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| **College of Physical Sciences**  **Ethics Review and Approval Form** |  |

Please complete the relevant sections of this form if, after filling out the relevant ethical review checklist (Annex B or C), you have identified a potential ethical issue. Please append a summary of the proposed research project and send it to [copsethics@abdn.ac.uk](mailto:copsethics@abdn.ac.uk)

|  |  |
| --- | --- |
| **Name of Applicant:** |  |
| **Name of Principal Investigator or Supervisor** *(where different)***:** |  |
| **Proposed Project Funder:** |  |
| **Application Date:** |  |
| **FOR COLLEGE USE ONLY** | |
| **Sent for Review:** | *Reviewer Date* |
| **Approved/Declined:** | *Signature Date* |

**Please note:**

Research involving NHS staff, patients, facilities and premises is subject to ethical review by the NHS North of Scotland Research Ethics Service (see [www.nhs.grampian.org](http://www.nhs.grampian.org) ). This includes research involving individuals categorised as such, but where a medical condition is not the subject of the research.

Research involving adults who do not have the capacity to consent is subject to NHS ethical review procedures ([www.nhs.grampian.org](http://www.nhs.grampian.org) )

Research involving animal and biological materials is subject to Home Office regulations. Forms and guidance can be obtained from Policy, Planning and Governance Section.

**Section 1: Research projects involving human subjects (not NHS staff or patients)**

*If your research does not involve any human participants or human remains, please proceed straight to question 20***.**

**Recruitment Procedures**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **1** | Does your project involve human subjects?  *This includes use of surveys, questionnaires, on-line surveys and tests, focus groups and workshops where human subjects provide information or data to inform the research* |  |  |
| **2** | Does your project involve human remains?  Does your work conform with these guidelines?  Please refer to: <http://www.historic-scotland.gov.uk/human-remains.pdf> |  |  |
| **3** | Does your project involve persons less than 18 years of age? |  |  |
| **4** | Does your project involve people with learning or communication difficulties? |  |  |
| **5** | Is your project likely to involve people involved in illegal activities? |  |  |
| **6** | Does your project involve people belonging to a vulnerable group, other than those listed above? |  |  |
| **7** | Does your project involve people who are, or are likely to become your clients or clients of the section in which you work? |  |  |
| **8** | Does your project provide for people for whom English is not their first language? |  |  |
| **9** | Does your project require access to personal information about participants from other parties (e.g. teachers, employers) databanks or files? |  |  |
| **10** | Does your project require the recording of audio or video of human subjects, participants or otherwise? |  |  |
| **11** | Do you plan to conceal your own identity during the course of the research? |  |  |

If you have answered ‘**Yes’** to any of the questions listed under Q3-Q11, the project may have ethical implications, and will require review by the College Ethics Board. Please provide further details of your proposed research under Section 7 below.

**Consent Procedures**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **12** | Do you have set procedures that you intend to use for obtaining informed consent from all participants, including parental consent for children? |  |  |
| **13** | Will you tell participants that their participation is voluntary? |  |  |
| **14** | Will you obtain written consent for participation, including for audio and/or video recording? |  |  |
| **15** | Will you tell participants that they may withdraw from the research at any time and for any reason? |  |  |
| **16** | Will you give potential participants a period of time to consider participation? |  |  |
| **17** | Does your research involve deliberately misleading participants? |  |  |

If you have answered ‘**Yes’** to Question 17, the project may have ethical implications and should be considered by the College Ethics Board. Please provide further details of your proposed research under Section 7 below.

**Possible Harm to Participants**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **18** | Is there any realistic risk of any participants experiencing either physical or psychological discomfort or distress? |  |  |
| **19** | Is there any realistic risk of any participants experiencing a detriment to their interests as a result of participation? |  |  |

If you have answered ‘**Yes’** to Questions 18-19, the project may have ethical implications and should be considered by the College Ethics Board and may also be referred to the College of Life Sciences and Medicine Ethics Board for further review. Please provide further details of your proposed research under Section 7 below.

**Section 2: Research involving personal or otherwise sensitive data**

**Data Protection**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **20** | Will any non-anonymised and/or personalised data be generated and/or stored? |  |  |
| **21** | Will you have access to documents containing sensitive[[1]](#footnote-1) data about living individuals or organisations that is not already publically available elsewhere?  If ‘Yes’, will you gain the consent of the individuals concerned? |  |  |

*For further advice on Data Protection, please refer to* [www.abdn.ac.uk/dataprotection](http://www.abdn.ac.uk/dataprotection)

**Section 3: Research involving the natural environment where there is risk of significant harm to the environment**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **22** | Is there a risk of significant disturbance and/or potential for harm to the natural environment as a consequence of the research proposed? |  |  |

If you have answered ‘**Yes’**, please explain how this risk was assessed and how you propose to manage it, under Section 7 “**Any Other Relevant Issues”** below, or by appending further pages.

**Section 4: Research which may have an adverse impact on national security**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **23** | Is there a potential risk to the national security of any country as a consequence of the research proposed? |  |  |

If you have answered ‘**Yes’**, please explain how this risk was assessed and how you propose to manage it, under Section 7 “**Any Other Relevant Issues”** below, or appending further pages. Please indicate the need for confidentiality where appropriate.

**Section 5: Conflict of interest**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **24** | Is there any potential conflict of interest between research funder and researchers or participants and researchers which may potentially affect either the research outcome or the dissemination of research findings? |  |  |

If you answered ‘**Yes’**, please explain the potential conflict of interest and how you propose to manage it, under Section 7 “**Any Other Relevant Issues”** below, or append further pages. Please indicate the need for confidentiality where appropriate.

**Section 6: Collection of genetic resources**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Yes** | **No** |
| **25** | Does the proposed work involve the collection of genetic resources (organisms, microorganisms, DNA, RNA, proteins, small molecules) from signatories to the Convention on Biodiversity/Nagoya Protocol? |  |  |

If you answered ‘**Yes’**, then a relevant agreement must be in place before this can begin. This agreement must provide prior informed consent with mutually agreed terms and the must be in keeping with the Convention on Biodiversity/Nagoya Protocol and be obtained via the national focal point of the provider country. Please explain how you propose to arrange the agreement under Section 7 “**Any Other Relevant Issues”** below, or append further pages. Please indicate the need for confidentiality where appropriate.

**Section 7: Any other relevant issues**

***It is compulsory to complete this section if you have answered “Yes” to questions 3-11, 17, 18 or 19 in Section 1, or to any question in Sections 2 through to 6.***

*This section should include a description of the project, start date and duration of the project, its methods, as well as all relevant information on recruitment, and should give a concise statement of the ethical considerations raised by the project and how you intend to deal with them.*

*For any contractual or intellectual property questions, please contact the business development team in Research & Innovation (j.scott@abdn.ac.uk).*

**Please append a summary of the proposed research project and send your completed application to** [**copsethics@abdn.ac.uk**](mailto:copsethics@abdn.ac.uk)

1. Sensitive data are *inter alia* data that relates to racial or ethnic origin, political opinions, religious beliefs, trade union membership, physical or mental health, sexual life, actual and alleged offences [↑](#footnote-ref-1)