## R(D)SVS and Easter Bush Campus

## Human (Research) Ethical Review Committee (HERC) FORM

## Instructions

## This form is to be completed for all projects using human data as part of the methodology. This includes surveys, interviews, focus groups (even if the subject of these is the respondent’s pets or animals), and also human participants recruited as part of epidemiological or behaviour studies).

## PGT students should prepare this form in conjunction with their supervisor(s) and submit to HERC via the PGT coordinator for their course. Any queries relating to HERC should be asked via the PGT coordinator.

## PGR students should prepare this form in conjunction with their supervisor(s) and submit to [HERC.vets@ed.ac.uk](mailto:HERC.vets@ed.ac.uk).

## Staff should send their completed form to [HERC.vets@ed.ac.uk](mailto:HERC.vets@ed.ac.uk).

## All parts of the form must be completed and failure to do so will result in HERC approval being delayed. For sections that do not apply please put N/A.

## Section 1 Project Information

## Section 2 Personnel Information

## Section 3 Research

## Section 4 Recruitment

## Section 5 Mitigating Risk

## Section 6 Participant Consent

## Section 7 Legal, codes of conduct, and rights of human subjects

## Section 8 Data Management (including Data Protection Impact Assessment requirements)

## Appendix a Terrorism Act

Further information about HERC and research ethics can be found on the R(D)SVS intranet <http://edin.ac/2s8kwRU>, and the non-credit Research Methods and Statistics course (available to all staff and students at R(D)SVS).

**Checklist**

Please indicate what supporting documents you are including along with this HERC submission form.

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| --- | --- | --- |
| **Relates to question(s) on the HERC form** | **Additional documentation** | **Included Y/N** |
| 3C | Measures to be used (e.g. questionnaires, surveys, interview/focus group topic guides/schedules/example questions, as appropriate). | Y |
| 3C | URLs of any videos being used/viewed by participants e.g. QBA welfare projects. | N |
| Section 4 | Approach letters to ‘gatekeeper’ organisations e.g. for using data from an organisations’ database. | N |
| Section 4 | Recruitment documents (e.g. recruitment email, posters, flyers or advertisements). | N |
| 6I | Information sheet | N |
| Section 6 and 8 | Consent form/consent statement (this will be page 1 of a survey or an independent document for other activities). | N |
| Section 6 | Copy of consent form, if data was collected as part of another project. | Y |
| Section 6 | Evidence of any other approvals or permissions e.g. permission/consent received from administrators to post on social media pages (print screen of permission is suffice). | N |
|  | Appendices (where applicable) | N |

**Section 1 - Project Information**

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| **Title of research project** | An econometric estimation of the influence of extension and social networks on technology knowledge and uptake amongst Kenyan dairy farmers.[[1]](#footnote-1) |
| **N.B. The dates relate to data collection/point of contact with humans, rather than the start/end of the project.** | |
| **Start Date** (DD/MM/YYYY) | 21/02/2022 |
| **End Date** (DD/MM/YYYY) | 30/03/2022 |

**Section 2 - Personnel Information**

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| --- | --- | --- | --- |
|  | | Y/N | |
|  | | Staff | Student |
| Name of applicant: Xandru Gorg Gigi Najzu Anglu Cassar | |  | X |
| Matriculation number (if a student): | S1977313 | | |

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| --- | --- | --- | --- |
|  | **Y/N** |  | **Y/N** |
| SRC project | N | Taught Masters | N |
| Masters by research | N | PhD | N |
| Other (give details): | Undergraduate dissertation | | |

List **all** study personnel and their contact details (indicate if supervisors).

* **State which UoE/SRUC staff member is taking overall responsibility** for the conduct of this research and is the guarantor of the accuracy of this application. Please provide the title, position, and email details for this individual. This individual cannot be a student and must be an academic member of staff.

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| --- | --- | --- | --- |
|  |  |  | **Y/N** |
| Name | Email | Position | Applicant guarantor |
| Andrew Barnes | [andrew.barnes@sruc.ac.uk](mailto:andrew.barnes@sruc.ac.uk) | Head of Department – SRUC Course organiser/Lecturer – GAAFS | Y |
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**Section 3 - Research**

1. Research Question, Research aims, and summary (500 words max)

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| Research question: What is the influence of social networks and extension services on technology uptake? |
| Research aims and summary:  Aims:   * To determine a succinct model to capture the how technology knowledge and uptake in a farmer’s network influence that farmer’s likelihood to know about or adopt a technology, based on existing models. * To identify how the impact of different forms of extension and social networks on knowledge/uptake of technology varies with farmer, household, and network traits. * To evaluate how the interaction of different forms of extension affects technology knowledge/uptake. * To identify traits linked with farmers being less likely to benefit from diffusion through networks. * Based on findings, to draw insights on how to direct extension resources to optimise efficiency and equity.   This research, undertaken as my undergraduate dissertation, will draw on individual farmer, household and village traits, as well as social network data and information on farmers’ exposure and interaction with different sources of information/extension services, to evaluate the influence of different factors on the likelihood of technology uptake amongst dairy farmers in Kenya. The data was collected during the period above by Rosanna Morrison, however I was involved in the data collection and analysis process, having also travelled to Kenya with Rosanna earlier this year. The data I will be working on has been anonymised, in line with Morrison’s HERC form.  The motivation of the research is threefold. Firstly, questions surrounding the effectiveness of public extension systems and pressures to reduce costs – particularly at present due to high inflation and interest rates – have spurred a shift towards cheaper network-driven methods of diffusion such as farmer-to-farmer extension[[2]](#footnote-2). Studying how network effects and extension services interact to influence uptake is therefore valuable in informing extension systems that combine the two in a matter which is equitable, effective, and efficient. Secondly, the need for effective knowledge and technology dissemination in Sub-Saharan Africa (SSA) is higher than ever. In addition to stagnant productivity growth (Fuglie and Wang, 2012, pp.4-5) and climate change (IPCC, 2022), disruption of input and feedstuff supplies due to Russian aggression in Ukraine (Hatab, 2022), and droughts in the East of the continent (Button, 2022; Toreni et al., 2022) are disrupting African agri-food systems. Effective extension delivery will be critical in limiting the poverty, food insecurity, and instability these crises are causing. Thirdly, given my involvement in the data collection process, I feel a lot more able to draw meaningful inferences given my familiarity with the context within which data was collected.  For this research, I will be constructing a model, incorporating variables for farmer and household traits, as well as exposure to different forms of extension, and the influence of social networks, with the aim of econometrically analysing the influence of each on technology knowledge or uptake. The technologies here considered are artificial insemination, vaccination, improved fodder, and crossbreeding.  The influence of social networks, also referred to as network effects, mentioned above is a measure derived from social network data collected by Morrison, which was collected via a snowball sampling method. |

1. **Details of pilot studies and validation studies** (e.g. questionnaires)

Where applicable all questionnaires should be piloted prior to submission to the HERC Committee. This should be carried out with volunteers, who are colleagues or friends – not the public. **If you wish to pilot with the public or potential research participants, HERC approval should be sought for the pilot.**

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| As per Morrison,  “The intention is to formally pilot the survey when the enumerators are being trained. This will occur a week or two before data collection begins. During the pilot, enumerators will be asked to carry out the survey on each other / other volunteers who work in ILRI (the Kenyan partner who the research is being carried out with). Any issues with the wording of questions, length of the pilot or the answers to questions will be addressed during this period.  As the data collection will occur in Kenya, and will be carried out by enumerators, it was considered reasonable to pilot the survey in country with those who will be administering it.  To minimise any changes that will have to be made after the pilot study, the survey has been reviewed by supervisors in both Edinburgh and Kenya.”  This procedure was followed. |

1. **Methods/research protocol**

Please provide details of the proposed methods including the name of any tools used (e.g. **Jisc Online Survey (formerly Bristol Online Surveys – BoS) for surveys).** Please include copies of any questionnaires that are being used as an attachment or appendix. If the questionnaire is not yet completed HERC can provide approval subject to seeing it at a later date. However, if this is needed for a **grant application**, please acknowledge this below and this will be taken into consideration in the review. If checklists are being used in interviews, please provide them. Include details of all demographic details that will be recorded about subjects and any other information that might be considered highly personal. Expand this section as necessary.

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| As per Morrison:  “**Survey**  The data collection will comprise of a survey administered by enumerators on electronic tablets. The survey contains mostly closed questions with open questions used on occasion for participants to expand on previous answers. The survey has been created in XLS forms format and will be uploaded onto an Enketo server owned by ILRI. Enketo is a web application that creates the survey interface and stores the results. The Enketo server is secure and encrypted and can only be accessed by those directly involved in the project once they are given permission by the head of the project.  **Personal Variables**  Participants will be asked for their name, age, gender and number of dependents that they have alongside some information on their current dairy farming income. They will also be asked about any religious groups or communities that they are members of.  **Network Variables**  In each survey, the participant being surveyed will be treated as the ‘ego’ (the centre of their own network) and their connections ‘alters’ (those connected to the centre). There will be two types of alters; other farmers and groups e.g a certain community-based organisation. This allows links to be assumed between participants who may not list each other as direct alters but are members of the same groups.  The survey will use a name generator question which are commonly used in SNA (Bidart & Charbonneau, 2012). A name generator question ‘identifies which [alters] will be elicited within a study, based on a specified relationship type’ (Adams, et al., 2019, p. 7). The name generator question used in this study will therefore ask participants to name other farmers from who they get information regarding dairy livestock farming.  Questions related to what groups farmers of members of will ask whether they are a member of any religious group or organisations.  **Technology variables**  The three most common types of dairy technologies that are covered in existing literature are fodder, animal health and breeding/A.I (Kebebe, et al., 2017) (Mekonnen, et al., 2010) (Staal, et al., 2002). These three technology groups will be the focus of the survey.  Awareness and use of each technology will be treated as binary yes/no variables with some follow-up questions regarding decisions to adopt or not adopt also being included. If the participant is aware of the benefits of a certain technology, they are asked to list the benefits they know. This will confirm whether their ‘awareness’ is correct, but also allows information pathways to be traced in more detail. For example, if certain closely connected groups are aware of different benefits from other groups.  **Sampling**  Data collection will be carried out in four different locations in Kenya. This will provide information on four separate farmers networks. The locations will all be in Western Kenya and will be selected to cover a range of different cultural and political contexts which can then be compared. The exact locations will not be decided until closer to the data collection date as they will be selected based on where ILRI, the Kenyan research partner, has current or recent projects and connections.  At each location, an initial sample of 10 participants will be identified through formal farmer groups such as cooperatives. The initial 10 participants will be approached to complete the survey and at the end of the survey will be asked to name 3 farmers who they talk to about dairy farming. This is critical to understanding the influence of peers and the social networks of the farmers. Through a method of snowball sampling, these 3 farmers will then be approached to complete the survey. There will be two rounds of snowball sampling in total, resulting in a maximum of 130 participants.  Any participant that is surveyed must:  - Be over 18[[3]](#footnote-3)  - Participate in some form of dairy livestock farming  - Be able to provide informed consent  These questions will be included at the start of the survey to ensure the criteria are met.  The networks being studied are unbounded, meaning they do not have a set membership or number of members (Digital Promise, 2018). As the population has no sampling frame, it is common in SNA to use methods of snowball sampling to uncover the population. It is expected that each of the four networks will differ in size and density. Based on previous data collected by ILRI (2020), the average village size is around 175 households, with 155 of the households participating in farming activities. Accommodating for up to 130 participants should therefore allow capacity for broad and dispersed networks to be well documented.  Data collection can end if a minimum of 40 participants have been surveyed and all the individuals being named in the name generator question have already been surveyed, are not willing to be surveyed or are unreachable. Essentially there will be no new participants available to survey. If the allocated time at that location ends before all listed farmers are surveyed, the data collection will end. Every member of the network does not need to be surveyed if time pressure prevents it.  If less than 40 participants have been surveyed and there are no new participants available to survey, the enumerators will be instructed to go back to the initial farmer group and identify 5 more participants. Two rounds of snowball sampling will then occur.  In a study on the spread of plant health information between farmers across 3 locations in Zambia, 186 people were surveyed via snowball sampling (Danielsen, et al. 2020). This is an average of 62 per network. A study on Nakuru County in Kenya used snowball sampling to identify farmers in the region, across two networks the average sample size was 104 (Ogeto, et al. 2012). This demonstrates the potential differences in size and scale of farmer networks. It also provides support for the limits of the network size to be between 40 and 130 as these appear to be sensible bounds based on previous research.  The data will be collected by trained enumerators who will travel to the separate locations to carry out the surveys. “ |

**Section 4 - Recruitment**

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| --- | --- | --- | --- | --- | --- | --- |
| A | How many participants do you hope to include in the research | | | 260 participated | | |
| B | Who are the participants you hope to recruit e.g. students, members of the public? | | Small-holder farmers located across four locations in Western Kenya | | | |
| C | What criteria, if any, will be used in deciding on the inclusion and exclusion of participants in the study? | | Any participant that is surveyed must:   * Be over 18 * Participate or have recently participated in some form of dairy livestock farming * Be able to provide informed consent | | | |
| **N.B.** Please note if you are recruiting the following type of participant, this is how you are to contact them:   * **Undergraduates or staff:** this requires approval via HERC. Please email [herc.vets@ed.ac.uk](mailto:herc.vets@ed.ac.uk) * **Postgraduates:** this needs to be in consultation with the PGT Coordinator e.g. including if you want agreement to disseminate via the programme social media or the programme Base course, | | | | | | |
| D | **Describe how subjects will be recruited**. Please provide copies of any advertising material, posters, emails etc. If slides are to be used, please provide copies (attach as necessary). | | As per Morrison:  “Subjects will be initially recruited from four different farmer groups in Western Kenya. At a group meeting, members will be asked if they are willing to take part in a survey and at each location, an initial sample of 10 willing participants will be surveyed.  At the end of the survey participants will be asked to name 3 farmers who they talk to about dairy farming. This is critical to understanding the influence of peers and the social networks of the farmers. Through a method of snowball sampling, these 3 farmers will then be approached to complete the survey. There will be two rounds of snowball sampling in total, resulting in a maximum of 130 participants per network.”  Participants were asked to mention 4 farmers, but many mentioned less. | | | |
| E | **Where will you be recruiting participants from?** Give details of any organisations or groups through which you will recruit participants. Please **provide evidence that these organisations or groups have been approached and agreed to your recruiting through them** (this can be an email exchange or letter). You must also check whether they have any specific requirements for how you can use their information or contact their members and/or if they have their own ethical approval processes that you need to adhere to in addition to the UoE. | | As per Morrison: “Four farmer groups in separate locations across Western Kenya will be selected. The exact farmer groups will be chosen nearer to the time of data collection as it is dependent on what ILRI projects are working in each area.  It is intended that ILRI will approach the leaders of the farmer groups selected and ask whether it would be possible to introduce the research and ask for initial participants at a group meeting.” | | | |
|  |  | | | | Yes | No |
| F | Are you recruiting via social media? | | | |  | x |
| G | If yes, please provide details e.g. which platforms and whether permission has been required (please provide evidence of permissions along with your HERC application e.g. screen shot of the email) |  | | | | |

**Section 5 - Mitigating risk**

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| --- | --- | --- | --- | --- | --- |
| **Potential harm, discomfort or stress for living human subjects** | | | yes | no | N/A |
| A | Is there significant foreseeable potential for psychological harm or stress for those involved in your research (including the research team)? | |  | X |  |
| B | Is there significant foreseeable potential for physical harm or discomfort for those involved in your research (including the research team)? | |  | X |  |
| C | Is there significant foreseeable potential for violation of cultural or social norms/practices? | |  | X |  |
| D | Is there significant foreseeable potential for conflict or discomfort for any humans your research will impact on? | |  | X |  |
| E | If YES to any of the above, explain and describe the measures that will be used to protect and/or inform participants. |  | | | |

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| **Are any of the intended participants likely to be** | | yes | no |
| 1 | Under 16 years of age? |  | X |
| 2 | Children in the care of a Local Authority? |  | X |
| 3 | Known to have special educational needs, physically or mentally ill? |  | X |
| 4 | Adults lacking capacity? |  | X |
| 5 | Vulnerable in other ways |  | X |
| 6 | Members of a vulnerable or stigmatized minority? |  | X |
| 7 | Unlikely to be proficient in English? | X |  |
| 8 | In a client or professional relationship with the researchers? |  | X |
| 9 | In a student-teacher relationship with the researchers? |  | X |
| 10 | In any other dependent relationship with the researchers? |  | X |
| 11 | Have difficulty in reading and/or comprehending any printed material distributed as part of the study? | x |  |
|  |  |  |  |
| If YES to any of the above, explain and describe the measures that will be used to protect and/or inform participants.  Field enumerators conducted the surveys in the field. They were all fluent in English, and Swahili, with some knowledge local tribal language in cases. These enumerators were trained to ensure they understand the purpose of each question in the survey and what information is wanted from the answer. They were therefore able to communicate the questions accurately to participants, translating as necessary.  As per Morrison:  “As some participants may not be literate, the entire survey including consent process will be carried out orally. Enumerators will be instructed to repeat questions / consent readings as many times as required by the participants to ensure everything is clearly communicated.” | | | |

**Section 6 - Participant Consent**

**Informed consent is where research participants can make an informed, educated decision, based on the information provided to them, as to whether or not they wish to participate in the research.**

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| --- | --- | --- | --- | --- | --- |
|  | | | | Yes | No |
| A | Do you think there is a possibility that a reasonable person might judge that participants may feel pressured into taking part? | | |  | X |
| B | Is it clear that a participant’s decision whether to take part or not is private (that is that other participants cannot work out whether another participant has declined to volunteer)? | | |  | X |
| C | If the answer to the above question is no, please justify what you propose to mitigate this situation. | | As per Morrison: “As it uses a method of snowballing sampling, in which participants name other potential participants, there is a chance that participants may discuss who they named. To mitigate this risk, it is made clear to the participants that the individuals they name **may** be approached to be surveyed and will not definitely approached to be surveyed. This means participants will not be able to determine if someone was approached and chose not to take part, or whether they were not approached. Any names of individuals who are provided will be kept confidentially and if those individuals do not agree to participant in the research, their names will be pseudonymised with ID’s as soon as data collection is over.” | | |
| D | Will participants receive any financial or other material benefits because of participation? (please note monetary incentives are generally discouraged) | | |  | X |
| E | If YES, what benefits will be offered to participants and why is this essential? |  | | | |

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|  |  | | | Yes | No |
| F | Will the research require the collection of personal or identifiable information e.g. name, email address, IP address (from survey data collection) | | | X |  |
| G | Will the research require the collection of personal information from e.g. universities, schools, employers, or other agencies about individuals without their direct consent? | | |  | X |
| H | If yes, please provide further information | |  | | |
| I | For projects where participants are being directly recruited. Is there a copy of the **information sheet and consent form** or **consent statement** (if an online questionnaire) attached to your HERC submission | | | X |  |
| J | Are you using deception as part of your research project? | | |  | X |
| K | If yes, please provide further information |  | | | |
| L | If informed consent is not considered necessary (in surveys, interviews, focus groups or any other means for collecting data), please explain why you believe this approach is appropriate to your study |  | | | |

**Section 7 - Legal, codes of conduct, and rights of human subjects**

Further information from the University of Edinburgh about:

* Research and data protection: <http://edin.ac/2s8LZ5W>
* Research integrity <http://edin.ac/2trntkj>

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | | | yes | no |
| A | In relation to the country in which you are **collecting the data** - Are you collecting data relating to activities that are illegal? | | |  | X |
| B | In relation to the country where you are **storing the data** - Are you collecting data relating to activities that are illegal? | | |  | X |
| C | In relation to the country in which you are **collecting the data** - Are you collecting data relating to activities that may call into question a subject’s fitness to practice; or information that might call into question the fitness to practice of others? | | |  | X |
| D | In relation to the country where you are **storing the data -** Are you collecting data relating to activities that may call into question a subject’s fitness to practice; or information that might call into question the fitness to practice of others? | | |  | x |
| E | If the answer is ‘yes’ to question A-D, we would expect a detailed justification, including details of how you intend to deal with these issues. Based on previous examples of such research we would likely need to take expert legal advice from the UoE. Review of such projects is likely to take longer than one month. We would expect that you have discussed these issues with senior academic staff prior to submission. | | | | |
| F | How will you deal with disclosures of harm to self, others, or animals by participants? Remember as a researcher you must stay within the law of whatever country you are working in. Think carefully about when you would and should share such disclosures with relevant authorities; again as above further legal advice may be necessary on this issue.  As per Morrison: “It is highly unlikely that this situation would materialize based on the nature of this research and the survey questions. The enumerators carrying out the surveys will have been trained to pick up on any situations where immediate harm to self, others or animals is disclosed. They will then report this to the project lead, who will discuss with ILRI (the Kenyan partner) and potentially with lawyers, to determine the best course of action.”  No such instances were encountered during data collection. | | | | |
| G | Are there any conflicts of interest between the researchers, funding bodies, the institution, and/or research subjects? | | |  | X |
| H | Will participants be informed of your responsibilities to report any evidence of abuse or criminal activity? (if yes, this should be included on the consent form) | | |  | X |
| I | If the research is to take place outside the UK, will the research be, or has the research been, reviewed in the host country? | | | X |  |
| J | Does your research concern groups which may be construed as terrorist or extremist?\*  If your answer to this question is “Yes”, please complete and submit with this completed questionnaire the supplementary form available as an **appendix** to this.  \*The University is required to comply with the duty to prevent people being drawn into terrorism (“the Prevent duty”. Section 26 (1) of the Counter-Terrorism and Security Act 2015 imposes a duty on ‘specified authorities’ to have due regard to the need to prevent people from being drawn into terrorism. Government guidance¹ for HEIs on implementation of this duty includes the statement that “We (the UK government) would expect to see clear policies and procedures for students and staff working on sensitive or extremism-related research.” (para 25) | | |  | X |
| K | Does your research involve a **conflict of interest** as outlined below?  The University has a draft ‘Policy on the Conflict of Interest’ (copies available from the Research Support Office). Regarding research the draft states that a conflict of interest would arise in cases where an employee of the University might be  “compromising research objectivity or independence in return for financial or non-financial benefit for him/herself or for a relative or friend.”  The draft policy also states that the responsibility for avoiding a conflict of interest, in the first instance, lies with the individual, but that potential conflicts of interest should always be disclosed, normally to the line manager or Head of Department. Failure to disclose a conflict of interest or to cease involvement until the conflict has been resolved may result in disciplinary action and in serious cases could result in dismissal. | | |  | X |
| L | If yes, please provide details: |  | | | |
| |  |  |  |  | | --- | --- | --- | --- | | **Section 8 - Data Management (including Data Protection Impact Assessment requirements for UK GDPR)**  **Rights of Humans Subjects**  The **UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018** protect the rights of individuals when you process personal data about them, including obtaining, holding and destroying it. | | | | | For any **identifiable data**,which is data that can be used to identify an individual, such as name, email address, demographic information, IP address, medical details etc. (whether in paper documents, data files or recordings): | | | | |  | | Yes | No | | A | Is the research compliant with the **UK** **General Data Protection** Regulation (**UK** **GDPR**) and the **Data Protection Act 2018** protect the rights of individuals when you process personal data about them, including obtaining, holding and destroying it; and the University of Edinburgh Data Protection procedures? (please see <http://www.ed.ac.uk/records-management/data-protection>) | X |  | | B | Will any of the personal data be processed under a duty of confidentiality? (which means protecting data subjects’ right to privacy) If yes, how is that confidentiality being maintained? |  | X | | C | Will you ensure anonymity of individuals? | X |  | | D | Are the research participants capable of understanding their rights and providing informed consent? | X |  | | E | Will participants be informed about your obligations under **UK** **General Data Protection** Regulation (**UK** **GDPR**) and the **Data Protection Act 2018** <https://www.ed.ac.uk/records-management/policy/data-protection> |  | X | | F | Does the project involve the use of existing personal data for new purposes? E.g. a supervisor or colleague provides you with an existing data set? | X |  | | G | If yes (question F), did the previous consent state that the data could be used in future research projects? | X, both in section 8S of Morrison’s HERC form, and in the consent form (attached) as I was a “researcher...in the project”, and will be working with anonymised data. |  | | H | On the consent form, are individuals being made aware of how their personal data will be used? | X |  | | I | Will you collect or use National Health Service (NHS) or human medical data?  Please note: If you are collecting or using NHS data you may require sponsorship and/or Caldicott Approval.  Please refer to the ACCORD (Academic and Clinical Central Office for Research and Development) website for more information. |  | X | | J | Will you be collecting information which is defined as 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 you are using collecting information which is defined as a ‘special category’, then you must ensure that the UK GDPR Article 9(2)(j) legal basis you have for collecting this data is “necessary for research purposes”. Please ensure that there is a clear rationale for collecting this ‘special category’ data.** |  | X | | K | If you answered ‘Yes’ above (J), please answer this question:  Explain what safeguards e.g. technical or organisational you have in place, such as:   * Compliance with the minimisation principle: provide assurances you are only collecting the absolute minimum of personal data required for your purpose (not ‘just in case’ you need it) * How will you anonymise data? * If you cannot anonymise, how you will pseudonymise i.e. using ‘participant numbers/ID’s’? | | | | L | **Student Projects:**  How long is the raw data being kept for?  I will store under anonymised form, being password protected, until September 2023. This allows for the deadline of submission of the undergraduate dissertation, as well as any potential subsequent work on possible papers for publication. | | | | M | **Staff projects:**  Research data can be stored indefinitely as long as it is stored securely (however, where possible, it is recommend that there is a time-limit).  For storage guidance please refer to LINK TO DATAVAULT/UNIVERITY STORAGE INFORMATION  How long is the raw data being kept for? | | | |  |  | Yes | No | | N | **This question is applicable to UoE/SRUC staff only**  Have you completed the mandatory data protection training on the self-enrolment page on Learn? (Please note, you are required to complete this training - <https://www.ed.ac.uk/records-management/training/data-protection>) |  |  |   **Section 8 (O) – Risk Table**  It is expected that you will have consulted with collaborators to enable you to answer the following questions:  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.  **You must consider all risks and add these to the table.**   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | Risk number | Risk |  | **Likelihood of risk manifesting** | | | **Severity of harm** | | | | N/A | Low | **Medium** | **High** | Low | **Medium** | **High** | | 1 | Identifiable due to data linkage |  | x | □ | □ | X | □ | □ | | 2 | Identifiable due to low participant numbers |  | X | □ | □ | X | □ | □ | | 3 | Identifiable due to geographical location |  | X | □ | □ | X | □ | □ | | 4 | Identifiable due to transfer of data |  | X | □ | □ | X | □ | □ | | 5 | Identifiable due to access of data |  | X | □ | □ | X | □ | □ | | 6 | *Using an external transcription company* | X | □ | □ | □ | □ | □ | □ | | 7 | Names being provided of individuals who do not wish to participate |  | □ | X | □ | X | □ | □ | | 8 | *Other risk* |  | □ | □ | □ | □ | □ | □ | | | | | | |
|  | | | | Yes | No |
| P | Please identify measures you could take to reduce or eliminate risks identified as **medium and high (likelihood) and also medium and high (severity).**  As per Morrison:  “If a name is provided in the name generator question of an individual who later opts to not participate in the data collection, their name will be pseudonymised with ID’s as soon as that round of data collection is completed. This means their name, nor none of their details, are stored anywhere after data collection is over.”  This has been fully addressed as personal data is entirely anonymised.  No additional risks stem compared to Morrison’s research as the data use and method are practically identical. | | | | |
|  | | | | | |
|  | | | | Yes | No |
| Q | Does your research include the use of video or audio recordings | | |  | X |
| Q-1 | If yes are codes used for participants to anonymise them? How is the issue of withdrawal of consent in group videos being dealt with? | | | | |
|  | | | Yes | No | N/A |
| R | Will identifying data be kept secure (paper, recordings, electronic data)? | | X |  |  |
| R-1 | Describe how identifying data is being kept secure, and access controlled (including paper, recordings, electronic data, and surveys)? This includes technical and organisational security measures that will be in place to prevent any unauthorised or unlawful processing of the data.  Personal details in the data used are all anonymised. Data is stored in a password protected laptop. A file containing the code used for data anonymisation is stored in separate, password secure location. | | | | |
| S | Will the anonymous datasets be made available to other researchers in a form that is usable to them? | | |  | X |
| T | Will information containing **personal, identifiable data** be transferred to, shared with, supported by, or otherwise available to third parties outside the University? | | |  | X, though this was as part of Morrisons original research. |
| U | If yes (T), Please explain why this is necessary and how the transfer of the information will be made secure. Since the European Court of Justice decision in **July 2020**, a special risk assessment is required for transfer of personal data in particular to the **US** but also to **other non-EEA countries**. Please assess how likely this is and please obtain guidance from the HERC [herc.vets@ed.ac.uk](mailto:herc.vets@ed.ac.uk) | | | | |
| U-1 | If yes (S), what if any conditions will you attach for its use? | | | | |
| V | Other than the use by third parties, will the data be used, accessed or stored away from University premises, University servers and storage? | | | X, personal laptop device |  |
| W | 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.  All data will be stored on password protected personal device, which will not be left unattended, or with data visible, in any public locations or locations where other may view or access the data. | | | | |
| X | Are you required to inform participants of the results of the study? | | |  | X, but was Yes for Morrison’s original study |
| X-1 | If yes, how will this be done and who is taking responsibility for this? | | | | |

**Appendix A (ONLY COMPLETE, if you answered ‘yes’ to Section 7J)**

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

|  |  |  |  |
| --- | --- | --- | --- |
|  | | Yes | No |
| A | Does your research involve the storage on a computer of any such records, statements or other documents? |  |  |
| B | Might your research involve the electronic transmission (e.g. as an email attachment) of such records or statements? |  |  |
| C | If you answered ‘Yes’ to questions A or B, you are advised to store the relevant records or statements electronically on a secure university file store. The same applies to paper documents with the same sort of content. These should be scanned and uploaded. Access to this file store will be protected by a password unique to you and your School Research Ethics Officer. Please indicate that you agree to store all documents relevant to questions 1 and 2 on that file store: |  |  |
| D | Please indicate that you agree not to transmit electronically to any third party documents in the file store by checking the Yes box. |  |  |
| E | Will your research involve visits to websites that might be associated with extreme, or terrorist, organisations? |  |  |
| F | If you answer ‘Yes’ to question E, 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 checking the Yes box. |  |  |
| G | 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 checking the Yes box. |  |  |

1. This research will be based on an anonymised version of the data collected by Rosanna Morrison, who was sent feedback and request for comments on her HERC on the 5th February 2022. Original application and comments attached for reference. Consent forms and survey are also attached, though the latter was subject to minor changes in phraseology and order. [↑](#footnote-ref-1)
2. A model of extension whereby farmers are the agents of knowledge/technology diffusion, informing and training other farmers themselves [↑](#footnote-ref-2)
3. This read 16 in Morrison’s original application, but was later change to 18 in comments to HERC form [↑](#footnote-ref-3)