**College of Environmental Science and Engineering**

**RESEARCH PROJECT ETHICAL ISSUES CHECKLIST STAFF AND POST GRADUATE RESEARCH STUDENTS**

To assist with record keeping, please name your checklist files according to the following format: “**Ethics\_[surname]\_[year]”.**

It is your responsibility to follow the University’s Research Ethics Policy, the General Data Protection Regulation, and any relevant academic or professional guidelines in the conduct of your study[[1]](#footnote-2). It is also your responsibility to ensure that you have all necessary permits to conduct your research.

|  |  |  |
| --- | --- | --- |
| **A. Research involving people or biological samples from people** | **YES** | **NO** |
| Does the proposed research involve human participants, biological samples from humans, or personal data about people?  *This includes any form of social research (interviews, surveys, observations, data dredging from social media etc.)* |  |  |
| **B. Research on live animals** | **YES** | **NO** |
| 1. Does the proposed research involve live vertebrates or cephalopods? |  |  |
| 1. Does the proposed research involve live invertebrates? |  |  |
| **C. Importing material into the UK** | **YES** | **NO** |
| Will the proposed research involve the import of material (plants, animal, soil or sediments) from outside the UK? |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Permission to conduct your research** | **YES** | **NO** | **N/A** |
| Please confirm you have all required permission to conduct your research (including permission from land owners to access land). Please note it is your responsibility to ensure all permits and permission is obtained. |  |  |  |

If you answered ‘NO’ in ALL of sections A B and C, please keep this form on file as it may need to be referred to when you submit your thesis or results for publication. If you answer ‘yes’ in ANY of sections A, B, or C, further details of your project are required.

**Please provide general information on your project**

|  |  |  |
| --- | --- | --- |
| *Project title:* | |  |
|  | |  |
| *Proposed start date:* | |  |
|  | |  |
| *Proposed end date:* | |  |
|  | |  |
| *Funding body (if applicable):* |  |  |
|  |  |  |
| *Name of applicant:* |  |  |
|  |  |  |
| *Email address:* |  |  |
|  |  |  |
| *Degree name:* |  |  |
|  |  |  |
| *Supervisor’s name (for PGR students):* |  |  |
|  |  |  |
| *Supervisor’s signature (for PGR students):* |  |  |
|  |  |  |

1. **Research involving human participants, biological samples from people, or data about people (please complete if you ticked yes in box A)**

|  |  |  |  |
| --- | --- | --- | --- |
| *This section determines whether your study raises more complex issues which requires ethical review**by COESE Ethics Committee.* | | **Yes** | **No** |
| 1 | Will the research collect or handle information about identified, or identifiable, individuals?1 |  |  |
| 2 | Does the research involve vulnerable groups – for example, children and young people, vulnerable adults, such as those with a learning disability or cognitive impairment, or individuals in a dependent or unequal relationship? |  |  |
| 2b | If Yes, the researcher must check whether a Disclosure and Barring Service (DBS) check is required (replaces CRB check), e.g. this is often required for research in schools in the UK. Please confirm if it is required. |  |  |
| 3 | Will the research involve discussion of sensitive topics (e.g. illegal behaviour -including resource use which breaks local rules, trade-union membership, political views, health, religion, sexual orientation, ethnic status, genetic data)?2 |  |  |
| 4 | Will the study require the co-operation of a gatekeeper or contact person (e.g. local elder, committee chair, group leader) for initial access to the groups or individuals to be recruited? |  |  |
| 5 | Will the research necessarily involve deception or be conducted without participants’ full and informed consent at the time the study is carried out (e.g. covert observation of people in non-public places, analysis of social media data)? |  |  |
| 6 | Will the study involve intrusive interventions (e.g. administration of drugs or other substances, hypnotherapy, vigorous physical exercise) or induce psychological stress, anxiety, humiliation or pain? |  |  |
| 7 | Does the research require review by an NHS Research Ethics Committee?  *If Yes, the research should be submitted to the NHS Ethics Committee in the first instance.* |  |  |
| 8 | Will the research involve the collection or storage of human tissues (defined as any material containing human cells i.e. including blood, urine and saliva)?  *If yes, the research will need review by the university ethics committee3* |  |  |

*1 If yes then the GDPR will apply. Researches need to demonstrate that the requirements of GDPR will be met. If data is collected online then you need to ensure you are not collecting IP addresses (see resources on the COESE ethics website for more information on setting up online surveys). Please see the Bangor website for more information on GDPR* [*https://www.bangor.ac.uk/governance-and-compliance/dataprotection/documents/Data-Protection-Policy-approved-v7-June-2020.pdf*](https://www.bangor.ac.uk/governance-and-compliance/dataprotection/documents/Data-Protection-Policy-approved-v7-June-2020.pdf)

*2 Holding sensitive information (known as ‘special category data’) about identifiable individuals is particularly problematic. We suggest researchers avoid collecting individually identifying information if they are studying sensitive issues.*

*3 Any research involving human tissues much be reviewed by the central university committee https://www.bangor.ac.uk/governance-and-compliance/documents/research-ethics-policy-en.pdf*

**If the answer to all of the above questions (Part A) is NO, then keep this form on file as it may need to be referred to when you submit your thesis or results for publication.**

**If the answer to any of the above questions (Part A) is YES, then please fill out the Research Outline below as well as the detailed Checklist at the end and collate the supporting documentation (e.g. survey instruments, participant information and consent sheet) and submit to the COESE ethics committee.**

**RESEARCH OUTLINE**

*Briefly outline and provide a justification of your proposed research and the research questions. If your research contains a variety of methods, for example only part relates to collecting or handling data about people, please point this out.*

*Identify the target population and sampling design (how the target population will be sampled).*

*Define the potential benefits of the research (outline whether and how the research might be used beyond the dissertation (impact).*

*Please describe what information will be provided to participants about data storage and use, how consent will be recorded and how data will be stored and eventually destroyed.*

*For each other item ticked in the checklist above, please explain the ethical issue at stake and how they will be addressed in your research.*

The checklist below is to help you (and your supervisor if you are a PGR student) confirm you are ready to carry out your research. Please record Yes, No or Not Applicable (N/A) for each.

|  |  |  |
| --- | --- | --- |
| **CHECKLIST** | **Researcher** | **Supervisor** |
| **Required Supporting documents** |  |  |
| A copy of the survey instrument(s) has been submitted to the ethics committee. |  |  |
| A copy of the participant information sheet and/or consent form has been submitted to the ethics committee. |  |  |
| The research questions are laid out (in accompanying proposal or in research outline above). |  |  |
| **1. Fit to research questions** |  |  |
| The research questions are precise and answerable. |  |  |
| The survey questions are necessary and sufficient to answer the research questions. |  |  |
| The form of data to be collected (scalar, ordinal, categorical or qualitative) has been considered, and will allow appropriate analyses to be conducted. |  |  |
| **2. Target population & sampling** |  |  |
| The target population is appropriate and necessary to answer the research questions. |  |  |
| The proposed sampling method is appropriate. |  |  |
| The proposed sample size is both achievable AND sufficient to answer the research questions. |  |  |
| **4. Ethics and consent** |  |  |
| The participant information sheet clearly states: |  |  |
| * the purpose of the research |  |  |
| * the approximate duration of the survey and what is required of participants |  |  |
| * whether data will be anonymous or confidential (and who will see the data), how it will be stored and for how long (and any possible reuse e.g. public archiving) |  |  |
| * the participant’s rights with respect to withdrawing their consent to hold and process data |  |  |
| * the name and contact details (usually email) of the researcher |  |  |
| The researcher has clear protocols for recording and storing consent. |  |  |
| **5. Piloting & proofing** |  |  |
| Plans for piloting are appropriate. |  |  |
| Survey instrument(s) and associated documents checked for spelling, grammar and clarity. |  |  |
| Survey questions are clear, with appropriate response options (if applicable) and arranged in a logical order. |  |  |
| Jargon is minimised and any necessary terminology is clearly defined. |  |  |
| The survey is an appropriate length, and not overly onerous to complete. |  |  |

1. **Research on live animals (please complete if you ticked yes in box B)**

|  |  |  |
| --- | --- | --- |
| **Research that may need review by either the CESE Ethics Committee or the University Animal Welfare and Ethical Review Body** | **Yes** | **No** |
| 1. Do you intend to perform any actions which fall under the Animals (Scientific Procedures) Act 1986? Please see <http://tna.europarchive.org/20100413151426/http://www.archive.official-documents.co.uk/document/hoc/321/321.htm> |  |  |
| *If yes, please go to question 2. If no, please complete the research outline section below and forward to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*), together with your initial research project ethical issues checklist.* | | |
| 2. Will the research be carried out in the UK? |  |  |
| *If yes, please go to question 3. If no, please complete the research outline section below and return to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*) together with your initial research project ethical issues checklist.* | | |
| 3. Is this research authorised by a current Home Office project license? |  |  |
| *If yes go to section 4 and complete the research outline section below and send the completed form, together with your initial research project ethical issues checklist, to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*). If no, you must obtain a project license before starting work. Please see*  [*http://www.homeoffice.gov.uk/publications/science/769901/licences/project-licences/*](http://www.homeoffice.gov.uk/publications/science/769901/licences/project-licences/)  The completed project license application must be submitted to and approved by the University Ethical Review Committee (Gwenan Hine, [gwenan.hine@bangor.ac.uk](mailto:gwenan.hine@bangor.ac.uk)) prior to a formal application to the Home Office. *Please also send a copy of this form, together with your initial research project ethical issues checklist, to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*).* | | |
| 4. Have you got agreement of a Home Office personal license holder that they will carry out any procedures which fall under the Act? |  |  |
| *If yes, please ask the appropriate license holder to countersign this form and send it to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*). If no, you will need obtain a personal Home Office license before starting work. Please see*  [*http://www.homeoffice.gov.uk/publications/science/769901/licences/personal-licences/?view=Standard&pubID=788367*](http://www.homeoffice.gov.uk/publications/science/769901/licences/personal-licences/?view=Standard&pubID=788367)*. Please also send a copy of this form, together with your initial research project ethical issues checklist, to John Latchford (*[*j.latchford@bangor.ac.uk*](mailto:j.latchford@bangor.ac.uk)*).* | | |

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| --- |
| **Home Office project license details (*if you answered ‘yes’ to question 3*)** |
| **Home Office personal license holders (*if you answered ‘yes’ to question 4*)**  I confirm that I will carry out any procedures covered by the Animals (Scientific Procedures) Act in relation to this project. |
| License holder’s name: |
| License holder’s signature: |
| Date: |

**RESEARCH OUTLINE**

You must complete this section in detail for all work involving live vertebrates and cephalopods (include just a brief description of the work if working with invertebrates other than Cephalopods).

*Outline of proposed research:*

*Define the potential benefits of the research:*

*List species and numbers of animals used and in which country the proposed study will take place:*

*Describe any risks (including the potential for pain, suffering or lasting harm) to animals used in the study:*

*Describe how the principles of the 3Rs (Replacement, Reduction, Refinement) have been applied to your study:*

1. **Importing material into the UK (please complete if you ticked yes in box C)**

**RESEARCH OUTLINE**

*Outline of proposed research:*

*What material will be imported, what legislation covers the import of this material:*

1. *For more, and the latest information, please check the Research Ethics page on the College of Environmental Sciences & Engineering (CoESE) Health and Safety Services website.* [↑](#footnote-ref-2)