**Ethical Approval for Non-Clinical Research Involving Human Participants**

# Reviewer Checklist for Form A: Low Risk Projects

# Name of Applicant: SREC reference no.:

# Name of Reviewer(s): Date reviewed:

|  |  |  |
| --- | --- | --- |
| **Information required** | **Y / N / NA** | **Detail of any insufficient information or ethical concerns & changes required** |
| Introductory information  |  |  |
| Is the title provided? |  |  |
| Is the supervisor’s name provided (if applicable)? |  |  |
|  |  |  |
| 1. Project Overview |  |  |
| 1a. Are the research questions to be addressed clear? |  |  |
| 1b. Is the study justified in terms of existing knowledge and need for the work? |  |  |
|  |  |  |
| 2. Aims and Objectives |  |  |
| Are the aims and any objectives clear? |  |  |
|  |  |  |
| 3. Research Design and Methods |  |  |
| 3a. Is it stated how much time the participants will give for the study?  |  |  |
| 3b. Is it stated where the study will take place? |  |  |
| 3c. Is it clear whether there is any reward or payment for taking part (if yes, details needed) |  |  |
| 3d. Has a copy of any data collection tool been included as an appendix? |  |  |
| 3e. If ‘Online surveys’ (formerly BOS) is not being used for online surveys/questionnaires is the rationale for using an alternative survey tool acceptable? |  |  |
| 3f. Is it clear exactly what data are being collected? |  |  |
| 3g. Is the format of the data clear? |  |  |
| 3h. Is there a sufficient explanation of whether the data will be anonymous or anonymised? |  |  |
| 3i. Have the data analysis plans been explained? |  |  |
| 3j. Is the duration of the study clear? |  |  |
|  |  |  |
| 4. Identification and Recruitment of Participants |  |  |
| 4a. Is it clear who the participants are? |  |  |
| 4b. Is there sufficient explanation of how they will be identified? |  |  |
| 4c. Is there sufficient explanation of how they will be contacted (when, where and by whom)? |  |  |
| 4d. Is there enough detail about the information they will be given (what, when, where, by whom)? |  |  |
| 4e. Is there enough information about the sample size and method? |  |  |
| 4f. Are inclusion / exclusion criteria stated (where applicable)? |  |  |
| 4g. If the research involves participants outside the UK have the implications of this been considered? |  |  |
|  |  |  |
| 5. Informed Consent |  |  |
| 5a. Is there an adequate explanation of how participants will agree to take part (when, where, who is involved) and procedures for withdrawal? |  |  |
| 5b. Is there an adequate explanation of how consent will be taken? |  |  |
| 5c. For projects involving video- or audio-recording are procedures for obtaining informed consent adequately explained? |  |  |
| 5d. Is information about anonymity and confidentiality sufficient? |  |  |
| 5e. Are debriefing plans explained? |  |  |
| 5f. Is information about obtaining consent for the potential sharing and reuse of data sufficient? |  |  |
| 5g. Has there been adequate consideration of the implications of participants’ capacity to make their own decisions and understand the risks? |  |  |
|  |  |  |
| 6. Data Management[[1]](#footnote-1) |  |  |
| 6a. Is the lawful basis for the processing of personal data clear? |  |  |
| 6b. Is it clear that all data will be stored securely (where, who has access)? |  |  |
| 6c. Is there information about how long the data will be kept for? |  |  |
| 6d. Has the question of anonymization or pseudonymisation been adequately addressed? |  |  |
| 6e. Are arrangements for data sharing and reuse by other researchers beyond the project adequate? |  |  |
| 6f. Is there adequate description of the processes in place to erase an individual participant’s data?[[2]](#footnote-2) |  |  |
| 6g. Is there adequate description of the processes in place to stop processing an individual participant’s data? |  |  |
| 6h. Is there adequate description of the processes in place for individuals to have inaccurate personal data rectified, or completed if it is incomplete? |  |  |
| 6i. Is it clearly stated who has overall responsibility for data management for the project? Have the contact details for the senior researcher and Data Protection Officer been provided in the Participant Information Sheet? |  |  |
| 6j. Are arrangements for collection and transfer of data outside the UK adequate? |  |  |
|  |  |  |
| 7. Other permissions |  |  |
| Are other permissions required and, if so, has this been articulated? |  |  |
|  |  |  |
| 8. Risks of harm to researchers and participants |  |  |
| 8a. Have any risks to participants been identified?  |  |  |
| 8b. If risks to participants have been identified, have these been explained sufficiently? |  |  |
| 8c. If risks to participants have been identified are these explained sufficiently in the information sheet? |  |  |
| 8d. Are details provided of how the risks will be minimized/managed? |  |  |
| 8e. Has a risk assessment been carried out and does it adequately address the risks? |  |  |
| 8f. Have any risks to the researcher been identified?  |  |  |
| 8g. Are details provided of how the potential risks to the researcher will be minimized/managed? |  |  |
|  |  |  |
| 9. Other Ethical Considerations |  |  |
| If there are any other ethical considerations have they been addressed? |  |  |
|  |  |  |
| 10. Documentation |  |  |
| Has all relevant documentation been provided?[[3]](#footnote-3) |  |  |

# Decision: Approve / Return for Revision / Reject / Refer to UREC

**Optional Additional Information**

Individual SRECs may elect to add additional procedural information to the end of the checklist. An example is provided below:

# Reviewer’s Signature:

# Date response sent to SREC administrator:

# \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# PLEASE COMPLETE IF REVISIONS ARE REQUIRED

# Comments to applicant:

# Date comments sent:

# Date revisions received:

# Have the concerns been addressed sufficiently?:

# Reviewer’s Signature:

# Date revised response sent to SREC administrator:

1. Advice on data management can be obtained from the University’s [Data Protection Officer](https://www.dundee.ac.uk/information-governance/dataprotection/) and the [Library & Learning Centre](https://www.dundee.ac.uk/library/research/researchdatamanagement/) [↑](#footnote-ref-1)
2. Individual participants have the right to request erasure of data under the General Data Protection Regulation unless erasing the data would prejudice scientific or historical research, or archiving that is in the public interest. [↑](#footnote-ref-2)
3. In the context of the COVID-19 pandemic, researchers who are conducting face to face research should complete a [COVID-19 generic risk assessment template](https://dmail.sharepoint.com/%3Aw%3A/r/sites/ReturnToCampus/Shared%20Documents/Risk%20Assessment%20Information%20%28RAMS%29/Approved%20RAMS%20Template%202.4.docx?d=w3267708d25854a85843ab6e83ad68510&csf=1&web=1&e=33gTTO) detailing any additional control measures required to mitigate risk and submit it with their application (see: <https://www.dundee.ac.uk/research/governance-policy/ethicsprocedures/covid/>). [↑](#footnote-ref-3)