

Ethics Checklist

SCHNELLVERFAHREN UND VOLLVERFAHREN

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JRF-ETHIKKOMMISSION

Introduction

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Areas of Research

(Please tick at least one)

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|---|--|
| <input type="checkbox"/> Construction / Architecture | <input type="checkbox"/> Ocean / Climate |
| <input type="checkbox"/> Biology | <input type="checkbox"/> Pedagogy / Education |
| <input type="checkbox"/> Chemistry | <input type="checkbox"/> Philosophy / Ethics |
| <input type="checkbox"/> Electrical engineering | <input type="checkbox"/> Physics / Astronomy |
| <input type="checkbox"/> Energy | <input type="checkbox"/> Politics |
| <input type="checkbox"/> Nutrition / Health / Care | <input type="checkbox"/> Psychology |
| <input type="checkbox"/> Geosciences | <input type="checkbox"/> Legal |
| <input type="checkbox"/> History / Archaeology | <input type="checkbox"/> Religions |
| <input type="checkbox"/> Society | <input type="checkbox"/> Sports science |
| <input type="checkbox"/> Information technology | <input type="checkbox"/> Language / Literature |
| <input type="checkbox"/> Cultural studies | <input type="checkbox"/> Animals / Land / Forest |
| <input type="checkbox"/> Arts / Design | <input type="checkbox"/> Environment / Ecology |
| <input type="checkbox"/> Maschinenbau | <input type="checkbox"/> Traffic / Transport |
| <input type="checkbox"/> Mathematics | <input type="checkbox"/> Materials science |
| <input type="checkbox"/> Media and communication sciences | <input type="checkbox"/> Economy |
| <input type="checkbox"/> Medicine | Others: |

Methodology

(Please tick at least one)

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| <input type="checkbox"/> Analysis | <input type="checkbox"/> Long-term study |
| <input type="checkbox"/> Backtesting | <input type="checkbox"/> Measurement theory |
| <input type="checkbox"/> Survey | <input type="checkbox"/> Netnography |
| <input type="checkbox"/> Observation | <input type="checkbox"/> Phenomenology |
| <input type="checkbox"/> Deductive reasoning | <input type="checkbox"/> Prototyping |
| <input type="checkbox"/> Ethnography | <input type="checkbox"/> Randomised controlled study |
| <input type="checkbox"/> Experiment | <input type="checkbox"/> Reference model |
| <input type="checkbox"/> Interview with experts | <input type="checkbox"/> Service-Prototyping |
| <input type="checkbox"/> Case-control study | <input type="checkbox"/> SWOT-Analysis |
| <input type="checkbox"/> Case-study | <input type="checkbox"/> Scientometry |
| <input type="checkbox"/> Grounded Theory | <input type="checkbox"/> Medical study |
| <input type="checkbox"/> Group contribution methods | <input type="checkbox"/> Experiment control |
| <input type="checkbox"/> Hermeneutics | <input type="checkbox"/> Visual anthropology |
| <input type="checkbox"/> Inductive reasoning | <input type="checkbox"/> Webnography |
| <input type="checkbox"/> Intervention study | <input type="checkbox"/> Weather observation |
| <input type="checkbox"/> Cohort study | <input type="checkbox"/> Citation analysis |
| <input type="checkbox"/> Correction factor | Others: |

| Part A (Fast-track procedure) | |
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| 1. General Project Information | |
| 1.1 | Name of JRF Institute |
| 1.2 | Title of research project, name of larger project (if applicable) |
| 1.3 | Name of principal investigator |
| 1.4 | Name(s) of co researchers |
| 1.5 | Are partners/ other organisations involved in the project? If yes, please specify <input type="radio"/> Yes: <input type="radio"/> No |
| 1.6 | Abstract of research project including objectives, research questions and approach of the research (max. 1 page). |
| 1.7 | Description of the planned methodology/method(s). |
| 1.8 | Is the study financed by a funder located in or linked to an EU sanction regime? (See https://www.eeas.europa.eu/eeas/european-union-sanctions_en) If yes, please specify <input type="radio"/> Yes: <input type="text"/> <input type="radio"/> No |
| 1.9 | Is the funder of research or the research topic capable of arousing political controversy, now or in the near future? If yes, please specify <input type="radio"/> Yes: <input type="text"/> <input type="radio"/> No |
| 1.10 | Will the project be carried out in space which is potentially unsafe? If yes, please specify <input type="radio"/> Yes: <input type="text"/> <input type="radio"/> No |

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| 1.11 | <p>Is the research using AI systems, applications or tools? If yes, please specify</p> <p><input type="radio"/> Yes:</p> <p><input type="radio"/> No</p> |
| 1.12 | <p>Are there potential conflicts of interest that could influence your research, for example, any personal interests or financial dependence that could compromise the integrity of the research or be a source of bias?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 2. Ethics requirements for project | |
| 2.1 | <p>Ethical approval is being requested for:</p> <p><input type="radio"/> Single study <input type="radio"/> Multiple studies</p> <p>In case of multiple studies, please provide sufficient detail for each study:</p> |
| 2.2 | <p>Has ethics approval already been obtained from another ethics committee for this project?</p> <p><input type="radio"/> Yes → please specify and provide the documents</p> <p><input type="radio"/> No</p> |
| 2.3 | <p>Is ethical approval for project required before the funds can be obtained?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 2.4 | <p>Has ethics approval already been obtained for a similar research design? If yes, please provide references.</p> <p><input type="radio"/> Yes:</p> <p><input type="radio"/> No</p> |

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| 2.5 | Please list any research area-specific ethics guidelines (with a link to the relevant document) you have used in the planning of your research (e.g. from a professional society). |
| 2.6. | What are the mechanisms addressing ethical concerns during your research? |
| 3. Research Participants (A) | |
| 3.1 | Does the study involve research participants? <input type="radio"/> Yes <input type="radio"/> No → please proceed to 4. |

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| 3.2 | Please indicate what kind of personal data will be collected from participants in your research project. |
| 3.3 | <p>Please provide the following documentation regarding obtaining informed consent:</p> <ul style="list-style-type: none"> • Project Information sheet • Consent form (please provide an explanation if you choose oral consent) |
| 3.4 | <p>Do you plan to include vulnerable population groups?</p> <p><input type="checkbox"/> Minors</p> <p><input type="checkbox"/> Adults who are unable to give informed consent</p> <p><input type="checkbox"/> Anyone who is seriously ill or has a terminal illness</p> <p><input type="checkbox"/> Anyone in an emergency or critical situation</p> <p><input type="checkbox"/> Anyone with a serious mental health issue that might impair their ability to consent or cause the research to distress them</p> <p><input type="checkbox"/> Young offenders and prisoners</p> <p><input type="checkbox"/> Anyone with a relationship with the researcher(s)</p> <p>If Other (welfare recipients, people with language barriers, etc.) , please specify:</p> <div style="background-color: #cccccc; height: 100px; width: 100%;"></div> |
| 3.5 | <p>Might the study induce psychological stress or anxiety, or produce humiliation or cause harm or negative consequences beyond the risks encountered in the everyday life of the participants?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 3.6 | <p>Will the study involve discussion of sensitive topics (e.g. sexual activity, drug use, ethnicity, political behaviour, potentially illegal activities)?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |

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| 3.7 | <p>Will any drugs, placebos or other substances (such as food substances or vitamins) be administered as part of this study and will any invasive or potentially harmful procedures of any kind will be used?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 3.8 | <p>Will participants be required to take part in the study without their consent or knowledge at the time (e.g. covert observation of people in non-public places), and / or will deception of any sort be used? Please refer to the codes of ethics of your professional association.</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 3.9 | <p>Will the study ensure that your participants are freely giving fully informed consent to participate? This will usually include the provision of a Project Information Sheet and will normally require a Consent Form (see 3.3) unless there is justification for not doing so (if so, please explain how you will proceed).</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| 3.10 | <p>Will there be adequate arrangements for the withdrawal of persons from participation and withdrawal of data for your study? Participants should be able to withdraw from the research at any time. Participants should also be able to withdraw their data if it is linked to them and should be told when this will no longer be possible (e.g. once it has been included in the final report). Please attach all relevant documents or explain how you will proceed.</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> |
| <p>4. Research staff safety and wellbeing (A)</p> | |
| 4.1 | <p>Could the nature or subject of the research potentially have an emotionally disturbing impact on the researcher(s)?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> <p>If yes, briefly describe what measures will be taken to help the researcher(s) to manage this:</p> |

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| 4.2 | <p>Could the nature or subject of the research potentially expose the researcher(s) to threats of physical violence and / or verbal abuse?</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>If yes, briefly describe what measures will be taken to mitigate this:</p> |
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5. Potential damages to the environment and society

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| 5.1 | <p>Dual use research: Does the research include outcomes that could be misapplied and may create a potential threat to public health, safety, the environment or national security?</p> <p>If yes, please specify.</p> <p><input type="radio"/> Yes: <input type="radio"/> No</p> |
| 5.2 | <p>Will the study cause potential damages to the environment and society?</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No → no need to continue with part A</p> |
| 5.3 | <p>Please specify the potential risk/damage. Research activity includes:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Release of chemicals into the environment <input type="checkbox"/> Release of organisms into the environment <input type="checkbox"/> Removal or damage of resources <input type="checkbox"/> Actions that impact on the workings of ecosystems <input type="checkbox"/> Aesthetic damage, including visual, noise and odor pollution <input type="checkbox"/> Actions that have the potential to raise public concerns <input type="checkbox"/> Other (please specify): <p>Please discuss the extent of risk(s), magnitude and spatial extent of potential damages and explain the measures taken to reduce any potential damages.</p> |

Risk Assessment: If you ticked the grey box for ANY of the above questions, please proceed with Part B (Full procedure).

Part B (Full procedure)

6. Research Participants (B)

If your study does not involve research participants, please proceed to 7

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| 6.1 | Recruitment: How many people do you envisage will participate, who are they, and how will they be selected (inclusion/exclusion criteria)? |
| 6.2. | How will you contact research participants? |
| 6.3 | Will your project involve working with any substances and / or equipment which may be considered hazardous (if yes, please specify)? <input type="radio"/> Yes <input type="radio"/> No |
| 6.4 | Is research photographed or recorded (if yes, please provide the anticipated consent form)? <input type="radio"/> Yes <input type="radio"/> No |

7. Incidental Findings

Incidental findings are observations or findings in the course of a research, which are not related to the topic of the research. For instance, a discovery of physical abuse or illegal activities, or findings which affect the participant's welfare (health or otherwise).

If you do not expect to encounter incidental findings during your research, proceed to 8.

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| 7.1 | What kind of incidental findings may you encounter during the course of your research? |
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| 7.2 | Please provide details on your incidental findings policy. |
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8. Dissemination and Benefit Sharing

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| 8.1 | <p>Will the research findings, associated publications and, where feasible, data be made available in the country the research took place (if no, please justify)?</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No:</p> |
| 8.2 | <p>Will you discuss/disseminate the research findings to the study participants and/or local stakeholders (if no, please justify)?</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No:</p> |
| <p>9. Cooperation with local/non-academic partners</p> | |
| 9.1 | <p>Is cooperation with local/non-academic partners applicable and relevant for your study?</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No → please proceed to 10.</p> |
| 9.2 | <p>Is there a formal agreement in place with non-academic partners regarding the collaborative relationship? If you have an informal agreement, please provide details.</p> <p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not applicable</p> |
| 9.3 | <p>Have you reached agreements</p> |

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| | <p>relating to intellectual property, publication and authorship? (All participants will be given appropriate recognition in any outputs) <input type="radio"/> Yes <input type="radio"/> Not Yet <input type="radio"/> No</p> |
| | <p>to ensure diligence and care in data management and regarding archiving and reusing of collaborative research data after the project? <input type="radio"/> Yes <input type="radio"/> Not Yet <input type="radio"/> No</p> |
| | <p>to ensure that research partners adhere to the ethical and research integrity? <input type="radio"/> Yes <input type="radio"/> Not Yet <input type="radio"/> No</p> |
| | <p>If no, please justify:</p> |

| 10. Research staff safety and wellbeing (B) | |
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| 10.1 | Is the research carried out in compliance with legal rules and according to internal regulations (e.g. safety at work) of their JRF research institute? <input type="radio"/> Yes <input type="radio"/> No |
| 10.2 | Could the study be potentially harmful (physically/mentally) to the researcher(s) in this research? <input type="radio"/> Yes If yes, please discuss the extent of risk(s) and explain the measures taken to reduce any potential risks: <input type="radio"/> No → please proceed to 11. |
| 10.3 | Please provide information regarding the research staff (Project leader, team member, local staff, i.e. translator, drivers, enumerators, etc). |

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| <p>10.4</p> | <p>Does the research involve any fieldwork and might the research place raise any concerns?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes Where will the fieldwork take place?</p> |
| <p>10.5</p> | <p>Will any researchers be in a lone working situation? If yes, briefly describe the location, time of day and duration of lone working. What precautionary measures will be taken to ensure safety of the researcher(s)?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes:</p> |
| <p>11. Use of Artificial Intelligence (AI) in research</p> | |

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| 11.1 | What kind of AI systems, tools or applications are used in your research? |
| 11.2 | Please provide details on your AI policy. |
| 12. Data Protection and Data Management | |
| 12.1 | <input type="checkbox"/> The undersigned confirm(s) that the processing of personal information related to the study will be in full compliance with legal obligations (GDPR / DSGVO) and the regulations of their JRF research institute. |
| 12.2 | The undersigned confirm(s) to take adequate care of data management responsibilities during and after the study in line with legal obligations and the regulations of their JRF research institute. |

Checklist

- Marked Areas of Research and Methodology
- Part A filled out
- Abstract of research project including objectives, research questions and approach of the research (1.6)
- Description of the planned methodology/method(s) (1.7)
- Approval from another ethics committee (2.2)
- Project Information sheet (3.3)
- Consent form (3.3)

- Part B filled out, if you ticked a grey box for any of the questions in part A.