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## Ethical Research Policy

The purpose of the CEU Ethical Research Policy is to establish the principles and responsibilities for ethical conduct in research by the members of the CEU community and in research supported by CEU. As a research intensive university, CEU values and protects academic freedom while safeguarding ethical principles in research such as respect for persons and their welfare and justice.

1. In accordance with its mission, CEU aims to uphold the highest standards of ethics in its research activities including research by the members of the CEU community (students, academic and administrative staff) as well as research supported by CEU (e.g. through research grants, providing facilities, administration, etc.).
2. CEU also aims to ensure that it does not receive or apply for research funding from inappropriate sources. The *Policy and Guidelines on External academic funding at CEU* regulates ethical considerations in seeking for and receiving external research funding.
3. CEU is committed to protecting and respecting the privacy of individuals and safeguarding their personal information. When research affects personal data<sup>1</sup>, the relevant provisions of CEU's Data Protection Policy of CEU shall also be applied.
4. Each member of the CEU community, persons contracted by CEU (including visiting fellows), grantees and persons/entities performing outsourced research tasks on behalf of CEU or a CEU researcher should adhere to the Ethical Research Guidelines (G-1012-1) which lay out the main principles of ethical research in the social sciences, humanities and other relevant areas. Each of the above mentioned is responsible for identifying ethical issues potentially pertaining to his/her research. In the case of research co-funded or co-hosted by CEU, ethical research guidelines of the co-funding/co-hosting institution might also apply in addition to the provisions determined by CEU Ethical Research Policy.
5. The CEU Ethical Research Committee (ERC) will compile a list of other ethical research boards whose reviews are recognized.
6. As an institution, CEU works to keep its community members aware about research ethics.
7. The overall responsibility for ethical research at CEU rests with the President and Rector and the Provost and Academic Pro-Rector. The Heads of Departments, Programs and Research Centers are responsible for ethical research within their units, including research done by students. The Principal Investigators are responsible for ethical standards in the projects they lead.
8. The CEU Ethical Research Committee (ERC) advises the Rector and the Provost on ethical issues pertaining to CEU research and oversees the implementation of CEU Ethical Research Policy and

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<sup>1</sup> Personal data shall mean any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. For more information please see CEU's Data Protection Policy.

CEU Ethical Research Guidelines. The ERC can introduce minor technical changes into the Ethical Research Policy and the Ethical Research Guidelines.

9. The ERC is chaired by the Provost or their appointee and includes at least three other members appointed by the Senate, one of whom may be an external academic with experience in handling ethical issues in research. The other members of the committee are chosen from among CEU academic staff members and senior administrative staff members with experience in research ethics in different disciplines. The ERC members are appointed for three years with the possibility of extension for another three-year term. The ERC establishes its own rules of operation ('Ethical Research Committee: Operational Rules', Annex 2 to Ethical Research Policy). The minutes of the ERC meetings, excluding the minutes from closed sessions, are available to all members of the CEU community upon request.
10. ERC can delegate responsibilities to appropriately established departmental/research unit Ethical Research Committees, especially when the nature of research within a specific area requires a separate committee. If the character of research makes it necessary, further legally applicable procedures can be followed by departments/research units under the supervision of the ERC or departmental/research unit Ethical Research Committees.
11. Ethical issues in all CEU research should be systematically identified with reference to the Research Ethics Guidelines and the Checklist on Ethical Issues in Research ('Checklist', Annex 3 to this Policy). Potential research ethics issues pertaining to research conducted at CEU should be identified, as a first instance, by the researcher(s) involved. Further procedures regarding the identification of ethical issues are specified in Ethical Research Committee: Operational Rules (see: Annex 2 to Ethical Research Policy).
12. In case ethical issues are identified in relation to a research project, the project design should be reviewed and approved by the relevant people or body. Further procedures for review and approval of research projects are specified in ERC Operational Rules.
13. The application for obtaining written endorsement of research by the ERC should be submitted in writing to the ERC using the Checklist on Ethical Issues in Research.
14. Endorsements of research are kept on file by the Academic Cooperation and Research Office.
15. CEU Ethical Research Policy contains special regulations in order to prevent any ethical misconduct. However, in case of any allegations regarding ethical misconduct, which, if established, would constitute a breach of CEU Code of Ethics, the provisions of the CEU Code of Ethics shall be applicable *mutatis mutandis* and, to the extent of any conflict, the provisions of the CEU Ethical Research Policy will apply and supersede CEU Code of Ethics.

Signed by *CEU President and Rector Michael Ignatieff*.

The original document is filed at the Office of the Academic Secretary.

# Annex 1 to the Ethical Research Policy

## Ethical research guidelines<sup>2</sup>

The purpose of the CEU Ethical research guidelines is to establish the principles and responsibilities for ethical conduct in research by the members of the CEU Community and in research supported by CEU.

### 1. Good Research Practice

1.1 Research undertaken in accordance with recognized research ethical principles constitutes good research practice and this guidance should be read in conjunction with the CEU Ethical Research Policy (P-1012-1).

1.2 Upholding recognized ethical principles in research requires an acceptance of and respect for principles of integrity, honesty and openness and a commitment to intellectual honesty and personal responsibility. Research should also aim to benefit society and minimize social harm. Research involving participants must be undertaken to gain knowledge and understanding and avoid unnecessary repetition of existing knowledge.

1.3 Prior to, during and following the completion of research activities, researchers are expected to consider the ethical implications of their research and any of its consequences for the participants involved. Research must be undertaken in accordance with commonly agreed standards of good practice such as those defined in the Declaration of Helsinki and any other guidance or ethical principles of appropriate professional bodies relevant to specific areas of research. Researchers are expected to consider their research from the perspective of the participant.

1.4 No member of the CEU community should be compelled or compel others to undertake or participate in research that conflicts with either the researchers' or the participants' individual ethical principles.

### 2. Scope

2.1 These guidelines must apply to all research conducted under the auspices of the University that involves direct contact with participants, through their physical participation in research activities (invasive and non-invasive participation), that indirectly involves participants through their provision of data and that involves people on behalf of others (e.g. parents on behalf of children).

2.2 Researchers must be especially sensitive to the need to consider, respect and safeguard the wellbeing of particularly vulnerable participants of research including but not limited to children; those with physiological/psychological impairments; those dependant on the protection or in the care of others and those with limited knowledge of the language in which research is conducted.

2.3 These guidelines shall be interpreted in accordance with CEU's Data Protection Policy which shall prevail in questions related to managing personal data not regulated in this Policy.

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<sup>2</sup> Adapted, with extensive editing, from the Warwick University Guidelines on Ethical Practice

### **3. Protection of Researcher/Research Team**

Some researchers will face a range of potential risks to their safety and the safety of their research team when conducting certain types of research for example a researcher may be required to enter potentially dangerous environments to question certain participants. Such issues need to be considered in the design and conduct of research and procedures must be adopted to minimize any risk to researchers. In addition, researchers must consult all appropriate health and safety guidelines and procedures relevant to their area of research before commencing work.

### **4. Protection of Participants.**

4.1 Researchers have a responsibility to protect participants from any harm arising from research. Harm to participants may arise from undue stress through participation, loss of self esteem, psychological injury as well as physical harm. As a general rule, people participating in research must not be exposed to risks that are greater than or additional to those they encounter in their normal lifestyles.

4.2 If it is expected that harm, unusual discomfort or other negative consequences might occur in the prospective participant's future life as a result of participating, the lead researcher must, prior to the person's participation, obtain written consent of the participants.

4.3 Before participating, people must be informed of procedures for contacting the lead Head of the Ethical Research Committee within a reasonable time, if following participation they experience stress, harm or have related concerns.

4.4 In the case of interviews and questionnaires, the content and line of questioning may be highly sensitive, raise confidential, personal issues and intrude, or be perceived to intrude, upon a participant's comfort and privacy. The initial judgment on whether or not questions are sensitive and likely to cause harm rests with a lead researcher. Researchers are encouraged to seek advice regarding these issues (for details about advisory bodies at CEU see Annex 2.).

### **5. Obtaining Consent**

Researchers should normally carry out investigations with the valid consent of participants having taken all reasonable and practicable steps to ensure that they, or their authorized representatives, have adequately understood the nature of the research and any anticipated consequences. Under no circumstances must coercion be used to obtain a person's consent to participate in research. Ideally consent should be obtained in writing but where this is not possible oral consent should be obtained.

#### **5.1 Informed Consent**

5.1.1 Informed consent is a process by which a prospective participant, prior to participating in research:

(i) Is fully informed about all aspects of the research project, which might reasonably be expected to influence willingness to participate. In addition, the researcher must explain all other aspects of the research about which the prospective participants enquire. Such aspects will include some or all of the following:

- the nature and objectives of the project
- the methodology of the project and conditions under which it is to be conducted
- the persons/institutions that will have access to personally identifiable information about participants
- the form in which research results will be published/communicated (e.g. aggregate statistical form)
- who is undertaking and who is sponsoring the project
- the potential risks and inconveniences that may arise
- the potential benefits that may result

- what participation in the research will require
  - whether it will be possible, and if yes, until what point, to withdraw from participation
- (ii) Freely and voluntarily gives consent to participating.

5.1.2 In case where, due to the nature of the research, informed consent is possible only after the researched situation is over, the researchers should obtain the consent as soon as the situation is over and when the participants do not consent the records of the situation should be destroyed in the presence of the participants.

5.1.3 Giving and obtaining consent can be a process, not always a one-off event and participants have the right to change their minds and withdraw consent at any time. However, if the withdrawal of consent occurs at the time when it affects the possibility of the finalization of the research (for instance, shortly before publication or thesis defense), the withdrawal should result *only* in the deletion of all personally identifiable data of the participant both in published materials and in stored and processed research data. If a researcher doubts whether a person participating in research still consents to participating s/he must clarify this with the person in question.

5.1.4 If the prospective participant is, for any reason, unable to understand the implications of participation, then the researcher is responsible for obtaining the informed consent of the parents/legal guardians of the prospective participant.

## 5.2 Coercion

5.2.1 Where a relationship exists between the researcher and participant (e.g. employees, patients, students or anyone in a dependence relation) careful consideration as to the nature of consent is required. Willingness to volunteer may be unduly influenced by the expectation of benefits or rewards. When research is being conducted with detained persons (e.g. prisoners) particular care must be taken over informed consent, paying particular attention to the special circumstances that may affect the person's ability to freely and voluntarily give informed consent.

5.2.2 People volunteering to participate in research may be paid for their inconvenience and time (taking into account the practices of a given academic discipline). Payments made to individuals must not be so large as to induce the individuals to risk harm beyond that which they would usually undertake. Financial payments might cover reimbursement for travel expenses and / or time. Risks resulting from participation must be acceptable to participants even in the absence of inducement.

5.2.3 The promise of compensation and care for damage, injury or loss of income as a result of participating in research activities to participants should not be considered coercion by inducement.

## 5.3 Research Involving Incompetent Adults

5.3.1 Where a prospective participant is unable to give informed consent to participate a 'legal representative' may give assent on his/her behalf (in case of uncertainty the researchers should seek professional advice on the competence of participants). The person unable to give consent should still receive information according to their capacity to understand, setting out the risks and benefits of participating in the research.

5.3.2 In the case of an adult this could be a person designated by the adult, a relative or an independent person nominated by, for example, the hospital at which the research is being undertaken. If the adult has appointed a representative who is available, then this person must be used to give assent. A relative can only be used if the person has not appointed a representative or if the representative is not available. An independent person should only be used if both the adult's representative and a relative are not available.

## **5.4 Research Involving Children**

5.4.1 Research involving children exists within both a legal framework and a more traditional context. The following guidance seeks to facilitate research involving children within a legal environment whilst respecting and taking into consideration the traditional and sometimes more formal guidance/procedures many settings may have. Laws of the country where the research takes place should be applied in determining whether participants in the research are children.

5.4.2 Parents (and others with parental responsibility) may agree to their children taking part in research, but where a child is able to understand sufficiently to give informed consent, their consent should be obtained in addition to parents'.

5.4.3 It is the researcher's responsibility to assess whether the child has sufficient understanding to consent to the research. Children's capacity to consent to research depends on their understanding of the research to be undertaken. Where information about the research and study can be given clearly and simply, it is possible for quite young children to consent to take part in research.

5.4.4 For a child to give valid consent they would need to understand the nature of the engagement with the researcher and understand that it is different to other interactions with those who may seek information from the child. Particularly, the child must be able to understand that the researcher is not able to make decisions about their life, and will use the information the child provides, but not in a way which would allow others to identify the child.

5.4.5 Where a researcher wishes to include children in a study whom he/she considers is not mature enough to decide about participation he/she must obtain the agreement of at least one person who has parental responsibility for the child before engaging them in any research activity.

5.4.6 Where children are considered competent by a researcher to participate they should be accorded the confidentiality as would an adult. There are however two areas of concern where the same level of confidentiality cannot be promised to a child: where a child discloses that they are being seriously harmed or ill-treated, or where the researcher discovers a condition about which the parents could take action to benefit the child. In these instances researchers could be seen to have a duty of care to disclose such information to relevant third parties.

5.4.7 In the case of research in educational settings, any special school policies or procedures must be followed and efforts made to fully inform those responsible for children in these settings of the purpose and benefits of any proposed research with children.

## **5.5 Research in Public Contexts and With Groups**

5.5.1 In certain types of research obtaining consent from every individual participating is impractical or unfeasible (e.g. observing a large crowd or observing discussions on the internet). In such types of research researchers must ensure the following:

- (i) That such research is only carried out in public contexts;
- (ii) That no details that could identify specific individuals are given in any reports on the research unless reporting on public figures acting in their public capacity (e.g. reporting a speech by a named individual);
- (iii) That unless those observed give their consent to be observed, observational research should only occur where those observed would expect to be observed by strangers.

5.5.2 The privacy and psychological well-being of people participating in observational research and people participating in research activities in which a researcher may actually be acting as a fellow

participant, for example as part of a wider group, must be respected. In such group based, participatory research activities the usual effort should be made to ensure that the group leader(s), or others in positions of responsibility, as well as other individuals of a group, are made aware that they participate in their activities with research purposes. If this "open strategy" is not pursued, the researcher must be able to make an explicit and convincing case why this was not done.

5.5.3 It is recognized that in certain types of observational research or organizational settings it may be more difficult to explain to people participating their right to withdraw at any stage. However, in such types of research, researchers are expected to make a reasonable attempt to do so.

## **5.6 Research Involving Deception**

5.6.1 In certain research disciplines (e.g. psychology), to ensure the viability of a piece of research, it is sometimes necessary to withhold information on the true objectives of the research from the people participating in it. In such types of research it is impossible to obtain informed consent from the participants. Wherever possible such research should be avoided and the Ethical Research Committee will pay particular attention to research involving deception. Where deception or the misleading of participants is considered necessary, the central principle to consider when deciding the ethical soundness of deception is the anticipated reaction of the participant once debriefed. If it is likely that the participant will be angry, or show unease once debriefed the research is likely to be deemed unacceptable.

5.6.2 However, when such research, requiring consent but not informed consent from participants, is judged to be necessary for the results of the research to be valid, researchers must exercise particular caution. In such circumstances the lead researcher has a special responsibility to: (i) Justify that alternative procedures to avoid the withholding of information or deliberate deception are not available and, if available, are not feasible for the research; (ii) Justify why the withholding of information, or an element of concealment or deception, is integral to the viability of the research.

## **5.7 Research Involving Personal Data**

In all cases where personal data is collected, recorded, used, or managed in any other way during research, the relevant privacy rules of CEU's Data Protection Policy shall be followed, as applicable.

## **6. Debriefing**

Debriefing does not provide a justification for unethical aspects of research but is rather a means for researchers to discuss with participants their experience of the research and to monitor any unforeseen negative effects or misconceptions. Debriefing is particularly important where any form of deception has been used and researchers have a responsibility to ensure that participants have received any necessary debriefing in the form of active intervention before they leave the research setting.

## **7. Research conducted in cross-cultural contexts**

7.1 Researchers should bear in mind the differences between civil, legal and often the financial positions of national and foreign researchers and participants and must be aware that there may be a number of national laws which can affect the conduct of their research. 7.2 Researchers should endeavour to balance professional integrity with respect for national and international law in the context of their research.

7.3 Researchers should endeavour to ensure that research is conducted with respect for under-represented social groups and that attempts are made to avoid their marginalization or exclusion.

7.4 Researchers should endeavour to ensure that the concerns of relevant stakeholders and user groups are addressed.

## 8. Confidentiality, Anonymity and Privacy

8.1 The collection, storage, disclosure and use of personal data by researchers must comply with all legislation relating to data protection and arrangements must be put in place by researchers to carefully protect the confidentiality of participants and their data. Details that would allow individuals to be identified must not be published or made available to anybody not involved in the research unless explicit consent is given by the individuals concerned.

8.2 Before consent is obtained, researchers must inform prospective participants of:

- (i) Risks regarding the confidentiality of personal data and data revealed during research when the information is gathered in the presence of other participants (e.g. focus groups);
- (ii) Any potential risks that might mean that the confidentiality or anonymity of personal data may not be guaranteed;
- (iii) Which individuals and organizations, if any, will be permitted access to personal data, and under what circumstances such access will be granted;
- (iv) The purpose for which personal information provided is to be used (e.g. if video material might be used for teaching purposes).

8.3 If it is necessary, in undertaking research, to identify participants explicitly, then the researchers must explain why this is the case and how confidentiality will be protected. Researchers must be aware of the risks to anonymity, confidentiality and privacy posed by all kinds of personal information storage and processing which directly identify a person (e.g. audio and videotapes, electronic and paper-based files, e-mail records).<sup>3</sup> Measures to prevent accidental breaches of confidentiality must be taken, and in cases where confidentiality is threatened, relevant records should be destroyed. Provisions for data security at the end of a project must be made.

8.4 Guarantees of confidentiality and anonymity given to research participants must be honored, unless there are clear and overriding reasons to inform appropriate third parties (e.g. cases of child abuse, where an uninvolved 3rd party may be at risk through the participant's actions or where a possibility of the participant's self-harm is revealed during the research). All participants have the right to access personal information, whether or not it is confidential, that relates to them, and to be provided with a copy of the information on request (all participants have to be made aware of the process and researcher(s) responsible for providing the information). People should have the right, following the completion of their period of involvement in the research and following discussions with the researcher, to withdraw their consent and to require that their own data be destroyed, if practicable and unless the withdrawal jeopardizes the research at its final stages (see also: 5.1.2).

## 9. Funding from External Sources

9.1 CEU supports and encourages its staff to seek external funding for their research activities and accepts funding for research from a wide and diverse portfolio of legal sources, in accordance with University financial regulations and ethical research principles laid down in CEU Ethical Research

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<sup>3</sup> 'Anonymity' denotes a requirement regarding data storage, processing and publishing whereby no personally identifiable data is recorded, stored or published during and upon conclusion of research activities. 'Confidentiality' refers to a requirement concerning data storage, processing and publishing according to which the personally identifiable data is available only to research participants and the researcher(s). 'Privacy' stands for a constraint imposed on a research activity whereby some information and areas of life of participants are not open to the scrutiny and surveillance by the researcher(s). In case the scope of the constraint is not clear to the researcher(s) or their research involves areas suspected to fall within the scope of the constraint, the researcher(s) should seek advice with CEU's ethical research advisory bodies (see: Annex 2.) or should negotiate the scope with participants.



Policy (P-1012-1) and in this document. All applications and proposals made, and contracts and awards accepted relating to external research funding, are done so on behalf of and in the name of CEU.

9.2 However, it is recognized that there may be circumstances where ethical issues can arise when considering whether or not to apply for or accept funding for research from particular sources. **It is important that the interests of all CEU community members and the interests and the reputation of the University as a whole are safeguarded when seeking and accepting external funding.**

9.3 The principles and procedures for considering ethical issues when applying for external research funding are laid out in the Policy on External Funding for Academic Activities at CEU (P0805-01v1202).

Further sources:

An EU Code of Ethics for Socio-Economic Research:

<http://www.respectproject.org/ethics/412ethics.pdf>

Panel on Research Ethics, Government of Canada:

<http://pre.ethics.gc.ca/eng/policy-politique/initiatives/revised-reviser/Default/>

Guidance for Research Ethics in the Social Sciences, Law and the Humanities:

<http://www.pre.ethics.gc.ca/francais/pdf/links/GuidelinesResearchEthicsintheSocialSciencesLawHumanities.pdf>

## Annex 2 to the Ethical Research Policy

### Ethical Research Committee: Operational Rules

All research at CEU (by members of CEU community and research supported by CEU) is expected to accord with recognized ethical research principles. Two CEU official documents safeguard that the expectations are met – *CEU Ethical Research Policy* and *CEU Ethical Research Guidelines*, the first of which specifies general principles and responsibilities related to ethical research while the second lays down the specific principles that the researcher(s) must abide by in their study.

This annex regulates the operation of the CEU Ethical Research Committee and procedures that researchers at CEU need to observe regarding the evaluation and review of their research.

#### Rules of Operation of ERC

##### 1. Decisions

Quorum is two-thirds; decisions by ERC are taken by simple majority.

##### 2. Raising awareness on ethical issues in research

(a) All academic staff members whose research can involve ethical issues, and staff members directly involved in administering such research, are required to undertake an online research ethics training and familiarization module, identified by the ERC, once every five years.

(b) Some academic disciplines require that ethical research training be a part of standard academic training in the discipline. The heads of CEU departments/research centers/schools report to the **Chair** of the ERC on the issue as necessary. In cases where ethical research training is part of the expected and practiced skills of the discipline, researchers from the department need not complete the ethical research training. These researchers are however encouraged to undertake the online research ethics training module as a way of renewing their existing skills set.

(d) Students whose work involves ethical issues and who do not receive adequate training on these issues in other form, e.g. as part of their courses are also asked to complete the training (see also below in 5.1).

##### 3. Persons/bodies at CEU with a responsibility to identify ethical issues in research

The ERC constitutes the highest instance regarding the identification of ethical issues and ethical review of research at CEU. In addition, the following persons/bodies may be involved in the identification/review process:

##### 3.1 Master's/PhD Dissertations/Research:

Academic supervisors;  
Heads of Departments/Programs;  
Academic program committees (e.g. Departmental Doctoral Committees); specialized Ethical Research Committees<sup>4</sup>;  
Dissertation committees;

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<sup>4</sup> A specialised Ethical Research Committee is a committee founded by a CEU academic unit (Department/School/Research Center) or as a joint committee set up jointly by more academic units when the character of the research field(s) of the unit(s) so requires. An example of such a committee is the Cognitive Science Ethical Research Committee.

### 3.2 Research conducted by/headed by Academic Staff Members:

- Principal researcher(s) responsible for a research project;
- Heads of Academic Units;
- Specialized Ethical Research Committees;
- Academic Cooperation and Research Support Office (ACRO);

### 4. Identification of ethical research issues and the need for a review

(a) The Checklist on Ethical Issues in Research is the basic instrument in identifying ethical issues. It is strongly advised that researchers use the Checklist as a guide for the research already in its designing/planning stage, so that possible violations of Ethical Research Policy and Ethical Research Guidelines are avoided.

(b) Every researcher at CEU should, before signing a contract with CEU, receive all the relevant documents relating to ethical issues in research (Ethical Research Policy, Ethical Research Guidelines, Operational Rules of the ERC, the Checklist on Ethical Issues in Research). All contracts signed with CEU should contain a clause: "I have received all the relevant documents related to the ethical issues in research and will abide by the rules laid down in these documents".

#### 4.1 Master's/PhD Dissertations

(a) Identification of ethical research issues in Master's thesis/PhD dissertation projects is the responsibility of the student and his/her supervisor(s).

The following are applicable only if any ethical research issue is identified in the thesis/:

(b) Unless there is another well-established disciplinary practice of addressing ethical issues in research, students and supervisors are advised to consult and use the Checklist on Ethical Issues in Research as a basis of identifying and addressing ethical issues.

(c) If there are research ethics issues involved in the student's work, supervisors should make sure that the student receives some form of training in this field. The training could be a component of research or methods courses which are part of the curriculum. Supervisors or Academic Unit Heads may wish to ask students to complete the online ethical research training module described in Point 2 in lieu of ethical research training in the Unit. .

(d) Departments/Programs may decide to make the submission and discussion of a completed Checklist a Prospectus Seminar requirement for thesis/dissertations/research proposals in which ethical issues were identified. It is within the authority of Departmental/Programs' authorities to make the Checklist on Ethical Issues in Research an integral part of the dissertation.

(e) Departmental/Program Committees may conduct random checks of dissertations and student work in progress with regards to the identification of ethical issues and reviews with regards to the compliance with Ethical Research Guidelines.

#### 4.2 Research conducted by academic staff

(a) Identification of ethical research issues in research projects is the responsibility of the principal researcher(s) of the project. If potential issues are identified, the Checklist on Ethical Issues in Research should be completed and filed so that it can be produced upon request by the ERC. If there are no ethical issues, there is no need to fill in the Checklist.

(b) Researchers may request consultations with other persons/bodies at CEU on ethical research issues in the order indicated in 'Research by Academic Staff Members' of section 3.2 above

(c) The ERC may conduct random ethical reviews of research projects. In those cases, the principal investigator(s) should produce the Checklist and all other relevant material for review as required. The specialised Committees appointed can also conduct random reviews in their field.

(d) All research projects by the CEU academic staff which receive either external funding or targeted funding from CEU should file a completed Checklist with the ACRO if ethical issues are identified in the project. In accordance with Point (c) above, the ERC may conduct random checks on these projects.

(e) If a research proposal fails to meet ethical standards required, the funding of the project may be refused or suspended.

(g) When an external funding body requires an ethical research review of the research project, ACRO upon completing the documents forwards the request to the ERC for review.

##### 5. Review process

(a) For review purposes, ERC maintains a list of potential reviewers, updated at the beginning of every academic year, both from among CEU academic staff members and academics not affiliated with CEU, with expertise relevant for determining issues in research ethics.

(b) Researchers applying for the ethical research review by ERC **should** submit the research proposal, the Checklist on Ethical Issues in Research, with the section on requesting a review filled in as appropriate, to the Chair of the ERC at least two months before the commencement of the research. The results of the review should be communicated to the researcher(s) in time for the start of the research.

(c) The Chair of the ERC will ask a member of the Committee to recommend reviewers for the proposal. The Committee member proposes two persons from the list of reviewers and/or from among the members of the ERC to serve as reviewers. The reviewers are asked to check the compliance of the research project with ethical standards.

(d) The review reports are submitted to the Chair of the ERC, and if amendments are proposed by the reviewers, these are conveyed to the applicant. Research proposals can be amended twice, and if necessary, reviewers are asked to check if amendments sufficiently address the concerns raised.

(e) The Chair of the ERC makes a decision about the acceptance or refusal of proposals, taking into account the reviewers' opinion and the compliance of the applicants with suggestions to amend the project.

(f) If continued supervision of the project is needed then, when possible, one of the reviewers is appointed and when not, the Chair of the ERC appoints a supervisor from the list of potential reviewers.

(g) In the case that an ethical research review is carried out by another Committee, to which such responsibilities had been delegated by the ERC in line with Point 10 of the Ethical Research Policy, the researchers have a responsibility to notify the Chair of the ERC and file the review results with ACRO.

## Annex 3 to the Ethical Research Policy

### Checklist on Ethical Issues in Research

This Checklist is intended as a guide for CEU students/researchers in planning, designing and carrying out research, and for applying approval to the Ethical Research Committee. The numbers in brackets indicate the relevant Points of the Guidelines on Ethical Research. When applying for approval from the Ethical Research Committee, please provide explanatory answers that enable the ERC to assess whether the Guidelines were followed.

#### A. General information

<b>1. Project name/title of thesis/dissertation:</b>
<b>2. Name(s) of Applicant(s):</b>
<b>3. Contact information of Applicant(s):</b>
<b>4. Department/Research Center:</b>
<b>5. Research Supervisor (if applicable):</b>
<b>6. Supervisor's contact information:</b>
<b>7. Date by which a decision on this application is required in order that the project can proceed as planned, if approval is required:</b>
<b>8. Expected date of completion:</b>
<b>9. Abstract of the project/thesis/dissertation:</b>

## B. Funding

<b>10. Sources, researchers' and their organisation's financial interests and ethical issues in case of external funding:</b>

## C. Participants

[If the research does not involve human subjects, go to section D.]

<b>11. Does the study involve human subjects, and how?</b> [Who will participate in the research? How will the subject/respondent group be chosen, what sampling techniques will be deployed? In which ways will the participants be involved?] (2.1)
<b>12. Are there potential benefits and hazards for the participants?</b> [Are there risks to the subject entailed by involvement in the research? Have procedures been established for the care and protection of subjects? Will the participants be informed of possible risks and hazards?] (2.2 – 3.4)
<b>13. Does the research involve any risks or pose danger to the researcher(s)?</b> [If yes, what procedures will be adopted to minimize the risks? Have the health and safety guidelines relevant to the area and character of the research been consulted and implemented?] (4)
<b>14. Will all procedures ensuring that consent is informed be followed?</b> [Including the possibility for withdrawing consent] (5.1)
<b>15. Are the recruitment procedures well planned, and risks of coercion considered?</b> [Might subjects feel compelled or “obliged” to participate? How is voluntariness ensured? Does the participation of research involve financial or other remuneration?] (5.2)
<b>16. Does the research involve incompetent adults, children, prisoners, other vulnerable groups, or contexts where obtaining consent is impossible (i.e. public context, groups)?</b> [Which “consent”-procedures will be applied instead?] (5.3 – 5.5)

<p><b>17. Does the research involve deception – and/ or experiments involving humans?</b></p> <p>In case deception of participants is involved: how is the impossibility to employ alternative non-deceiving method of research justified? How is the deception integral to the viability of research? Will debriefing be employed and how will the participant’s reactions influence the use of the data obtained?] (5.6 – 6)</p> <p><b>Projects that include non-participating or non-consenting subjects (e.g. as control groups and for comparison) need to also consider potentially adverse consequences for any such non-participants. This includes cases where differential access to information and other resources is provided as part of projects that might inappropriately favor or disadvantage some groups and individuals over others.</b></p>
<p><b>18. Will confidentiality and anonymity be secured?(8)</b></p>
<p><b>19. Will data protection and storage requirements be followed? (8)</b></p>
<p><b>20. Are there any plans for future use of the data beyond those already described?</b></p>

**D. Other Aspects:**

<p><b>21. Dissemination of findings:</b></p> <p>[What is the anticipated use of the data, forms of publication and dissemination of findings, etc.? In areas where information is jointly owned by participants as co-researchers attention should be paid to how the former want to use the data.]</p>
<p><b>22. Have you considered how to ensure that ethics considerations are reviewed as the project proceeds?</b></p> <p>[This is particularly relevant for projects that go on over a longer time period.]</p>
<p><b>23. Is there any other information, which you think would be relevant to the reviewers’, or your own consideration of the ethical issues raised in this documentation?</b></p>

**DECLARATION**

**The information supplied above is to the best of my knowledge and belief accurate.**

**Signature of Applicant:** .....

**Date:** .....



The following section has to be filled in only when approval by the Ethical Research Committee is required (for example for the purposes of securing external funding); see Annex 2, Operational Rules, to the Ethical Research Policy.

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I confirm that all ethical issues involved in the project have been addressed. I consider my study conform with the expectations of ethical research and I apply for its approval.

Date:

Signature of Applicant/Lead Researcher:

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I have read the application and confirm that in my view all ethical issues involved in the project have been addressed.

Additional comments (optional):

Date:

Signature of Supervisor (Head of Department, Director of Center etc.):

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The research proposal has been scrutinized and approved by the CEU Ethical Research Committee.

Additional comments (optional)

Reference number:

Date:

Signature of Chair (or Acting Member):

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<b>Document information</b>	
Type	Policy
Number	P-1012-1v 1805
Title	Ethical Research Policy
Related documents	
Approved by	Senate
Date of approval	December 3, 2010 amended February 29, November 23, 2012, May, 18 2015 and May 8, 2018
Enters force	December 10, 2010
Distribution	Internal
Filename	P-1012-1 v 1805 Ethical research policy