SCHOOL OF ADVANCED STUDY
UNIVERSITY OF LONDON

Research Ethics Self-Assessment Form

This form should be completed for every new research project, or a project for which the methodology has changed and requires a new assessment. Please contact the research services at research.ethics@sas.ac.uk for any assistance.

PRIOR to undertaking your Research:

1. **It is the researcher's responsibility to:**
   a. **follow the University's Code of Good Practice in Research and its ethical standards, and any relevant academic or professional guidelines in the conduct of their study. Please ensure that you have read the University's Research Ethics Policy and Guidance.**
   b. **ensure that they have completed the research ethics module[1] and secured a score of 80% or above, before filling in the form.**
   c. **ensure that they have reviewed and will be complying with national and local regulations in regards to Covid-19 or any other viral diseases where the research is due to take place;**
   d. **ensure that ethical approval has been sought at least ONE-TO-TWO months BEFORE undertaking research and travelling.[2]**

2. If your Research involves participants and/or management of data[3], please ensure that the Participation Information Sheet & Participation Consent Form as well as the Data Management Template are fully completed and sent along with your self-assessment form.

3. Retrospective Approval is only given in exceptional circumstances, and a clear statement to explain the reasons why should be provided with the form.

Name of Researcher:			Email:		
	Status *(mark with an 'X' as appropriate)*	Masters student		Fellows	
		MPhil/PhD student		Staff	
	Institute (&Programme if MA Student)				
	Supervisor's name and email (if applicable):				
	Online Training Module:	I confirm that I **HAVE/HAVE NOT** completed the research ethics module and scored at least 80% in the assessment test			
Title of the proposal:					
Brief abstract: *(200 words maximum – you should outline in non-technical language the purpose of the research and the proposed research methodology that will be used.)*					
Date of research/interviews and/or travel being undertaken:					
Funding: Is it the research externally funded? If so by whom?					
Collaboration[4]: Is the research project collaborative with external Institutions? If so, please list the names of the collaborators here:					

[1] Available on Study online for Students and PORT for Staff.

[2] Students should undertake the process in consultation with their supervisors, whose countersignature is required. Electronic signature is acceptable.

[3] Please review guidance

[4] In the case of a collaborative project, the form should only focus on the part of the research that is undertaken in the School premises and led by School members

ALL RELEVANT DOCUMENTS ARE TO BE SENT TO: research.ethics@sas.ac.uk

The Checklist is designed to identify the nature of any ethical issues raised by the Research.
Please ensure you have read the School Guidance before continuing

PART I – Research Ethics Initial Checklist

	Please mark an X in the appropriate right-hand column/box	Yes	No	Not certain
Consent				
i	Does the research involve living human subjects **recruited, chosen, or selected** for this research project?			
ii	Does the study involve participants who are potentially **vulnerable**[5] or who may have any difficulty giving meaningful consent to their participation or the use of their information?			
iii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via **covert observation** of people in public places)			
iv	Will the study require the **co-operation of a gatekeeper** for initial access to the groups or individuals who are to be recruited?			
v	Will the participants be involved in a **physical** (the participants are physically in the same room as the researcher) and/**or virtual capacity** (the participants are interacting online) or both - *please delete as appropriate* *(if physical, given the COVID-19 context, please refer to Section on Risk Management below)*			
vi	Will the study involve animals?			
Research Design / Methodology				
I	Does the research methodology involve the use of **deception**?[6]			
ii	Are there any **significant concerns** regarding the design of the research project? For example: • Where the research intrudes into the private sphere or delves into some deeply personal experience; • Where the study is concerned with deviance or social control; • Where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • Where the research deals with matters sacred to those being studied, who may find the research offensive and disrespectful?			
iii	If the proposed research relates to the **provision of social or human services,** is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?			
iv	Does the research methodology envisage the use of local field assistants?			
v	Will the research take place **outside the UK**?[7] (*Please review section on Risk management below)*			
vi	Will the research take place in the School's laboratories?			
vii	Will the research require the services of a third-party provider?[8]			

[5] Please review definition of vulnerable participants in the guidance.
[6] i.e.: participants could be deliberately misled as to the true nature or purpose of the research in which they are taking part or the true identity and role of the researcher is not provided. – see guidance for details
[7] i.e.: will the researcher need to travel outside the UK, or the researcher is already abroad, or if virtual, will the research take into account of all participants across the world) (If yes, please ensure that you respond to relevant questions on below, including in Part3)
[8] If yes, please consider whether these services will be at a cost, and if so whether the provider is an approved supplier of the University. Please contact your institute manager for more details and provide further information in Part3.

PART I – Research Ethics Initial Checklist

	Please mark an X in the appropriate right-hand column/box	Yes	No	Not certain
Financial Incentives				
i	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants? (e.g. either compensation for travel or payment for contributing to research)			
Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?			
ii	Will the study involve prolonged or repetitive testing?			
iii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, security sensitive subjects). If your response relates to **security-sensitive subjects**, please answer the questions in the attached appendix.			
iv	**Are drugs, placebos or other substances** to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?			
Confidentiality				
i	Will research involve the **sharing** of confidential information beyond the initial consent given?			
ii	Will the research involve respondents **through the internet**, e.g. social media, or other visual/vocal methods (where participants are identifiable)[9]			
iii	Will the research involve **administrative or secure data** that requires permission from the appropriate authorities before use?			
Data Management[10] The **General Data Protection Regulation and the UK Data Protection Act 1998** apply to any data-processing activities, including the management of individual data entailed by this research.				
i	Will the research collect **Personal data**, including **Special category data** and/or **Criminal Convictions data**? *please delete as appropriate*			
ii	I understand the **legal basis** I am using to process my data			
iii	I understand the **concept of 'appropriate safeguards'** and how I will apply this to my research			
iv	Will the research involve the **sharing of data beyond the project end date**?			
v	I will **transfer my data outside the UK** and **have a plan** in place regarding how to do this in line with data protection legislation			
Dissemination				
i	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?			
Risk Management				
i	Where will the research take place? (*please review additional questions below*) ☐ Within the UK? ☐ Outside the UK?			
	a) If you are undertaking research **where you are based** (UK or overseas), **please confirm that you are aware of your local and national regulations in place as regards to Covid-19 or any viral diseases,** or any other potential threats to your person. Please outline the safeguard measures you have put in place as a result here:			

[9] Please ensure that you have read the guidance on using online tools including social media

[10] i.e.: How do you collect the data, where will the data be held, how can you guarantee its security, will you be retaining it? Please review guidance document and the Data management template available here: https://www.sas.ac.uk/discover-our-research/research-governance-policies/research-ethics-policies-and-guidance

PART I – Research Ethics Initial Checklist				
	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
	------>			
	b) If you are travelling from the UK to conduct research elsewhere, please confirm here that this is *not* against the FCO's advice? Please provide details and outline the safeguard measures you have put in place as a result here: ----->			
	c) If you are travelling between countries outside the UK, please confirm that you are aware of the rules in place regarding travel between the two countries. Please provide details and outline the safeguards measures you have put in place as a result here: ----->			
ii	***For UK based researchers only:*** Please confirm that you have checked the University Travel Insurance policy? https://london.ac.uk/about-us/how-university-run/policies			
iii	**If using local field assistants,** please confirm that you have discussed with them their local and national regulations in place as regards to Covid-19 or any viral diseases, or any other potential threats to your person. Please outline the safeguard measures you have put in place as a result here: ----->			
v	**If you are undertaking fieldwork or travelling for your research**, please confirm that you have undertaken **the risk assessment (See Appendix 2)** and submitted it to your institute/supervisor?			
vi	Whether your research methodology is online or face-to-face, **is there any risk to *your* physical or psychological wellbeing during the research period?** If yes, please detail them in Part 3.			
vii	Whether your research methodology is online or face-to-face, **is there any risk to the physical or psychological wellbeing** of ***the participants or other third parties*** **during the research period?** If yes, please detail them in Part 3.			

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all of the questions in white boxes in Part I (this doesn't include any of the confirmation boxes coloured green), you **do not need to complete the questionnaire in Part III**. You should select **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to the Research Services.

B If you have answered **Yes** or **Not certain** to any of the questions in white boxes in Part I (other than any confirmation boxes coloured green), you will need to fully consider how you plan to deal with the ethical issues raised by your research. **Please answer all questions in Part III in full, writing N/A in fields that are not applicable**. If having done so you are wholly assured that adequate safeguards in relation to the issues raised can and will be put in place, you may select **B** in the Self-certification Section below, sign as appropriate and submit the form to the Research Services.

C if you have answered **YES** or **Not certain** to the majority of questions in Part I, your research may be subject to a full review. To support the Committee's review, **applicants are asked to fill in Part III with as much detail as possible** and select C.

Occasional audits of such assessment may be undertaken by the School

SELF-CERTIFICATION

Select A, B or C (DELETE as appropriate):

I have read and understood the **University Research Ethics Policy** and the questions contained in this Checklist and confirm:

A that no significant ethical issues are raised by the research, or
B that adequate safeguards in relation to such issues can and will be put in place (as noted in Part III), or
C that the research will need to be subject to a full review.

I, as a SAS staff, student, fellow hereby confirm that the information is accurate, that I have had appropriate training **and/or** have had significant experience in research ethics in the course of my career **and/or** have sought and obtained expert advice in connection with the ethical aspects of the proposed research. ***(please delete as appropriate)***

I, as a SAS staff member, student or fellow also confirm my responsibility to conform to (and be fully aware of) the University of London Code of Good Practice in Research and associated Research Policies

Researcher signature:		Date:	

I, as supervisor, hereby confirm that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research. (any comments can be added below)

Supervisor signature		Date	

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed.

Research aims and summary of any identified ethical issues above.	
Please provide brief (no more than 500 words) details of the research aims, the background of the research and the methods that will be used. This summary should contain sufficient information to inform the Committee about the principal features of the proposal and outlined recognised ethical issues.	
Informed consent (*Please attach* ***a draft information sheet and consent form.)***	
i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not?
ii	How has the study been discussed, or are there plans to discuss the study, with those likely to be involved - including potential participants or those who may represent their views?
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (project description is mandatory)
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study? How long will the participants have to decide whether to take part in the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
Research design and methodology	
i	Recruitment of Participants: How many participants will be recruited?
ii	Will there be any inclusion or exclusion criteria that will be applied?
iii	Where relevant, how does the research methodology justify the use of deception?
iv	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
v	How will data be collected and analysed during the project? (please provide the **data management plan**) *If using an online tool, please ensure that you outline below all safeguards that have been taken to manage the data appropriately as per ethical and legal standards (please refer to the guidance for using online tools for undertaking research)*[11]
vi	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or

[11] https://www.sas.ac.uk/research/research-policies-and-protocols

	distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vii	What considerations have you taken should the research be judged handling as security-sensitive material?[12]
vii	Have you been able to devise a timetable of research?
viii	If using local field assistants, please confirm the arrangements, including contractual, that have been agreed.
xi	Has a similar study (or systematic review) been done recently? If a similar study or review exists, please explain why a repeat study is necessary
Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants? If so, why? & how?
Research participants	
i	Who do you identify as the participants in the project?
ii	Are other people who are not participants likely to be directly impacted by the project?
iii	What are the specific risks to **research participants** or **third parties**?
iv	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.
Confidentiality and Data Protection (please attach the data management template)	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with GDPR and UK data protection law?
ii	How have the ethical and legal dimensions of the **process of collecting, analysing and storing the data** been addressed, and include any particularities and agreement with third party providers if appropriate?[13]
Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misinterpretation that may result at the dissemination stage?

[12] See attached appendix for additional questions if you responded positively to this question

[13] Please refer to data management plan and guidance for details: https://www.sas.ac.uk/research/research-policies-and-protocols/research-ethics

Risk to Researchers	
i	Are there any risks to researchers? If so, please provide details and plans as to how the risks will be mitigated.

REFER TO RESEARCH ETHICS COMMITTEE		
Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):		
i.	**Significant ethical issues** are raised by the research, including research characterised by one or more of the following features: (i) Research **involving deception** of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research **involving more than minimal risk of harm to participants**, such as: o research involving vulnerable groups o research involving personally intrusive or ethically sensitive topics o research involving groups where permission of a gatekeeper is normally required for initial access to members o research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain o research which covers security-sensitive subject and material (*please respond to questions in Appendix overleaf*)	
ii.	The researcher **wants to seek the advice** of the Research Ethics Committee	
iii.	**External obligations** (for instance, funder requirements, data access requirements) require it	
iv.	Research undertaken by a student or member of staff who has not **received appropriate training** or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	
v.	Research that **is undertaken,** on behalf of the student/research**, not by the student/researcher himself/herself**, but by a third party **not associated with the School**	

APPROVAL REFERENCE NUMBER (to be filled in by the Research Services once self-assessment results and approval from Research Committee if needed. have been confirmed)

Version: November 2021

Appendix 1

Additional questions related to security-sensitive material[14]	
Does your research fit into any of the following security-sensitive categories? If so, indicate which:	
a. commissioned by the armed forces:	Yes / No
b. commissioned under an EU security call:	Yes/ No
c. involve the acquisition of security clearances:	Yes/ No
d. concerns terrorist or extreme groups:	Yes/ No
The Terrorism Act (2006) outlaws the dissemination of records, statements and other documents that can be interpreted as promoting or endorsing terrorist acts. *If your answer to question 1d is yes, please continue to answer the questions below:*	
1. Does your research involve the storage on a computer of any such records, statements or other documents?	Yes/ No
2. Might your research involve the electronic transmission (e.g. as an email attachment) of such records or statements?	Yes/ No
3. If you answered 'Yes' to questions 1 or 2, you are required to store the relevant records or statements electronically on a secure university file store. The same applies to paper documents with the same sort of content. These should be scanned and uploaded. Access to this file store will be protected by a password unique to you. **Please confirm that you understand and agree to be responsible for the storage of all documents relevant to questions 1 and 2 as indicated above:**	
I agree/I do not agree	
3a. **Please confirm that you understand and agree not to transmit electronically to any third party documents in the document store:**	
I agree/I do not agree	
4. Will your research involve visits to websites that might be associated with extreme, or terrorist, organisations?	Yes/ No
5. If you answer 'Yes' to question 4, you are advised that such sites may be subject to surveillance by the police without prior consent. Accessing those sites from university IP addresses might lead to police enquiries. **Please acknowledge that you understand this risk as noted above**	
I agree/I do not agree	
6. By submitting to the School Research Ethics process, you accept that members of the School and the University of London may need to have access to a list of titles of documents (but not the contents of documents) in your document store. **Please acknowledge that you understand and agree**	
I agree/I do not agree	
Signature of researcher	
Date	

Version: October 2021

[14] This is in relation to the researcher's approach to the UK Prevent Duty which all members of UOL must observe.

Appendix 2 – Travel Plan & Travel Risk Assessment

Please ensure that you have reviewed the travel planning and risk assessment guidance available here:

https://www.sas.ac.uk/research/research-policies-and-protocols/research-ethics

Complete all fields providing correct details. If fields are not relevant, note by stating Not Applicable.

Once completed and prior to leaving, **provide a copy of the risk assessment to your manager/supervisor, health and safety manager and all staff/students travelling.**

Complete contact details and general information
Name/s of key contact for this trip:
Traveller contact details whilst away (include international and area codes): **Tel:** **Mobile:** **Email:**
Details of UK emergency contact (ensure this person knows they are the key contact whilst you are away). **Name:** **Tel:** **Mobile:**
Key contact at University of London (if other than key UK emergency contact) **Name:** **Department / Faculty:** **Tel.:** **Mobile:** **Email:**
Purpose of travel:

COMMUNICATION CASCADE

In the event of an emergency, list the people and their contact details starting with the UK and down to the traveller

UK			
	Name	**Relationship to traveller**	**Number**
1			
2			
3			
4			
5			

Name(s) of person(s) travelling (if applicable) (add as needed)		
Name	**Emergency Contact**	**Emergency Number**
1.		
2.		
3.		
4.		

List all countries and areas to be visited	
Country	**Area/s**
1.	
2.	
3.	
4.	

UK Embassy details in country visiting	
Address	**Contact number**
1.	
2.	
3.	
4.	

Itinerary (add as needed)		
Date	**Flight details**	**Hotel/Accommodation details**
	Flight No: From/To: Departure time: Arrival time:	
	Flight No: From/To: Departure time: Arrival time:	
	Flight No: From/To: Departure time: Arrival time:	

List any identified issues associated with the country or area travelling (refer to FCO)
1.
2.
3.
4.

List any specific health risks relating to the country/area travelling to (refer to FCO)	
Country	**Health Hazard**
1.	
2.	
3.	
4.	

List of all Covid-19 requirements for each country/area travelling to(refer to government official health and/or sanitation sites) eg: vaccine passports, locator forms, testing requirements	
Country	**Government requirements of country/area**
1.	
2.	
3.	
4.	

List any cultural, religious, dress, or other requirements, if any.	
Country	**Specific requirement**
1.	
2.	
3.	
4.	

Types of issues to consider (please refer to FCO and any local knowledge to fill in this table)	
Crime (eg: street crime, local scams, theft, hotel room security)	
Terrorism (eg: bombings, security alerts, terror attacks)	
Conflict / Political (eg: localised tensions that could result in outbreak of hostilities, civil unrest , strikes, riots, political demonstrations, upcoming elections or significant events)	
Kidnap	
Infrastructure	**Transportation** (eg: airport collection, local driving standards, hazardous terrain, roadworthiness, safety belts)
	Medical capabilities (eg: hospital proximity and standards, methods of payment for treatment, access to local doctor)
	Contaminated food
	Contaminated water
	Utilities / Cyber Issues (eg: compatibility of equipment, power cuts, voltage, safety standards)
Natural Risks	**Climate conditions** (eg: extreme heat or cold, high humidity, altitude)
	Natural disasters (eg: typhoon, tsunami, avalanche, earthquake, flood, monsoon, storms etc.)
	Contact with insects (eg: bites/stings, malaria, yellow fever)
	Contact with animals (eg: bird flu, bites, rabies, stings)
Cultural Risks	**Local Culture** (eg: customs, dress, religion, behaviour)
	Legal differences local codes/guidance, local statute
Hazardous activities	**Activities** (eg: Skiing, white-water rafting, bungee jumping, diving etc.)
	Hazardous substances/chemicals (eg: available antidotes, transport requirements, spillage)

	Research (eg: permits to work, safe systems, tides/water conditions, medical back-up, remoteness of work site)
Other	

List hazards identified and actions implemented to eliminate and/or reduce risk levels are as low as practicable (add as needed)	
Hazards (include any identified above in 1, 2, 3)	**Risk Mitigation Actions**
1.	
2.	
3.	

List emergency first aid arrangements and/or availability of medical aid, if necessary:

List contingency plans in the event of interruption to accommodation, plans or location of activity: