# Research Ethics Review: Checklist, Statement and Approval

(Note: this checklist and statement is adapted from Appendix A of the ESRC Research Ethics Framework and the University of Sussex, School of Social and Cultural Studies Research Ethics Committee)

This form is used to clarify and approve the approach to research ethics issues in the design and delivery of any research project and in any application for research funding. It comprises four parts:

Project details;

* A checklist to help identify research ethics issues that will need to be addressed;
* A statement as to how the principal investigator proposes to minimize any ethical risks that may arise and how monitoring would best be undertaken; and
* Approval status.

It is a requirement that the completed form be submitted along with the proposal to any Proposal Review process (PRG or similar). The IDS Research Ethics Committee or the funding body may require a full application for ethics approval be submitted prior to the commencement of research. NB. Postgraduate research students are required to make a separate application for ethics approval to the University of Sussex directly; <http://www.sussex.ac.uk/staff/research/governance/apply>

For further guidance on considering issues of research ethics, please refer to the IDS research ethics pages on the [IDS intranet](https://instdevelopmentstudies.sharepoint.com/sites/intranet/directorate/SitePages/Research%20Ethics%20Committee.aspx) and also to the [ESRC Research Ethics Framework](http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/).

The principal investigator (PI) is responsible for exercising appropriate professional judgment in this review. It is also the responsibility of the PI to follow the Institute’s Code of Practice for Research and any relevant academic or professional guidelines in the conduct of the study.Any significant change in the question, design or conduct over the course of the research will necessitate an amendment to the statement and will be subject to the same process of approval as for the original statement.

Any researcher who feels their research undertaking raises significant ethical issues or seeks guidance on how to handle ethics in the given context should complete this form and send it to the Research Ethics Committee (to the administrator, [m.cruickshank@ids.ac.uk](mailto:m.cruickshank@ids.ac.uk)). Proposals submitted for review by a PRG should be accompanied by a completed review form including approval by the relevant persons (sent to the [Development Office](mailto:DevelopmentOffice@ids.ac.uk?subject=Research%20Ethics), DevelopmentOffice@ids.ac.uk).

# IDS RESEARCH ETHICS REVIEW

## Checklist, Statement, Approval Status and Monitoring

### A) Project/Proposal details

1. Project/Proposal Title: Click here to enter text.
2. Name of researcher (applicant): Click here to enter text.
3. Email address: Click here to enter text.
4. Telephone number: Click here to enter text.

### B): Research checklist

The following checklist acts as a guide to you, to help you think through what might be the possible areas of ethics that may need to be addressed.

|  |  |  |
| --- | --- | --- |
| *Please tick the appropriate box*: | **YES** | **NO** |
| 1. Does the study involve participants for whom free and informed consent may not require special attention (children (under 18s), people with learning disabilities, people in prison)? |  |  |
| 2. Will the study require the co-operation of a gatekeeper for access to the groups or individuals to be recruited (students at school, residents of nursing home or prison)? |  |  |
| 3. Will it be necessary for participants to take part in the study without their knowledge and consent at the time (covert observation of people in non-public places)? |  |  |
| 4. Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life, for research participants or researchers? |  |  |
| 5. Could the study induce negative social effects (e.g. public discrimination, social unrest) at any stage in its process? |  |  |
| 6. Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants? |  |  |
| 7. Are drugs, placebos or other substances (food substances, vitamins) to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind? |  |  |
| 8. Will the study involve prolonged or repetitive testing? |  |  |
| 9. Will the study involve recruitment of patients or staff through the UK National Health Service (NHS)? |  |  |

|  |  |
| --- | --- |
| **In my opinion this is a Choose an item. proposal/project**  **(select as appropriate)** | |
| **Signed (Principal Investigator): Click here to enter text.** | **Date: Click here to enter a date.** |

1. **If you have answered ‘no’ to all the questions in Section (b) above, your project is low risk. Please give a statement in section (c) below as to how you will secure informed consent, anonymity, confidentiality and data protection.**
2. **If you have answered ‘yes’ to anyof the questions in Section (b) above, your project is medium or high risk and must be approved by a senior member of IDS (medium risk) or the Research Ethics Committee (high risk). Please give a statement in section (c) below as to how you plan to deal with the ethical issues raised by your research and also how you will secure informed consent, anonymity, confidentiality and data protection. Please also include details of how you will monitor the progress of these approaches and measures and any suggested dates for calling on mentoring support from the research ethics committee.**
3. **If you answered ‘yes’ to question 9, you will alsohave to submit an application to the appropriate external health authority ethics committee.**

**c) Statement of Research Ethics**

Click here to enter text.

Signed (Principal Investigator): Click here to enter text. Date: Click here to enter a date.

**d) Approval**

**For Low risk Projects:** Please approve the form yourself and make sure the form is attached to the project file on CRM.

**For Medium Risk Projects:** Please seek the approval of a senior IDS colleague.

**For High Risk Projects**: Please seek the approval of the Research Ethics Committee by submitting this form to the REC administrator [m.cruickshank@ids.ac.uk](mailto:m.cruickshank@ids.ac.uk)

Approval by Principal Investigator:

Click here to enter text. Date: Click here to enter a date.

Approval by Senior IDS employee:

Click here to enter text. Date: Click here to enter a date.

Approval by Research Ethics Committee:

Click here to enter text. Date: Click here to enter a date.

In the case where the REC is unable to give approval, REC to indicate here the further action that would be required in order to gain approval:

Click here to enter text.

If approval is not given, please indicate the reasons here:

Click here to enter text.

Suggested monitoring dates:

Click here to enter text.