Word version at: https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resEthPolProForm.docx

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher:

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	X
		Research degree student		Staff	
	Email	Aavila19.com@gmail.com	Telephone number	+34 659125956	
	Department	Department of Methodology			

2. Student Details if applicable

	Degree programme:	MSc. In Applied Social Data Science		
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract:

i) Title: The effect of Traffic Management Strategies in London's economy.
A synthetic control approach.

ii) Abstract

*(approx.150-200 words. Your abstract should outline in non-technical language **the purpose of the research** and the **methods** that will be used.)*

Air pollution is a growing issue in health and policy initiatives and Traffic Management Strategies (TMS) have proven popular and useful to reduce it in European cities. While these policies are criticised for "hurting the economy", recent literature indicates how air pollution negatively affects inputs of production, making TMSs a contributor to economic growth. To solve this contradiction from a program evaluation perspective, I propose the use of a Synthetic Control method as introduced by Abadie and Gardeazabal (2003) to study London's TMS effects in the local economy. This research can provide a concrete answer to a pressing question for local authorities, academics and the broad public by providing specific estimates, accounting for the heterogeneity of implementation formulas, spill-over effects and transmission mechanisms.

4. Funding

Is it proposed that the research will be funded? No

If so by whom?

5. Where the research will be conducted

In what country/ies will the research take place? (See Note 1)

In the UK with information from EUROSTAT and other EU databases
6. Data Management Plans
Please confirm whether you have completed a Data Management Plan and submitted to Datalibrary@lse.ac.uk ? (*See Note 2*) NO Yes / No

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
7. Research that *may* need to be reviewed by an external (non-LSE) Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 3)*		X	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 4)*		X	
iii	Is there any other reason why the study may need to be reviewed by another external (non-LSE) Ethics Committee? If yes, please give details here:		X	
If your research will be reviewed by an external (non-LSE) ethics committee, you may not need to complete the rest of this LSE review form – please email research.ethics@lse.ac.uk for guidance.				
8. Consent (See Note 5)				
i	Does the study involve children or other participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 6)*		X	
ii	Are subjects to be involved in the study without their knowledge and consent (e.g. through internet-mediated research, or via covert observation of people in public places)?		X	
iiii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited? *(Answer 'yes' to this question only if the involvement of a gatekeeper in your study might raise issues of whether participants' involvement is truly voluntary or of whether the gatekeeper might influence potential participants in some other way.)*		X	
9. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 7)*		X	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		X	
iii	Does the proposed research relate to the provision of social or human services?		X	
10. Financial Incentives				

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants that might have an impact on the objectivity of the research?		X	
11. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		X	
12. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		X	
ii	Is there ambiguity about whether the information/data you are collecting is considered to be public?		X	
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	
iv	Will the research involve the use of visual/vocal methods that potentially pose an issue regarding confidentiality and anonymity?		X	
13. Legal requirements				
	Is there any reason why the research will NOT comply with the requirements of current data protection legislation? *(See Note 8)*		X	
14. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project? Or is there any potential for misuse of the findings?		X	
15. Risk to researchers				
	Does your research pose any risks to your physical or psychological wellbeing, or that of others working with you?		X	
16. Sensitive research materials				
	Will the research involve accessing security-sensitive material, such as material related to terrorism or violent extremism of any kind? (See Note 9)		X	

Please continue to Part II

PART II: LOW RISK, DEPARTMENTAL/CENTRE/INSTITUTE CERTIFICATION AND/OR NEXT STEPS

Please note that there are certain circumstances where Departmental-certification of ethics review is not appropriate. Please see Note 10.

A If, after careful consideration, you have answered **No** to all the questions, you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You can select **A** in the **Low risk, Departmental/Centre/Institute Certification Section** below, sign as appropriate and submit the form to the appropriate approver in your Department, Centre or Institute. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 8-16 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may select **B** in the Low risk/Departmental/Centre/Institute certification Section below, sign as appropriate and submit the form to the appropriate approver in your Department, Centre or Institute. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 7 that your research will be subject to review by an external (non-LSE) ethics committee, please select **C** below and send the Checklist (questions 1-7) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate external body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

D If Departmental/Centre/Institute certification is not appropriate you should complete the questionnaire in Part III below, the '**Refer to Research Ethics Committee Section'** at the end of the form, and then submit the form to research.ethics@lse.ac.uk

LOW RISK, DEPARTMENTAL/CENTRE /INSTITUTE CERTIFICATION

Select A, B or C *(delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research, or

B that adequate safeguards in relation to such issues can and will be put in place, or

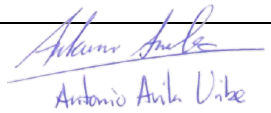
C that the research will be subject to an external ethics review

Please complete the box below and sign the relevant section

A

i) Summary of any ethical issues identified and safeguards to be taken

None, it is public aggregated data of economic outputs and conditions.

ii) Details of relevant experience or training in this area			
Low risk/Departmental / Centre / Institute Certifications should be approved as follows: • MSc (or undergraduate) student review forms should be approved/signed by the academic supervisor. (PhD students cannot approve ethics review forms); • PhD student review forms should be approved/signed by the supervisor • Research staff who are not PIs should have their review forms approved/signed by the PI; • Faculty and any research staff who are PIs on grants should have their review forms counter-signed by a designated research ethics champion in their Department / Centre or Institute, for example its research director			
Signature of researcher (whether student or staff):		Date:	04/02/2020
Approved by (name)			
Approved by (signature)*:		Date:	
*By signing here the approver confirms that to the best of their understanding any ethical issues have been adequately addressed in the research design, and the researcher has been made aware of her/his responsibilities for the ethical conduct of her/his research. If in doubt, please refer to your departmental ethics champion, or to the Research Governance Manager, research.ethics@lse.ac.uk			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

17. Research aims

Please provide brief (no more than approx.500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.

18. Informed consent

i.	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (See Note 5)
ii	Will potential participants be asked to give informed consent ***in writing*** and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach your proposed information sheet and consent form.*
iii.	If the research takes place within an online community, explain how informed consent will be obtained? What arrangements are in place for ensuring that participants do not include vulnerable groups or children?
iv.	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?
v	Will potential participants be clearly informed that no adverse consequences will follow a decision not to participate or to withdraw during the study?
vi	What provision has been made to respond to queries and problems raised by participants during the course of the study?

19. Research design and methodology

i	Where the research involves the use of deception (or the withholding of full information about the study), how does the research methodology justify this?
ii	How will data be collected and analysed during the project?
iii	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?

iv	If agencies, communities or individuals may be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?

20. Ethical questions arising from the provision of incentives	
	Are any incentives being offered to participants? If so, please provide details

21. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly or indirectly impacted by the project?
ii	Are there any specific risks to research participants or third parties? If so, please give details
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.

22. Confidentiality	
i.	What arrangements have been made to preserve confidentiality and anonymity for the participants or those potentially affected, and compliance with data protection law?
ii	Have you considered the limits to confidentiality, if, for instance, a participant should disclose information which suggests that they or someone else may be at significant risk of harm?

23. Dissemination	
	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.

24. Risk to researchers	
	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features:	

	(i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research where informed consent will be obtained orally but not in writing; (iii) Research involving any of the following: vulnerable groups; personally intrusive or ethically sensitive topics; groups where permission of a gatekeeper is normally required for initial access to members (where involvement of the gatekeeper might raise issues of whether participants' involvement is truly voluntary); research which would induce undue psychological stress, anxiety or humiliation cause more than minimal pain; (iv) Research involving more than minimal risk of harm to the researcher(s)	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	
Please submit your review form, research proposal and your planned Information Sheet and Consent form to research.ethics@lse.ac.uk for review by the Research Ethics Committee.		

NOTES

1. If the research will be conducted abroad you will need to complete a Notification to Travel form. If you will be travelling to a high risk destination you may need to complete a risk identification form and a risk assessment form. Please see: https://info.lse.ac.uk/staff/divisions/Risk-and-Compliance-Unit/Health-and-Safety/Fieldwork-overseas-travel-and-off-site-activities . Note that if the location or nature of the research presents a high degree of risk, the Research Ethics Committee may check with the Health and Safety team that a risk assessment is underway.

2. If you have not already done so, please complete a Data Management Plan (DMP). We recommend using the templates provided on DMPonline: https://dmponline.dcc.ac.uk/ Guidance on writing a DMP and using DMPonline can be found on the Library webpages at: http://www.lse.ac.uk/Library/Research-support/Research-Data-Management/What-is-a-Data-Management-Plan-and-how-do-I-write-one Unless you have a research funder that is listed, selected the generic DMP option. Please submit your completed DMPs to the Data Librarian on Datalibrary@lse.ac.uk

3. If your research involves participants identified from, or because of, their status as patients of the NHS or other health services of the UK Devolved Administrations, and/or the relatives of such patients then it will most likely fall under the remit of the Health Research Authority; similarly, social care research involving adults children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. There is an easy-to-use tool to help you ascertain whether or not you need HRA approval or not at: http://www.hra-decisiontools.org.uk/ethics/ For further guidance see: http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

4. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be 'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/

5. Please refer to the LSE guidance on Informed Consent (which includes a sample template) here:

http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/infCon.pdf. Note that if you will **not** be obtaining **written** consent then your ethics application will need to be submitted to the Research Ethics Committee for review.

6. Please note that we follow the ESRC definition of vulnerability which is as follows: 'Vulnerability may be defined in different ways and may arise as a result of being in an abusive relationship, vulnerability due to age, potential marginalisation, disability, and due to disadvantageous power relationships within personal and professional roles. Participants may not be conventionally 'vulnerable', but may be in a dependent relationship that means they can feel coerced or pressured into taking part, so extra care is needed to ensure their participation is truly voluntary.' https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/frequently-raised-topics/research-with-potentially-vulnerable-people/
Please also note that as general guidance, research participants under the age of 18 may be vulnerable. If your research will involve children or other potentially vulnerable participants please refer to the LSE Safeguarding policy at:
https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/safPol.pdf
Also, see Note 4 above regarding the Mental Capacity Act.

7. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified. Any research involving deception must be submitted to the LSE Research Ethics Committee for review.

8. Please refer to the School's guidance on Data Protection and research: https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/datProRes.pdf

9. Where staff or students are planning research projects that will entail accessing security-sensitive material, it is important we ensure that the necessary safeguards are in place to protect both the researcher and the School. Even where there are no ethical issues raised by the research (inasmuch that there are no human participants) it is very important that we have a log of any such research so that students or staff do not run the risk of being wrongly accused of accessing such materials for other/non-research reasons. If your research will involve accessing such material please email research.ethics@lse.ac.uk

10. Applications relating to the following kinds of research should always be subject to review by the Research Ethics Committee:
(i) Research involving deception of participants, or that is intentionally conducted without their full and informed consent at the time the study is carried out or when the data are gathered
(ii) Research which involves or may lead to the publication of confidential information
(iii) Research where informed consent will be obtained orally but not in writing
(iv) Research involving any of the following:
- research involving vulnerable groups ;
- research involving sensitive topics ;
- research involving groups where permission of a gatekeeper is normally required for initial access to members (where involvement of the gatekeeper might raise issues of whether participants' involvement is truly voluntary);
- research which would induce undue psychological stress, anxiety or humiliation or cause more than minimal pain.

(v) Research involving more than minimal risk of harm (whether emotional or physical) to the researcher(s)