

**HUMAN ETHICS ADVISORY GROUP (HEAG) REVIEWER’S CHECKLIST**

This checklist is provided as a tool for HEAG reviewers.

Reviewers may choose to complete the checklist when reviewing applications but should not submit it with their reviewer’s report.

Please note: this is not an exhaustive list of all possible ethical issues requiring consideration as part of the ethics review process but is to be used as a prompt, or guide by reviewers. Reviewers should review all documents submitted as part of an application.

**HEAG Reference Number:**

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| **Project design** |
| Have researchers clearly outlined the research plan, explaining in detail what will be required of participants?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Have researchers clearly specified: |  |  |  |  |
| Who the intended participants will be?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Who will recruit participants?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| The method of recruitment to be employed?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| The circumstances under which participants will be recruited?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there any potential for coercion and if so, have the researchers adequately described how this will be addressed?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| The number of participants to be recruited?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Where there are exclusion criteria, have these been adequately justified by the researcher? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If participants may be excluded, is an adequate method specified indicating how participants will be treated and informed of this?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Where there are inclusion criteria, have these been adequately justified by the researcher?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If participants fail to meet inclusion criteria, is an adequate method specified indicating how participants will be treated and informed of this?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there justification for the number of participants to be recruited?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If so, does the project carry only negligible risk and involve using collections of data or records that contain only non-identifiable data about human beings? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are procedures within the investigator’s technical competence? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Have issues around conflict of interest been adequately addressed?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are there any concerns regarding the safety of the researcher/s when collecting data?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |

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| **Plain Language Statement:** |
| Does the PLS have a Deakin logo? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the title of the research clearly stated on the top of the PLS? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If applicable, are the student and course identified? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the information given on the Plain Language Statement appropriate? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there an explicit invitation to participate included in the 1st or 2nd paragraph? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the language easy to understand (plain language) and appropriate to specific participant/group? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the statement personalized? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are representative examples of questions included if applicable? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are supervisor contact details included (name, position, school, phone number) if applicable? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are sessions being audiotaped or electronically recorded and is this indication on the PLS?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there any discomfort/inconvenience to participants involved in this project and has this been adequately explained in the PLS? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Does the PLS clearly explain where or by what means participants may obtain results of the study?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Has the location and storage of data been adequately explained in the PLS: School, Deakin University, Locked Cabinet, Minimum period of 5 years from date of publication?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Does the researcher’s personal telephone number appear on the PLS? (Note: a mobile number is acceptable, a landline is not). | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Has voluntary participation been ensured? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Does the PLS contain the following complaints clause?ComplaintsIf you have any complaints about any aspect of the project, the way it is being conducted or any questions about your rights as a research participant, then you may contact: The Human Research Ethics Office, Deakin University, 221 Burwood Highway, Burwood Victoria 3125, Telephone: 9251 7129, research-ethics@deakin.edu.auPlease quote project number [201X***-***XXX]***.*** | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |

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| **Consent Form:** |
| Does the consent form contain the project title and ID? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Does the consent form contain the researchers’ names? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is consent on behalf of a minor required and if so, has accommodation been made for that? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If sessions are being audiotaped or electronically recorded, is this clearly stated on the consent form? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Has the researcher clearly explained an appropriate consent procedure? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Has confidentiality/privacy been protected? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |

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| **Privacy:** |
| I am not able to assess this application for privacy concerns and wish to refer it to the Chair  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there collection/use of identifiable health information? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there collection/use of personal information? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is there collection/use of sensitive information? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the researcher obtaining/using identifiable personal information from another organization? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Has the individual whose information it is consented to the collection, use or disclosure of identifiable personal information? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Where privacy issues have been identified above, has the researcher adequately explained the means by which these issues will be dealt with and participants’ privacy protected? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |

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| **Other documentation:** |
| Questionnaires |  |  |  |  |
| Is a copy of each questionnaire to be used attached? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the questionnaire anonymous? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If YES, does the questionnaire contain a statement alerting participants that questionnaire return signifies consent and has the researcher omitted the consent form? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Does the questionnaire include appropriate instructions? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Interviews: | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is a copy of each interview question, or the general topics to be covered with example questions attached? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the planned location of interviews specified? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are interviews to be audiotaped or electronically recorded? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Internet data collection: | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the questionnaire located on a secure Deakin University Server or on another secure/protected Server? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| If the questionnaire is located on a non-Deakin University Server, has the researcher specified which one? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Is the data to be stored on a non-Deakin University Server student data?  | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are the data being returned by email (Note: only appropriate if confidentiality is NOT required)? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are potential subjects being canvassed by email? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Miscellaneous: | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Where required, is a copy of advertisement or poster supplied? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Where approval/support is required from an external organisation, is approval documentation supplied OR has an appropriate PLS/Consent form been prepared for the organisation? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |
| Are there any other problems with the application (ie spelling and grammatical errors)? | Yes [ ]  | No [ ]  | Unsure [ ]  | N/A [ ]  |