## University of Edinburgh

## School of History, Classics and Archaeology

## RESEARCH ETHICS

# Review form for level 2 and level 3 auditing

This form should be used for any research projects carried out under the auspices of SHCA that have been identified by self-audit as requiring detailed assessment. This form provides general School-wide provisions. Proposers should feel free to supplement these with detailed provisions that may be stipulated by research collaborators or professional bodies; or by providing a full discussion document. The signed and completed form should be submitted, along with a copy of the research proposal (or a description of the research goals and methodology where this is unavailable), to the SHCA Research, Knowledge Exchange and Impact Office (2M.27 or [hca-ethics@ed.ac.uk](mailto:hca-ethics@ed.ac.uk)).

Level 2/3 forms will be referred to the School Research Ethics Committee for approval, advice, referral to a lay advisor or to the College Ethics Committee. Forms must be submitted well in advance of the research start date.

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

**1.1** Title of Project

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**1.2** Contact details of the Principal Investigator and any Co-Investigator(s)

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| --- | --- | --- | --- | --- |
| Name | Role (PI/Co-I) | Institution | Email | Phone |
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**1.3** If funding is necessary to proceed with the research, has it been secured?

YES  NO  Not applicable

Please give details of any funding secured/applied for.

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* 1. Does the project require the approval of any other institution and/or 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).*

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Name: Signature:

**Please attach a copy of the research proposal (or alternatively a description of the research)**

### **SECTION 2: PREVENT DUTY – COUNTER-TERRORISM AND SECURITY ACT 2015**

**2.1** The following question is about research relating to **current-day** terrorism or extremism only:

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

YES  NO

*If NO, go to Section 3.*

The Terrorism Act (2006) outlaws the dissemination of records, statements and other documents that can be interpreted as promoting or endorsing terrorist acts.

**2.2** Does your research involve the storage on a computer of any such records, statements or other documents?

YES  NO

**2.3** Might your research involve the electronic transmission (e.g. as an email attachment) of such records or statements?

YES  NO

**2.4** If you answered YES to questions 2.2 or 2.3, 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 the Chair of the School Research Ethics Committee. Please indicate below that you agree to store all documents relevant to questions 2.2 and 2.3 on that file store:

YES

**2.4a** Please indicate below that you agree not to transmit electronically to any third party documents in the file store:

YES

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

YES  NO

**2.6** If you answer YES to question 2.5, 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

**2.7** By submitting to the ethics process, you accept that the Chair of the School Research Ethics Committee 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

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

**3.1** Is it likely that the research will 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.*

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**3.2** 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.*

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**3.3** Does the research involve sensitive topics, such as participants’ sexual behaviour, illegal activities, their experience of violence, their abuse or exploitation, their mental health, or their ethnic background?

YES  NO

*If YES, give details.*

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**3.4** Is it likely that this research will lead to the disclosure of information about child abuse or neglect, or other information that would require the researchers to breach confidentiality conditions agreed with participants?

YES  NO

*If YES, indicate the likelihood of such disclosure and your proposed response to this.*

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*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.*

**3.5** Is it likely that the research findings could be used in a way that would adversely affect participants or particular groups of people?

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.*

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**3.6** Is it likely that participation in this research could 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.*

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**3.7** 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?*

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### **SECTION 4: POTENTIAL RISKS TO THE RESEARCHER/S**

**4.1** Is the research likely to involve any psychological or physical risks to the researcher and/or research assistants, including those recruited locally?

YES  NO

*If YES, explain what measures will be taken to ensure adequate protection/support.*

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*If YES you should also complete a risk assessment form.*

### **SECTION 5: PARTICIPANTS**

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

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

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**5.3** Are any of the participants likely to:

* Be under 18 years of age? YES  NO
* Be looked after children (including those living in local authority care

or those living at home with a legal supervision requirement)? YES  NO

* Be physically or mentally ill? YES  NO
* Have a disability? YES  NO
* Be members of a vulnerable or stigmatized minority? YES  NO
* Be unlikely to be proficient in English? YES  NO
* Be in a client or professional relationship with the researchers? YES  NO
* Be in a student-teacher relationship with the researchers? YES  NO
* Be 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 research process? YES  NO

* Be vulnerable in other ways? YES  NO

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

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Do the researchers need to be cleared through the Disclosure (Protecting Vulnerable Groups) Scheme? See: <https://www.mygov.scot/pvg-scheme/>

YES  NO

Will it be difficult to ascertain whether participants are vulnerable in any of the ways listed above (e.g. where participants are recruited via the internet)?

YES  NO

*If YES, what measures will be used to verify the identity of participants, or protect vulnerable participants?*

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

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**5.5** 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?*

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**Before completing Sections 5 & 6 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 6: DATA PROTECTION IMPACT ASSESSMENT AND HANDLING OF DATA**

**6.1** Will the research require the collection of personal information (which is not already in the public domain) from any living persons?

YES  \*NO

*\*If NO then please continue to section 7*.

**6.2** What information about participants/data subjects will you collect/use?

**6.3** Will you collect or use NHS data

YES  NO

If you are collecting or using NHS data you may require sponsorship and/or Caldicott Approval.

Please refer to the ACCORD (Academic and Clinical Central Office for Research and Development) website for more information.

**6.4** Have all staff who have access completed the mandatory data protection training on the self-enrolment page of Learn?

YES  NO

**6.5** Will the information include special categories of personal data (health data, data relating to race or ethnicity, to political opinions or religious beliefs, trade union membership, criminal convictions, sexual orientations, genetic data and biometric data)

YES  NO

*If NO, please go to 6.6.*

**6.5.1** 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

**6.5.2** Please indicate how your research is in the public interest:

□ Your research is proportionate

□ 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

**6.6** 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. Add any further risks that you have determined to the table.

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| **Risk** | **Likelihood of risk manifesting** | | | **Severity of harm** | | |
| Remote | Possible | Probable | Minimal | Significant | Severe |
| Inappropriate data sharing/ access to data | □ | □ | □ | □ | □ | □ |
| 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 | □ | □ | □ | □ | □ | □ |
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**6.7** Please identify measures you could take to reduce or eliminate risks identified as **possible/significant** or **probable/severe**.

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

YES\*  NO

*\* If YES then please answer 6.9.*

**6.9** Please explain why this is necessary and how the transfer of the information will be made secure. Since the European Court of Justice decision in July 2020, a special risk assessment is required for transfer of personal data in particular to the US but also to other non-EEA countries. Please assess how likely it is that despite the use of the Standard Contractual Clauses the data is likely to be accessed, for example under the Patriot Act in the US.  Also, describe what mitigation measures can be undertaken, such as pseudonymisation of data to lower the overall risk to the data.

If the answer to this question is 'yes', then this question will be approved by your Head of School.

**Please note: Research data can be stored indefinitely as long as it is stored securely. For storage guidance please refer to LINK TO DATAVAULT/UNIVERITY STORAGE INFORMATION**

### **SECTION 7: CONFIDENTIALITY AND HANDLING OF DATA**

**7.1** Will the research require the collection of individuals’ personal information from universities, schools, employers, or other agencies 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.*

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**7.2** Does the research involve the collection of sensitive data (including visual images of respondents) through the internet?

YES  NO

*If YES, describe measures taken to ensure written consent for access to this information.*

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**7.3** Will audio or video recordings be made of any part of the research involving participants?

YES  NO

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

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**7.4** Who will have access to the raw data?

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**7.5** Will participants be identifiable, including through internet searches? YES  NO

*If YES, how will their consent to quotations/identifications be sought?*

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*If NO, how will anonymity be preserved?*

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**7.6** How long will the participants’ data be retained by the research team?

**7.7** What will happen to participants’ data after the research has been completed?

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

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**7.9** Will feedback of findings be given to participants? YES  NO

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

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### **SECTION 8: PARTICIPANT INFORMATION AND CONSENT**

**8.1** Will written consent be obtained from participants? YES  NO

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

In some contexts of ethnographic research, written consent may not be obtainable or may not be meaningful. If written consent will NOT be obtained, please explain why circumstances make obtaining consent problematic:

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**8.2** 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.

Will administrative consent be obtained in lieu of participants’ consent?

YES  NO

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

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**8.3** In the case of research in online spaces or using online technology to access participants, will consent be obtained from participants?

YES  NO  Not applicable

*If YES, explain how this consent will be obtained.*

*If NO, explain why.*

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**8.4** In the case of children under 16 participating in the research on an individual basis, will the consent or assent of parents be obtained?

YES  NO  Not applicable

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

*If NO, explain why.*

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**8.5** Will the consent or assent (at least verbal) of children under 16 participating in the research on an individual basis be obtained?

YES  NO  Not applicable

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

*If NO, explain why.*

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

YES  NO  Not applicable

*If YES, what arrangements will be made?*

*If NO, explain why.*

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**8.7** In the case of participants with disabilities (e.g. learning difficulties or mental health problems), will arrangements be made to ensure informed consent?

YES  NO  Not applicable

*If YES, what arrangements will be made?*

*If NO, explain why.*

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**8.8** Many funders encourage making datasets available for use by other researchers. Will the data collected in this research be made available for secondary use?

YES  NO

*If YES, what arrangements are in place to ensure the consent of participants to secondary use?*

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### **SECTION 9: INVASIVE PROCEDURES/BIOLOGICAL MATERIAL**

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

YES  NO

*If NO, please proceed to the next section*

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

**9.2** Does the project involve the collection of tissues or other biological material, or any physiological tests?

YES  NO

*If you have answered YES, please provide full details below or in a separate document.*

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

YES  NO

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

YES  NO

Please provide evidence that you have obtained the necessary permits for the use of material for transportation and research.

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**9.5** Does the biological material belong to living individuals?

YES  NO

**9.6** Did the donors give permission for the use of the material in this study?

YES  NO

*If YES, please provide evidence of the donors’ consent.*

*If NO, please provide information on how consent will be obtained. Where the samples have been anonymised and consent cannot be obtained, provide justification for the use of these specimens.*

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**9.7** Does the biological material belong to recently deceased individuals?

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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**9.8** 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 detail any issues and how they will be resolved below.*

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

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**9.10** How will the human biological material will 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 (e.g. permit by the Procurator Fiscal for Scotland). This applies to both UK-based material and imported material.** |

**9.11** Does the research involve living animals? YES  NO

*If YES, does the research involve any degree of discomfort for the subjects?*

YES  NO

*If YES, please justify the use of these subjects for the research project.*

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**9.12** 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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**9.13** Where will the animal biological material be stored, and for how long?

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**9.14** 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 10: UNPLANNED/UNFORESEEN PROBLEMS**

**10.1** Is the research likely to encounter any significant ethical risks that cannot be planned for at this stage?

YES  NO

*If YES, please indicate what arrangements are being made to address these as they arise in the course of the project.*

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### **SECTION 11: CONFLICT OF INTEREST**

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>

Conflict of interest may also include cases where the source of funding raises ethical issues, either because of concerns about the moral standing or activities of the funder, or concerns about the funder’s motivation for commissioning the research and the uses to which the research might be put.

The University policy 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.

**11.1** Does your research involve a conflict of interest as outlined above?

YES  NO

*If YES, give details.*

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