# Checklist for submitting a research proposal to the Ethics Committee

**Checklist for the principal researcher when submitting a request to the EC and for the EC member for an assessment of the ethical permissibility of a research proposal**

**1. General**

1. Reason for submitting request
2. Has this research or similar research by the department been previously submitted to the EC?

Yes,

No

If yes, please explain what are the changes compared to the previously submitted studies and indicate the reference number assigned to it by the EC?

Explanatory notes: ……………………………………………………………………………………………..

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**2. Questions about fulfilled general requirements and conditions human/animal material**

1. Is the research proposal to be considered as medical research?

Yes 🡪 if so, then possibly need to apply with METC, now at CMO, find more info [here.](https://www.radboudumc.nl/over-het-radboudumc/kwaliteit-en-veiligheid/commissie-mensgebonden-onderzoek)

No

Uncertain

Explanatory notes:……………………………………………………………………………………………...

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1. Does the research involve animals?
   * Yes 🡪 Has approval from CCD (Centrale commissie dierproeven) been obtained?
     1. Yes
     2. No 🡪 Contact the IVD (Instantie voor dierenwelzijn, chairman is Pieter Verbost, email animal-ethics@utwente.nl), to asses if your experiment is classified as an animal experiment and if so, to obtain their approval.
   * No
2. Does your research involve Animal by-products (cartilage/organs/eggs)
   * Yes 🡪 has permission been obtained for the use of animal by-products?
     1. Yes
     2. No, 🡪 Contact the head of the animal research lab (Jojanneke Jukes) to obtain instructions/approval
   * No
3. Does the research involve: human material (cells, dna, blood etc)
   * Yes 🡪is the material commercially obtained or from the UTwente blood bank?
     1. Yes
     2. No 🡪 will the material be acquired or isolated for this project?
        1. Yes 🡪Has informed consent been obtained for isolation of the material?
           1. Yes
           2. No
   * No
4. Does your research involve (non-human) genetic material (plants/animal/cells/anything) that has been obtained from abroad after 2014?
   * 1. Yes 🡪 Do you know if it is compliant with the Nagoya Protocol?
        1. Yes it is.
        2. No/don’t know -> contact Jojanke Jukes to ensure that it does not fall under the Nagoya protocol.

b.  No

1. Does your research involve genetically modified cells or organisms?
   * Yes 🡪
     + 1. 🡪 has permission been obtained from the biological safety officer (Ilja Sitters)?
          1. Yes
          2. No (If no, ethical clearance cannot be obtained until this point has been settled)
       2. 🡪 have the cells organisms been registered to be used within UT?
          1. Yes
          2. No
       3. 🡪 will the cells/organisms be cultured in certified ML2 facilities? 🡪
          1. Yes
          2. No 🡪Have the cells/organisms been approved for culture in ML1 facilities?

Yes

No 🡪 Note that ethical clearance cannot be obtained until this point has been settled)

* + No

1. Does your research involve human participants and/or are humans the object of your research?
   * Yes, Explain
   * No, Explain and 🡪Skip section 4

Explanatory notes:……………………………………………………………………………………………...

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(Nb it should be in principle possible for the applicant to say YES to BOTH).

**3. Questions concerning Artificial intelligence/police/military/dual use technology**

1. Does the research involve large datasets that pertain to human behaviour?
   * Yes 🡪Are the results of your research retraceable to individuals?
     1. Yes (remember that if data is anonymized it might still be possible to retrace)
     2. No
   * No
2. Is the outcome of your research used to influence people’s behaviour (individual or in groups)?
   * Yes 🡪 explain further
   * No

Explanatory notes:

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1. Does your research have military/police/defence applications?
   * Yes
   * No

**4. Questions concerning human participants in your research**

For more advice on this type of research and the WMO requirements contact the coordinator human research (Cindy Lammertink-Spenkelink)

1. Are adult, competent participants selected?

Yes, indicate in which of the ways ……………………………………………………………………..

No, explain

Uncertain, explain why

Explanatory notes:

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1. Is the selection process relevant to the statistical value of the research outcome?

Yes, indicate how you obtain valid results

No, explain

Uncertain, explain why

Explanatory notes:

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1. Are the participants completely free to participate in the research, and to withdraw from participation whenever they wish and for whatever reason?

Yes

No, explain why not

Uncertain, explain why

Explanatory notes:

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1. In the event that it may be necessary to screen participants in order to reduce the risks of adverse effects of the research: Will participants be screened?

Screening is not necessary, explain why not

Yes, explain how you screen and how you ensure participant safety

No, explain why not

Uncertain, explain why

Explanatory notes:

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1. Does the method used allow for the possibility of making an accidental diagnostic finding which the participant should be informed about?

No, the method does not allow for this possibility

Yes, and the subject has given signed assent for the method to be used

Yes, but the subject has not given signed assent for the method to be used

Uncertain, explain why

Explanatory notes:

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1. Does the equipment used pose any danger to the participants, is there any risk of injury?

Yes, explain how you ensure that both the researcher and the participant can be considered competent to deal with the risks

No, explain why not

Uncertain, explain why

Explanatory notes:

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1. Are participants briefed before participation and do they sign an informed consent beforehand

Yes, attach the information brochure and the form to be signed

No, explain why not

Uncertain, explain why

Explanatory notes:

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1. Are the requirements with regard to anonymity and privacy satisfied as stipulated in the data privacy impact assessment ([Privacy: personal data | Pre-DPIA form | Cyber Safety (utwente.nl)](https://www.utwente.nl/en/cyber-safety/privacy/pre_dpia_form/))

Yes, explain in a few short sentences what measures have been taken

No, explain why not

Uncertain, explain why

Explanatory notes:

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1. If any deception should take place, does the procedure comply with the general terms and conditions (no deception regarding risks, accurate debriefing) ?

No deception takes place

The deception which takes place complies fully with the conditions (explain)

The deception which takes place does not comply with the conditions (explain)

If deception does take place, attach the method of debriefing

Explanatory notes:

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1. Is it possible that after the recruitment of participants, a substantial number will withdraw from participating because, for one reason or another, the research is unpleasant?

No

Yes, that is possible

If yes, then attach the recruitment text paying close attention to what is stated about this in the protocol.

Explanatory notes:

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1. Describe the research with reference to the types of research described below and indicate possible differences with your research. Please provide any data you feel is relevant for an ethical consideration. Examples of Types of Research:

* **Interviewing**
  + Paper/online questionnaires / face to face interview / focus group (incl. e.g. “co-design workshop”)
* **Participation in formal experiment** (participants are asked to perform a set task / respond to predefined stimuli)
  + Laboratory experiment/ field experiment
* **Not experimental field research**: observations and/or contextual interviewing of persons in context of practice.
  + Type of data gathering: audio, video, note taking, technological data (sensor, tracking, online)
  + Researcher present / not present
  + Public space, private space

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**5. Competing interests**

1. Is this research project conducted in collaboration with a commercial party or performed under any kind of contract?

Yes, explain

No

Uncertain, explain why

Explanatory notes:

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1. Is there any payment (cash/goods/reimbursements) connected with this research, either to the researchers, the research group or the University, with the exception of non-profit funding agencies?

Yes, explain

No

Explanatory notes:

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1. Are the research data and results fully owned by the university?

Yes

No, explain the ownership

Explanatory notes:

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1. Are the results free to be published open access?

Yes

No, explain why not

Uncertain, explain why

Explanatory notes:

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**6. Project generals**

1. Title of the project:   
     
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2. Principal researcher (with doctoral research also a professor): …………………………………………………………………………………………………………………..
3. Researchers/research assistants (PhD students, students etc. where known):

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1. Department responsible for the research:  
     
    ………………………………………………………………………………………………………………..
2. Location where research will be conducted:  
     
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3. Short description of the project (about 100 words):

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1. Expected duration of the project and research period:  
     
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2. Number of participants (if applicable):  
     
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3. If you have to divert from your original plan (e.g. switching to an online platform due to COVID). Please consider for a moment the impact of such a change (e.g. you might be recording people’s homes during an interview and the data might be stored on a server that claims possession of all material). Please explain below which deviations you can envision and how you would deal with these.

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