

## Navigation Chart 2: Does your research/evaluation need further ethical scrutiny?

(This accompanies most parts of the core document apart from Section N and Case Studies 3 and 4)

The following checklist is suitable for studies involving human participants or data related to human participants.

### Instructions for using Navigation Chart 2

#### How do you classify your project? (See Section B for guidance and

Figure 1)

**Research** is designed and conducted with the intention to produce generalisable new knowledge. Social science and health research are conducted using scientific methods: asking a question, forming a hypothesis, conducting empirical research, drawing a conclusion and evaluating that conclusion. For example, in the context of widening participation (WP), research investigates the availability and accessibility of undergraduate research opportunities.

**Service evaluations** are designed and conducted solely to define or judge how well a service is achieving its intended aims.

**Audits** seek to support a local activity (e.g. a WP event) to inform its future delivery. The findings are not intended for publication and are often used only for discussion with the organisers of the event.

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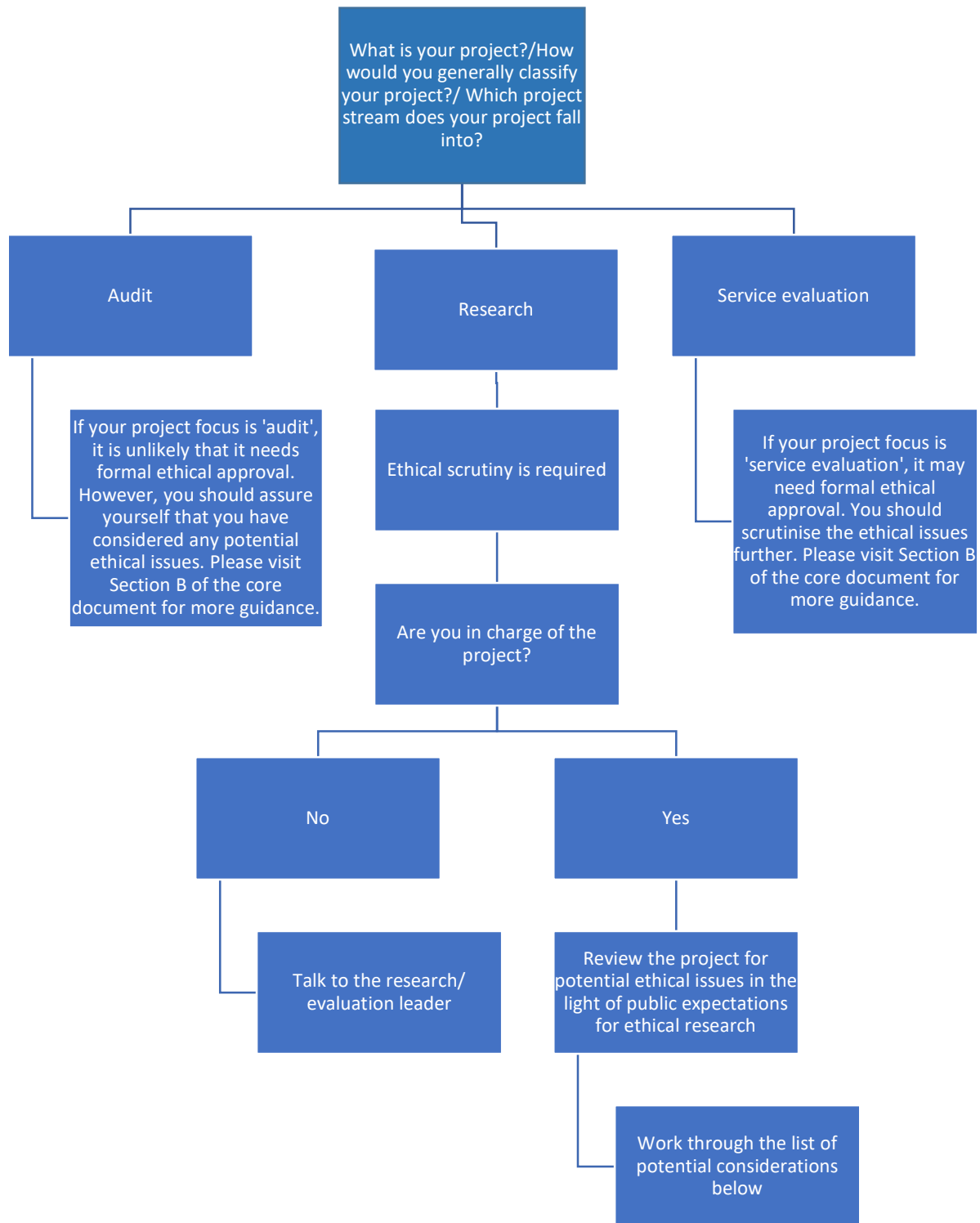


Figure 1 – What is your project?

Section 1 – Basic checklist	Yes	No
<p>1. Does the study involve participants who are particularly vulnerable or unable to give informed consent? For example:</p> <ul style="list-style-type: none"> <li>• Your own students.</li> <li>• Students with additional needs (e.g. ASD, dyslexia or mental health issues).</li> <li>• Looked-after children (LAC) or young offenders.</li> <li>• Children under the age of 16.</li> </ul> <p style="text-align: right;">Please see Section E</p>		
<p>2. Are you contacting potential participants via another organisation?</p> <ul style="list-style-type: none"> <li>• Does this study involve data that comes from a third-party site (e.g. Facebook, Twitter or any other social media platforms)?</li> <li>• Are you using third-party data that has already been collected?</li> </ul> <p style="text-align: right;">Please see Section L</p>		
<p>3. Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited (e.g. students at school, members of a self-help group, PPI)?</p> <p style="text-align: right;">Please see Section G.3</p>		
<p>4. Will it be necessary for participants to take part in the study without their knowledge and consent at the time? (e.g. covert observation of people)</p> <p style="text-align: right;">See issues of partially informed consent Section E See issues of private/public observation Section L and Section E</p>		
<p>5. Will the study involve the discussion of sensitive topics?</p> <ul style="list-style-type: none"> <li>• family background</li> <li>• family composition</li> <li>• criminal records</li> <li>• disability</li> <li>• religious belief</li> <li>• sexual activity</li> </ul> <p style="text-align: right;">Please see Section J</p>		
<p>6. Does this research involve the risk of a negative effect on participants? For instance, could the study induce psychological stress or anxiety, or cause harm or negative consequences beyond the risks encountered in normal life? Consider the following:</p> <p>7.</p> <ul style="list-style-type: none"> <li>• anxiety or psychological stress</li> <li>• degree of discomfort or pain caused</li> <li>• invasion of privacy (e.g. disclosure of private information)</li> </ul>		

Please see Section I		
<p>8. Does this research make repetitive demands on participants?</p> <ul style="list-style-type: none"> <li>• Ongoing interview requests from participants.</li> <li>• Ongoing questionnaires from participants.</li> <li>• Extensive observation.</li> <li>• Engaging participants by using overly complex/mixed-method approaches (e.g. complex pre-interview questionnaires followed by a long interview and a further session, such as requesting participants to provide feedback).</li> </ul> <p style="text-align: right;">Please see Section I</p>		
<p>9. Will expenses or compensation be offered to participants?</p> <p style="text-align: right;">Please see Section G.1</p>		
<p>10. Are there any other potential ethical or political concerns?</p> <ul style="list-style-type: none"> <li>• Are you aware of any potential ethical or political concerns that may arise from either the conduct or the dissemination of this activity, e.g. unethical practices of companies funding this research; the findings being used for political gain by others; potential for liability from your research?</li> <li>• Ethical concerns about collaborator company/organisation.</li> </ul> <p style="text-align: right;">For dissemination see Section M</p>		
<p>If you have answered 'Yes' to any of the above questions, use the links to consider how you should respond. Please visit the case studies section for more information on how to proceed with your ethics application.</p>		

Section 2 – Data protection checklist – these questions cover the kinds of issues raised by Data Protection laws in the UK. Always check the precise laws in place at the time of your research	Yes	No
<p>1. This research activity involves accessing security-sensitive research (or data); I have consulted the responsible department(s), and I am aware that this is subject to further scrutiny.</p> <p style="text-align: right;">Please see Sections L, N.2 &amp; O</p>		
<p>2. I have informed participants why I am collecting specific information during the study.</p> <ul style="list-style-type: none"> <li>• For example, if you are conducting language vitality research and need to interview participants to find out how a particular language is transmitted in the home environment, you may ask, "What language do</li> </ul>		

<p>you speak at home? How did you learn this language? How often do you speak this language and with whom do you speak this language at home?” Are these questions likely to require potential participants to disclose private information (e.g. family composition, marital status, religious belief or faith)? Your interviewees must be aware of why they are being questioned in this way.</p> <p style="text-align: right;">Please see Section F</p>		
<p>3. I have checked and confirmed that the intended uses of personal data (including special category data or criminal convictions data) have a lawful basis.</p> <p style="text-align: right;">Please see Sections J &amp; L</p>		
<p>4. I have an appropriate privacy notice to give individuals at the point when I collect their personal data.</p> <p style="text-align: right;">Please see Section J</p>		
<p>5. If I ever need to publish information that could identify individuals, I will make these individuals aware that this will happen and ask for their consent.</p> <p style="text-align: right;">Please see Section J</p>		
<p>6. I understand the importance of limiting access to papers, files, audio-visual recordings, CDs, USB (memory) sticks, microfiche or other media containing personal data to the research/evaluation team.</p> <p style="text-align: right;">Please see Section J</p>		
<p>7. We have thorough data protection processes and training in place.</p> <ul style="list-style-type: none"> <li>• Everybody in the team knows how to store electronic documents correctly and safely.</li> <li>• Everybody in the team understands that data should not be stored in transcriptase devices.</li> </ul> <p style="text-align: right;">Please see Sections J &amp; L</p>		
<p>8. Any paper documents, electronic media or hardware must be kept securely and destroyed when no longer needed.</p> <p style="text-align: right;">Please see Section J</p>		
<p>If you have answered ‘No’ to any of the above questions, detailed ethical scrutiny ought to be undertaken. Please visit the case studies for more information on how to proceed.</p>		

Section 3 – Covid-19 and other transmittable diseases checklist	Yes	No
<p>1. I have checked the most up-to-date guidance on how participants’ interaction should occur, and I have considered the ethical issues that follow from this.</p> <p style="text-align: right;">Please see Sections D, H &amp; I</p>		
<p>2. If my study involves face-to-face interaction, I will provide participants with a pre-visit check form.</p> <p style="text-align: right;">Please see Section I</p>		
<p>If you have answered ‘No’ to any of the above questions, then further ethical scrutiny is necessary. Please visit the case studies section for more information on how to proceed with your ethics application.</p>		