Research Ethics, Integrity & Governance (REIG) Applications – A Rough Guide

The purpose of this rough guide is to provide some additional explanation for the REIG application questions and to point the applicant in the direction of relevant resources which may aid them in completing the application. These resources will allow the applicant to consider their own approach to particular ethical issues and ensure that their approach and processes are in line with University guidance.

This guide should be used in conjunction with the "Please read before drafting and submitting your ethics application for review" section on the LLC Ethics webpages: Submitting applications for ethical review including link to application form | The University of Edinburgh.

Please ensure that you have complete all mandatory training before drafting your application. Details of mandatory training can be found on the LLC Ethics webpages: Research ethics and General Data Protection Regulation (GDPR) training | The University of Edinburgh.

Introductory notes

What is "data"?

In the REIG Application, applicants should consider data in its broadest sense, so it is not only referring to quantitative data or primary qualitative materials obtained or generated from human participants but primary materials such as poetry, novels, song, photographs, etc., as well as your own notes, ideas, jottings, and musings about the primary materials you might be using.

For further discussion on what data is, especially in the Arts and Humanities, please refer to:

Duca, Daniela. 2016. "Research data in the creative and performing arts." Jisc, November 22, Research data in the creative and performing arts (jiscinvolve.org).

Jisc. 2021. "Research data in arts, humanities and social sciences," in Research data management toolkit, Research data in arts, humanities and social sciences | Jisc.

Posner, Miriam. 2015. "Humanities Data: A Necessary Contradiction." *Miriam Posner's Blog: Digital Humanities, Data, Labor, and Information*, June 25. Humanities Data: A Necessary Contradiction – Miriam Posner's Blog.

Schöch, Christof. 2013. "Big? Smart? Clean? Messy? Data in the Humanities." *Journal of Digital Humanities* 2, no. 3 (summer). » Big? Smart? Clean? Messy? Data in the Humanities Journal of Digital Humanities.

Question sets and interview schedules

You are not required to provide survey question sets or interview schedules with your REIG application.

Research Ethics, Integrity & Governance (REIG) Application:

Question Set and Guidance Notes

Project title:

NOTE 1:
If re-submitting an application or making an amendment, please refer to the guidance, "Instructions for RE-SUBMISSIONS" Instructions for RE-SUBMISSIONS | The University of Edinburgh or "Instructions for AMENDMENTS" Instructions for AMENDMENTS | The University of Edinburgh.

Proposed project Start Date:

Proposed Project End Date:

NOTE 2:
Applications should be submitted well in advance of a research project starting. The project start date and end date should be separated by a time which would be deemed reasonable to complete the proposed research; for example, an undergraduate dissertation could not reasonably be expected to be completed in a matter of weeks.

Project proposed start and end dates should encompass the project from start to finish, not only the time spent analysing data, visiting archives or conducting fieldwork; for example, a PhD project would end with the completion of the thesis.

Q. Are you a member of staff or a student?

- Staff – Do you have a Co-Investigator, or Co-Investigators?
- Staff – Please list names and institutions
- Student – What type of student are you?
- Student – Course title / Programme name
- Student – Supervisor's name

NOTE 3:
It is expected that the Co-investigator or Co-investigators will secure an ethics favourable opinion for the research from their own school/institution. It is not acceptable for the Principle Investigator to use a favourable opinion for their REIG application as a blanket decision for the Co-I(s). Where the Co-Is are both/all in LLC, it is expected that they will submit one ethics application for the project, and that all Co-Is are clearly listed in the project details section.

Q. Please indicate any external ethical guidance your project has to adhere to. For example, the British Psychological Society (BPS), the British Academy, the British Association of Sport and Exercise Sciences (BASES).

NOTE 4:
The question only applies to projects where this is required by a funder or other institution. It is the responsibility of the applicant to ensure that the application adheres to any ethical guidance stipulated by a funder or institution. It is not the responsibility of University of Edinburgh ethics reviewers to ensure that the application is compliant with any external guidance.

This question does not relate to projects where the applicant *chooses* to seek additional subject area or disciplinary guidance to that outlined by the University of Edinburgh.

Participants

Q. Will any animals or animal tissue be used as part of the research project?

Selecting "Yes" in response to this question and "No" to Q. 'Will any human participants be studied either directly or indirectly?' means that only the mandatory sections need to be completed, plus the data section, depending on the response to the data question

NOTE 5:
Please ensure that you answer this question accurately.

Q. Will any human participants be studied?

Selecting "Yes" to this question will open up the following additional sections:

- Potential risks to participants and researchers
- Participants and data subjects
- Participant or data subject information and consent

NOTE 6:
Please ensure that you answer this question accurately.

Human participants are defined as including:

- Living human beings
- Human beings who are recently deceased*
- Embryos and foetuses
- Human data and records, such as, but not restricted to, medical, genetic, financial, personnel or criminal records

*How ”recently deceased” is defined is context-specific and dependent on the type of research. In health and social care contexts, for example, medical records become usable without consent after 50 years, but in some cases certain categories of medical data which are donated for research can be used immediately.

Even in cases where it is determined that a human subject who has died but would not be considered recently deceased, there are still potential ethical issues relating to living relatives. In cases where there is a possibility for the research to cause harm to living relatives, there are often ways to mitigate such harm (such as informing or discussing with relatives). The need to do so would also be context-specific and dependent on the sensitivity of the data, or how public the data/information already is.

Confidentiality and Handling of Data

Q. Are you collecting and/or using personal data?

Selecting "Yes" to this question will open up the following additional section:

- Confidentiality and Handling of Data

If you answer “No” (no personal data), the Confidentiality and Handling of Data section will still open up, but only 2 questions will appear:

- Describe the physical and IT security arrangements you will put in place for the data.
- How do you intend the results of your research project to be used?

NOTE 7:
“Personal data is data that relates to living people from which they can be directly or indirectly identified - direct identifiability being from the data itself, or indirect identifiability being from the combination of the data with other available data. The ICO provide detailed guidance on this – for more information see “What is personal data?”

"Data that has been pseudonymised (with identifiers separated) may still be personal data, depending on how hard it is to reconnect the identifiers with the dataset. Robust controls that separate the two - for example, a legal agreement that prevents reidentification and controls access to the identification key - will help protect the data so that it may be possible to classify it as not personal data to those that do not have access to the key.

"It is also worth noting that the action of anonymising counts as processing personal data for the purposes of GDPR."

(UK) GDPR and Research: An Overview for Researchers: UKRI-020920-GDPR-FAQs.pdf.

Security-Sensitive Material

Q. Does your research project fit into any of the following security-sensitive categories?

- Your research project is commissioned by the military.
- Your research project is commissioned under an EU security cell.
- Your research project involves the acquisition of security clearances.
- Your research project concerns groups which may be construed as terrorist or extremist.

Selecting "Yes" to this question will open up a separate "Security-sensitive material" section later in the form.

NOTE 8:
Please provide additional information in the project description; for example, if your project is commissioned by the military, please explain which military and the rationale for the military funding the research.

Good Conduct in Collaborative Research

Q. Will your research project involve collaborative work?

Selecting "Yes" to this question will open up a separate "Good conduct in collaborative research" section later in the form.

NOTE 9:
The following "Ethical Action in Global Research: A Toolkit" is aimed at "researchers, practitioners and others who conduct or support research in complex, low income or fragile settings" but will also be useful for researchers working in collaborative research: Home 2 | Ethics (ed.ac.uk).

Project Funding

Q. (Staff only) Is funding required for your research project?

(Staff only) Please indicate how the project will be financially supported.

NOTE 10:
This question will only appear if you have selected 'Staff' in response to, 'Are you a member of staff or a student?'

External Research Ethics Approval

Q. Does your research project require the approval of any other institution and/or ethics committee, nationally or internationally? (for example, NHS REC)

Please state the name of the review body and the current status of your application (for example, submitted, approved, deferred, rejected)? Please include any known submission / approval timelines.

Knowledge Exchange and Impact

Q. (Staff only) Will there be any knowledge exchange and impact activities associated with this project?

NOTE 11:
This question will only appear if you have selected 'Staff' in response to, 'Are you a member of staff or a student?'

You may not know at the outset of your project all of the KEI activities which you will run/be involved in. If you develop new plans, then you should consider them in light of the guidance on research ethics and KEI: "Research Ethics and Knowledge Exchange and Impact (KEI)": Research Ethics and Knowledge Exchange and Impact (KEI) | The University of Edinburgh. You can amend your ethics application by following the "Instructions for AMENDMENTS on the LLC Ethics webpages: Instructions for AMENDMENTS | The University of Edinburgh.

Consultancy Potential

Q. (Staff only) Could your research project lead to potential consultancy activities in the future?

NOTE 12:
This question will only appear if you have selected 'Staff' in response to, 'Are you a member of staff or a student?'

Description of the research

Please use the box below to describe your research, or upload a Word or PDF document as indicated below.

NOTE 13:
Please ensure that your project description focuses on the methods you will employ. Your description should be understandable to an academic audience not familiar with your particular field or methodology.

It is not necessary to provide an in-depth overview of your theoretical framework unless you anticipate that the application of the theory raises specific ethical issues. If this is the case, please ensure that you address the ethical issues raised by the application of such a theory.

For digital, online or Internet research, please ensure that you adhere to the guidance under "Digital, Internet and online research": Ethics-related resources | The University of Edinburgh.

You should consider the following:
What platforms/software will you use to conduct the research? Is this software or are the platforms supported by the University? If not, have you followed the steps outlined under "Using University supported and unsupported software for research"? General Data Protection Regulation (GDPR) and Data Protection | The University of Edinburgh.
What are the data retention policies of these platforms and do you have a clear plan for communicating this to participants?
Is the data you are generating/using public or private?
How will you secure consent?

If you plan to conduct Face-to-Face research you must also complete a COVID Face-to-Face research risk assessment (Off or On Campus). You may also need to complete a Travel Risk Assessment.

Once completed, please upload for review.

NOTE 14:
The Covid Checklist does not need to be submitted with the application. It serves as a guide for good practice.

Please note that there are two types of Risk Assessment:

Travel Risk Assessment: this should be completed if the research project involves *any* travel, even within the UK (including any travel in Scotland outwith your normal commute to and from the University). Link to Travel Risk Assessment: Risk Assessments and Travel plan | The University of Edinburgh.

Fieldwork Risk Assessment: This should be completed if you are conducting *any* fieldwork, even on campus, in Edinburgh, or elsewhere in the UK. Link to Fieldwork Risk Assessment: Risk Assessments and Travel plan | The University of Edinburgh.

Please ensure that you secure University insurance for any travel and/or fieldwork connected to your research project. Link to University Insurance: Travel insurance | The University of Edinburgh.

Potential risks to participants and researchers

Q. Is your research project likely to induce any psychological stress or discomfort in the participants?

If "yes" - State the types of risk and what measures will be taken to deal with such problems.

NOTE 15:
The question is based on the *likelihood* of psychological stress or discomfort. You do not need to consider aspects of the research where there is a remote likelihood of causing psychological stress or discomfort, only those which are likely to do so.

Please refer to "Harm/potential risks to participants": Ethics-related resources | The University of Edinburgh.

Q. Does your research project require any physically-invasive or potentially physically harmful procedures?

If "yes" - Give details and outline procedures to be put in place to deal with potential problems.

NOTE 16:
Please refer to "Health and social care research: sponsorship guidance": Health and social care research: sponsorship guidance | The University of Edinburgh.

Q. Does your research project require the use of privacy-invasive technology, such as CCTV, biometrics, facial recognition, vehicle tracking software?

If "yes" - Give details and outline procedures to be put in place to deal with potential problems.

NOTE 17:
Please speak to the University Data Protection Officer for advice *before* submitting this application: dpo@ed.ac.uk.

Q. Does your research project involve the investigation of any illegal behaviours or activities?

If "yes" - Give details of the investigation of any illegal behaviours or activities that your research project involves.

NOTE 18:

Please ensure that you provide adequate details here.

Please also consider that in some contexts it may not be clear whether or not behaviour is legal or illegal, and in some contexts a state or state actor may use language of illegality surrounding behaviour which may not, in fact, according to that state's laws, be illegal. Explain your answer.

Please refer to "Illegal activities and confidentiality in research": Ethics-related resources | The University of Edinburgh.

Q. Is it possible that your research project will lead to awareness or the disclosure of information about child abuse or neglect?

If "yes" - Indicate the likelihood of disclosure and the procedures to be followed if you become aware that a child has been or may be at risk of harm.

NOTE 19:
Please refer to the guidance in the following resource which covers:

- Lone working with children
- Sharing information (including a protocol for reporting suspected abuse)
- Consent and example consent form

NSPCC Research with children: ethics, safety and avoiding harm: Research with children: ethics, safety and avoiding harm | NSPCC Learning. See, in particular, "What to do if you think a child has experienced abuse."

You may also wish to consider the ethical issues raised in the following article:
Resnik, David B. and Duncan C. Randall. 2018. "Reporting suspected abuse or neglect in research involving children." *Research Ethics* 44: 555-559. Reporting suspected abuse or neglect in research involving children (bmj.com).

You should also refer to the resources listed under "Research with children": Ethics-related resources | The University of Edinburgh and "Researching (with) Children in School Settings": Researching (with) Children in School Settings | The University of Edinburgh.

Q. Is it likely that dissemination of research findings or data could adversely affect participants?

If "yes" - Describe the potential risk for participants/data subjects of this use of the data. Outline any steps that will be taken to protect participants.

NOTE 20:
Please note that the question is based on the *likelihood* of the dissemination of findings adversely affecting participants. It is not always possible to determine this because contexts and circumstances change. You should answer the question based on what your current understanding of the likelihood is. It would be advisable to seek advice from your supervisor or colleagues/experts in the field if you are unsure.

Q. Could participation in this research adversely affect participants and others associated with the research in any other way?

If "yes" - Describe the possible adverse effects and the procedures to be put in place to protect against them.

NOTE 21:
Please consider this question in light of what might reasonably be assumed to be adverse effects on participants.

Q. Is this research expected to benefit the participants, directly or indirectly?

If "yes" - Give details of how this research is expected to benefit the participants.

NOTE 22:
If you are providing participants with incentives, these should be outlined in the Participant Information Sheet. Please note that incentives to participate in research are not the same as reimbursement for travel or subsistence.

Please refer to:
Social Research Association. 2021. "Incentives and Consent," in *Research Ethics Guidance*": SRA Ethics guidance 2021.pdf (the-sra.org.uk).

MacKay, Douglas. 2022. "The ethics of payments to research participants." *International Initiative for Impact Evaluation*, February 28. The ethics of payments to research participants | 3ie (3ieimpact.org).

UK Research & Innovation (UKRI), "Risk and Benefit": Risk and benefit – UKRI.

Q. Will the true purpose of the research be concealed from the participants/data subjects?

If "yes" - Explain what information will be concealed and why.

NOTE 23:
Please note that if you are planning to conceal the true purpose of the research from participants, you will need to justify your choice very robustly.

Q. Will participants/data subjects be debriefed at the conclusion of the study?

If "no" - Why will participants / data subjects not be debriefed?

NOTE 24:
Usually you would provide a short paragraph outlining what the study was about, who participants can contact if they have any questions and reminding them how they will receive a summary of the results.

For an overview of what debriefing is and how you might go about it, please refer to:
McNallie, Jenna. 2018. "Debriefing of Participants." In *The SAGE Encyclopedia of Communication Research Methods*. SAGE Research Methods - The SAGE Encyclopedia of Communication Research Methods (sagepub.com).

Q. At any stage in this research could researchers' safety be compromised, or could the research induce emotional distress in the researchers?

If "yes" -Give details and outline procedures to be put in place to deal with potential problems.

NOTE 25:
See information in NOTE 26 about Risk Assessments.

If it is likely that emotional distress will be induced in the researcher(s), please formulate a clear plan for self-care. Consider the following options/resources:

Students: Speak to your Personal Tutor, project Supervisor, or the Student Support Team. Further resources are available at Health and wellbeing | The University of Edinburgh.

Staff: Plan to have one or more de-briefs with a colleague in your field. Further resources are available at: Staff Health and Wellbeing Hub | The University of Edinburgh.

I will adhere to School guidance on risk assessment and health and safety and will seek advice on project and travel insurance prior to project commencement. (Yes / Not applicable)

NOTE 26:

Staff and students: Risk Assessments and Travel plan | The University of Edinburgh.

Please also see information on Lone and Out of Hours Working: Risk Assessments | The University of Edinburgh.

Undergraduate students may need to complete the Risk Assessment process via SWAY. See here for details: Risk assessment | The University of Edinburgh.

Participants and data subjects

Q. How many participants or data subjects are expected to be included in your research project?

Q. What criteria will be used in deciding on the inclusion and exclusion of participants/data subjects in your research project?

NOTE 27:
Please be specific in your description of inclusion and/or exclusion criteria. Please use a bullet-pointed list for clarity.

Q. Are any of the participants or data subjects likely to be under 16 years of age?

If "yes" -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

NOTE 28:
For this, and the following questions related to minors, please refer to the guidance under "Research with children": Ethics-related resources | The University of Edinburgh and "Researching (with) Children in School Settings": Researching (with) Children in School Settings | The University of Edinburgh.

Q. Are any of the participants or data subjects likely to be children in the care of a Local Authority?

If "yes" -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be known to have additional support needs?

If "yes" -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be physically or mentally ill?

If "yes" -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be vulnerable in other ways?

If "yes" -Explain and describe the nature of the vulnerability and the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be unable to communicate in the language in which the research is conducted?

If "yes" -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

NOTE 29:
The "language in which the research is conducted" does not mean the language in which a dissertation or other research output is written. It refers to the language(s) which will be used to generate data; for example, online via social media, in interviews, or in the field.

Q. Are any of the participants or data subjects likely to be in a client or professional relationship with the researchers?

If “yes” -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be in a student-teacher relationship with the researchers?

If “yes” -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to be in any other dependent relationship with the researchers?

If “yes” -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Are any of the participants or data subjects likely to have difficulty in reading and/or comprehending any printed material distributed as part of the study?

If “yes” -Explain and describe the measures that will be used to protect and/or inform participants/data subjects.

Q. Describe how the sample will be recruited.

NOTE 30:
Please note that this is a different question from “What criteria will be used in deciding on the inclusion and exclusion of participants/data subjects in your research project?” For example, will you recruit participants via social media or through existing contacts?

Q. Will participants receive any financial or other material benefits as a result of participation?

If “yes” -What benefits will be offered to participants and why?

Participant or data subject information and consent

NOTE 31:
For information relevant to this section, please refer to the resources under “Confidentiality” and “Consent/informed consent”: Ethics-related resources | The University of Edinburgh.

Q. Will written consent be obtained from all participants or data subjects?

NOTE 32:
Written consent should be regarded as the default form of consent under UK GDPR. Only where it is appropriate and justifiable should oral consent be sought; for example, oral consent may be appropriate due to cultural reasons (such as in contexts where trust would be compromised if written consent were to be sought), if written consent places barriers to participation, or if written consent increases risk to participants.

If “yes” -Attach participant information sheet and consent form.

NOTE 33:
Please ensure that you attach *both* a Participant Information Sheet *and* Participant Consent Form with your application. Templates for these documents can be found on the Research Ethics, Integrity & Governance Application landing page and it is advised that you use these templates

rather than create your own: Research Ethics, Integrity & Governance Application (sharepoint.com).

Please also bear in mind that it may be necessary to produce different versions of a Participant Information Sheet and Participant Consent Form if, for example, your research involves different areas of enquiry or different types of participant.

Q. Will oral consent be obtained from all participants or data subjects?

If "no" -If Consent cannot or should not be sought for some reason, please provide a clear case and rationale for this.

NOTE 34:
A clear case and rationale should be provided. You should also provide a clear plan for how oral consent will be recorded; for example, if recording interviews, the oral consent can be recorded as part of the interview.

It is strongly recommended that if seeking oral consent that you draft a script based on the PIS and PCF templates (see previous NOTE) which you will read out to participants. This will ensure that you do not forget to relay any important information. Please attach this script to your application.

Q. Have you made arrangements to tell participants what information you hold about them?

If "yes" -What arrangements have been made?

Q. Have you made arrangements to tell participants whether you will disclose the information to other organisations?

If "yes" -What arrangements have been made?

NOTE 35:
This is only relevant in cases where you will share participant information with other organisations. This does not mean the inclusion of participant information in a publication.

Q. Have you made arrangements to tell participants whether you will combine that information with other data?

If "yes" -What arrangements have been made?

NOTE 36:
This is only relevant in situations where combining two different types of data could lead to a risk of participant identity being revealed; for example, combining a participant's comments on social media with confidential interview data.

Q. In the case of children participating in the research, will the consent or assent of parents be obtained?

NOTE 37:
For this, and the following questions related to minors, please see NOTE 19 and the resources listed under "Research with children": Ethics-related resources | The University of Edinburgh and "Researching (with) Children in School Settings": Researching (with) Children in School Settings | The University of Edinburgh.

If "yes" -Explain how this consent or assent will be obtained.

If "no" -Please explain why not.

Q. Will the consent or assent of children participating in the research be obtained?

If “yes” -Explain how this consent or assent will be obtained.

If “no” -Please explain why not.

Q. In the case of participants who are not proficient in the language in which the research is conducted, will arrangements be made to ensure informed consent?

If “yes” -What arrangements will be made?

If “no” -Please explain why not.

Q. In the case of participants with additional support needs, will arrangements be made to ensure informed consent?

If “yes” -What arrangements will be made?

If “no” -Please explain why not.

Q. Does the activity involve using cookies or tracking individual’s activity on a website or the Internet in general?

If “yes” -Describe the arrangements you have put in place to obtain informed consent for the use of these tools?

NOTE 38:
Please see: European Commission, 2018, *Ethics and data protection*, Section IX, “Profiling, tracking, surveillance, automated decision-making and big data.”
5._h2020_ethics_and_data_protection_0.pdf (europa.eu).

Confidentiality and handling of data

NOTE 39:
For information relevant to this section, please refer to the resources under “Confidentiality”: Ethics-related resources | The University of Edinburgh.

Q. What information about participants/data subjects will you collect and/or use?

NOTE 40:
Please be clear and comprehensive in your answer.

Q. Will you collect or use NHS data?

If “yes” -What NHS data will you collect or use?

NOTE 41:
Please refer to “Health and social care research: sponsorship guidance”: Health and social care research: sponsorship guidance | The University of Edinburgh.

Q. What training will staff who have access to the data receive on their responsibilities for its safe handling? Have all staff who have access completed the mandatory data protection training on the self-enrolment page of Learn?

Q. 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)?

If “yes” -Explain what safeguards e.g. technical or organisational you have in place

If “yes” -Please indicate how your research is in the public interest.

Q. Please indicate how your research is in the public interest:

- Your research is proportionate
- Your research is subject to a governance framework
- Research Ethics Committee (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
- Other

NOTE 42:
Please refer to the training module *Data Protection for Research*, "Research in the public interest." Details about the training can be found here: TRAINING: Research ethics and UK General Data Protection Regulation (UK GDPR) | The University of Edinburgh.

Q. 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.

Identifiable due to data linkage - Likelihood of risk manifesting and Severity of harm

Identifiable due to low participant numbers - Likelihood of risk manifesting and Severity of harm

Identifiable due to geographic location - Likelihood of risk manifesting and Severity of harm

Identifiable due to transfer of data - Likelihood of risk manifesting and Severity of harm

Identifiable due to access to data - Likelihood of risk manifesting and Severity of harm.

NOTE 43:
It is essential that you answer these questions as accurately as you can.

Please use this text box to record any other risks and the likelihood of them occurring, along with the severity of harm.

NOTE 44:
The 'any other risks' in this question should be interpreted as risks associated directly with the research being conducted rather than any possible risks associated with normal daily life.

Please identify measures you could take to reduce or eliminate risks identified as possible/significant or probable/severe.

NOTE 45:
It is absolutely essential that you address this aspect of the question. You MUST demonstrate a clear plan or set of actions or procedures which will help to reduce or eliminate the risks which you have identified.

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

If "yes" -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 Data Protection Officer.

NOTE 46:

Please note that the transference of data does not mean you, as the researcher, accessing University cloud-based storage (OneDrive) and/or DataStore (or another University-provided data storage system) away from campus.

If it is necessary to obtain guidance from the Data Protection Officer, please do so *before* submitting this application.

Q. Other than the use by third parties, will the data be used, accessed or stored away from University premises?

If "yes" -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.

Q. Will feedback of findings be given to your research project participants or data subjects?

NOTE 47:
The general expectation is that findings will be shared with project participants or data subjects. There may be occasions where this is not practical or desirable, but the rationale for *not* sharing feedback should be clear and justified.

If "yes" -How and when will this feedback be provided?

If "no" -Why will feedback not be provided?

Q. Describe the physical and IT security arrangements you will put in place for the data.

NOTE 48:
It is not good practice to store project data on personal or mobile devices because this increases the risk of damage, loss, leakage or theft of data. Instead, project data should be stored on University-approved platforms. If it is necessary to store project data on a personal or mobile device, it should be stored on such devices for as short a time as possible until it can be transferred to more robust storage.

For guidance on data storage, including OneDrive, DataStore, sensitive data storage and long-term data storage, please refer to "Data Protection, Data Management and UK General Data Protection Regulation (UK GDPR)": General Data Protection Regulation (GDPR) and Data Protection | The University of Edinburgh.

If your research is funded, are there any requirements for the data from your funder?

Please also note that the recording of interviews on mobile phones should only be done if the researcher is sure that no apps on the mobile phone will be able to access the interview data. You should also ensure that the data is not automatically backed up to unapproved cloud services. Best practice would be to use a dedicated recording device.

Q. How do you intend the results of your research project to be used?

NOTE 49:
Undergraduate and postgraduate taught students: it is assumed that in most cases, the results of your research project will be used to complete an essay, class-based project or dissertation. If that is the case, then state that. If, however, you intend to publish the results in some way, then you should state that here (and communicate this to research participants if any are involved in the project).

MScR and PhD students: it is assumed that in most cases, the results from your research project will be used to complete a dissertation or thesis, and that you intend to publish the results in some

way, through journal articles, blog posts, presentations, etc. You should state that here (and communicate this to research participants if any are involved in the project).

Security-sensitive material

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

NOTE 50:
Please refer to the University's guidance on the Counter-Terrorism and Security Act (2015) ("the Prevent Duty"): Prevent Duty | The University of Edinburgh
Information Services Counter Terrorism and Security: Counter-Terrorism and Security | The University of Edinburgh

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

If "yes" -Please tick 'Yes' to indicate that you agree to store all documents on that file store.

Q. Might your research involve the electronic transmission (for example, as an email attachment) of such records or statements?

If "yes" -Please tick 'Yes' to indicate that you agree not to transmit electronically to any third party documents stored in the file store.

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

If "yes" -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 ticking 'Yes.'

By submitting to the ethics process, you accept that your School Research Ethics Officer 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 ticking 'Yes.'

Please confirm that you have contacted your School Research Ethics Officer to discuss security-sensitive material by ticking 'Yes.'

Copyright

Q. Does your project require use of copyrighted material?

NOTE 51:
'use of' here means for publication, be it screenshots of a film, a graph from a secondary source, or reproduction of text (prose, poetry, etc) which goes beyond fair dealing. 'use of' does not refer to analysis of copyrighted sources as part of the research (eg, research where poetry or novels are the primary sources).

Please refer to "Ethics and copyright": Ethics and Copyright | The University of Edinburgh.

Good conduct in collaborative research

Q. Does your project involve working collaboratively with other academic partners?

If "yes" - Is there a formal agreement in place regarding a collaborative relationship with the academic partner(s)?

If “no” -Please explain why there is no formal agreement in place?

NOTE 52:
It is expected that a formal agreement will be in place before the start of the project.

You can find generic legal templates on the CAHSS Research and Knowledge Exchange website: Open Access - Copyright forms - All Documents (sharepoint.com).

- Contract for Photography Services
- Image Consent Form
- Photographing a Contribution
- Third-Party Release (no fee)

Q. Does your project involve working collaboratively with other non-academic partners?

If “yes” - Is there a formal agreement in place regarding a collaborative relationship with the non-academic partner(s)?

If “no” - Please explain why there is no formal agreement in place.

NOTE 53:
Collaborative research includes research undertaken with another academic Institution or external partner e.g. NGO, businesses, as well as field assistants and local researchers. It does not include company-sponsored dissertations. Please note that other University of Edinburgh students and/or supervisors are not considered collaborators.

Find out about support for Research Agreements from the Edinburgh Research Office website: Edinburgh Research Office | The University of Edinburgh

It is expected that a formal agreement will be in place before the start of the project.

Q. Does your project involve employing local field assistants (including guides/translators)?

If “yes” -Is there a formal agreement in place regarding the employment of local field assistants (including guides and translators)?

If “no” –Please explain why there is no formal agreement in place.

NOTE 54:
It is expected that a formal agreement will be in place before the start of the project.

Q. Will care be taken to ensure that all individuals involved in implementing the research adhere to the ethical and research integrity standards set by the University of Edinburgh?

If “no” - Please explain why care will not be taken.

NOTE 55:
Please explain how this will be done.
It is strongly recommended that this process be factored into the life course of the project.

Q. Have you reached agreement relating to intellectual property?

If “no” -Please explain why you have not reached agreement.

NOTE 56:
It is expected that a formal agreement will be in place before the start of the project.

Good conduct in publication practice

In publication and authorship, as in all other aspects of research, researchers are expected to follow the University's guidance on integrity.

NOTE 57:
Please refer to the University of Edinburgh Research Office, *Research Integrity* webpages: Research integrity | The University of Edinburgh.

By ticking yes, you confirm that full consideration of the items described in this section will be addressed as applicable.

Dr Mark McLeister,[1] December 2022

[1] I would like to acknowledge feedback on draft versions of this *Rough Guide* from the CAHSS Research Governance Team, LLC Research Ethics Committee, and Dr Lucy Steeds.