

About You and Your Study

Project Title

Principal Investigator Name and Affiliation (for students/visiting researchers: this is your supervisor)

Principal Investigator email

Additional non-student investigators

Email of additional non-student investigators (separate emails by commas)

Project Type (tick all that apply).

- Undergraduate/MInf final year project
- MSc final year project
- Study conducted as part of a PhD
- Study conducted as part of research visit / internship
- Grant-funded research
- Unfunded research
- Research Grant
- Other

Students involved (separate student IDs with commas, and use their official Edinburgh student ID, e.g. s1234567).

Is there a sponsor or a funding body?

No

Yes, their name(s) is / are:

What is the relevant code of conduct for your research?

[Informatics Ethics Code of Conduct](#)

Other

Are other institutions or Ethics Committees involved?

No

Yes, their name(s) is/are:

Has the other institution / Ethics committee granted Ethical approval?

No

Yes

Please send the letter granting Ethical Approval and the supporting documents that were submitted to obtain Ethical Approval to ethics-query@inf.ed.ac.uk, citing reference number 2019/{e://Field/ID}.

Do You Need Ethics?

Level 0 Check

These questions help determine whether you need to submit a full Level 1 or Level 2 Ethics application, and whether the School of Informatics is the appropriate institution for granting permission.

We cannot process studies that involve collecting data from live animals (the only exception being *Homo sapiens sapiens*), but members of the wider Ethics Panel can help you with applying for such approval from appropriate sources.

Does your work involve human participants?

Yes

No

Does your work involve animals?

- Yes, and we will collect new data from animals
- Yes, but only secondary data
- No

Does your work involve military applications?

- Yes
- No

Does your work involve confidential or personal data?
This includes, for example, information about physical and mental health, race, ethnicity, political opinions, religious beliefs, trade union membership, sexual orientation, genetic data, biometric data.

- Yes
- No

Does your work involve developing countries? (List: [PDF](#))

[of ODA recipients](#) Note that India also counts as a developing country).

- Yes
- No

Does your research concern terrorist or extremist groups, or groups that are regarded as terrorist or extremist in the countries where they operate?

- Yes
- No

Will you need to use tools or services that do not comply with General Data Protection Regulations (GDPR) 2018 to collect data from human participants or to collect secondary data (e.g., from Social Media)?

- Yes
- No

You fit the criteria for Level 0 Approval - no more form filling required.

You may still benefit from writing a Data Management Plan.

Please obtain Ethical Approval through one of the collaborating organisations with specialist expertise in the ethics of animal research. The School of Informatics Ethics Panel does not have that expertise at present, but can advise on your application. Please contact the panel at Inf-ethics@inf.ed.ac.uk for more information.

You need Level 1 or Level 2 Ethical Approval.

Make sure that you prepare a study plan, a participant information sheet, a plan for collecting consent, and a plan for managing the data collected in your study before you work through the rest of the questionnaire. Templates for all of these can be accessed from the [Informatics Ethics webpage](#).

If you don't have these ready, we recommend that you save the form at this point and return to it once you've

prepared the information.

Research Summary

About Your Research

Much of the work in Informatics is iterative. This can mean different versions of studies that follow the same pattern, a set of experiments that are part of a bigger study, or the iterative development of a product.

We encourage you, if you can, to submit an Ethics Application that covers all of your work, and phrase your Participant Information Sheet and Consent Forms accordingly. It is also possible to submit multiple information sheets and consent forms at the same time.

Example 1: Student Kim Doe makes a spaced repetition app. They want to test several versions of the app with participants. Kim should write a generic participant information sheet that covers several iterations, and submit it – this will cover the entire project.

Example 2: Dr Sandy Doe wants to run a perception experiment, but first needs to collect and validate stimuli. If Sandy provides sufficient documentation for the validation step and for the actual experiment,

both can be approved in one go.

Please provide a brief summary of the goal and methods of your research. Recommended length: 100 words. Required length: at least 200 characters

Are you using secondary data (e.g., social media data, corpora, data sets from repositories, ...)

- Yes
- No

Are you working with partners that are not from the School of Informatics? Tick all that apply.

- No
- Yes, academic partners
- Yes, non-academic partners

Who will benefit from your research? Think about academic partners, non-academic partners, the academic community, participants, participants' local communities, and other potential beneficiaries (recommended length: 50 words)

Permissions for research outside of the UK (tick all that apply)

- All research will take place within the UK. This also covers crowdsourced work where all the participants are from the UK / resident in the UK.
- Some research will take place in other countries, and we will obtain in-country Ethical Approval before starting the work there.
- Some research will take place in other countries where it is not possible to obtain in-country Ethical Approval. This covers crowdsourced research where not all participants are from the UK.

Will you disseminate your findings, publications, and data to the country/countries where the research took place?

Yes

No (give reason)

Explain why it is not possible to obtain in-country Ethical Approval, and how you will protect the rights of your in-country participants. Good examples include crowdsourced research with participants from outside the UK, or crowdsourced research that uses country-specific platforms, such as wjx.cn. Recommended length: 50 words

Explain why you need to use tools and services that do not comply with GDPR, and how you will safeguard participants' data. Recommended length: 50-100 words.

Working with Human Participants

Working with Human Participants

This section applies to you if your research involves working with people or actively observing people (e.g., ethnography).

Note that you need consent so that you can collect data ethically from participants. However, consent is no longer the legal basis for processing data – this is Article 6(1)(e), the public task of the University.

Consent can be withdrawn – the University's public task remains.

Are all participants aged 18 and over?

- Yes
- No, but we will seek consent from both children and parents/guardians for those who are under age
- No, and we will not seek consent from parents/guardians

Are all participants able to understand their rights and

provide informed consent to data collection?

- Yes
- No

The School of Informatics Ethics Committee is unable to deal with research on people who are under age, where parental consent is not sought, and with research on people who are unable to provide informed consent. Please apply for Ethical Approval to an appropriate committee, e.g., NHS Ethics.

Will you recruit participants through organisations that require specific permissions, such as schools or the NHS (both patients and NHS employees)?

- Yes, and we have already secured permission
- Yes, but we still need to secure permission and approval
- No

Please re-apply once you have received appropriate permissions.

How do you ensure confidentiality? Describe your procedures for anonymisation / pseudonymisation, ensuring differential privacy, and other relevant procedures. Recommended length: 50 words.

How do you obtain informed consent? This also involves telling your participants about your obligations under the General Data Protection Regulation Act (GDPR, 2018). Tick all that apply.

- Participants will complete a paper consent form
- Participants will consent using an electronic form
- Participants will provide verbal consent. Please explain why this is necessary and sufficient.
- No need for informed consent; we will observe people as part of an ethnographic study
- Other, please explain

Will you deceive participants as part of your research?

(e.g., Wizard of Oz Study)

- No
- Yes, and they will be debriefed at the end of the study (please say

how)

- Yes, and they will not be debriefed at the end of the study (please

explain why)

Is there clear potential for significant psychological harm or stress for anyone who is involved in the research (including the researchers themselves?)

- Yes
- No

Is there clear potential for significant physical harm or discomfort for anyone who is involved in the research (including the researchers themselves)?

- Yes
- No

Is there clear potential that you will violate the social or cultural norms or practices of anyone who is involved in the research (including the researchers themselves)?

- Yes
- No

Is there clear potential for negative consequences, conflict, or other discomfort for those people on whom your research will impact?

- Yes
- No

How will you minimise harm, discomfort, stress, and/or distress caused? Recommended length: 50 words. Minimum length: 200 characters.

Do you have a moral responsibility to provide feedback or results to research participants? (Examples: administering validated diagnostic tests)

- No
- Yes, but none of the research team is professionally qualified to interpret the results and communicate them to participants.
- Yes, and a member of the research team is professionally qualified to interpret the results and communicate them to participants.

Will you disseminate your findings to the study participants?

- Yes
- No (explain why)

Secondary data

Secondary Data Analysis

This includes corpora, image repositories, social media platforms, and other archives, repositories, and data sources.

Do you require access to data repositories or archives?

- No
- Yes, and I will need Ethical Approval before I can arrange access
- Yes, I already have access

We confirm that the intended handling, processing, and usage of the data will adhere to the terms and conditions of the source (e.g., researcher, agency, archive, social media platform).

- Yes
- No

Working together

Working with Partners

These questions cover your working relationship with any research partners. We strongly recommend that, where applicable, you have well-defined authorship rules and intellectual property agreements in place.

Who are your academic partners?

Who are your non-academic partners?

Do you have formal agreements in place that regulate your working relationship with your partners?

Not needed for the following partners:

They are needed, but not yet in place for the following partners:

Yes, and they are in place for the following partners.

We confirm that we will take care to ensure that all individuals involved in implementing the research

adhere to the ethical and research integrity standards set by the University of Edinburgh.

Yes

No

Data Protection Impact Assessment

Data Protection Impact Assessment

This assessment is required for all studies that involve data. Before you answer these questions, make sure that you have a data management plan that minimises transfer of data outside of the UK, EU, and EEA, and that you have completed [basic training in data protection that is available via LEARN](#) (go to the Self-Enrol tab and search the page for "dp training research" - alternatively, check out the University's Data Protection Training [web page](#).) .

The questions are based on the standard University Template. They will be difficult to interpret unless you have done the training - the wording is a compromise between being understandable and fitting in with the legal requirements.

As a reminder:

- The legal basis for all academic research using personal data is Article 6(1)(e) - the public task of the University.
- The legal basis for using special categories of personal data is Article 9(2)(j) - that processing is necessary for research purposes.

If you collect or use NHS data, please refer to the [ACCORD website](#) for further information. You are highly likely to need special permissions (e.g., Caldicott Guardian approval).

Research data can be stored indefinitely as long as it is stored securely - more information can be found at the [Research Data Service website](#).

Please give the reasons why your research is in the public interest. Tick all that apply.

- Public interest will be confirmed by the School of Informatics Ethics Panel

- Research Ethics Committee approval (not involving School of Informatics Ethics Panel)
- Confidentiality Advisory Group (CAG) recommendation for support in England and Wales
- Favourable opinion from Public Benefit and Privacy Panel for Health and Social Care in Scotland
- Other, please explain

We confirm that all researchers from the University of Edinburgh have completed the [mandatory data protection training on LEARN](#). If you are not sure what the training is or what it involves, the link will take you to the [University web page that explains what is involved](#).

- Yes
- No

How have you trained all researchers who have access to the data on their responsibilities for safe data handling and storage?



Will you collect or use NHS data?

- No
- Yes, it is an audit that only requires minimal approvals.
- Yes, and I have all necessary approvals.
- Yes, but I do not yet have all necessary approvals

The School of Informatics Ethics Panel cannot give approval for studies that involve NHS data without all relevant NHS / Caldicott approvals and Sponsorship in place.

What information about participants or data subjects will you collect or use?

A large, empty rectangular text box with a thin black border, intended for a response to the question above.

What safeguards do you have in place that ensure that you will only use the absolute minimum of personal data required, anonymise personal data where possible, pseudonymise where anonymisation is not possible?

A large, empty rectangular text box with a thin black border, intended for a response to the question above.

How will you store data securely?

A large, empty rectangular text box with a thin black border, intended for a response to the question above.

Risk of participant identification

Please identify and list all risks to the privacy of research participants, consider how likely it is that these risks will manifest, and what the harm to participants could be when the risks do manifest. Consult with your collaborators if necessary. The statements below represent possible causes. If you are not sure about what those risks are, start your research by [consulting the University's materials on handling sensitive data](#).

	Likelihood of Risk			Mini
	Remote	Possible	Probable	
Data linkage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Low participant numbers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Geographical location	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Transfer of data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access of data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please explain) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Thank you - Success

Thank you for completing the online assessment! Your reference number is **2019/** $\{e://Field/ID\}$. Please

mention this in any correspondence with infkm+ethics@inf.ed.ac.uk. We will do our best to send you feedback within five working days. Please do not start data collection or analysis before we have confirmed successful self-certification. Your response has been recorded by the Qualtrics system and in the Ethics Panel RT system.

Here is a list of the documents you have to send to ethics-query@inf.ed.ac.uk, Header: "Supporting documents for application 2019/{e://Field/ID}". Tick them off to tell us that you have prepared them. Even if no supporting documents are listed on this page, we still strongly encourage you to send us your [data management plan](#). Templates for participant information sheets and consent forms can be found on the [Informatics Ethics webpage](#).

- Participant Information Sheet / Consent Form
- Documentation of Ethical Approval in partner countries
- Permissions for Participant Recruitment / Sponsorship

You have applied for approval for a Research Grant. Any approval is sufficient for completing the Worktribe form, but it does not provide blanket coverage of all research activities under the grant. In particular, if you plan on working with human participants, or if the types of data / secondary data change, or if there are any significant changes in the regulatory landscape, you will need to seek approval for these studies after the grant has been funded.

We are aware that research grant applications are often time sensitive, and will do our best to give you timely feedback. If you need to contact us about the grant, don't forget your reference number 2019/\$ {e://Field/ID}.

Please contact the Ethics Panel at inf-ethics@inf.ed.ac.uk with any further questions.

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