Bournemouth University

What to expect when completing an *Online Ethics Checklist*

INTRODUCTION

There are four sections to the online ethics checklist:

Section 1 – Researcher/Project Details
Section 2 – Filter Questions
Section 3 – My Research
Section 4 – Attachments/Researcher Statement

The online ethics checklist has been designed so that the questions you need to complete in **Section 3** are generated by the responses you give to the filter questions in **Section 2**. The system will generate only those questions which apply to your project.

Section 3 is made up of 'blocks' and each block contains collapsible or expandable questions that are relevant to your project; your responses will determine **whether more or less questions appear**.

This guidance simply lists the questions that appear in Sections 2 and 3 to give you an idea of what to expect before you create a checklist.

- For guidance on how to create an online ethics checklist and complete each section – see '**Creating and completing the Online Ethics Checklist (OEC)**'.
- If you want to know how the system identifies whether your project will be high or low risk – see '**What constitutes 'high risk**'.

PART ONE

FULL LIST of Filter Questions that appear in Section 2:

- Is your study solely literature based? – see **Literature Review** for questions
- Does your study involve Human Participants? – see **Human Participants** for questions
- Does your study involve the use or re-use of data which will be obtained from a source other than directly from a Research Participant? – see **Research Data** for questions
- Does your study involve the use of human tissue? – see **Human Tissue** for questions
- Does your study involve experimentation on any of the following: animals, animal tissue, genetically modified organisms? – see **Animal Experimentation/Genetically modified organisms** for questions
- Will your research study take place outside the UK and/or specifically target a country outside the UK? - See **Research taking place outside the UK** for additional questions

- Does your study require external permission/licences? - See **Additional External Permission/Licence** for questions
- Does your study require review and approval through another external Ethics Committee? (**NOT NHS**) – See **External Ethics Review** for questions
- Does your study require HRA Approval and/or NHS Research Ethics Committee Approvals? – See - **Filter Question:** Does your study require HRA Approval and/or NHS Research Ethics Committee Approvals? for questions
- None of the Questions listed above apply to my research – see **No filter question applies**

PART TWO

PART 2 LISTS **ALL** THE QUESTIONS THAT WILL APPEAR WITHIN EACH SECTION ACCORDING TO THE INDIVIDUAL FILTER QUESTION (When completing the online checklist, these questions appear in Section 3 – 'my Research'. More than one filter question can be selected if appropriate to the research study).

Literature Review Block (filter question: Is your study solely literature based?)

This has 2 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Additional Details section

Sequence	Question
1	Will you have access to personal data that allows you to identify individuals which is not already in the public domain?
2	Will you have access to confidential corporate or company data (that is not covered by confidentiality terms within an agreement or separate confidentiality agreement)?
3	Will personal data accessed include any special category data, or any information about actual or criminal convictions?
4	Have you considered and addressed the need for 'data minimisation' in the use of this personal data part of your Literature Review?
5	Please give brief details of how you will address the need for data minimisation.
6	Please explain how why your research requires the use of personal/confidential corporate or company data and how it will used as part of your Literature Review
7	What is the source of the personal/confidential corporate or company data to which you have access?

This section has some collapsible or expandable questions e.g.

- If the response to question 1 and 2 is NO – no additional questions will appear and you carry on to the next block of questions
- If the response to Question 1 is YES, Questions 3, 6 and 7 will appear
- If the response to Question 3 is YES, Question 4 will appear
- If the response to Question 4 is YES, Question 5 will appear
- If the response to Question 2 is YES, Questions 6 and 7 will appear
- If the response to Questions 1 and 2 is YES, Questions 3, 6 and 7 will appear

Storage, Access and Disposal of Research Data Section (If collecting **information relating to an individual**)

Sequence	Questions
1	During the study, what data relating to the participants will be stored and where?
2	During the study, who will have access to the data relating to participants?
3	How long will the data relating to participants be stored?
4	After the study has finished, what data relating to participants will be stored and where? Please indicate whether data will be retained in identifiable form.
5	After the study has finished, how long will data relating to participants be stored?
6	After the study has finished, who will have access to the data relating to participants?
7	Will any identifiable participant data be transferred outside of European Economic Area?
8	Please give details
9	How and when will the data relating to participants be deleted/destroyed?
10	Once your project completes, will any anonymised research data be stored on the BU's Online Research Data Repository "BORDaR"?
11	Please explain why you do not intend to deposit your research data in BORDaR? E.g. do you intend to deposit your research data in another data repository (discipline or funder specific)? If so, please provide details

This section has some collapsible or expandable questions e.g.

- If the response to question 7 is NO – Question 8 will NOT appear
- If the response to question 10 is YES – Question 11 will NOT appear

Storage, Access and Disposal of Research Data Section (If collecting **anonymous information**)

1	Where will your research data be stored and who will have access during and after the study has finished?
2	Once your project completes, will any anonymised research data be stored on the BU's Online Research Data Repository "BORDaR"?
3	Please explain why you do not intend to deposit your research data in BORDaR?

	E.g. do you intend to deposit your research data in another data repository (discipline or funder specific)? If so, please provide details

This section has some collapsible or expandable questions e.g.

- If the response to question 2 is NO – Question 3 will appear

Back to top

Human Participants Block (Filter Question: Does your study involve Human Participants?)
This has 10 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Participants Section

Sequence	Questions
1	Describe the number of participants and specify any inclusion/exclusion criteria to be used.
2	Do your participants include minors (under 16)?
3	If Yes, please provide details, including age range
4	Are your participants considered adults who are competent to give consent but considered vulnerable?
5	If Yes, provide details (e.g. recipient of health or care services etc., cognitive impairment, prison inmates, BU students - see related help guide)
6	Is a Disclosure and Barring Service (DBS) check Required for the research activity?
7	Please provide DBS number (if known)

This section has some collapsible or expandable questions e.g.

- If the response to question 2 is Yes – Question 3 will appear
- If the response to question 4 is Yes – Question 5 will appear
- If the response to question 6 is Yes – Question 7 will appear

Recruitment Section

Sequence	Questions
1	Please provide details on intended recruitment methods, include copies of any advertisements
2	Do you need a Gatekeeper to access your participants?
3	If yes, please provide details, including their roles and any relationship between Gatekeepers and participant(s) (e.g. nursing home manager and residents).

This section has some collapsible or expandable questions e.g.

- If the response to question 2 is Yes – Question 3 will appear
- If you change the response to Question 2 to No – Question 3 will disappear

Data Collection Activity Section

Sequence	Questions
1	Will the research involve questionnaire/online survey? If yes, don't forget to attach a copy of the questionnaire/survey or sample of questions
2	How do you intend to distribute the questionnaire?
3	Face to Face
4	By Post
5	Online
6	If online, do you intend to use a survey company to host and collect responses?
7	If yes, please provide details of survey company.
8	Other
9	Please provide details
10	Will the research involve interviews? If yes, don't forget to attach a copy of the interview questions or sample of questions.
11	If Yes, Please provide details e.g. where will the interviews take place. Will you be conducting the interviews or someone else?
12	Will the research involve a focus group? If yes, don't forget to attach a copy of the focus group questions or sample of questions.
13	If Yes, Please provide details e.g. where will the focus group take place. Will you be leading the focus group or someone else?
14	Will the research involve the collection of audio materials?
15	Will your research involve the collection of photographic materials?
16	Will your research involve the collection of video materials/film?
17	Will any photographs, video recordings or film identify an individual?
18	Please provide details
19	Will any audio recordings (or non-anonymised transcript), photographs, video recordings or film be used in any outputs or otherwise made publicly available?
20	If Yes, please provide details
21	Will the study involve discussions of sensitive topics (e.g. sexual activity, drug use, criminal activity)?
22	Please provide details and measures taken to minimise risks.
23	Will any drugs, placebos or other substances (e.g. food substances, vitamins) be administered to the participants?
24	Please provide details and measures taken to minimise risks and explain why your research project does not require an ethical review by a NHS Research Ethics Committee
25	Will the study involve invasive, intrusive or potential harmful procedures of any kind?
26	Please provide details and measures taken to minimise risks and explain why your research project does not require an ethical review by a NHS Research Ethics Committee.

27	Could your research induce psychological stress or anxiety, cause harm or have negative consequences for the participants or researchers (beyond the risks encountered in normal life)?
28	Please provide details and measures taken to minimise risks.
29	Will your research involve prolonged or repetitive testing?
30	Please provide details and measures taken to minimise risks.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Questions 2, 3, 4, 5 & 8 will appear
- If the response to question 5 is Yes – Question 6 will appear
- If the response to question 6 is Yes – Question 7 will appear
- If the response to question 8 is Yes – Question 9 will appear
- (*If the response to question 1 is **No** – Questions 1 – 9 will not appear*)
- If the response to Question 10 is Yes – Question 11 will appear
- If the response to Question 12 is Yes – Question 13 will appear
- (*If the responses to questions 10 and 12 is **No** – Questions 11 and 13 will not appear*)
- If the response to Question 14 is Yes – Question 19 will appear
- If the response to Question 19 is Yes – Question 20 will appear
- If the response to Question 15 is Yes – Questions 17 & 19 will appear
- If the responses to Questions 17 & 19 is Yes – Questions 18 & 20 will appear
- If the response to Question 16 is Yes – Questions 17 & 19 will appear
- If the responses to Questions 17 & 19 is Yes – Questions 18 & 20 will appear
- *(If the responses to Questions 14, 15 & 16 is **No** – Questions 17, 18, 19 & 20 will not appear)*
- If the response to Question 21 is Yes – Question 22 will appear
- If the response to Question 23 is Yes – Question 24 will appear
- If the response to Question 25 is Yes – Question 26 will appear
- If the response to Question 27 is Yes – Question 29 will appear
- If the response to Question 29 is Yes – Question 30 will appear
- (*If the responses to Questions 21, 23, 25, 27 & 29 is **No** – Questions 22, 24, 26, 29 & 30 do not appear*)

Consent Section

Sequence	**Questions**
1	Describe the process that you will be using to obtain valid consent for participation in the research activities. If consent is not to be obtained explain why.
2	If participants are minors, describe the process for obtaining consent/assent.
3	Do your participants include adults who lack/may lack capacity to give consent (at any point in the study)?
4	If Yes, please provide details (e.g. learning disability, mental health condition e.g. dementia
5	Will it be necessary for participants to take part in your study without their knowledge and consent?
6	If Yes, describe how and when participants will be informed of the covert observation and who will be providing this information?

This section has some collapsible or expandable questions e.g.

- If the response to *question 2 (**Participants Block, page 4***) is Yes – question 2 will appear
- If the response to question 3 is Yes – Question 4 will appear
- If the response to question 5 is Yes – Question 6 will appear
- If you change the response to question 5 to No – Question 6 will disappear

Participant Withdrawal Section

Sequence	Questions
1	At what point and how will it be possible for participants to exercise their rights to withdraw from the study?
2	If a participant withdraws from the study, what will be done with their data?

Participant Compensation Section

Sequence	Questions
1	Will participants receive financial compensation (or course credits) for their participation?
2	Please provide details.
3	Will financial or other inducements (other than reasonable expenses) be offered to participants?
4	Please provide details.
5	If participants choose to withdraw, how will you deal with compensation?

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Questions 2 and 5 will appear
- If you change the response to question 1 to No – Questions 2 and 5 will disappear

Research Data Section

Sequence	Questions
1	Will identifiable personal information be collected, i.e. at an individualised level in a form that identifies or could enable identification of the participant?
2	Please give details of the types of information to be collected, e.g. personal characteristics, education, work role, opinions or experiences
3	Will the personal data collected include any special category data, or any information about actual or alleged criminal activity or criminal convictions which are not already in the public domain?
4	If Yes, please give details of the information you will be collecting
5	Will the information be anonymised/de-identified at any stage during the study?
6	If No, please provide details
7	Will research outputs include any identifiable personal information i.e. data at an individualised level in a form which identifies or could enable identification of the individual?
8	If Yes. please give details (e.g. project leaflets, project website, blogs, publicly

	accessible database, publications)
9	Have you considered and addressed the need for 'data minimisation' in your use of personal data for the study?
10	Please give brief details of how you will address the need for data minimisation

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Questions 2, 3, 5 and 9 will appear
- If the response to question 7 is Yes – Question 8 will appear
- If you change the response to question 2 to No – Questions 2, 3, 5 and 9 will disappear

Storage, Access and Disposal of Research Data Section

Sequence	Questions
1	During the study, what data relating to the participants will be stored and where?
2	During the study, who will have access to the data relating to participants?
3	How long will the data relating to participants be stored?
4	After the study has finished, what data relating to participants will be stored and where? Please indicate whether data will be retained in identifiable form.
5	After the study has finished, how long will data relating to participants be stored?
6	After the study has finished, who will have access to the data relating to participants?
7	Will any identifiable participant data be transferred outside of European Economic Area?
8	Please give details
9	How and when will the data relating to participants be deleted/destroyed?
10	Once your project completes, will any anonymised research data be stored on the BU's Online Research Data Repository "BORDaR"?
11	Please explain why you do not intend to deposit your research data in BORDaR? E.g. do you intend to deposit your research data in another data repository (discipline or funder specific)? If so, please provide details

This section has some collapsible or expandable questions e.g.

- If the response to question 7 is Yes – Question 8 will appear
- If the response to question 10 is No – Question 11 will appear

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Research Data Block (Filter Question: Does your study involve the use or re-use of data, which will be obtained from a source other than directly from a Research Participant?)

This has 4 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Additional Details Section

Sequence	Questions
1	Please describe the data, its source and how you are permitted to use it.

Research Data Section

Sequence	Questions
1	Will identifiable personal information be collected, i.e. at an individualised level in a form that identifies or could enable identification of the participant?
2	Please give details of the types of information to be collected, e.g. personal characteristics, education, work role, opinions or experiences
3	Will the personal data collected include any special category data, or any information about actual or alleged criminal activity or criminal convictions which are not already in the public domain?
4	If Yes, please give details of the information you will be collecting
5	Will the information be anonymised/de-identified at any stage during the study?
6	If No, please provide details
7	Will research outputs include any identifiable personal information i.e. data at an individualised level in a form which identifies or could enable identification of the individual?
8	If Yes. please give details (e.g. project leaflets, project website, blogs, publicly accessible database, publications)
9	Have you considered and addressed the need for 'data minimisation' in your use of personal data for the study?
10	Please give brief details of how you will address the need for data minimisation

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Questions 2, 3, 5 and 9 will appear
- If the response to question 7 is Yes – Question 8 will appear

- If you change the response to question 2 to No – Questions 2, 3, 5 and 9 will disappear

Storage, Access and Disposal of Research Data Section

Sequence	Questions
1	During the study, what data relating to the participants will be stored and where?
2	During the study, who will have access to the data relating to participants?
3	How long will the data relating to participants be stored?
4	After the study has finished, what data relating to participants will be stored and where? Please indicate whether data will be retained in identifiable form.
5	After the study has finished, how long will data relating to participants be stored?
6	After the study has finished, who will have access to the data relating to participants?
7	Will any identifiable participant data be transferred outside of European Economic Area?
8	Please give details
9	How and when will the data relating to participants be deleted/destroyed?
10	Once your project completes, will any anonymised research data be stored on the BU's Online Research Data Repository "BORDaR"?
11	Please explain why you do not intend to deposit your research data in BORDaR? E.g. do you intend to deposit your research data in another data repository (discipline or funder specific)? If so, please provide details

This section has some collapsible or expandable questions e.g.

- If the response to question 7 is Yes – Question 8 will appear
- If the response to question 10 is No – Question 11 will appear

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Human Tissue Block (Filter Question: Does your study involve the use of human tissue?)
This has 3 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Additional Details Section

Sequence	Questions
1	What is the sample?
2	How will it be obtained?
3	Where will the sample be stored and for how long?
4	Does your research require HRA approval and/or NHS REC approval?
5	Please explain why your research project does not require ethical review by a NHS REC.

This section has some collapsible or expandable questions e.g.

- If the response to question 4 is No – Question 5 will appear

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Animal Experimentation/Genetically modified organisms (Filter Question: Does your study involve experimentation on any of the following: animals, animal tissue, genetically modified organisms?)
This has 3 Sections to complete

Additional Details Section

Sequence	Questions
1	Please describe the animal, animal tissue or genetically modified organisms
2	Please describe the methodology of the experiment

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Research taking place outside the UK (Filter Question: Will your research study take place outside the UK and/or specifically target a country outside the UK?)

This has 3 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Additional Details Block

Sequence	Questions
1	What country will your research take place in? Please include details and measures taken to minimise risks.
2	Does the country in which you are conducting research require that you obtain internal ethical approval (other than BU ethical approval)?
3	If Yes, please state the approving authority

This section has some collapsible or expandable questions e.g.

If the response to question 2 is Yes – Question 3 will appear

Final Review Section

Sequence	Questions

1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Additional External Permission/Licence Block (**Filter Question:** Does your study require external permission/licences?)

This section has 3 Sections to complete (*if **combined** with other filter questions, there may be additional sections to complete*).

Additional Details Block

Sequence	Questions
1	What permission/licence do you need and from whom?
2	Please state the licence reference/number under which your research activities are permitted to proceed (if applicable).

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

External Ethics Review Block (**Filter Question**: Does your study require review and approval through another external Ethics Committee? (NOT NHS))- This has 3 sections to complete

Additional Details Block

Sequence	Questions
1	Please identify the approving authority
2	Do you also require Bournemouth University ethics approval?

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

Filter Question: Does your study require HRA Approval and/or NHS Research Ethics Committee Approvals?

HRA Approval Only – Please note when selecting this option, you will be prompted to select the filter question "Does your study involve Human Participants"

How do I obtain Sponsorship? Section

Sequence	Questions
1	Do you need to apply for Bournemouth University Sponsorship?
2	Please provide details of who will act as Sponsor

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is No – Question 2 will appear

NHS REC Approval only – Please note when selecting this option, you will need to select filter question related to *Research Data* or the filter question related to *Human Tissue*

How do I obtain Sponsorship? Section

Sequence	Questions
1	Do you need to apply for Bournemouth University Sponsorship?
2	Please provide details of who will act as Sponsor

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is No – Question 2 will appear

HRA Approval and NHS REC Approval - This has 3 sections to complete

How do I obtain Sponsorship? Section

Sequence	Questions
1	Do you need to apply for Bournemouth University Sponsorship?
2	Please provide details of who will act as Sponsor

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is No – Question 2 will appear

Final Review Section

Sequence	Questions
1	Are there any other ethical considerations relating to your project which have not been covered above?
2	If yes, please explain.

This section has some collapsible or expandable questions e.g.

- If the response to question 1 is Yes – Question 2 will appear

Risk Assessment Section

Sequence	Questions
1	Have you undertaken an appropriate Risk Assessment?

Back to top

No filter question applies (Filter Question: None of the Questions listed above apply to my research)

If you select the option that no filter question applies to your research, the following statement will appear in Section 3 – there are no questions to answer.

"I am confirming that my proposed project does not involve:

- Human participants
- Research involving human tissue
- Medical research requiring NHS ethical / R&D approval
- The use of animals (or tissues/fluids derived from animals)
- Access to identifiable personal data for living individuals not already in the public domain
- Increased danger of physical or psychological harm for researcher(s) or subject(s).
- Raise any ethical issues associated with the use of genetically modified organisms.

My proposed project does not therefore require an ethics review.

If any changes to the project involve any of the criteria above I undertake to resubmit the project for approval. "

Back to top