## University of Edinburgh

## School of History, Classics and Archaeology

## RESEARCH ETHICS

# Ethics Self-Assessment: Level 1

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

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| Name |  |
| Matriculation/Staff No. (only for existing UoE staff/students) |  |
| Research proposal title |  |
| Funding body (if applicable) |  |

Please select one of the following options:

[ ]  **In my view, there are no outstanding ethical issues regarding this research project**

[ ]  **In my view, the ethical issues listed below arise and the following steps are being taken to address them:**

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Name: Signature:

Date:

For students only:

Supervisor’s name: Signature:

Date:

## *SECTION 2: POTENTIAL RISKS TO RESEARCHERS*

**2.1** List those who will be involved in conducting the research

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**2.2** 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 School?

YES [ ]  NO [ ]

*If YES, please detail.*

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**2.3** Are researchers likely to be sent or go to any areas where their safety may be compromised?

\*YES [ ]  NO [ ]

**2.4** The following question is about research relating to **current-day** terrorism or extremism only:[[1]](#footnote-1)

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

\*YES [ ]  NO [ ]

**2.5** Could any of the researchers have a conflict of interest[[2]](#footnote-2)? \*YES [ ]  NO [ ]

*\*If you have answered YES to any questions marked with an asterisk, please complete the level 2/3 audit form*

***SECTION 3: POTENTIAL RISKS TO PARTICIPANTS***

**3.1** Will you interview living human subjects? YES [ ]  NO [ ]

*If NO, please proceed to the section on Data Protection*

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

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

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**3.4** How will the sample be recruited?

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**3.5** Is it possible that written consent will not be obtained from all participants?

\*YES [ ]  NO [ ]

**3.6** Will there be a control group? YES [ ]  NO [ ]

**3.7** Will any participants receive any financial or other material benefits because of their participation?

\*YES [ ]  NO [ ]

**3.8** Are any of the participants likely to be vulnerable or sensitive to questioning, such as elderly or disabled people?

\*YES [ ]  NO [ ]

**3.9** Are any children under 16 years of age to be interviewed, complete questionnaires, or otherwise participate in the research?

\*YES [ ]  NO [ ]

**3.10** Will any of the participants be interviewed in situations that will compromise their ability to give informed consent, such as in prison or residential care?

\*YES [ ]  NO [ ]

**3.11** Could this research adversely affect participants in any way? \*YES [ ]  NO [ ]

**3.12** Could the research induce any psychological stress or discomfort? \*YES [ ]  NO [ ]

*If you have answered YES to any questions marked with an asterisk, please complete the level 2/3 audit.*

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

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***SECTION 4: DATA PROTECTION***

**4.1** Will the research require the collection of personal information (which is not already in the public domain) from any living persons without their direct consent?

 \*YES [ ]  NO [ ]

*\*If you have answered YES, please complete the level 2/3 audit form*

*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.*

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**4.2** Will any part of the research involve making audio or video recordings of participants, or will it use any other electronic material?

 YES [ ]  NO [ ]

*If YES, please give details.*

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**4.3** How will the confidentiality of data, including the identity of participants, be ensured?

*Note: For the purposes of oral history research, a consent form should be used which offers options of both a) naming and b) anonymity and the opportunity to place restrictions on recorded material.*

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**4.4** Where will the data and any other media be retained after the study? How long will they be retained and how will they be disposed of?

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

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***SECTION 5: INVASIVE PROCEDURES/BIOLOGICAL MATERIAL***

**5.1** Will the project make use of invasive procedures or biological material?

YES [ ]  NO [ ]

*If NO, please proceed to the section on External Bodies*

*If YES, please also read ‘*[*Archaeology Ethics Statement’*](https://www.ed.ac.uk/files/atoms/files/archaeology_ethics_statement_5_may_16.pdf)

**5.2** Does the project involve the collection of tissues or other biological material, or any physiological tests, from or on living subjects?

\*YES [ ]  NO [ ]

*\*If you have answered YES, please complete the level 2/3 audit form*

**5.3** Will you use biological material that was collected for another purpose (e.g. for diagnostic use)?

YES [ ]  NO [ ]

**5.4** Will any samples be imported into the country where you are based?

\*YES [ ]  NO [ ]

*\*If YES and this is new material that is not part of an existing collection that has already been used by other researchers in SHCA, please complete the Level 2/3 questionnaire.*

**5.5** Does the biological material belong to living individuals? YES [ ]  NO [ ]

If YES, is the material part of an existing collection that has already been used by other researchers in SHCA?

YES [ ]  NO\* [ ]

*If YES, please provide details of the collection and other SHCA researchers who have used it.*

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*\*If NO, please complete the level 2/3 audit form*

**5.6** Does the biological material belong to deceased individuals?

YES [ ]  NO [ ]

If YES, is the material recent (e.g. contemporary skeletal collection or autopsy samples) or archaeological?

Recent [ ]  Archaeological [ ]

If RECENT, is the material part of an existing collection that has already been used by other researchers in SHCA?

YES [ ]  NO\* [ ]

*If YES, please provide details of the collection and other SHCA researchers who have used it.*

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*\*If NO, please complete the level 2/3 audit form*

**5.7** Are the remains associated with a particular religious and/or cultural group around which there are specific ethical issues that need to be taken into account?

YES\* [ ]  NO [ ]

*\*If YES please complete the Level 2/3 audit form*

**5.8** Where will the human biological material be stored, and for how long?

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**5.9** How will the human biological material be disposed of (either after the research is completed or at the end of the storage period)? Note that the wishes of relevant cultural groups must be taken into account.

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| **Please provide copies of the necessary documents to prove that you have obtained the permits to use the material for research (eg. permit by the Procurator Fiscal for Scotland).**For further information see [‘Archaeology Ethics Statement’](https://www.ed.ac.uk/files/atoms/files/archaeology_ethics_statement_5_may_16.pdf) |

**5.10** Does the research involve living animals? \*YES [ ]  NO [ ]

*\*If YES,* *please complete the level 2/3 audit form.*

**5.11** Does the research involve animal remains? YES [ ]  NO [ ]

*If YES, describe the material to be taken and the method used to obtain it. Include information about the training of those taking the samples and the safety of all persons involved.*

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**5.12** Where will the animal biological material be stored, and for how long?

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**5.13** How will the animal biological material will be disposed of (either after the research is completed or at the end of the storage period)?

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***SECTION 6: EXTERNAL BODIES***

**6.1** Is the research proposed subject to scrutiny for ethics approval by any external body/sponsor?

YES [ ]  NO [ ]

*If YES, please provide the name of the external body/sponsor, the date approval was sought, and either the outcome (if known) or the date when you expect to know the outcome.*

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1. ‘*The university is required to comply with the Counter-Terrorism and Security Act 2015 which states that the UK government “would expect to see clear policies and procedures for students and staff working on sensitive or extremism-related research”.’*  [↑](#footnote-ref-1)
2. *The University has a ‘Policy on the Conflict of Interest’, which 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.”*

*See:* <https://www.ed.ac.uk/files/atoms/files/conflict_of_interest_0.pdf>. [↑](#footnote-ref-2)