

## **Appendix 4**

### Ethics application submitted for qualitative interviews

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University of Edinburgh,

School of Health in Social Science

RESEARCH ETHICS COMMITTEE

Self-Audit Checklist for Level I Ethical Review

*The audit is to be conducted by*

- **For funded research:** *The Principal Investigator,*
- **Postdoctoral research fellowships** – *the applicant in collaboration with the proposed mentor.*
- **Postgraduate research** (PhD and Masters by Research) – *the students in collaboration with supervisor.*
- **Taught Masters dissertation work and Undergraduate dissertation/project work:** *the applicant in collaboration with dissertation/project supervisor*

*Note: all members of staff and students should conduct ethical self-audit of their proposed research as part of the proposal process.*

1. IRAS or LOCAL AUTHORITY/SOCIAL WORK ethical review

*Does the project require IRAS review or review by bodies abroad?*

YES/NO

### 2. Protection of research subject confidentiality

*Are there any issues of CONFIDENTIALITY which are not ADEQUATELY HANDLED by normal tenets of academic confidentiality?*

YES/NO

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

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

### 3. Data protection and consent

*Are there any issues of DATA HANDLING and CONSENT which are not ADEQUATELY DEALT WITH and compliant with established procedures?*

YES/NO

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

- (a) Compliance with the University of Edinburgh's Data Protection procedures (see [www.recordsmanagement.ed.ac.uk](http://www.recordsmanagement.ed.ac.uk));
- (b) Respondents giving consent regarding the collection of personal data;
- (c) No special issues arising about confidentiality/informed consent.

#### 4. Moral issues and Researcher/Institutional Conflicts of Interest

*Are there any SPECIAL MORAL ISSUES/CONFLICTS OF INTEREST?*

YES/NO

(a) An example of conflict of interest would be a financial or non-financial benefit for him/herself or for a relative or friend.

(b) Particular moral issues or concerns could arise, for example where the purposes of research are concealed, where respondents are unable to provide informed consent, or where research findings would impinge negatively/differentially upon the interests of participants.

#### 5. Potential physical or psychological harm, discomfort or stress

(a) Is there a SIGNIFICANT FORSEEABLE POTENTIAL FOR PSYCHOLOGICAL HARM OR STRESS for participants?

YES/NO

(b) Is there a SIGNIFICANT FORSEEABLE POTENTIAL FOR PHYSICAL HARM OR DISCOMFORT?

YES/NO

(c) Is there a SIGNIFICANT FORSEEABLE RISK TO THE RESEARCHER?

YES/NO

#### 6. Bringing the University into disrepute

*Is there any aspect of the proposed research which might bring the University into disrepute?*

YES/NO

#### 7. Vulnerable participants

*Are any of the participants or interviewees in the research vulnerable, e.g. children and young people, people who are in custody or care, such as students at school, self help groups, residents of nursing home?*

YES/NO

## 8. Duty to disseminate research findings

Are there issues which will prevent all participants and relevant stakeholders having access to a clear, understandable and accurate summary of the research findings?

YES/NO

### Overall assessment

If all the answers are NO, the self audit has been conducted and confirms the ABSENCE OF REASONABLY FORESEEABLE ETHICAL RISKS. The following text should be emailed to the relevant person, as set out below:

Text: "I confirm that I have carried out the School Ethics self-audit in relation to *[my / name of researcher]* proposed research project *[name of project and funding body]* and that no reasonably foreseeable ethical risks have been identified."

- **Research grants**– the Principal Investigator should send this email to the SHSS Research Ethics Administrator (L.Sheal@ed.ac.uk) it will be kept on file with the application.
- **Postdoctoral research fellowships** – the Mentor should ensure that the Fellow email the SHSS Research Ethics Administrator Office (L.Sheal@ed.ac.uk) where it will be kept on file with the application.
- **Postgraduate research** (PhD and Masters by Research) – there is no need to send the Level I email. The ethical statement should be included in the student's Review reports.
- **Taught Masters dissertation** work and **Undergraduate dissertation/project** work – there is no need to send the level I email. The dissertation/project supervisor should retain the ethical statement with the student's dissertation/project papers.

If one or more answers are YES, risks have been identified and level 2 audit is required. See the School Research Ethics Policy and Procedures webpage for full details.