

Self Assessment Form information

Please note: Principal Investigators or supervisors (for PGR student research) should complete this Self-Assessment Form:

- a). Before beginning any new research project, or
- b). Upon the receipt of any new research grant which is covered by existing ethics approval.

A self assessment form is required for all work classified as research by the University (including projects deemed to be service evaluation by the NHS, and excluding consultancy projects).

Please be aware that this form acts as **both**:

1. The first stage of the University's ethics review process
2. A request for sponsorship in line with the Department of Health's Research Governance Framework (replacing the previous PF1, PF2 and PF3 forms, and the 'pink form').

This form should be used for all new staff-led or PGR student research proposals and grants, including those that require ethical review via the National Health Service Research Ethics Committee system (NRES) or the Animals (Scientific Procedures) Act. Undergraduate and taught postgraduate students should not use this form but should seek advice from their respective Department or School.

Following submission of this self assessment form, please note that, while funding may be released for preliminary work (e.g. recruitment of research staff), if further ethical review is required no work with human participants should be undertaken until the relevant Ethical Review Committee has issued its written approval.

For ESRC funded projects, funds will not flow until ethical approval has been confirmed. Therefore, if an Application for Ethical Review is required, funds will not be released until this has been reviewed and approved by the relevant Ethical Review Committee.

Researchers are reminded that their ethical conduct should at all times comply with the University Code of Practice for Research (available [here](http://www.birmingham.ac.uk/Documents/university/legal/research.pdf) (<http://www.birmingham.ac.uk/Documents/university/legal/research.pdf>)).

Submitting a self-assessment form for staff led research

In this context a self-assessment form (and any further ethical approval as required) is necessary before a staff member starts a new self-contained research activity or when a new research grant is obtained for work covered by an existing ethics approval. Ethical review must take place before the start of any substantive research (including pilot studies, but excluding literature review).

If applying for a research award, only use this form once the funding application has proved successful, unless the funding body expressly requires ethical approval at the application stage.

Please note that Research Finance are unable to set up a research account for a project until a self-assessment form has been received.

Submitting a self-assessment form for PGR student research

Please be aware that all new research projects undertaken by postgraduate research (PGR) students are subject to the University's Ethical Review Process.

It is recommended that the student's academic supervisor encourage the student to consider the relevant ethical issues at an appropriate point during the first year of the studentship, taking into account the research workplan. It is advised that the need for ethical review be discussed by the student and supervisor during routine progress reviews (e.g. 6 month or 12 month review).

Ethical review must take place before the start of any substantive research (including pilot studies, but excluding literature review). At the latest, ethical approval should have been sought by the end of year 1 for full-time PGR students (pro-rata as appropriate for part-time students). The end of year 1 progress review should record whether ethical approval has been sought.

[Continue to online form \(/forms/finance/safform.aspx\)](/forms/finance/safform.aspx)