



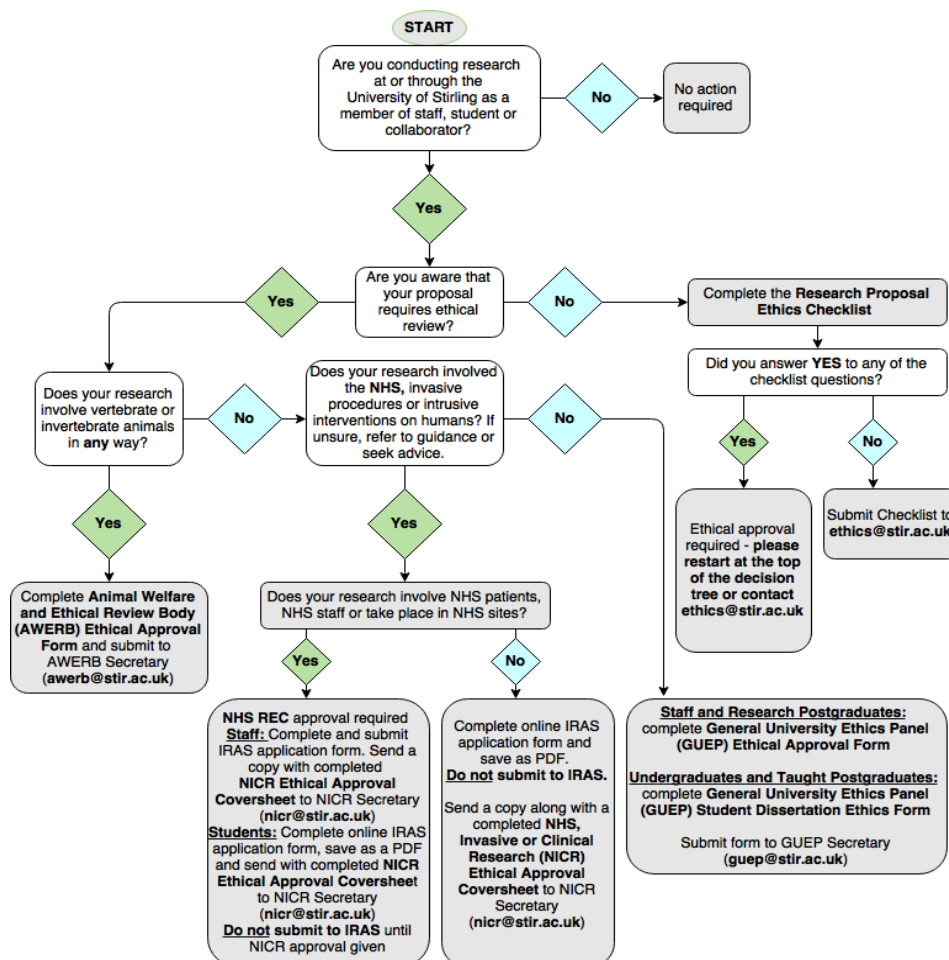
Research Proposal Ethics Checklist

To ensure integrity and safeguard the interests of researchers, participants and funders, all research conducted at or through the University of Stirling by members of staff, students and collaborators is subject to internal ethical scrutiny **prior** to the commencement of research (Figure 1).

If you are aware that your research requires ethical approval by one of the Research Ethics Committees (RECs), completion of this checklist is **not** required. Please complete a **Research Proposal Ethical Approval Form** for the appropriate committee (see below) and submit this, along with any supporting documentation, via email to the committee secretary:

- **Animal Welfare and Ethical Review Body (AWERB)** – for research involving animals in any way (all non-human vertebrates and invertebrates).
- **NHS, Invasive or Clinical Research (NICR)** – for health/patient research requiring approval by the NHS Research Ethics Committee and other research involving physically invasive procedures or intrusive interventions on human participants.
- **General University Ethics Panel (GUEP)** – for all other research (social, digital, environmental etc.).
- **Ethics Checklist** - If you are unsure about the ethical implications of your research, please complete the following Checklist. A completed and signed Checklist is required for **all** research proposals that have not been submitted for ethical review to one of the above committees. Once complete, this Checklist should be submitted to ethics@stir.ac.uk.

Figure 1: Ethics Decision Tree



Applicant details

Name of applicant: Click here to enter text	
Faculty affiliation: Click here to select Faculty Division: Click here to select Division	
Overseas campus: If applicable click here to enter overseas campus affiliation	
Designation: Choose an item	
Email address of applicant: Click here to enter email address	
STUDENTS ONLY	
Student ID number: Click here to enter student ID number	
Degree programme: Click here to enter text	Module code: Click here to enter text.
Supervisor name: Click here to enter text	
STAFF ONLY	
Job title: Click here to enter text	

Project details

Project title: Click here to enter text	
Project funder: Click here to enter text	
Project start date: Click here to enter date	Project end date: Click here to enter date
Short project description: Click here to enter text	

Please **complete all sections which apply to your proposed research** by checking Yes or No to each question.

SECTION A: Researcher safety

A1. Does the proposed research pose any particular risks to the researcher(s)? Potential risks to consider include: working in a dangerous or isolated geographical area; lone working; working with equipment and manual handling; environmental hazards; chemical and biological hazards; and emotional risks associated with sensitive research.	Yes <input type="checkbox"/> No <input type="checkbox"/>
If YES please provide brief details indicating the nature and level of risk (low, medium, high): Click here to enter text	
PROCEED TO SECTION B	

SECTION B: Research involving or impacting animals

<p>B1. Does your research project involve animals in any way?</p> <p>If YES, please submit an application to the Animal Welfare and Ethical Review Body (AWERB) (click here).</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>PROCEED TO SECTION C</p>	

SECTION C: Data protection, copyright and other considerations

<p>C1. Does the proposed research involve accessing records of personal or confidential information?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C2. Does the proposed research involve the recording or use of audio-visual material for which consent is required? <i>Answer NO if you are making use of material for which appropriate consent has already been gained e.g. utilisation of established databases</i></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C3. Does the proposed research involve the remote acquisition of data from or about human participants using the internet and its associated technologies</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C4. Does the proposed research involve accessing potentially sensitive data through third parties?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C5. Does the proposed research involve reproducing copyrighted work in published form (other than brief citation)?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C6. Does the proposed work involve activities, which could temporarily or permanently damage or disturb the environment, or archaeological remains and artefacts?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>C7. Does the proposed work involve a potential conflict of interest or raise ethical issues regarding the source of funding or where publication of research data may be restricted?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>PROCEED TO SECTION D</p>	

SECTION D: Research involving human participants

<p>D1. Does the proposed research involve human participants? If YES PLEASE COMPLETE QUESTIONS D2 – D19 below If you answer YES to any of these questions, please review the Flowchart at the top of the form. If NO PROCEED TO SIGN AND DATE FORM</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D2. Does the proposed research involve the recruitment of staff or patients through the NHS or the use of NHS data or premises and/or equipment?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D3. Does the proposed research involve physically invasive procedures?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D4. Is the proposed research study a clinical trial of an investigational medicinal product?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D5. Does the proposed research involve a non-CE marked medical device or a device which has been modified outside of its CE mark?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D6. Does the proposed research involve exposure to ionising radiation?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

D7. Does the proposed research involve the processing of information held by the Human Fertilisation and Embryology Authority (HFEA) without consent?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D8. Does the proposed research involve the collection of tissue or other human material e.g. blood, biopsies, urine etc.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D9. Does the proposed research involve intrusive interventions e.g. the administration of drugs or vigorous physical exercise?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D10. Does the proposed research involve the bodies or human materials from deceased persons?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D11. Does the proposed research involve interviews with participants or the use of questionnaires?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D12. Does the proposed research involve vulnerable adults ?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D13. Does the proposed research involve children and young people under the age of eighteen?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D14. Does the proposed research involve participants who have particular communication/linguistic or developmental requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D15. Does the proposed research involve sensitive topics ?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D16. Could the proposed research induce psychological stress, anxiety, humiliation or cause more than minimal pain?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D17. Does the proposed research involve deception, concealment or covert observation ?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D18. Does the proposed research involve prisoners or those on court orders?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D19. Will the proposed research be undertaken outside of the UK or involve participants from outside the UK?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If you have answered **YES** to any of these questions, further ethical review is required. Please seek advice from Research and Innovation Services (ethics@stir.ac.uk) or complete the appropriate **Research Proposal Ethics Approval form**. If you have answered **NO** to all of the questions, sign and date the form and email it to ethics@stir.ac.uk.

By signing below (digital signatures accepted), you certify that the information provided is true and correct to the best of your knowledge. Applicants should expect to get an acknowledgement within 48 hours that their checklist has been received. If you do not hear, please contact ethics@stir.ac.uk

STUDENTS

Applicant’s signature:

Date: [Click here to enter a date](#)

Supervisor’s signature:

Date: [Click here to enter a date](#)

STAFF

Applicant’s signature:

Date: [Click here to enter a date](#)

FOR ADMINISTRATIVE USE ONLY:		
Date received: Click here to enter a date	Reference number: Select year/Click here to enter number	
Checklist completed, signed and dated <input type="checkbox"/>	For archiving <input type="checkbox"/>	Query if further ethical review required <input type="checkbox"/>
Notes:		
Click here to enter text		