

R(D)SVS and Easter Bush Campus

Human (Research) Ethical Review Committee (HERC) FORM

NOTE

The Research Methods and Statistics course has information/lectures on:

- The HERC process
- Ensuring anonymity
- Online research
- Data management
- Examples of participant consent forms

Guidelines for completing the HERC form

Please note that these are guidelines to **help you complete the HERC form** and there may be additional or alternative information that you should include in your HERC submission.

Section 1	Project Information
Section 2	Personnel Information
Section 3	Research
Section 4	Recruitment
Section 5	Mitigating Risk
Section 6	Participant Consent
Section 7	Legal, codes of conduct, and rights of human subjects
Section 8	Data Management (including Data Protection Impact Assessment requirements)
Appendix a	Terrorism Act

Section 2 Personnel Information

Applicant guarantor	State which UoE/SRUC staff member is taking overall responsibility for the conduct of this research and is the guarantor of the accuracy of this application. This is to ensure someone in UoE/SRUC has overall responsibility for a project being undertaken at the University of Edinburgh.
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Section 3 Research

a) Research summary (500 words max)	<ul style="list-style-type: none">• Avoid using acronyms• Please provide a brief summary in layman terms, so Committee members will understand the project• You must want to include the overall aim of the project
b) Details of the pilot study	<ul style="list-style-type: none">• We recommend that you let friends or peers comment on your questionnaire to check that it makes sense. However, if you wish to pilot with the public or potential research participants, HERC approval must be sought for the pilot.

	<ul style="list-style-type: none"> • Provide details of your pilot e.g. survey has been tested by x number of friends/colleagues and the survey has be modified as a result.
c) Methods	<ul style="list-style-type: none"> • Please provide details of the proposed methods including the name of any tools used (e.g. Jisc Online Survey (formerly Bristol Online Surveys – BoS) for surveys). Please include copies of any questionnaires that are being used as an attachment or appendix. If you cannot submit these at time of submission, please indicate when these will be available. If the questionnaire is not yet completed HERC can provide approval subject to seeing it at a later date. If checklists are being used in interviews, please provide them. Include details of all demographic details that will be recorded about subjects and any other information that might be considered highly personal. Expand this section as necessary. • If applicable - What survey platform are you using? The University recommends Jisc Online Survey (formerly Bristol Online Surveys) – as this enables anonymous collection of data and complies with Data Protection • If you wish to use Survey Monkey or some other platform, then please provide details of how it complies with Data Protection (GDPR) e.g. where the data will be stored (in the EU?), whether it collects personal information, including IP addresses etc. Please also give details why you are not using this platform rather that the University recommended one e.g. part of a larger project that uses a different platform. • Will smartphone apps be used? If yes, please provide details • Will video or audio recording be used? If yes, please provide details • Will you be interviewing participants? If so, will you anonymise them e.g. by allocating them a participant ID/Number

Section 4 - Recruitment

c) What criteria, if any, will be used in deciding on the inclusion and exclusion of participants in the study?	This includes if they should be over 16/18 years old, from certain geographic regions, owner of certain animals, etc.
d) Describe how subjects will be recruited	<p>Include any advertising, posters, emails along with submission. These are required for approval to be given.</p> <ul style="list-style-type: none"> • HERC wants to ensure advertising is clear and informs participants of what is expected of them, who is carrying out the research etc. • If you are including an email address – HERC recommends using your student/staff email • HERC does not encourage the advertising of personal phone numbers or personal email addresses e.g. non-University such as gmail.
e) Where will you be recruiting from?	<ul style="list-style-type: none"> • Give details of any organisations or groups through which you will recruit participants. • Please provide evidence that these organisations or groups have been approached and agreed to your recruiting through them (this can be an email exchange or letter, or print screen are sufficient). You must also check whether they have any specific requirements for how you can use their information or contact their members and/or if they have their own ethical approval processes that you need to adhere to in addition to the UoE. • Third parties/organisations <u>should not</u> give you contact details, as this will breach GDPR unless the individuals have consented to this (which is unlikely)
f & g) recruitment via social media	<ul style="list-style-type: none"> • Social media are typically public spaces, however, as a researcher there are ethical standards that should be considered. The Association of Internet Researchers (AoIR) has excellent guidelines on this https://aoir.org/ethics/ • HERC expects the administrator of social media pages/forums to be contacted to obtain consent for posting to those pages/forums • For more public spaces e.g. Twitter, this will likely be issued via a personal account • If applicable - With all social media use – ensure that you have read and understood the professional bodies guidelines e.g. Royal College of Veterinary Surgeons (RCVS) social media guidelines • If you are dealing with a sensitive or distressing research topic, also consider the risk to you, the participants and the University. If in doubt, please contact HERC and we're happy to advise

Section 5 - Mitigating risk

A	Is there significant foreseeable potential for psychological harm or stress for those involved in your research (including the research team)?	<ul style="list-style-type: none"> • Please consider different attitudes, beliefs or experience to your own e.g. a member of the public may not understand that certain dog or cat breeds have health conditions due to breeding. Once they are aware of this, they may feel distressed or upset that they own such a breed
B	Is there significant foreseeable potential for physical harm or discomfort for those involved in your research (including the research team)?	<ul style="list-style-type: none"> • Please consider the abilities of the participant and the research team and assess if there are any risks e.g. if the participant is asked to engage with machinery or animals, is there likely to be any risk? • Lone working arrangements may also need to be considered e.g. if carrying out interviews out of the office.
C	Is there significant foreseeable potential for violation of cultural or social norms/practices?	<ul style="list-style-type: none"> • Speak to your supervisor/colleague to assess if there are any sensitivities or considerations that need to be taken into account e.g. religious perspective if certain animals or practice, such as euthanasia not being considered appropriate (or legal) is some cultures • E.g. legislation in some countries may require certain activities/violations to be reported. The use of shock collars in the UK is an example. • If you are collecting information that may be illegal, please consider the level of anonymity provided to the participant and have this clearly explained in the information sheet/consent form
D	Is there significant foreseeable potential for conflict or discomfort for any humans your research will impact on?	<ul style="list-style-type: none"> • While participating in the research or afterwards, will the participant be made aware of anything that may have not be known before and which could not cause conflict or discomfort e.g. not realising what poor animal welfare is, or engage with other participants with different opinions/perspective.
E	If YES to any of the above, explain and describe the measures that will be used to protect and/or inform participants.	<ul style="list-style-type: none"> • Where any of the above are likely to arise, please provide HERC with details of the issue and how you will minimise/mitigate the issue. • E.g. You may include further information/support information on the consent form • E.g. you should highlight the potential for issues/risk etc, on the consent form/information – if this is likely to happen

Are any of the intended participants likely to be		<ul style="list-style-type: none"> • If you answer yes to any of these, please provide HERC with details and what measures you will take to protect/inform participants. HERC requires this in order to provide approval. • E.g. you will provide the survey in a different language, you may have a translator, you may read out questions to participants, you may declare any conflict of interest/issues clearly on the information sheet/consent form
1	Under 16 years of age?	
2	Children in the care of a Local Authority?	
3	Known to have special educational needs, physically or mentally ill?	
4	Adults lacking capacity?	
5	Vulnerable in other ways	
6	Members of a vulnerable or stigmatized minority?	
7	Unlikely to be proficient in English?	
8	In a client or professional relationship with the researchers?	
9	In a student-teacher relationship with the researchers?	
10	In any other dependent relationship with the researchers?	
11	Have difficulty in reading and/or comprehending any printed material distributed as part of the study?	

Section 6 - Participant Consent

Informed consent is where research participants can make an informed, educated decision, based on the information provided to them, as to whether or not they wish to participate in the research.

A	Do you think there is a possibility that a reasonable person might judge that participants may feel pressured into taking part?	<ul style="list-style-type: none"> Participants should never feel coerced into participating in research and if this is likely, the methodology may need reconsidered. The information sheet/consent form should be clear and provide details, so that the participant can make an informed choice
B	Is it clear that a participant's decision whether to take part or not is private (that is that other participants cannot work out whether another participant has declined to volunteer)?	<ul style="list-style-type: none"> Participants might be known to other participants e.g. in focus groups or public forums etc.
C	If the answer to the above question is no, please justify what you propose to mitigate this situation.	<p>Examples on how you may address this:</p> <ul style="list-style-type: none"> You may provide participants with ID numbers rather than names. You may highlight that they will not be anonymous to other participants on the study
D	Will participants receive any financial or other material benefits because of participation? (please note monetary incentives are generally discouraged)	<ul style="list-style-type: none"> Generally HERC does not recommend incentives, as this can result in the participant engaging with the research purely for the incentive There may be some cultural requirements where an incentive is provided e.g. washing powder or other practical incentives Where incentives such as prize draws are offered, this adds a complicating factor of participants no longer remaining anonymous, as they will need to leave contact details. Where contact details are provided, HERC requires assurances of how this personal information will be managed (stored and destroyed) – to ensure compliance with GDPR Incentives should not be offered by a third party/company, as this could influence who/how the participants engage with the research e.g. dog food provided by a dog food company would not be recommended
E	If YES, what benefits will be offered to participants and why is this essential?	<p>To help HERC assess the suitability of any benefit/incentive, please provide us with the full details.</p> <ul style="list-style-type: none"> Please list any non-material incentives that you are providing, e.g. the research/participation may raise awareness about the topic and result in benefits for the participant or for others Provide details of any material/monetary incentives

F	Will the research require the collection of personal or identifiable information e.g. name, email address, IP address (from survey data collection)	<ul style="list-style-type: none"> • Some survey software automatically collects IP addresses (personal information), this is why HERC recommends JISC online surveys, as they don't collect this information. Please confirm that you have checked software and other methods to ensure this is not happening. • HERC recommends that personal information should only be collected if necessary for the research and not 'just in case' (GDPR compliance does not permit 'just in case' data collection) • Where this information is collected then it will need to be made clear on the information sheet/consent form that participants are not anonymous and what information is being collected and why
G	Will the research require the collection of personal information from e.g. universities, schools, employers, or other agencies about individuals without their direct consent?	<ul style="list-style-type: none"> • While this may not be a common scenario, where data is collected without direct consent, you must ensure that all permissions are correct and you use and hold the data only as instructed. • Where this is the case, it may be in relation to exam results, student recruitment details etc. Please speak to HERC for advice
H	If yes, please provide further information	<ul style="list-style-type: none"> • Please provide information, as HERC needs to ensure compliance with GDPR and good research practice.
I	For projects where participants are being directly recruited. Is there a copy of the information sheet and consent form or consent statement (if an online questionnaire) attached to your HERC submission	<ul style="list-style-type: none"> • Examples of consent forms can be found in the Research Methods and Statistics course on Learn • HERC will review information forms, surveys, consent statements etc in line with the information given on your HERC submission e.g. if you state that you will inform participants about how their data will be kept in line with Data Protection requirements, or that illegal activity will be reports, HERC will expect to see this stated. • Where these are not provided at the time of submission, your HERC submission will not be able to be approved until these have been submitted.
J	Are you using deception as part of your research project?	<ul style="list-style-type: none"> • This may be used for some projects (not many), as it will influence the results if the participant is aware of the project/aspects of the project before they participate • E.g. Some research may require participants to look at video, answer questions without being aware of all the details of why. • Where deception is being used, a debrief/information should be provided to the

		participant – please include this with your HERC submission
K	If yes, please provide further information	<ul style="list-style-type: none"> • Where deception is being used, HERC will need assurances and full details of the deception, to ensure that it will not cause discomfort or distress and that there is a legitimate reason for using deception
L	If informed consent is not considered necessary (in surveys, interviews, focus groups or any other means for collecting data), please explain why you believe this approach is appropriate to your study	<ul style="list-style-type: none"> • Informed consent is typically needed for most projects. • However, if this is not the case here, and there is a legitimate reason to not request it, please provide a full explanation and discuss with HERC.

Section 7 - Legal, codes of conduct, and rights of human subjects

Further information from the University of Edinburgh about:

- Research and data protection: <http://edin.ac/2s8LZ5W>
- Research integrity <http://edin.ac/2trntki>

A	In relation to the country in which you are collecting the data - Are you collecting data relating to activities that are illegal?	e.g. illegal animal trade, abuse, use of drugs or equipment that are not permitted etc.
B	In relation to the country where you are storing the data - Are you collecting data relating to activities that are illegal?	e.g. data related to illegal animal trade, abuse, use of drugs or equipment that are not permitted etc.
C	In relation to the country in which you are collecting the data - Are you collecting data relating to activities that may call into question a subject's fitness to practice; or information that might call into question the fitness to practice of others?	e.g. are you collecting data which, if disclosed, would highlight that vet nurses, vets, other professionals are not adhering to standards/legislation?
D	In relation to the country where you are storing the data - Are you collecting data relating to activities that may call into question a subject's fitness to practice; or information that might call into question the fitness to practice of others?	e.g. stored data which, if stored, would highlight that vet nurses, vets, other professionals are not adhering to standards/legislation?
E	If the answer is 'yes' to question A-D, we would expect a detailed justification, including details of how you intend to deal with these issues. Based on previous examples of such research we would likely need to take expert legal advice from the UoE. Review of such projects is likely to take longer than one month. We would expect that you have discussed these issues with senior academic staff prior to submission.	<p>If you have answered yes to A-D, then we need details from you in relation to what specifically is the data and what can be done to minimize risk e.g.</p> <ul style="list-style-type: none"> • Consider and provide details of what the legalities/implications/risks are for the participants, researcher, or University • anonymous surveys • informed consent statement clearly highlights that information is anonymous and therefore cannot report on illegal activities etc. • informed consent statement clearly highlights that you will have to report illegal activities etc. • if there is a significant risk to the researcher or participants e.g. legal ramifications, personal safety may be in question, then legal advice needs to be sought – please discuss with us

F	<p>How will you deal with disclosures of harm to self, others, or animals by participants? Remember as a researcher you must stay within the law of whatever country you are working in. Think carefully about when you would and should share such disclosures with relevant authorities; again as above further legal advice may be necessary on this issue.</p>	<ul style="list-style-type: none"> • Tell us how you will deal with this type of data collected • Tell us how you will support the participant e.g. if it is distressing • Tell us if you need to report such activities e.g. legislation in certain countries will require this – how will you do this and what are the implications for the participants, you, the University? • We will want to see any ‘risk/issues’ spelled out on the consent form • if you think there will be legal implications – this will need to be discussed with HERC, as legal advice may need to be sought
G	<p>Are there any conflicts of interest between the researchers, funding bodies, the institution, and/or research subjects?</p>	<p>e.g. you may be collected data from clients in the practice/location that you work in. Or, the funding body will own the data and there may be a commercial interest in the data – this would need to be stated on the consent form</p>
H	<p>Will participants be informed of your responsibilities to report any evidence of abuse or criminal activity? (if yes, this should be included on the consent form)</p>	<p>Include on consent form, if yes.</p>
I	<p>If the research is to take place outside the UK, will the research be, or has the research been, reviewed in the host country?</p>	<p>This is to help minimise any risk, especially in relation to legal or cultural requirements/issues</p>
J	<p>Does your research concern groups which may be construed as terrorist or extremist?*</p> <p>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.</p>	<p>Whilst this is unlikely to be a factor in the majority of cases, where the answer is ‘yes’, it is extremely important that you comply with all requirements. We would strongly recommend getting in touch with HERC to discuss the required appendix and we will ensure that you have the appropriate support and information.</p>

	<p>*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. Government guidance¹ for HEIs on implementation of this duty includes the statement that “We (the UK government) would expect to see clear policies and procedures for students and staff working on sensitive or extremism-related research.” (para 25)</p>	
K	<p>Does your research involve a conflict of interest as outlined below?</p> <p>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</p> <p>“compromising research objectivity or independence in return for financial or non-financial benefit for him/herself or for a relative or friend.”</p> <p>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.</p>	<p>Where a conflict of interest will or might arise, it is critical that you highlight this in advance and that you follow University policy.</p>
L	<p>If yes, please provide details:</p>	<p>Please provide HERC will details, so we can assess the ethical implications or any associated risks.</p>

Section 8 - Data Management (including Data Protection Impact Assessment requirements for GDPR)

Please note that the new **Data Protection Impact Assessment** is now included in this section of the HERC form – this is a requirement under GDPR legislation and the University requires this to be completed as part of the HERC submission.

Rights of Humans Subjects

For any **identifiable data**, which is data that can be used to identify an individual, such as name, email address, demographic information, IP address, medical details etc. (whether in paper documents, data files or recordings):

A	Is the research compliant with the General Data Protection Regulation (GDPR) 2016/679 (this has replaced the Data Protection Act,1998) and the University of Edinburgh Data Protection procedures? (please see http://www.ed.ac.uk/records-management/data-protection)	The General Data Protection Regulation (GDPR) 2016/679 is a legal requirement and where identifiable data is being collected, you must ensure that you comply with it.
B	Will any of the personal data be processed under a duty of confidentiality? (which means protecting data subjects' right to privacy) If yes, how is that confidentiality being maintained?	<p>Even if you are not collecting names, addresses, date of birth, or other specific demographic/personal information, it can be easy to identify someone, if</p> <ul style="list-style-type: none"> • It's a small data set • There are unique 'non-personal' data that could identify someone e.g. a farmer breeding a certain type of cow in Scotland. If they are the only farm in Scotland with this cow, then they can be identified! <p>Think about the data and uniqueness and whether confidentiality can be maintained. If it can't, then you need to state why or what could be done.</p> <p>This should also be included on the consent form – if you cannot guarantee anonymity/confidentiality and clear consent for this is obtained</p>
C	Will you ensure anonymity of individuals?	If not – then state why not and we would expect to see a statement on the consent form about this
D	Are the research participants capable of understanding their rights and providing informed consent?	If you are engaging with participants who cannot understand your consent statement, then you need to state that here e.g. if they are children (in which case, we would expect the parents are agreeing on their behalf)

E	<p>Will participants be informed about your obligations under the General Data Protection Regulation (GDPR) 2016/679 (this has replaced the Data Protection Act, 1998)?</p> <p>https://www.ed.ac.uk/records-management/policy/data-protection</p>	<p>We would expect to see a statement about this on the information/consent form</p>
F	<p>Does the project involve the use of existing personal data for new purposes?</p>	<p>E.g. a supervisor or colleague provides you with an existing data set?</p>
G	<p>If yes (question F), did the previous consent state that the data could be used in future research projects?</p>	<p>Please provide details of the previous consent form used. If this is not possible, we need assurances and evidence that consent was obtained</p>
H	<p>On the consent form, are individuals being made aware of how their personal data will be used?</p>	<p>On your consent form, please include a statement as to how their personal data will be used e.g. it will be aggregated and participants will remain anonymous</p>
I	<p>Will you collect or use National Health Service (NHS) or human medical data?</p> <p>Please note: 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.</p>	<p>This is unlikely for most Vet School projects. If you are unsure, please contact HERC.</p>
J	<p>Will you be collecting information which is defined as 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)?</p>	<p>YOU MUST ensure that you have a justifiable reason for collecting this information and not 'just in case'. It is useful to reflect on your research questions and identify if this information is actually needed for your research project.</p>

	<p>If you are using collecting information which is defined as a 'special category', then you must ensure that the GDPR Article 9(2)(j) legal basis you have for collecting this data is "necessary for research purposes". <u>Please ensure that there is a clear rationale for collecting this 'special category' data.</u></p>	
K	<p>If you answered 'Yes' above (J), please answer this question: Explain what safeguards e.g. technical or organisational you have in place, such as:</p> <ul style="list-style-type: none"> • Compliance with the minimisation principle: provide assurances you are only collecting the absolute minimum of personal data required for your purpose (not 'just in case' you need it) • How will you anonymise data? • If you cannot anonymise, how you will pseudonymise i.e. using 'participant numbers/ID's'? 	<p>Please provide as much detail as possible, as we need to ensure that participant data is protected.</p>
L	<p>Student Projects: How long is the raw data being kept for? (This should generally be time-limited for student projects).</p>	<p>e.g. 1 year after graduation. However, if you have personal identifiable information, you may want your supervisor or MSc Co-ordinator to retain the information, so you can delete it and not worry about GDPR issues.</p> <p>Please note that if data is stolen/lost, it must be reported to the University.</p> <p>Where raw data is being stored, it must be done so securely. This means that data should be encrypted and held behind secure password protection.</p>
M	<p>Staff projects: Research data can be stored indefinitely as long as it is stored</p>	<p>Please advise of timescales and where it will be stored and what security measures will be put in place to protect the data.</p>

	<p>securely (however, where possible, it is recommend that there is a time-limit).</p> <p>For storage guidance please refer to LINK TO DATAVAULT/UNIVERITY STORAGE INFORMATION</p> <p>How long is the raw data being kept for?</p>	
N	<p>This question is applicable to UoE/SRUC staff only</p> <p>Have you completed the mandatory data protection training on the self-enrolment page on Learn? (Please note, you are required to complete this training - https://www.ed.ac.uk/records-management/training/data-protection)</p>	<p>Records Management are now requesting this information.</p> <p>If you have not completed it, it is recommended that you do. It is very useful.</p>

Section 8 (O) – Risk Table

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.

You must consider all risks and add these to the table.

Risk number	Risk	Example
1	Identifiable due to data linkage	e.g. if you are collecting unique data that could identify someone or where data sets are being combined from different sources
2	Identifiable due to low participant numbers	e.g. if you have low participant numbers, will it be easier to identify someone and what is the risk for the participant/research?
3	Identifiable due to geographical location	e.g. if you collect geographical data, will it be easier to identify someone and what is the risk for the participant/research? E.g. farm locations
4	Identifiable due to transfer of data	e.g. if you are transferring data sets by email, wetransfer.com, online, cloud etc. – consider how secure is this transfer and the likelihood and level of harm by transferring the data, if the wrong person received it
5	Identifiable due to access of data	e.g. if someone manages to access your dataset
6	<i>Using an external transcription company</i>	e.g. if you need transcripts produced by an external company – consider the sensitivity of the data and also whether the company can assure you that they comply with GDPR (*this may vary per country) and what security assurances that the company has/can provide
7	<i>Other risk</i>	Please identify risks particular to your own project
8	<i>Other risk</i>	Please identify risks particular to your own project

P	Please identify measures you could take to reduce or eliminate risks identified as medium and high (likelihood) and also medium and high (severity) .	<p>Where you have identified that both the severity and likelihood of a risk are either medium or high, you must identify measures to bring these down to low.</p> <p>If you cannot identify measures, then the risk may be considered too great and you may not be able to proceed until you have identified measures to mitigate risk.</p> <p>Please detail the measures that you will put in place, including how you will implement these</p>
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		and how they reduce the risk to a level which is competently judged as 'low'.
Q	Does your research include the use of video or audio recordings	e.g. for interviews, focus groups, observation etc.
Q-1	If yes are codes used for participants to anonymise them? How is the issue of withdrawal of consent in group videos being dealt with?	<p>How will you store any information on how this code relates to the original participant, or if you are able to anonymise it completely, so that not even the researchers are aware.</p> <p>Please provide information how participants will be identified on the recordings e.g. in audio, you may introduce them as Participant X (no names)</p> <p>Please be aware that video recording is identifiable information, as face recognition software can be used to identify someone.</p>
R	Will identifying data be kept secure (paper, recordings, electronic data)?	<p>All research data should be kept secure but this is particularly important for identifiable information.</p> <p>The GDPR has legal requirements on data security and data breaches and you should ensure that you understand these.</p>
R-1	Describe how identifying data is being kept secure, and access controlled (including paper, recordings, electronic data, and surveys)? This includes technical and organisational security measures that will be in place to prevent any unauthorised or unlawful processing of the data.	e.g. excel docs (which should be a recent version of excel, as it will be more secure) should be password protected, recordings should be kept in password protected folder and/or deleted as soon as they are transcribed, paper files should be kept in locked cabinets, survey software should not track people (recommend JISC Online Surveys)
S	Will the anonymous datasets be made available to other researchers in a form that is usable to them?	<p>If this is a yes, then please consider any risks associated with how data might be presented or used.</p> <p>This may include supervisors wishing to use the data for their own research purposes</p> <p>If this is a yes – then the consent form MUST have included this option, so participants can opt-in to data being shared with others.</p> <p>Anonymous participants still have a right to control their data.</p>
T	Will information containing personal, identifiable data be transferred to, shared with, supported by, or	e.g. funders, collaborators in other organisations etc.

	otherwise available to third parties outside the University?	This should have been included on the consent form, so participants can opt-in to data being shared with third parties and how the data or what data can be shared with third parties
U	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 HERC/ herc.vets@ed.ac.uk	e.g. transferred via wetransfer.com, shared folder on University Datasync, or by some other means. Please note that Google docs/Dropbox is not considered a safe space for sharing information, as it may not be GDPR compliant.
U-1	If yes (V), what if any conditions will you attach for its use?	If you are sharing - e.g. there should be not combining of data, provide citation reference for original data collection etc. You may also want to reference HERC approval number/date
V	Other than the use by third parties, will the data be used, accessed or stored away from University premises, University servers and storage?	e.g. on a work computer, in the cloud (e.g. for apps), memory stick etc.
W	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.	e.g. password protection, encrypted memory sticks, VPN access to University network
X	Are you required to inform participants of the results of the study?	This is unlikely but if you do need to do this, then you need to collect personal identifiable information e.g. email address. Recommendation: ask participants to contact you instead – then no personal data needs to be stored
X-1	If yes, how will this be done and who is taking responsibility for this?	Consider timescales for this, as students are likely to graduate and may lose access to student email.