**COMP0162 Project Ethical Risk Self-Assessment - Student to complete**

*Please complete the fields in the tables below by putting an X in the appropriate column and/or answering the questions as appropriate. This form will help you to assess the ethical risks of your project. If you have concerns please contact the module leader.*

**Student Name: Zhenhao Zhao UCL Module Leader: Paolo Barucca**

**Dataset full name: 5-year NVIDIA Corp Stock Price**

**Data Description** (short paragraph describing type of data collected, how the data are collected, what data are collected, what type of data analysis will be done)**:**

The data is about the 5-year NVIDIA Corp Stock Price. The data is collected from the Yahoo! Finance (<https://uk.finance.yahoo.com/>). We will mostly use the dataset on analysing the close price, make prediction on the close price.

**Section 1: General Matters**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Question* | *YES* | *NO* | *N/A* | *Notes* |
| 1. Will (or might) the project results be published? |  | X |  | *e.g. in journals, conferences, student placing report on their website, company promoting the project internally/externally etc. Assessment events for UCL need not be considered.* |
| 1. Will the results of the project be put into use by a project partner without further development? |  | X |  | *e.g. could software for health analysis be used clinically, could a company put an implementation live without re-qualifying and reimplementing it first?* |
| 1. Will the student be required to undertake lone-working, or working in other hazardous circumstances? |  | X |  | *i.e. ‘lone-working’ here does not relate to the academic conduct of the project, but to Health and Safety requirements. See:* [*https://www.ucl.ac.uk/safety-services/a-z/lone-working*](https://www.ucl.ac.uk/safety-services/a-z/lone-working) |
| 1. Will the project involve smart technology? |  | X |  | *e.g. Amazon echo, Google assistant, Siri or similar systems* |
| 1. Will the project use data collection methods that are not covered by UCL agreements? |  | X |  | *e.g. Google forms, SurveyMonkey* |
| 1. Will the project take place at UCL? |  | X |  | *If the student is working at a company, UCL offsite working procedures for Work Placement will apply:* [*https://www.ucl.ac.uk/safety-services/a-z/off-site-working*](https://www.ucl.ac.uk/safety-services/a-z/off-site-working)*. Note that different checklists apply to UK and non-UK placements.* |
| 1. Will the project be likely to work in areas covered by dual-use restrictions (UK export control)? |  | X |  | *e.g. typically military grade technology, although some information security technology may fall into this category.* |
| 1. Could the project deny service, access, or otherwise adversely affect another’s computer system? |  | X |  | *e.g. through denial of service, statistical skewing because of abnormal download traffic etc.* |
| 1. Could the project cause the student harm by virtue of the topic or context? |  | X |  | *e.g. domains like mental health could make a student’s unreported condition worse, projects that interact with a student’s cultural background or religious beliefs could cause them offence or difficulties within their community depending on the topic and nature of the work.* |

**Section 2: Humans**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Question* | *YES* | *NO* | *N/A* | *Notes* |
| 1. Will you be interviewing anyone? |  | X |  | *e.g. to get opinions, assess software, elicit requirements. Note that this does not include informal interaction with colleagues.* |
| 1. Will you be asking people to complete a questionnaire? |  | X |  | *e.g. to get opinions, assess software or equipment from the project, elicit requirements. Could be online or on paper. If YES, please supply a copy with this form.* |
| 1. Will you be undertaking a survey? |  | X |  | *Could be online or on paper. If YES, please supply a copy with this form.* |
| 1. Are the participants known to you personally? |  |  | *X* | *e.g. friends, family, coursemates, students in your class.* |
| 1. Does your project involve vulnerable participants? |  | X |  | *e.g. children (under 16) and young people (16-18), those with a learning disability or cognitive impairment, in dependent/unequal relationship etc* |
| 1. Does your project involve participants for whom you need a gatekeeper’s permission to access? |  | X |  | *e.g. managers giving access to staff, parents/teachers giving access to children, faculty giving access to students in class.* |
| 1. Are your participants in the public arena? |  |  | *X* | *e.g. elected or appointed public officials, candidates for public office, artists* |
| 1. Is your study purely observational (non-invasive and non-interactive) and of public behaviour? |  | X |  | *e.g. observing people on the street.* |
| 1. Will you be taking photographs, video, audio, or recording names? |  | X |  | *e.g. individually or in small groups.* |
| 1. Will you be asking people about sensitive topics? |  | X |  | *e.g. health (mental or physical), gender, ethnicity, race, disability, experience of violence, abuse, or exploitation, political opinion, religious or philosophical belief, trade union membership, sex life, sexual orientation.* |
| 1. Will data be gathered from or in a sensitive context? |  | X |  | *e.g. a hospital, care home or other similar setting.* |
| 1. Will participants participate on a fully informed and voluntary basis? |  |  | *X* | *In other words, will participants be given an appropriate information sheet explaining the study and their right to withdraw at any time?* |
| 1. Will data be recorded anonymously? |  |  | *X* | *i.e. no identifying data will be recorded. Identifying data may include names, online profile names, IP addresses, postal addresses, car registration numbers, company position and/or company, photographs, video, social media/blog quotes, URLs that contain an individual’s name etc.* |
| 1. If data is not recorded anonymously, will you anonymise it before analysis? |  |  | *X* |  |
| 1. Might it be possible to de-anonymise the data to identify individuals? |  |  | *X* | *e.g. because you use individual-level data, link to individuals yourself, or because someone could use other data sources like social media in combination with your data.* |
| 1. Are you testing people for anything that could reveal a previously unknown medical condition? |  | X |  | *e.g. colour blindness, dyslexia, depression, hearing loss.* |
| 1. Will you be asking people to use specialist equipment? |  | X |  | e*.g. virtual reality.* |
| 1. Will your project expose people to material or activity that could induce psychological stress, anxiety, humiliation, or cause more than minimal pain? |  | X |  | *e.g. through videos, photographs, questions, objects, virtual reality systems, augmented reality, violent games, horror films etc.* |
| 1. Will you collect data derived from human activity or asking people to use devices e.g. mobile phone? |  | X |  | *e.g. sensor data, digital tracking tools, GPS traces, phone/app usage, travel card usage, fitness monitors and health sensors, social media data/activity, motion capture data, software repository data, video/audio/image data, tissue, biometrics.* |
| 1. Are there other human-participant related aspects of your study not covered by these questions? |  | X |  | *e.g. use of human tissue, food tasting.* |

**Section 3: Existing Data and Datasets**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Question* | *YES* | *NO* | *N/A* | *Notes* |
| 1. Will the project use existing data collected from or derived from humans? *[If you answer NO to this question, the remainder of the questions in section 3 can be ignored.]* | X |  |  | *Anonymous or otherwise, located at UCL or elsewhere e.g. previously conducted questionnaires or surveys at UCL or elsewhere, existing medical records or images, public datasets, financial datasets relating to individuals, photographs of individuals/small groups, social media data and activity, video, audio, software repository activity, app store or shopping site ratings/reviews, blog posts, forum posts etc.* |
| 1. Is the existing data openly available to any member of the public? | X |  |  | *If you need to sign-up, join a website, or get someone’s permission to obtain the existing data then it is not openly available. Sign-up/joining can mean submitting an email address, creating a profile, verifying your status as a researcher etc.* |
| 1. Is the existing data found on social media sites like Twitter or Facebook, or on blogs or forums? |  | X |  |  |
| 1. Is the existing data anonymous? |  | X |  | *Including wrt other existing data sources that could be used to de-anonymise it. Note that social media content, images, video, and often audio (speech) data are not anonymous.* |
| 1. If the existing data is not anonymous, will you anonymise it on receipt? |  | X |  | *Note that the terms and conditions of datasets may forbid the alteration of the data. If this is the case, answer NO.* |
| 1. Might it be possible to de-anonymise the existing data to identify individuals? |  | X |  | *e.g. because you use individual-level data, link to individuals, or because someone could use other data sources like social media or repository records in combination with your data.* *Some international studies conducted in countries involved in civil war must be careful not to identify a village or community for fear of reprisals. Existing data from such studies must be treated with equal care.* |
| 1. Is the existing data about vulnerable people? |  | X |  | *See question 14 for examples.* |
| 1. Are you obtaining the existing data directly from a third-party (i.e. not UCL and not through an open or semi-open website)? |  | X |  | *e.g. a company, another university, private organisation.* |
| 1. If the existing data comes from a third-party, do you have permission to use it? |  |  | *X* |  |
| 1. Is the existing data sensitive? |  | X |  | *See question 19 for a list of sensitive topics. In addition, genetic data and biometrics are considered sensitive.* |
| 1. Will the existing data be held on UCL systems? |  |  | *X* |  |
| 1. Can you confirm that the original data collection was ethically sound? | X |  |  | *e.g. the dataset publishers may have statements on their website regarding this, you may have private correspondence with the data owner, a REC or IRB approval number may be quoted in publications associated with the data etc.* Answer *NO if you are unsure.* |
| 1. Can you confirm that your project has the same remit as that for which the existing data was collected? | X |  |  | *i.e. are you doing the same kind of analysis that the person/team who collected the data did with it? Or are you doing something different?* *Answer NO if you are unsure.* |
| 1. If your project has a different remit, can you confirm that the original participants gave permission for future/subsequent research use? | X |  |  | *e.g. you may have email correspondence, there may be a licence agreement, statements on a website, REC/IRB approval numbers in publications etc. Answer NO if you are unsure.* |
| 1. Can you confirm that other researchers have used the same existing data? | X |  |  | *Answer NO if you are unsure.* |
| 1. Can you confirm that the existing data originally acquired legally? | X |  |  | *Answer NO if you are unsure.* |
| 1. Will the project use a dataset from a country outside the EU? |  | X |  |  |
| 1. Will the project make interpretations of existing data that make sensitive or personal claims about individuals or communities? |  | X |  | *e.g. thematic analysis in social media data relating to sensitive topics (see question 18 for a list), analysis of health data that could have public health implications if reported, or reputational risk to those described in the data.* |