



RESEARCH ETHICS REVIEW APPLICATION

INTRODUCTION:

Every EUI-research project asking for a review by the Ethics Committee needs to complete this application. It enables you as researcher and the Ethics Committee to decide whether a more detailed application for ethics approval needs to be submitted.

Before completing this form, please consult the [EUI Code of Ethics in Academic Research](#). Whereas the researchers (applicants) are responsible for respecting this Code, the Ethics Committee is responsible for exercising appropriate professional judgment in this review.

Please note that this application must be completed before potential participants are approached to take part in any part of the research.

SECTION I: PROJECT DETAILS

1. Project Title:
2. Starting date of the project:
3. Brief project description:

- This section should include the following information (in 250 words):
- The main research question
- The details of data collection including a description of data subjects and send the questionnaire that will be used for the research (if any)
- Mention if this research project has external partners (is it part of a research consortium.)
- Mention if this research is externally funded and by whom

This section does not substitute the submission of a more detailed document with project description.

SECTION II: APPLICANT DETAILS

1. Name of researcher (applicant):
2. EUI Unit/Department:
3. Role:
4. Email address:
5. EUI Status/ Function:
6. Contact address:
7. Telephone number:

SECTION III: ETHICS REVIEW APPLICATION:

BLOCK1 GENERAL ETHICAL CONDITIONS AND CONSIDERATIONS:

- 1- Does your study comply with all the rules, norms and values of the [EUI Code of Ethics in Academic Research](#)?

- YES
- NO

If NO, please explain:

- 2- Was there a previous ethics assessment of this research by a third party? (for example a pre-review by the funding agency or a pre-assessment by a senior faculty member such as a supervisor (for doctoral researchers) or a mentor (for Max Weber fellows)?)

- YES
- NO

If YES, send a copy of the pre-assessment or ask the supervisor/mentor to submit the assessment directly to ethics@eui.eu

- 3- Does the source and/or the form of the external funding of your research project raise ethical concerns?

- YES

- NO

If YES, please explain how you will address them and mitigate their effect:

4- Have you identified possible conflicts of interest?

- YES
- NO

If YES, please explain how you plan to address such possible conflicts of interest

5- Does the way you conduct your research comply with the EUI [ICT User Responsibilities - Acceptable Use Policy \(AUP\)](#)?

- YES
- NO

If NO, Please explain further.

6- Do the plans for the dissemination of your research results raise ethical concerns related to intellectual property, publication and authorship?

- YES
- NO

If YES, please explain how you intend to address them.

BLOCK2: ETHICAL CONSIDERATIONS REGARDING RESEARCH PARTICIPANTS (DATA SUBJECTS):

7- Does the research involve vulnerable groups: children or teenagers under legal age, those with cognitive impairment, or those in unequal relationships e.g. your own supervisees?

- YES
- NO

If YES, please explain:

8- Does this research project involve the use of the standard [EUI- Consent Form](#) of participation in research interviews or other research activities?

- YES
- NO

Please send the sample consent form that you will use for the research.

9- Does the study involve participants who are unable to give informed consent?

- YES
- NO

If YES, please explain:

10- Will it be necessary for participants (subjects of research) to take part in the study without their knowledge and consent at the time? (E.g. covert observation of people in non-public places)?

- YES
- NO

If YES, please explain why this is necessary and justified in respect of national and EU privacy laws and data protection policies:

11- Will the study involve discussion of possibly sensitive topics (e.g. sexual activity, drug use, political opinions that may be considered sensitive in a given context, others)?

- YES
- NO

If YES, please explain further:

12- Will the study involve invasive, intrusive or potentially harmful procedures of any kind?

- YES

- NO

If YES, please explain further:

13- Is any form of discomfort, to data subjects or to the researcher(s), likely to result from the study? Could the study induce psychological stress, anxiety, cause harm, or negative consequences beyond the risks encountered in normal life?

- YES
- NO

If YES, please explain how you plan to manage these situations:

14- Does the research involve members of the public in a research capacity (participant research)?

- YES
- NO

If YES, please explain further:

15- Will financial incentives (other than reasonable expenses and compensation for time) be offered to participants?

- YES
- NO

If YES, please explain whether those incentives can influence the mandatory free nature of consent:

16- Does your research project yield any kind of benefits/incentives to research participants or third parties?

- YES
- NO

If YES, do these benefits/incentives raise ethical concerns, such as risks for participants or quality (integrity) of data obtained?

BLOCK3: ETHICAL CONSIDERATIONS REGARDING RESEARCHERS / RESEARCH TEAMS

17- Are there any risks to researchers, (physical, emotional and situational)?

- YES
- NO

If YES, please explain how researchers will be protected / supported especially in the field, either inside or outside the European Union?

Please send the authorized [Mission Risk Assessment Form](#).

18- Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited? (E.g. students at school, members of self-help group, residents of nursing home)

- YES
- NO

If YES, please describe who will organize this:

19- Have you agreed the roles of researchers and responsibilities for management and supervision if applicable?

- YES
- NO (Not Applicable)

If YES, please explain the following:

- How researchers will be protected / supported especially in the field, either inside or outside the European Union?
- If you have discussed and agreed divisions of labour and modes of cooperation within the research team?

BLOCK4: ETHICAL CONSIDERATIONS REGARDING RESEARCH DATA

20- Does your research project comply with the [EUI Data Protection Policy](#)?

- YES
- NO

If NO, please explain further:

- Download pdf form with explanations of how to fill the [Data Notification Form - DNF](#)
- Download the [DNF word document](#)
- Attach the completed DNF for submission to the Ethics Committee

21- Did you familiarize yourself with the [Guide on Good Data Protection Practice in Research](#)?

- YES
- NO

If NO, please explain further:

22- Do your methods of data collection and/or archival research raise any other ethical concerns?

- YES
- NO

If YES, please explain how you plan to manage them:

23- Do your methods of data analysis and interpretation raise any other ethical concerns?

- YES
- NO

If YES, please explain how you plan to manage them:

24- Does your research involve the processing of sensitive data? (*sensitive data is defined by article 2(1) b of President's Decision No. 10/2019 as "personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership, genetic data, biometric data, data concerning health and data relating to sexual orientation or activity."*)

- YES
- NO

If YES, Please explain further:

25- Does your research involve the processing of personal data originally collected by others (i.e. secondary processing)? Indicate the legal basis on which you will process those data.

- YES
- NO

If YES, please indicate the legal basis (terms of agreement or policy document) on which you will process those data:

26- Do you use any data, which were initially collected for different purposes?

- YES
- NO

If YES, do these conditions raise ethical concerns?

27- Will the research involve identifying respondents either visually or vocally including online media?

- YES
- NO

If YES, please explain how you will manage this risk in respect of national and EU privacy laws and data protection policies:

28- Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?

- YES

- NO

If YES, please explain further:

BLOCK 5: SECURITY-SENSITIVE RESEARCH

29- Does the work involve research or materials that could raise concerns as to their compatibility with EU, Italian or other legislation: counter terrorism, child pornography, internet crimes, etc.?

- YES
- NO

If YES, please explain why this is necessary and how you will mitigate the effect.

30- Does the work involve research involving security sensitive areas such as extremism or radicalization and/or involve materials that could be considered 'extremist' or which could be used for the purpose of radicalization?

- YES
- NO

If YES, please explain.

31- Does the research have any link with the military or security services?

- YES
- NO

If YES, please explain:

32- Have you inquired whether the research requires security clearance from a national authority to undertake the research?

- YES
- NO

In either cases, please explain further:

33- Are there any other aspects not covered by the questions above that could make the research security-sensitive?

- YES
- NO

If YES, please explain how you will address and mitigate the effect:

FURTHER PROCEDURE:

Based on this application and the supporting documents, the Ethics Committee may decide to:

1. Conduct the Ethics Review by written procedure that will be concluded in one month after receiving the request (including all the necessary documentation and checklist).

OR

2. Decide that the Ethics Review will require a full procedure that will be concluded in two months after receiving the request (including all the necessary documentation and application). A full procedure requires documentation that is more detailed, thorough answers and clarifications, and may require a committee meeting (with or without the applicant) and consultation with an external expert.

Please note once more that it is your responsibility to follow the EUI Code of Ethics in Academic Research and any relevant academic or professional guidelines in the conduct of your study and all applicable legislation.

In some cases as research progresses, further ethics issues may arise. It is the researcher's responsibility to inform the Ethics Committee of any significant change in the question, design or conduct of the research raising ethical concerns. Those changes may require a new application for ethics approval.

For more information about the Ethics Review Procedure, contact the Chair of the Ethics Committee or Dr. Fatma Sayed at Ethics@eui.eu