application form should be completed for research that involves potential risk of harm or discomfort (such as threat to personal safety and privacy, questions/images that some people may find disturbing, or possibility of criminal prosecution) to subjects, researchers or any other individual; or a lack of informed consent. Such research projects include, but are not restricted to: field experiments, data collection from children or vulnerable adults, data collection through a medical procedure, fieldwork in a developing country, analysis of highly sensitive data (e.g. criminal or medical records of potentially identifiable individuals).

Research should not commence until written approval from the Ethics Committee has been received. This should be borne in mind when setting a start date for the project. Should the research change such that the responses to the questions in this form are no longer applicable, you must seek further ethical approval.

Applications should be made on this form, and submitted electronically to the Convener of the Ethics Committee. Applications will be assessed by the Convener in the first instance, and will be passed to the Ethics Committee at the School of Economics. For a project that uses the BLUE subject pool and/or involves an experiment conducted at the BLUE lab, the application will also be reviewed by the Director of BLUE.

Any necessary supporting documentation should also be attached to this form. (Tick those that apply):

- ☐ consent form
- ☐ information and instructions to participants
- ☐ questionnaire
- ☐ other - specify: ____

1. Details of Research and Investigator(s)

1.1. Title:

1.2. Type of project: ☐ Staff research project ☐ Student research project

1.3. Principal Investigator(s) (students should also include the name of their supervisor):

- Name:
  Affiliation:
- Name:
  Affiliation:
- Name:
  Affiliation:

1.4. Does your research involve collaboration with other academic/non-academic partners or employees?

☐ Yes ☐ No

If Yes, what steps will be taken to ensure that all individuals adhere to UoE research ethics and integrity standards?

1.5. Proposed start date and duration:

1.6. Funding:

Is this project externally funded?

☐ Yes ☐ No

If Yes, please list the names of the funding bodies.

If your answer above is Yes, does the project comply with the ethics guidelines of the funding bodies?

☐ Yes ☐ No

If No, contact the Ethics Convener before submitting your application

1.7. Confirmations:

☐ I confirm I have read the CAHSS guidance on Research Ethics and Integrity

☐ I confirm I have completed the online GDPR and Information Security training

2. Brief description of the proposed project (maximum 300 words)

3. Participants

3.1. How many participants will be involved in the study?

3.2. Does the project involve data collection from human participants?

☐ Yes ☐ No

3.3. If your answer to the previous question is Yes, are the participants from the BLUE subject pool?

☐ Yes ☐ No

3.4. If your answer to the previous question is No, please describe the following:

i. Characteristics of the participants (age, gender, occupation, area of residence, physical/medical traits, etc.)

ii. Recruitment procedure

4. Informed Consent

4.1. Will you clearly explain to the participants:

a) the purpose of the data collection, expected duration, and procedures;

b) the right to withdraw from the research and consequences of withdrawal;

c) potential risks, discomfort, or other adverse effects;

d) anonymity or potential identification of the participants' identity;

e) conditions in which de data will be stored; and

f) whom to contact for any questions?

☐ Yes ☐ No

4.2. Will explicit consent be obtained and recorded?

☐ Yes ☐ No

4.3. If your answer to 4.2 is No, please answer the following:

Informed consent can be dispensed with only

i. where research would not reasonably be assumed to create distress or harm and involves

(a) only anonymous questionnaires, naturalistic observations, or archival research for which disclosure of responses would not place participants at risk of criminal or civil liability or damage their financial standing, educational outcomes, employability, or reputation, and confidentiality is protected; or

(b) data collection conducted in organizational settings for which there is no risk to participants' educational outcomes or employability, and confidentiality is protected;

or

ii. where otherwise permitted by law or regulations at the University of Edinburgh.

Please confirm that the proposed project meets the requirements above.

☐ Yes ☐ No

4.4. If your answer to 4.1 or 4.2 is No, describe what information participants will receive about the research before participation, what alternative form of consent to participation can be obtained, and how any absence of consent can be justified.

4.5. Do the participants include individuals below the age of 18, vulnerable adults, or adults with a limited capacity to give informed consent?

☐ Yes ☐ No

If Yes, a criminal records disclosure (CRB check) within the last three years of all researchers and anyone who has access to the raw data is required. Please provide details of the clear disclosure:

Date of disclosure:

Type of disclosure:

Organisation that requested disclosure:

5. Data Management

5.1. If the project involves data collection from human participants, please indicate what personal information you will collect.

5.2. Potential Privacy Risks: Please assess the following risks of participant identification.

Identifiable due to...	Likelihood	Severity of Harm
Data linkage:		
Low participant numbers		
Geographical location		
Transfer of data		
Access of data		

Identify measures to reduce or eliminate risks identified as possible/significant or probable/severe.

5.3. It is a requirement of the General Data Protection Regulation to ensure individuals are aware of how information about them will be managed. If the project involves personal data collection from human participants, will you inform the participants that the collected information will only be used for research purposes, how it will be stored and how to exercise their rights with respect to it?

☐ Yes ☐ No

If No, please describe the ground(s) for an exemption from the Act.

5.4. How, where, and for how long will the data collected be stored? Who will have access? What data security arrangements will be put in place?

Please provide a comprehensive data management plan, from collection (in any format) to destruction or permanent storage of the data. If you intend to share or make any version of the data publicly available, please refer to it here.

5.5. Will information containing personal, identifiable data be transferred to, shared with, supported by, or otherwise available to third parties outside the European Economic Area?

☐ Yes ☐ No

If yes, what safeguard will apply (e.g. US/EU Privacy Shield)?

6. Risk and Risk Management

   Are there any potential risks of harm (e.g. physical, psychological, social, legal or economic) to participants or researchers associated with the proposed project?

   ☐ Yes ☐ No

   If Yes, please provide full details of the risk management procedures that will be put in place to minimize the risks.

7. Prevent Duty: does your research concern groups which may be construed as terrorist or extremist?

   ☐ Yes ☐ No

   If Yes, please consult the Convener of the Ethics Committee before submitting your application.

8. Potential Risks to Researchers

   8.1. Researcher safety: does your research imply any risk to your personal safety?

   ☐ Yes ☐ No

   If Yes, please explain how you would minimize the risks, as well as details of the insurance you will be covered by, and associated risk assessments that have been conducted.

8.2. To the best of your knowledge, could any institutional or personal conflicts of interest arise from this research?

☐ Yes ☐ No

If Yes, please elaborate on the nature of this, and the steps they are taking to ensure the integrity of the research.

9. BLUE Lab: please answer the following questions if you use the BLUE subject pool and/or conduct an experiment at the BLUE Lab.

   9.1. Please confirm that you have read and will comply with the BLUE Lab Ethical Guidelines, and the BLUE Lab Usage Guidelines.

   ☐ Yes ☐ No

   9.2. Please outline the proposed timeline of the project, such as dates for a pilot(s), the actual experiment/survey, etc.

   9.3. Please briefly describe the expected duration and compensation (e.g. average per participant, minimum and maximum). If the participants are incentivized, briefly explain also how the payment is determined.

   9.4. (Optional) Please describe the experimental/survey protocol.

10. Any Other Issues Please use the space below for any issues you would like to bring to the attention of the Ethics Committee; or your response to comments and recommendations from the Committee.

ETHICS DECLARATION

I confirm that the proposed research will comply with the Ethics Guidelines of the College of Arts Humanities and Social Sciences and the School of Economics.

Signed Date:

Signed (supervisor) Date:
(student project only)

Please enclose any relevant documentation (consent forms, survey questions, experimental instructions, etc.).

APPROVAL

Ethics Committee Member:

Signed Date:

Ethics Committee Member:

Signed Date:

Ethics Committee Member:

Signed Date:

APPROVAL (for use of BLUE lab or BLUE subject pool)

Director of the BLUE lab:

Signed Date: