

Ethical Review Procedures: Level 1

Project Details & Self-assessment



This document is closely modelled on documents used in SSPS.

Please fill in ONLY the pertinent answers within this web form. You may save it or submit it at the end of the session. Saving allows revision. If you submit the form, any later updates will be taken as resubmissions.

You will be able to upload other documents at the end of the form.

When you fill in your name, University staff number and email address, you are signing the form. For accountability, the Department will view the most recent submission as accurate.

The forms should be registered by the Principal Investigator(s), except in the following cases:

- Postdoctoral research fellowships - the applicant and the proposed mentor.
- Postgraduate and honours research - the student and the supervisor.

Project Details

1 Type Of Project:

- | | | |
|--|---|--|
| <input type="checkbox"/> research grant proposal | <input type="checkbox"/> research fellowship | <input type="checkbox"/> |
| <input type="checkbox"/> postdoctoral fellowship | <input type="checkbox"/> PhD | <input type="checkbox"/> Masters by Research |
| <input type="checkbox"/> MSc dissertation | <input type="checkbox"/> Honours dissertation | <input type="checkbox"/> |

2 Is there a sponsor/ funding body? YES / NO

3 Does the sponsor/funder require formal prior ethical review? YES / NO
If yes, by what date is a response required ?

4 Is any other institution and/or ethics committee involved? 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).

5 Title of Project

6 Researchers' names, affiliations, emails

Student	Supervisor	<input type="text"/>
PI	PI	<input type="text"/>

7 State which professional organisation guidelines you are using :

- ☐ British Association for Applied Linguistics Recommendations on Good Practice
- ☐ British Psychological Society Code of Conduct
- ☐ American Anthropological Association Code of Ethics
- ☐ ASA: The Association of Social Anthropologists of the UK and the Commonwealth
- ☐ SRA: Social Research Association: Ethical Guidelines

☐ OTHER _____

Self-assessment

Please answer ALL questions in this section.

1. Protection of research participants' confidentiality

Are there any issues of confidentiality which are not ADEQUATELY HANDLED by normal tenets of academic confidentiality? YES / NO

These include well-established sets of undertakings that may be agreed more or less explicitly with collaborating individuals/organisations, for example, regarding:

- (a) Non-attribution of individual responses;
- (b) Individuals and organisations anonymised in publications and presentation;
- (c) Specific agreement with respondents regarding feedback to collaborators and publication.

2. Data protection and consent

Are there any issues of DATA HANDLING and CONSENT which are not ADEQUATELY DEALT WITH and compliant with established procedures? YES / NO

These include well-established sets of undertakings, for example regarding:

- (a) Compliance with the University of Edinburgh's Data Protection procedures (see www.recordsmanagement.ed.ac.uk);
- (b) Respondents giving consent regarding the collection of personal data (via your consent form)

3. Moral issues and researcher/institutional conflicts of interest

Are there any SPECIAL MORAL ISSUES/CONFLICTS OF INTEREST? These include:

- (a) Conflict of interest: potential benefit to the researcher, friends or family of a particular research outcome which might compromise the researcher's objectivity or independence
- (b) The need to keep the purposes of research are concealed
- (c) Use of participants who are unable to provide informed consent,
- (d) Situations where research findings would impinge negatively/differentially upon the interests of participants.

YES / NO

4. Significant potential for physical or psychological harm, discomfort or stress

Are there any risks of

- (a) psychological harm or stress for the participants? YES / NO
- (b) physical harm or discomfort for the participants? YES / NO
- (c) any kind to the researcher? YES / NO

5. Bringing the University into disrepute

Could any aspect of the proposed research bring the University into disrepute? YES / NO

6. Vulnerable participants

Are any of the participants or interviewees in the research vulnerable, e.g. children and young people? YES / NO

Can you stop now?

You may want to assure yourself that your 'NO' answers are correct by checking the detailed form in the next section.

If all the YES / NO answers are NO, the self assessment has been conducted and confirms the ABSENCE OF REASONABLY FORESEEABLE ETHICAL RISKS. This form should be 'signed' by the researchers and submitted. The researchers may retain a copy for their own records.

If any answer is YES, please complete the relevant section below.

Ethical Review Procedures: Level 2



Detailed Assessment

This material should help you answer the questions in the Self-Assessment form.

If any difficulties arise, you should fill in the relevant parts of this form in consultation with a near colleague who is not directly involved with the research.

You should file a new form if you receive advice on changes from the School or College Ethics Committees. For accountability, the Department will view the most recent submission as accurate.

Potential Risks to Participants

1. If the research could induce any psychological stress or discomfort, state the nature of the risk and what measures will be taken to deal with such problems.
2. If the research requires any physically invasive or potentially physically harmful procedures, give details and outline procedures to be put in place to deal with potential problems.
3. If the research involves the investigation of any illegal behaviour, give details.
4. If there is a real risk of disclosure of activities which should be reported to the authorities, a warning to this effect must be included in the Information and Consent documents. Please provide the wording of this warning.
5. If there is any purpose to which the research findings could be put that could adversely affect participants, describe the potential risk for participants of this use of the data. Outline any steps that will be taken to protect participants.
6. If the research could adversely affect participants in any other way, give details and outline procedures to be put in place to deal with such problems.
7. If the research could adversely affect particular groups of people, describe these possible adverse effects and the protection to be put in place against them.
8. If the research is expected to benefit the participants, directly or indirectly, give details.
9. If the true purpose of the research will be concealed from the participants, explain what information will be concealed and why..
10. If participants will NOT be debriefed at the conclusion of the study, explain why not.

Participants

1. What criteria will be used in deciding on the inclusion and exclusion of participants in the study?
2. If any of the participants are likely to be in any of the following vulnerable categories, indicate the category and describe the measures that will be used to recruit, protect and/or inform participants:

<input type="checkbox"/> under 16 years of age	<input type="checkbox"/> in the care of a Local Authority
<input type="checkbox"/> known to have special educational needs	<input type="checkbox"/> physically or mentally ill

<input type="checkbox"/> vulnerable in other ways	<input type="checkbox"/> members of a vulnerable or stigmatized minority
<input type="checkbox"/> unlikely to be share a language with the researcher	<input type="checkbox"/> in a student-teacher relationship with the researchers
<input type="checkbox"/> in any other dependent relationship with the researchers	<input type="checkbox"/> likely to have difficulty in reading and/or comprehending any printed material distributed as part of the study

3. If participants will receive any financial or other material benefits because of participation, what benefits will be offered to participants and why?

Confidentiality and Handling of Data

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

1. If the research requires the collection of personal information from e.g. universities, schools, employers, or other agencies about individuals without their direct consent, what information will be sought and why will written consent for access to this information not be obtained from the participants themselves?
2. If any part of the research involving participants will be recorded using any electronic medium, what medium is to be used and how will the recordings be used?
3. Who will have access to the raw data?
4. If participants will be identified in your records, how will their consent to quotations/identifications be sought?
5. If they will not be identifiable, how will anonymity be preserved?
6. Will the datafiles/audio/video tapes, etc. be disposed of after the study?
7. If not, how long they will be retained and how will they eventually be disposed of?
8. How do you intend for the results of the research to be used?
9. If feedback of findings will be given to participants, how and when will this feedback be provided?

Participant Information and Consent

Participants have the following rights over observations and records of their own behaviour

- If they are engaging in any activity outside their normal daily routine (for example answering a questionnaire, listening for a particular syllable), they must be given some account of what they will be asked to do before they start, and must formally consent to participation;
- In any event, if they will be observed or recorded, they must be informed of and consent to the kinds of record taken;
- They must be assured of anonymity in any publication or dissemination;
- They must consent to how the data will be used;

- They must be free to withdraw from participation at any time.
1. Explain how and when written consent will be obtained from participants or from those responsible for participants unable to consent meaningfully on their own behalf. (If further discussion of this form is needed, please upload a copy of any information sheet and consent forms.)
 2. If participants cannot meaningfully provide formal consent in this way, normally someone who is legally able to act on their behalf, for example a parent or legal guardian, must do so. If any of the following cases apply, explain how you will obtain the necessary consent and if you will not, how you can proceed ethically without doing so.
 - administrative consent in lieu of participants' consent

(Administrative consent may be deemed sufficient:

 - i. where the data collection involves aggregated statistical information and where the collection of data presents no invasion of privacy and no potential social or emotional risks:
 - ii. where studies 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.)
 - the consent of parents on behalf of minors,
 - the consent or assent (at least verbal) of minors,
 - the consent of participants who do not share a language with the researcher,
 - the consent of participants with special educational needs.

Conflict of Interest

The University has a draft 'Policy on the Conflict of Interest' (copies available). 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.

1. If your research involves a conflict of interest or any situation which could be construed as a conflict of interest, please give details here .