

Ethics Checklist
Chicago Appleseed Center for Fair Courts

Ethics Checklist Instructions:	
1	Project Manager completes Tables 1-3.
2	The Project Supervisor Reviews Tables 1-3 and completes Table 4.
3	Appropriate action steps should be taken by the Project Supervisor as outlined in Table 4.
4	Once action steps have been taken, this form should be updated to reflect ethical and risk action steps of the project.
5	The form should be signed by the Project Manager and Project Supervisor when in a satisfactory condition, as per the guidelines in Table 4.
6	Once the form is signed, export the document as a PDF and save it in the project folder.

Table 1. Project Details.		
Project Title:		
Researcher Name(s)	Researcher Role(s)	Email(s)

Table 2. Risk Assessment.

Please answer each question filling in the risk of the study, if the following ethics guidelines are not considered.

Ethics Principle	Goal	Action Steps Taken	Risk if Ignored
Aligned Interests	The company, researchers and participants' interests are aligned, or made clear.		
Date Addressed:			
Transparent Process	Participants understand the plan and purpose of the research, including how data and quotations will be used.		
Date Addressed:			
Rigorous Evaluation	Demonstrated rigorous research design and evaluation		
Date Addressed:			
Data Privacy and Security	Robust data privacy and security protocols to protect participants' information.		
Date Addressed:			
Ease of Opt Out	Participants understand how to opt out and can do so simply.		
Date Addressed:			
Cost-Benefit Analysis	Potential benefits to the participants outweigh potential harms.		
Date Addressed:			
(Jachimowicz, Polonski and Matz, 2017)			

Table 3. Ethics Checklist.			
Please answer each question by putting a '1' if Yes or a '1' if No			
Question / Statement	Yes	No	If yes, explain action items taken to reduce harm to participants. What resources will be available to participants or impacted stakeholders?
Will the study involve recruitment of individuals who are currently incarcerated by the US criminal legal system?			
Does the study involve minors under the age of 18 or people over the age of 18 who are unable to give informed consent (e.g. people with learning disabilities)?			
Does the research involve potentially vulnerable groups (e.g. those in unequal relationships to the positioning of the researcher, which may influence participant's experience of participation or information shared)?			
Will it be necessary for participants to take part in the study without their knowledge and consent at the time (e.g. observation of people in public places, such as courtrooms)?			
Will the study involve discussion of sensitive or potentially sensitive topics (e.g. sexual activity, drug use, personal lives)?			
Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?			
Is there a possibility that the safety of the researcher may be in question (e.g. lone working in international research)?			
Does the research involve members of the public in a research capacity (participant research)?			

Is pain or discomfort likely to result from the study?			
Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?			
Will research involve the sharing of data or confidential information beyond the initial consent given?			
If members of the public are participating, will they be compensated for their time, as per Chicago Appleseed policy?			
Total 'Yes' and 'No' Ethics Scores:			

Table 4. Ethics Review.				
Question	Yes	No	Guideline	Task Completed?
In Table 2, are there proper action steps identified for each ethical goal and guideline?			If no, return to the project manager and ensure the appropriate action items and risk considerations are in place.	
In Table 3, are action steps and resources identified for each question answered 'yes'?			If yes, ethics reviewers should return to the study project manager and ensure the appropriate safeguarding measures are in place.	
In Table 3, if the total 'Yes' answers is above 5, has this project been reviewed by multiple external members to ensure it is ethically sound? (i.e. board members)			If the ethical checklist 'yes' total is above 5, ensure external team members with no stake in the project are able to confirm that all risks have been considered and mitigated.	

Signed Consent <i>Signing this document confirms both the Project Manager and Project Supervisor have acknowledged all the proper procedures are in place for participant protection and risk mitigation.</i>	
Project Manager Name:	
Signed:	
Dated:	
Project Supervisor Name:	
Signed:	
Dated:	

Reference List and Further Reading:

ESRC (2015). "ESRC Framework for research ethics." Access online:

<https://esrc.ukri.org/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/>

Jachimowicz, Polonski and Matz (2017). Behavioral Scientist. Access online:

<https://behavioralscientist.org/behavioral-scientists-ethics-checklist/>

The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research (1979). The Belmont Report. [online]

Office for Human Research Protections. Available at:

<<https://www.hhs.gov/ohrp/regulations-and-policy/belmont-report/read-the-belmont-report/index.html>>.

University of Northwestern (2021). Research Ethics – Institutional Review Board (IRB) Office. [online] irb.northwestern.edu. Available at:

<<https://www.irb.northwestern.edu/research-ethics/>>.