## 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). | Y |
| Section 6 | Copy of consent form, if data was collected as part of another project. | N |
| 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** | The diffusion of innovations through social networks: A network survey collecting data on the use of agricultural technologies. |
| **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**

|  |  |  |  |
| --- | --- | --- | --- |
|  | | Y/N | |
|  | | Staff | Student |
| Name of applicant: Rosanna Morrison | |  | Y |
| Matriculation number (if a student): | s1463967 | | |

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

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.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  | **Y/N** |
| Name | Email | Position | Applicant guarantor |
| Alan Duncan | [A.Duncan@ed.ac.uk](mailto:A.Duncan@ed.ac.uk) | Professor / PhD supervisor | Y |
| Andrew Barnes | Andrew.Barnes@SRUC.ac.uk | Professor / PhD supervisor |  |
| James Rao | J.Rao@CGIAR.org | Economist |  |
|  |  |  |  |
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**Section 3 - Research**

1. Research aims and summary (500 words max)

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| This research seeks to identify the networks that farmers are members of, both formal and informal, and track how information on agricultural technologies passes through them. The current paradigm of agricultural innovation literature emphasises the need for innovation systems to ‘strengthen… patterns of interaction across the whole range of actors involved in innovation’ (World Bank, 2006). Networks play a crucial role in developing and facilitating these patterns of interactions as they allow for the transfer of knowledge both horizontally from farmer-to-farmer and vertically across heterogeneous groups (Rogers, 2003). Within the existing literature, the role of formal networks has been addressed, with farmer field schools, agricultural cooperatives and innovation platforms being just a few of the networks that gained attention for their role in the creation and dissemination of agricultural technologies (see: Abebaw & Haile, 2013; Palis, 2006). The role of informal networks, such as farmers’ family and friend networks, are given much less attention in the literature (Adolwa, et al., 2017). Despite this, evidence from other disciplines suggests that these informal networks are crucial in the transfer of reliable information and the increased uptake of new technologies (see: Allen, et al., 2007; Link, et al., 2007).  Through snowball sampling and questions on both formal and informal agricultural networks, this research will allow farmers networks to be mapped out. It will show which network members use certain agricultural technologies and where they first heard about, or accessed, the technology from. By doing this, the role of informal networks and farmer-to-farmer communication can be analysed to show their influence on the adoption decisions of farmers. The findings of this study can then be used to inform future strategies and policies that promote the uptake of improved agricultural technologies.  **Research Questions**  **Main Question:**  How does knowledge and use of improved agricultural technologies pass through farmers networks?  **Sub-questions:**  •What formal and informal networks are farmers members of?  •How does knowledge of agricultural technologies spread within and between networks?  •How does the use of agricultural technologies spread within and between networks?  •What information sources are most influential/trusted by farmers?  The research will be carried out with support from ILRI, a Kenyan research institute. |

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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| 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. |

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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| **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 16  - 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 | | | Max. 520 | | |
| B | Who are the participants you hope to recruit e.g. students, members of the public? | | Small-holder farmers located across four different 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 16 * Participate 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). | | 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. | | | |
| 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. | | 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? | | | |  | No |
| 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)? | |  | no |  |
| B | Is there significant foreseeable potential for physical harm or discomfort for those involved in your research (including the research team)? | |  | no |  |
| C | Is there significant foreseeable potential for violation of cultural or social norms/practices? | |  | no |  |
| D | Is there significant foreseeable potential for conflict or discomfort for any humans your research will impact on? | |  | no |  |
| 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? |  | No |
| 2 | Children in the care of a Local Authority? |  | No |
| 3 | Known to have special educational needs, physically or mentally ill? |  | No |
| 4 | Adults lacking capacity? |  | No |
| 5 | Vulnerable in other ways |  | No |
| 6 | Members of a vulnerable or stigmatized minority? |  | No |
| 7 | Unlikely to be proficient in English? | Yes |  |
| 8 | In a client or professional relationship with the researchers? |  | No |
| 9 | In a student-teacher relationship with the researchers? |  | No |
| 10 | In any other dependent relationship with the researchers? |  | No |
| 11 | Have difficulty in reading and/or comprehending any printed material distributed as part of the study? | yes |  |
|  |  |  |  |
| If YES to any of the above, explain and describe the measures that will be used to protect and/or inform participants.  Field enumerators will conduct the surveys in the field and will speak English, Swahili and, where possible, the local tribal language. These enumerators will be trained to ensure they understand the purpose of each question in the survey and what information is wanted from the answer. They will then be able to communicate or translate questions to any participant who does not understand the question in English.  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.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | | | | Yes | No |
| A | Do you think there is a possibility that a reasonable person might judge that participants may feel pressured into taking part? | | |  | No |
| 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)? | | |  | No |
| C | If the answer to the above question is no, please justify what you propose to mitigate this situation. | | 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) | | |  | No |
| E | If YES, what benefits will be offered to participants and why is this essential? |  | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | | | 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) | | | Yes |  |
| 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? | | |  | No |
| 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 | | | Yes |  |
| J | Are you using deception as part of your research project? | | |  | No |
| 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? | | |  | No |
| B | In relation to the country where you are **storing the data** - Are you collecting data relating to activities that are illegal? | | |  | No |
| 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? | | |  | No |
| 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? | | |  | No |
| 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.  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. | | | | |
| G | Are there any conflicts of interest between the researchers, funding bodies, the institution, and/or research subjects? | | |  | No |
| 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) | | |  | No |
| 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? | | | Yes |  |
| 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) | | |  | No |
| 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. | | |  | No |
| L | If yes, please provide details: |  | | | |
| |  |  |  |  | | --- | --- | --- | --- | | **Section 8 - Data Management (including Data Protection Impact Assessment requirements for GDPR)**  **Rights of Humans Subjects** | | | | | 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 General Data Protection Regulation (GDPR) 2016/679 (this has replaced the Data Protection Act,1998) and the University of Edinburgh Data Protection procedures? (please see <http://www.ed.ac.uk/records-management/data-protection>) | Yes |  | | 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? |  | no | | C | Will you ensure anonymity of individuals? | yes |  | | D | Are the research participants capable of understanding their rights and providing informed consent? | Yes |  | | E | Will participants be informed about your obligations under the General Data Protection Regulation (GDPR) 2016/679 (this has replaced the Data Protection Act, 1998)? <https://www.ed.ac.uk/records-management/policy/data-protection> |  | No | | 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? |  | No | | G | If yes (question F), did the previous consent state that the data could be used in future research projects? |  |  | | H | On the consent form, are individuals being made aware of how their personal data will be used? | Yes |  | | 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. |  | No | | 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 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.** | Yes |  | | 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’?   The survey will ask what religious groups the individual is a member of. This is important in determining the influence that religious groups / leaders have over the spread of information. This question is optional, and participants do not have to provide an answer. Only the absolute minimum data on religious groups is being collected which includes the name of the group, so that those who attend the same groups can be identified, and the frequency in which they meet the group to determine the strength of the individual’s connection to the group.  As soon as data collection is over, the names of each participant will be pseudonymised with ID’s so they cannot be traced to a specific individual. The names of the religious groups will also be pseudonymised with IDs. These Pseudonymised ID’s will be used for any data analysis and in any publications.  Any individual who accesses the data in the raw format will be asked to complete a GDPR-compliant data sharing agreement. Participants are also asked for explicit consent for their data to be shared in the oral consent process. | | | | L | **Student Projects:**  How long is the raw data being kept for? (This should generally be time-limited for student projects).  The raw data will be stored until the PhD project is completed in September 2022.The data will be stored in a password protected file. After this time all data will be pseudonymised. | | | | 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>) | Yes |  |   **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 | □ | □ | □ | X | □ | □ | | 7 | Names being provided of individuals who do not wish to participate |  | □ | x | □ | x | □ | □ | | 8 |  |  | □ | □ | □ | □ | □ | □ | | | | | | |
|  | | | | 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).**  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. | | | | |
|  | | | | | |
|  | | | | 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.  The data will be collected electronically and then stored on an Enketo server. Only those working directly on the project will have access to this server and their access will have to be approved by the head of the project. No data will be stored on the tablets that are used to carry out the survey. The Enketo server is encrypted to prevent any data being leaked.  Any individual who accesses the data in the raw format will be asked to complete a GDPR-compliant data sharing agreement. Participants are also asked for explicit consent for their data to be shared in the oral consent process.  Any identifiable data that is downloaded onto personal laptops will only be done so if that laptop has multi-factor authentication security. This will prevent unauthorized individuals accessing or viewing the data. The identifiable data will only be downloaded for data analysis / cleaning / pseudonymising and will be stored in password protected files. | | | | |
| 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 |  |
| 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)  The data collection is being carried out in partnership with a Kenyan NGO called ILRI. ILRI are an integral part of the data collection process and intend to use the findings of the research to inform their future strategies. The raw data that is collected will be uploaded instantly to the encrypted Endeko server. This server will only be accessible by those directly involved in the project, which may include some ILRI employees. ILRI employees will only access the raw data, which includes personal, identifiable data, if it is required as part of the data cleaning process, or if any local Kenyan knowledge is required in understanding some responses. If the data is to be shared with any ILRI employee, each employee will have to directly request access to the server from myself and will only be granted access for a limited time and will have to signa GDPR sharing agreement. The raw data will only be shared with ILRI employees if it is absolutely necessary for understanding or analysing the data and will be shared in a pseudonymised format with no personal or identifiable data included wherever possible | | | | |
| U-1 | If yes (V), what if any conditions will you attach for its use?  Access to the personal, identifiable data will only be granted if it is required for ILRI employees to interpret or provide context on some responses. Access to the personal, identifiable data will only be granted for a limited amount of time via the Endeko server. Those accessing the personal, identifiable data will not be allowed to use it for their own data analysis. Any individual who accesses the data in the raw format will be asked to complete a GDPR-compliant data sharing agreement. | | | | |
| V | Other than the use by third parties, will the data be used, accessed or stored away from University premises, University servers and storage? | | | Yes |  |
| 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.  As the data collection is taking place in Kenya and ILRI (the Kenyan partner) are driving the data collection process, it is most practical to use ILRIs Endeko server that is based in Kenya. The enumerators are familiar with the layout of Endeko surveys and as I will be in Kenya at the time of data collection, it will be easier to access a local server to check and clean the data each evening.  The ILRI Endeko server is encrypted. Only those directly involved in the project will have access to this server which is password protected. Any individual who wants access to the ILRI Endeko server will have to submit a request to me detailing what they want to do with the data and how they will protect it. This will only be accepted if it is absolutely necessary that they view the raw data. | | | | |
| X | Are you required to inform participants of the results of the study? | | |  | Yes |
| X-1 | If yes, how will this be done and who is taking responsibility for this?  Findings from the data analysis will be shared with the heads of the four farmer groups that the initial sample of 10 participants was taken from. Details of the heads of farmer groups will be requested when on the field.  At the start of each survey, it will be made clear that the results of the research will be shared with the farmer groups in this manner and that they can contact the group for information. Initial results will be expected by July and this will be made clear to participants.  The results will be anonymised, with all names and personal data removed. If the data is being shared via email, it will be in a summarised form and will include network maps and information on adoption patterns. If it is not possible to share this data via email, it will be summarised in text form and sent to heads of farmer groups via text.  Any further publications based on the research will be shared by email when relevant, or if email is not possible, a short summary of the publication will be sent by text. | | | | |

**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. |  |  |

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