

Ethical Review Procedures: Level 1

Project Details & Self-assessment

This document is closely modelled on documents used in School of Philosophy, Psychology and Language Sciences provided by Ellen Bard and Cedric MacMartin.

This form is to be filled in and submitted at the same time as the project proposal or the funding application it applies to. The form should be submitted by the Principal Investigator, except in the following cases:

- Post-doctoral fellowships – the proposed postdoc mentor.
- UG, MSc, and PhD research projects – the supervisor.
- Visiting researcher – the staff hosting the visitor.

Please submit the completed form by email to: **infkm+ethics@inf.ed.ac.uk**

This address, with appropriate RT number once issued, should be used for all correspondence (including forms and attached documents). This is essential to ensure proper record keeping. No signature is required if the form is sent from a valid University email address.

Project Details

1 Type Of Project:

- | | | |
|---|--|--|
| <input type="checkbox"/> Research grant proposal | <input type="checkbox"/> UG final year project | <input type="checkbox"/> MSc project |
| <input type="checkbox"/> Post-doctoral fellowship | <input type="checkbox"/> PhD project | <input type="checkbox"/> Research performed by visiting researcher |
| <input type="checkbox"/> Personal research | <input type="checkbox"/> Other: _____ | |

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

3 Does the sponsor/funder require formal prior ethical review? YES / NO

If yes, by what date is a response required ?

4 Is any other institution and/or ethics committee involved? YES / NO

If YES, give details and indicate the status of the application at each other institution or ethics committee (i.e., submitted, approved, deferred, rejected):

5 Title of Project

6 Researchers' names, affiliations, emails

Include student/supervisor, post-doc/mentor, PI, or visitor/host.

7 State which professional organisation guidelines you are using:

☐ School of Informatics research ethics code: <http://www.inf.ed.ac.uk/research/ethics/>

☐ Other ethics code as required by funding body or professional organization:

Title: _____ URL: _____

Self-assessment

Refer to Level 2 form for details on any of the following points.

1. Protection of research participants' confidentiality

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

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

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

2. Data protection and consent

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

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

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

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

Are there any risks of :

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

4. Vulnerable participants

Are any of the participants in the research vulnerable, e.g., children, patients, disabled participants? YES / NO

5. Moral issues and researcher/institutional conflicts of interest

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

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

YES / NO

6. Bringing the University into disrepute

Is there any aspect of the proposed research which might bring the University into disrepute? For example, could any aspect of the research be considered controversial or prejudiced?

YES / NO

7. Use of animals

Does the research involve animals?

YES / NO

8. Developing countries

Does the research involve developing countries?

YES / NO

9. Dual use

Is the research classified or does it have specific adversarial military applications? YES / NO

10. Terrorist or extremist groups

Does your research concern groups which may be construed as terrorist or extremist? YES / NO

Can you stop now?

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

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

If any answer is YES, please complete the relevant section in the Level 2 form below.