RESEARCH ETHICS INITIAL CHECKLIST

Introduction:

Every EUI-research project asking for a review by the Ethics Committee needs to complete this checklist. 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. The Ethics Committee is responsible for exercising appropriate professional judgment in this review.

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

Checklist:

Section I: Project Details

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

(please indicate also the details of data collection including a description of data subjects): 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. Role:
3. Email address:
4. Contact address:
5. Telephone number:

Section III: Research Checklist

Please answer each question by ticking the appropriate box: Yes No

1. Does the study comply with all the rules, norms and values of the EUI Code of Ethics in Academic Research?

2. Does this research project involve the use of the standard EUI-Consent Form of participation in research interviews or other research activities?

3. Does the study involve participants who are unable to give informed consent?

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

5. 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?)

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

7. Will the study involve discussion of sensitive topics (e.g. sexual activity, drug use, others)?
8. Will the study involve invasive, intrusive or potentially harmful procedures of any kind?

9. Is any form of 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?

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

11. Does the research involve members of the public in a research capacity (participant research)?

12. Will the research involve respondents to the internet or other visual/vocal methods where respondents may be identified?

13. Will research involve the sharing of data or confidential information beyond the initial consent given?

14. Does the source and or the form of the external funding of your research project raise ethical concern?

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

16. Are there any risks to researchers, (physical, emotional and situational)? If yes, please explain how researchers will be protected / supported especially in the field, either inside or outside the European Union?
17. Have you reached an agreement relating to collaborative working within your research team if applicable?

18. Have you agreed the roles of researchers and responsibilities for management and supervision if applicable?

19. Have all possible conflicts of interest relating to your research been identified, declared and addressed?

20. Do your methods of data collection and or archival research raise ethical concerns?

21. Do your methods of data analysis and interpretation raise ethical concerns?

22. Does your research project comply with the EUI Data Protection Policy?

23. Did you familiarize yourself with the Guide on Good Data Protection Practice in Research?

24. Does your research involve the collection of sensitive data? (Sensitive data is defined by article 7 of the Data Protection Policy as; “personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership, and data concerning health or sex life.”)

25. Have any conditions of use of data and or archival materials been set by secondary providers? If yes, do these conditions raise ethical concerns?

26. Does your research project yield any kind of benefits/incentives to research participants or third parties? If yes, do these benefits/incentives raise ethical concerns?

27. Do the plans for the dissemination of your research results raise ethical concerns related to intellectual property, publication and authorship?
Further Procedure:

- If you have answered 'no' to all questions (except for questions no. 1 & 2, 18, 19, 22 and 23), please send the completed and signed form to the Ethics Committee with any further required documents, for the records.

- If you have answered 'yes' to any of the questions in Section III (except for questions no. 1 & 2, 18, 19, 22, and 23), please describe more fully how you plan to deal with the ethics issues raised by your research. Your research proposal will need to be scrutinized more fully by the Ethics Committee.

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. This includes providing appropriate information sheets and consent forms, and ensuring confidentiality in the storage and use of data.

It is accepted that in some cases as research progresses, further ethics issues may arise. Any significant change in the question, design or conduct over the course of the research raising ethical concerns should be notified to the Ethics Committee and may require a new application for ethics approval.

Signed:

Date: