

Faculty of Education Ethics Proforma – PGR Students

Please note that it is your responsibility to follow the University’s Policy on the ethical conduct of research and knowledge transfer and any relevant academic or professional codes of practice and guidelines pertaining to your study. This includes providing appropriate information sheets and consent forms, and ensuring confidentiality in the storage and use of data. **Before completing this proforma, please refer to the University Research and Knowledge Transfer Ethics Policy.**

This checklist should be completed by the student (with the advice of the research supervisor) who is undertaking a research project. The checklist will identify whether ethics release is indicated or an application for ethics approval needs to be submitted. The supervisor is responsible for exercising appropriate professional judgement in this review.

CONFIDENTIAL Section 1

Project title/focus.....

Applicant.....

Supervisor

Individual project approval

Does the research involve:

Living human subjects **YES/NO**

Living animals other than those being observed in their natural habitat **YES/NO**

Documentary material that is not already in the public domain **YES/NO**

Handling sensitive materials, including human remains **YES/NO**

Please refer to the University RKT Ethics policy for clarification of the above terms

IF THE ANSWER TO EACH OF THE ABOVE QUESTIONS IS ‘NO’, ethics release is indicated and no further ethics checklist need be completed. Staff and students should follow the procedure for ethics release to be found after Section 2.

IF YOU HAVE ANSWERED YES TO ANY OF THE ABOVE QUESTIONS, you need to complete Section 2 of the checklist.

CONFIDENTIAL Section 2: RKT Ethics Checklist - Ethics Release and Ethics Approval

Research Checklist for work involving human subjects

1	Could the study induce psychological stress or anxiety or cause harm or negative consequences (beyond the risks encountered in normal life)?	YES/NO
2	Will deception of participants be necessary during the study?	YES/NO
3	Will the study involve prolonged or repetitive testing?	YES/NO
4	Will the research involve medical procedures?	YES/NO
5	Will the study involve recruitment of patients or staff through the NHS?	YES/NO
6	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?	YES/NO
7	Are there problems with the participants' right to remain anonymous, or is the information they give not identifiable as theirs?	YES/NO
8	Is the right to withdraw from the study at any time withheld, or not made explicit?	YES/NO
9	Does the study involve participants who are particularly vulnerable or unable to give informed consent? (e.g. children, people with learning difficulties, or emotional problems, people with difficulty in understanding or communication, people with identified health problems)	YES/NO
10	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited? (e.g. students at school, members of self-help group, residents of nursing home)?	YES/NO
11	Does any part of the project breach any codes of practice for ethics in place within the organisation in which the research is taking place?	YES/NO
12	Is any of the material used likely to cause offence to any of the participants?	YES/NO
14	Will the study involve discussion of sensitive topics*	YES/NO
15	Is a contract** needed between the researcher and the participants?	YES/NO

* Please refer to the University RKT Ethics policy for clarification of the above terms

** 'Contract' includes requirement for written consent by participants, or on their behalf by guardians

Ethics Release

If you have answered **NO TO ALL THE QUESTIONS IN SECTION 2, Ethics Release is indicated** and you do not need to apply for ethics approval.

Any significant change in the question, design or conduct over the course of the project should be notified to Module leader and may require a new application for ethics approval.

Declaration by student: I have read the University's policy on ethics related to Research and Knowledge Transfer and to the best of my knowledge and ability confirm that the ethical considerations noted have been assessed. I am aware of and understand University procedures on ethics in Research and Knowledge Transfer and Health and Safety. I understand that the ethical propriety of this project may be monitored by the Faculty RKT Ethics Committee

Signature.....date.....

Supervisor: I confirm that this project is eligible for ethics release. As supervisor I will monitor progress of the project

Signature.....date.....

Signed.....date..... on behalf of RDC Ethics sub-committee

Ethics Approval

If you have answered **YES TO ANY OF THE QUESTIONS IN SECTION 2** you will need to apply for **ethics approval** by describing more fully how you plan to deal with the ethical issues raised by your research. **This does not mean that you cannot do the research, only that your proposal will need to approved.**

You will need to submit your plans for addressing the ethical issues raised by your proposal using **Section 3** of this form, which should be ratified by your supervisor (see below).

CONFIDENTIAL Section 3 Ethics Approval

Project title.....
Applicant.....
Supervisor.....

The project outline/proposal should be attached. This should include

1. showing clearly aims, objectives, location, methodology
2. where involving human subjects, comment on criteria for selection/interview and sample size
3. If consent is required, who is to give it
4. outlining potential risks to the participants and how you will deal with this
5. stating the information to be given to the subjects (attach copies of letters or information sheets that will be given to the participants)
6. noting the published code(s) of practice being followed
7. whether the project involves any other disciplines or local ethics committees
8. what arrangements have been made to ensure the confidentiality of data collected, and compliance with the Data Protection Act
9. whether payment to the participants will be made
10. whether the project will receive financial support from outside the University
11. whether participants, employers or ethics committees have placed restrictions on the publication of results
12. Any further points you may wish to make in justification of the proposed study

Summary of the issues and actions taken to address the ethics issues

If you have fully explored ethical issues in your proposal, including reference to guidelines to which you will adhere, you need only refer the scrutineer to your project proposal

Declaration: I have read the University's policy on ethics related to Research and Knowledge Transfer and to the best of my knowledge and ability confirm that the ethical considerations noted have been assessed. I am aware of and understand University procedures on ethics in Research and Knowledge Transfer and Health and Safety. I understand that the ethical propriety of this project may be monitored by the Faculty RKT Ethics Committee. I undertake to consult my supervisor over any changes that I wish to make to the project focus and procedures.

I have appropriate experience of the general research area and confirm that the project complies with the code(s) of practice noted in the proposal

Signature.....date.....

Supervisor: Please tick the appropriate boxes. The study should not begin until all the boxes are ticked

- The student has read the appropriate Code of Practice
- The student has sufficient skills to begin the research
- The student has used appropriate proformas and letters to inform participants
- The procedures for recruitment and obtaining informed consent are appropriate

Comments from the supervisor.....

Signature.....date.....

RDC RKT Ethics Scrutiny Form – PGR Students

Project focus/title.....

Applicant.....

Supervisor

The following points must be assessed

1	The merit and feasibility of the study	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
2	Potential conflicts of interest	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
3	The implications of monetary or other inducements	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
4	The nature of recruitment and participation if the project involves participants from vulnerable groups	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
5	Procedures for providing explanations to participants, including the preparation of an appropriate information sheet	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
6	Procedures for obtaining informed consent from participants (or where applicable their parents or guardians), including the preparation of written consent forms	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
7	Possible discomfort, distress or inconvenience to participants and/or Researchers	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
8	Procedures for respecting confidentiality and operating with data protection legislation	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
9	Safety risks in accordance with the University’s Risk Assessment Procedure and measures taken as appropriate to make them as low as reasonably practicable	N/a <input type="checkbox"/> met <input type="checkbox"/> partially met <input type="checkbox"/> not met <input type="checkbox"/> Comment:
10	Other issues you may wish to raise	Please comment

Scrutineer’s recommendation:

- Appropriate action taken to maintain ethical standards – no further action necessary
- Further emendation necessary
- No approval

Reason for emendations or approval

Signature of scrutineer.....

Date