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.  

**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

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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 ☐  No ☐

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

B1. Does your research project involve animals in any way?
If YES, please submit an application to the Animal Welfare and Ethical Review Body (AWERB) [click here].

Yes ☐ No ☐

PROCEED TO SECTION C

SECTION C: Data protection, copyright and other considerations

C1. Does the proposed research involve accessing records of personal or confidential information?
Yes ☐ No ☐

C2. Does the proposed research involve the recording or use of audio-visual material for which consent is required?
Answer NO if you are making use of material for which appropriate consent has already been gained e.g. utilisation of established databases
Yes ☐ No ☐

C3. Does the proposed research involve the remote acquisition of data from or about human participants using the internet and its associated technologies?
Yes ☐ No ☐

C4. Does the proposed research involve accessing potentially sensitive data through third parties?
Yes ☐ No ☐

C5. Does the proposed research involve reproducing copyrighted work in published form (other than brief citation)?
Yes ☐ No ☐

C6. Does the proposed work involve activities, which could temporarily or permanently damage or disturb the environment, or archaeological remains and artefacts?
Yes ☐ No ☐

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?
Yes ☐ No ☐

PROCEED TO SECTION D

SECTION D: Research involving human participants

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.
Yes ☐ No ☐

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?
Yes ☐ No ☐

D3. Does the proposed research involve physically invasive procedures?
Yes ☐ No ☐

D4. Is the proposed research study a clinical trial of an investigational medicinal product?
Yes ☐ No ☐

D5. Does the proposed research involve a non-CE marked medical device or a device which has been modified outside of its CE mark?
Yes ☐ No ☐

D6. Does the proposed research involve exposure to ionising radiation?
Yes ☐ No ☐
D7. Does the proposed research involve the processing of information held by the Human Fertilisation and Embryology Authority (HFEA) without consent?
Yes ☐ No ☐

D8. Does the proposed research involve the collection of tissue or other human material e.g. blood, biopsies, urine etc.
Yes ☐ No ☐

D9. Does the proposed research involve intrusive interventions e.g. the administration of drugs or vigorous physical exercise?
Yes ☐ No ☐

D10. Does the proposed research involve the bodies or human materials from deceased persons?
Yes ☐ No ☐

D11. Does the proposed research involve interviews with participants or the use of questionnaires?
Yes ☐ No ☐

D12. Does the proposed research involve vulnerable adults?
Yes ☐ No ☐

D13. Does the proposed research involve children and young people under the age of eighteen?
Yes ☐ No ☐

D14. Does the proposed research involve participants who have particular communication/linguistic or developmental requirements?
Yes ☐ No ☐

D15. Does the proposed research involve sensitive topics?
Yes ☐ No ☐

D16. Could the proposed research induce psychological stress, anxiety, humiliation or cause more than minimal pain?
Yes ☐ No ☐

D17. Does the proposed research involve deception, concealment or covert observation?
Yes ☐ No ☐

D18. Does the proposed research involve prisoners or those on court orders?
Yes ☐ No ☐

D19. Will the proposed research be undertaken outside of the UK or involve participants from outside the UK?
Yes ☐ No ☐

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 ☐ For archiving ☐ Query if further ethical review required ☐
Notes: Click here to enter text