# Section 2: Research Ethics Checklist (Refer to Section 3 for an explanation of the colour coding.)

**N.B. If you are conducting research that involves ‘animals and significant habitats’, please use the Stage 1 Research Ethics Application Form involving Animals and Habitats (**[**www.aru.ac.uk/researchethics**](http://www.aru.ac.uk/researchethics)**).**

**You must provide a response to ALL questions. Please refer to the Question Specific Advice for completing the Stage 1 Research Ethics Application Form for guidance.**

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|  | **Will your r esearch (delete as appropriate):** | | | |
| 1 | Involve human participants? |  | YES | NO |
| 2 | Utilise data that is not publically available? |  | YES | NO |
| 3 | Create a risk that individuals and/or organisations could be identified in the outputs? |  | YES | NO |
| 4 | Involve participants whose responses could be influenced by your relationship with them or by any perceived, or real, conflicts of interest? |  | YES | NO |
| 5 | Involve the co-operation of a ‘gatekeeper’ to gain access to participants? |  | YES | NO |
| 6 | Offer financial or other forms of incentives to participants? |  | YES | NO |
| 7 | Involve the possibility that any incidental health issues relating to participants could be identified? |  | YES | NO |
| 8 | Involve the discussion of topics that participants may find distressing? |  | YES | NO |
| 9 | Take place outside of the country where you work and/or are enrolled to study? |  | YES | NO |
| 10 | Cause a negative impact on the environment (over and above that of normal daily activity)? |  | YES | NO |
| 11 | Involve genetic modification of human tissue, or use of genetically modified organisms classified as Class One activities?[[1]](#footnote-1). |  | YES | NO |
| 12 | Involve genetic modification of human tissue, or use of genetically modified organisms above Class One activities?[[2]](#footnote-2). |  | YES | NO |
| 13 | Collect, use or store any human tissue or DNA (including but not limited to, serum, plasma, organs, saliva, urine, hair and nails)?[[3]](#footnote-3) |  | YES | NO |
| 14 | Involve medical research with humans, including clinical trials or medical devices? |  | YES | NO |
| 15 | Involve the administration of drugs, placebos or other substances (e.g. food, vitamins) to humans? |  | YES | NO |
| 16 | Cause (or have the potential to cause) pain, physical or psychological harm or negative consequences to humans? |  | YES | NO |
| 17 | Involve the collection of data without the consent of participants, or other forms of deception? |  | YES | NO |
| 18 | Involve interventions with people aged 16 years of age and under? |  | YES | NO |
| 19 | Relate to military sites, personnel, equipment, or the defence industry? |  | YES | NO |
| 20 | Risk damage/disturbance to culturally, spiritually or historically significant artefacts/places, or human remains? |  | YES | NO |
| 21 | Contain research methodologies you, or members of your team, require training to carry out? |  | YES | NO |
| 22 | Involve access to, or use (including internet use) of, material covered by the Counter Terrorism and Security Act (2015), or the Terrorism Act (2006), or which could be classified as security sensitive?[[4]](#footnote-4) |  | YES | NO |
| 23 | Risk being construed as encouraging terrorism or inviting support for proscribed organisations and/or contain extremist views that risk drawing people into terrorism or are shared by extremist groups |  | YES | NO |
| 24 | Involve you or participants in a) activities which may be illegal and/or b) the observation, handling or storage (including export) of information or material which may be regarded as illegal? |  | YES | NO |
| 25 | Does your research involve the NHS (require Health Research Authority and/or NHS REC and NHS R&D Office cost and capacity checks)? |  | YES | NO |
| 26 | Require ethical approval from any recognised external agencies (Social Care, Ministry of Justice, Ministry of Defence)? |  | YES | NO |
| 27 | Involve individuals aged 16 years of age and over who lack ‘capacity to consent’ and therefore fall under the Mental Capacity Act (2005)? |  | YES | NO |
| 28 | Involve processing special category data[[5]](#footnote-5) and/or intend to recruit 100 or over participants? (only answer if your research involves the EEA – see Section 5 for further information). |  | YES | NO  NO |
| 29 | Pose any ethical issue not covered elsewhere in this checklist (excluding issues relating to animals and significant habitats which are dealt with in a separate form)? |  | YES | NO |

Please note that the Faculty Research Ethics Panel (FREP) will refer to the Office of the Secretary and Clerk any application where, in the view of the Chair, the proposed research poses a risk of a legal or security related nature to Anglia Ruskin University.  The Chair will seek guidance from the Secretary and Clerk before the FREP decides if the proposed research can be granted ethical approval and/or the nature of any special arrangements which need to be put in place.

1. Email [**FST-Biologicalsafety.GMO@aru.ac.uk**](mailto:FST-Biologicalsafety.GMO@aru.ac.uk)for further information.

   2 As above. [↑](#footnote-ref-1)
2. [↑](#footnote-ref-2)
3. For any research involving human material you must contact [ARU-HBMC@aru.ac.uk](mailto:ARU-HBMC@aru.ac.uk) for further guidance on how to proceed. [↑](#footnote-ref-3)
4. The Counter Terrorism and Security Act (2015) and Terrorism Act (2006) outlaws web posting of material that encourages or endorses terrorist acts, even terrorist acts that have occurred in the past. Sections of the Terrorism Act also create a risk of prosecution for those who transmit material of this nature, including transmitting the material electronically. The storage of such material on a computer can, if discovered, prompt a police investigation. Visits to websites related to terrorism and the downloading of material issued by terrorist groups (even from open-access sites) may be subject to monitoring by the police. Storage of this material for research purposes may also be subject to monitoring by the police. Therefore, research relating to terrorism, or any other research that could be classified as security-sensitive (for example, Ministry of Defence-commissioned work on military equipment, IT encryption design for public bodies or businesses) needs special treatment. If you have any doubts about whether your research could be classified as security-sensitive, please speak to your FREP Chair. [↑](#footnote-ref-4)
5. Special category data is defined as personal data which reveals racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a person, and data concerning health or data concerning a person’s sex life or sexual orientation. [↑](#footnote-ref-5)