



# Checklist

## ETHICAL RESEARCH AND EVALUATION GUIDANCE NOTE

June 2021

### Overview

The checklist below aims to assist in confirming that research activities align with the *Ethical Research and Evaluation Guidance Note* and lifecycle of an investment. Should any question be answered 'unsure' or 'no', this is an indication that the proposed research does not align with DFAT standards, the *Ethical Research and Evaluation Guidance Note* needs to be referred to, modifications need to be made to the research proposal and/or further expert advice sought.

### Ethical Practice Checklist

Consider the below statements. Responses indicate whether the proposed activity aligns with the Ethical Research and Evaluation Guidance.

Statement	Yes ✓	Un-clear -	No X	How was this implemented / considered?
<p><b>DESIGN</b></p> <p>Investment Concept and Design include an assessment of ethical considerations for research and evaluation.</p> <p>The benefit of the research outweighs any potential harm to researchers and participants.</p> <p>The proposed research methodology is appropriate.</p>				
<p><b>PLANNING</b></p> <p>Contractors or funded partners have been made aware of the Ethical Research and Evaluation Guidance and have raised any conflicts with their own internal ethical guidance or procedures.</p> <p>Informed voluntary, current and specific consent will be obtained and ensured throughout the research project, using gender, age, culturally and linguistically appropriate methods.</p> <p>Reporting mechanisms, including a robust monitoring framework are established at planning stage and there has been a scoping of local support mechanisms.</p> <p>Potential risks have been assessed and mitigation measures screened using the Risk and Safeguard Tool.</p> <p>Appropriate assessment of risks has been completed and safeguards and/or protections plans developed.</p>				



Statement	Yes ✓	Un-clear -	No X	How was this implemented / considered?
Recruitment strategies ensure that all voices, including hard-to-reach groups, are included in the research wherever possible.				
<p><b>IMPLEMENTATION</b></p> <p>The researchers and partners have the skills and expertise required (including partnering with local organisations, such as Disabled Peoples Organisations or women’s organisations, for local contextual perspectives).</p> <p>Secure data management systems are in place to ensure confidentiality, privacy, and, where required, anonymity of participants.</p> <p>Robust and accessible complaints mechanisms are in place, and researchers have access to expert advice on resolving ethical dilemmas.</p> <p>Researchers are confident in responding to unexpected ethical dilemmas that may arise, are familiar with the <i>Ethical Research and Evaluation Guidance Note, Three-Step Tool</i> and other DFAT safeguard policies.</p> <p>Monitoring activities are active, aligned with a robust monitoring framework, and mechanisms for project review and adjustment are evident.</p> <p>Mid-term reviews of activities with a significant research component include an assessment of ethical practice in alignment with the Guidance.</p>				
<p><b>ANALYSIS</b></p> <p>Analysis employs rigorous research methodologies that account for any unavoidable recruitment bias.</p> <p>In participatory research, the analysis is conducted collaboratively with partners to ensure knowledge is co-produced.</p>				
<p><b>DISSEMINATION</b></p> <p>The presentation and dissemination of the research respects the rights and requests of participants.</p> <p>The research outcomes are disseminated in accessible formats and meaningfully comply with the Web Content Accessibility Guidelines 2.0 including formats appropriate for people with varied ages, abilities and literacy, when appropriate.</p> <p>Appropriate feedback loop mechanisms are established to ensure research partners and participants benefit from the research at an individual and/or community level.</p>				