*The Ethics Review Board assesses grant proposals and research proposals submitted by ESHCC researchers (and, if so desired, Research Master students) in the domains of Social Sciences and the Humanities. This Ethics Review Application Form consists of three mandatory blocks of questions (i.e., Block A: General questions, Block D: Data management plan (except when no data is being collected), and Block E: Supplementary documentation), and two blocks of research specific questions (i.e., Block B: Data collection* among *human subjects and Block C: Data collection* about *human subjects) to be completed when relevant. For more information about this form and the assessment procedure, please visit the ESHCC Ethics Review Board website:* [*https://www.eshcc.eur.nl/english/research/about\_our\_research/ integrity\_and\_ethics/*](https://www.eshcc.eur.nl/english/research/about_our_research/%20integrity_and_ethics/)*.*

*We are working on a list of frequently asked questions (FAQ). The FAQ abbreviation is added below to questions for which more background information (i.e., policy requirements) is (becoming) available.*

**Block A: General questions *(Mandatory)***

***Information about the application***

(A1) Date of submission of the ESHCC Checklist for ethical assessment:

(A2) Project title:

 (A3) Researcher(s) involved (including supervisors in case of doctoral or MA research), please also include the position (PhD, assistant prof./associate prof./prof), and affiliation in case people from other universities are involved:

|  |  |  |
| --- | --- | --- |
| Researcher | Position | Affiliation |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

(A4) Department where the research will be conducted (multiple options possible):

[ ]  History

[ ]  Arts and Culture Studies

[ ]  Media and Communication

(A5) If applicable: Name of (targeted) funding organization(s):

***Information about the project***

(A6) Start date project:

(A7) Short project description (150-200 words, including research objectives and methods. *Please note, in case of consortium applications, please specify to what parts of the project the assessment pertains. A more elaborate project description may be required)*

(A8) Can the outcomes of the proposed project have a negative impact on persons and communities (with particular awareness regarding potential for stigmatization and discrimination)?

[ ]  Yes 🡪 Please explain the potential negative impact and what strategies are used to minimize this negative impact

[ ]  No

(A9) In case research involves [low and/or lower-middle income countries](https://datahelpdesk.worldbank.org/knowledgebase/articles/906519), are any benefit-sharing actions planned? Please provide details of benefit sharing measures; details of responsiveness to local research needs; Details of procedures to facilitate effective capacity building.

(A10) Could, at any point of the project, the physical or psychological safety of the researcher(s) be at risk?

[ ]  Yes 🡪 Please explain whose safety is at risk (e.g., that of the principal researcher or field researchers), how, and what strategies are used to minimize risk

[ ]  No

(A11) Is there any potential conflict and/or risk of reputational damage for the researcher(s) (e.g. compromising future career prospects, risk of legal or other formal disputes)?

[ ]  Yes 🡪 Please describe why and for whom (e.g., the principal researcher or other researchers) a potential conflict of interest and/or risk of reputational damage may occur, and what strategies are used to minimize conflict and risk

[ ]  No

(A12) Does your research involve data collection?

☐ Yes → Go to A13

☐ No → Go to block E

(A13) Location(s) of data collection (country, city, organization, online domain, archive):

(A14) Could the situation in one or several of these countries put the individuals taking part in the research at risk?

[ ]  Yes 🡪 Please provide details of safety measures you intend to take, including training for staff and insurance cover.

[ ]  No

(A15) Does the data collection pertain to human subjects (multiple options possible)?

[ ]  Yes, data is collected *among* human subjects, e.g., (ethnographic) interviews, focus groups, surveys, experiments 🡪 **Complete Block B**

[ ]  Yes, data is collected *about* human subjects, e.g., archival research, content analysis of books, articles, web threads or social media content, (participant) observation **🡪 Complete Block C**

[ ]  No 🡪 **Go to Block D**

**Block B: Data collection *among* human subjects *(To be completed when relevant)***

|  |
| --- |
| Applications that concern research that involves data collection must have a data management plan (DMP) in place and will not be processed without DMP: * A template is available on: [www.eshcc.eur.nl/english/research/about\_our\_research/ integrity\_and\_ethics/](file:///%5C%5Ccampus.eur.nl%5Cshared%5Cgroups%5CESHCC-EthicsReviewBoard%5C02_Versions%2012%20January%202018%5Cwww.eshcc.eur.nl%5Cenglish%5Cresearch%5Cabout_our_research%5C%20integrity_and_ethics%5C)
* If you have used a different DMP template, please check the DMP checklist available in Appendix 1

In case of data collection among human subjects consent (voluntary) must be obtained from the participants. * Templates (participants or parents/guardians) are available on: [www.eshcc.eur.nl/english/research/about\_our\_research/ integrity\_and\_ethics/](file:///%5C%5Ccampus.eur.nl%5Cshared%5Cgroups%5CESHCC-EthicsReviewBoard%5C02_Versions%2012%20January%202018%5Cwww.eshcc.eur.nl%5Cenglish%5Cresearch%5Cabout_our_research%5C%20integrity_and_ethics%5C)
* If you have used a different informed consent template, please check the DMP checklist available in Appendix 2
 |

(B1) What is the intended number of participants?

(B2, FAQ) Are all participants mentally competent adults (i.e., aged 18+ years), able to give legal consent themselves?

[ ]  Yes (link to [EUR template](https://www.eur.nl/en/eshcc/research/about-our-research/integrity-and-ethics))

[ ]  No, not all participants are 18+, please consult parents or guardian by way of the informed consent form parents / guardians (link to [EUR template](https://www.eur.nl/en/eshcc/research/about-our-research/integrity-and-ethics))

[ ]  No, all participants are 18+, but not all are able to give legal consent themselves 🡪 Please describe why this is the case, who will provide consent on their behalf, and how this consent will be obtained

(B3) Are there any ethical concerns related to the power relationship between the researcher(s) (and related others such as funding, corporate, or government organisations) and the research participants? (e.g., participants are students of the researcher(s); researcher as intervening third party; undocumented residents; marginalised group members).

[ ]  Yes 🡪 Provide explanation below, including steps taken to mitigate potential concerns

[ ]  No

(B4) Does the group of participants have any specific cultural and ethical norms that need to be accounted for (e.g. in the process of data collection or dissemination of research findings)?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

(B5, FAQ) Does the data collection involve multiple measurement occasions among the same group of participants, requiring reconfirmation of participants’ consent to continuous participation?

[ ]  Yes 🡪 Provide explanation below, including procedure to reconfirm consent

[ ]  No

***Information and consent procedure***

(B6 FAQ) Is voluntary informed consent sought from all persons involved in data collection?

[ ]  Yes, all participants will give active consent

[ ]  No, as specified in B2, the participants cannot give active consent themselves

[ ]  No, only certain key participants (e.g., ‘gatekeepers’ at targeted organization) are presented with an informed consent form about the research

(B8 FAQ) Are the (key) participants requested to provide written and/or oral consent prior to their participation?

[ ]  Written only

[ ]  Oral only

[ ]  Both written and oral

[ ]  No 🡪 Provide explanation below

(B9 FAQ) Are participants able to *withdraw their data* after it has been collected?

[ ]  Yes, they can withdraw their data whenever they wish

[ ]  Yes, but the withdrawal of consent shall not affect the lawfulness of processing based on consent before its withdrawal. In that case, personal data can be withdrawn.

[ ]  No, the data cannot be withdrawn 🡪 Provide explanation below

(B10) Are participants provided with the opportunity to view and correct transcripts from their interview and/or focus group?

[ ]  N/A, no transcripts from interviews or focus groups are produced

[ ]  Yes, participants can correct factual errors and withdraw certain quotes (of their own – not of others in case of focus groups)

[ ]  Yes, but they can only correct factual errors **→** provide explanation on the exclusion of withdrawing quotes below

[ ]  No 🡪 Provide explanation below

(B11, FAQ) Are participants provided with the opportunity to view and correct quotes in the publication when they can be identified?

[ ]  Yes 🡪 Provide explanation below (See best practice FAQ)

[ ]  No 🡪 Provide explanation below

***Benefits and risks for the participants***

(B12) Do the participants receive an incentive (i.e., a reward for participation)? If so, is this incentive reasonable within circumstances?

[ ]  No incentive is offered

[ ]  An incentive is offered and it is reasonable within circumstances 🡪 Provide explanation below

[ ]  An incentive is offered and yet it is perhaps smaller (or larger) than is reasonable within circumstances 🡪 Provide explanation below

(B13) Is it possible that, after recruitment, a substantial share of participants may decide not to participate further because the research is unpleasant (e.g. due to upsetting nature of research topic, unpleasant or invasive data collection, social or political circumstances)?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

(B14, FAQ) Does the research involve withholding information (e.g. about what is being measured or more general research conditions)?

[ ]  No, no information is withheld from participants

[ ]  Yes, information is withheld from participants, but the procedure ensures an accurate description of risk to the participants, whom will later be debriefed about the research 🡪 Provide information on the procedure below

[ ]  Yes, information is withheld from participants and the procedure may not fully indicate risks or be able to ensure debriefing upon completed participation 🡪 Provide explanation below

(B15, FAQ) Does the research involve deception from participants (e.g. about what is being measured or more general research conditions)? If so, does the procedure ensure participants are not deceived about risks and that they are to be accurately debriefed?

[ ]  No, the research does not involve deception

[ ]  Yes, participants are misled, but the procedure ensures an accurate description of risk to the participants, whom will later be debriefed about the research 🡪 Provide information on the procedure below

[ ]  Yes, participants are misled and the procedure may not fully indicate risks or be able to ensure debriefing upon completed participation 🡪 Provide explanation below

(B16) In the event it is necessary to screen participants for the purpose of reducing the risk of adverse effects resulting from the research (e.g. excluding people with high-risk characteristics), will participants be screened?

[ ]  N/A, screening is unnecessary

[ ]  Yes 🡪 Provide explanation below

[ ]  No 🡪 Provide explanation below

(B17) Could the research method result in unanticipated incidental findings that participants should be informed about (e.g., diagnosis of distorted behaviours and thoughts, e.g. gaming addiction, depression, other negative personal information for example concerning family heritage)?

[ ]  Yes, and participants are informed on and agree to the procedure to be followed 🡪 Provide information on the procedure below

[ ]  Yes, but participants are not informed or do not have to agree to the procedure to be followed 🡪 Provide information on the procedure below

[ ]  No

[ ]  Unsure 🡪 Provide explanation below

(B18) In cases where participants belong to socially disadvantaged communities, does your research subordinate their personal interests in relation to more general social and collective interests (e.g., research on criminal or anti-social behaviour)?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

**Block C: Data collection *about* human subjects *(To be completed when relevant)***

|  |
| --- |
| Applications that concern research that involves data collection must have a data management plan (DMP) in place and will not be processed without DMP: * A template is available on: [www.eshcc.eur.nl/english/research/about\_our\_research/ integrity\_and\_ethics/](file:///%5C%5Ccampus.eur.nl%5Cshared%5Cgroups%5CESHCC-EthicsReviewBoard%5C02_Versions%2012%20January%202018%5Cwww.eshcc.eur.nl%5Cenglish%5Cresearch%5Cabout_our_research%5C%20integrity_and_ethics%5C)
* If you have used a different DMP template, please check the DMP checklist available in Appendix 1

In case of data collection among human subjects consent (voluntary) must be obtained from the participants. * Templates (participants or parents/guardians) are available on: [www.eshcc.eur.nl/english/research/about\_our\_research/ integrity\_and\_ethics/](file:///%5C%5Ccampus.eur.nl%5Cshared%5Cgroups%5CESHCC-EthicsReviewBoard%5C02_Versions%2012%20January%202018%5Cwww.eshcc.eur.nl%5Cenglish%5Cresearch%5Cabout_our_research%5C%20integrity_and_ethics%5C)
* If you have used a different informed consent template, please check the DMP checklist available in Appendix 2
 |

(C1) What is the intended number of persons included in data collection?

(C2) Are you using data offered by a third-party research body (e.g., archives, census organization)?

[ ]  Yes 🡪 Provide details below

[ ]  No 🡪 Go to C5

(C3) Do you have written consent of the third-party research body to use the requested data?

[ ]  Yes 🡪 Attach written consent in Block E

[ ]  No 🡪 Provide explanation below (e.g., data is publicly available)

(C4) Do you require extra written consent of the archive and/or identifiable persons to use documents that are closed for the public?

[ ]  Yes 🡪 Provide explanation below and attach written consent in Block E

[ ]  No

(C5, FAQ) Does the research involve observations of public behaviour?

[ ]  Yes 🡪 Provide explanation below. Please realise that you need to obtain consent from your ‘gatekeeper’.

[ ]  No 🡪 Go to C10

(C6) Does the research involve recording peoples’ voices and images in public?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

(C7, FAQ) Can data included in the study (e.g. personal data, quotes, materials, survey responses from gatekeepers, etc.) be traced back to identifiable persons?

[ ]  Yes 🡪 Provide explanation below

[ ]  No 🡪 Go to C10

(C8, FAQ) Are these identifiable persons informed about the research and which data (e.g., personal data, quotes, materials, survey responses from gatekeepers, etc.) are included?

[ ]  Yes, they are informed about the research and which data will be used in the study 🡪 Provide information on the procedure below

[ ]  Yes, they are informed about the research, but not about the specific data used in the study 🡪 Provide information on the procedure below

[ ]  No, consent is only sought from the third-party research body 🡪 Provide explanation below

[ ]  No 🡪 Provide explanation below

(C9, FAQ) Can these identifiable persons object to the inclusion of their documents/archive?

[ ]  Yes, and the data associated with them will then be excluded from the study

[ ]  No 🡪 Provide explanation below

(C10, FAQ) Are there any ethical concerns related to the power relationship between the researchers (and related others such as funding, corporate or government organisations), the participants in the study, and, if applicable, the third-party research body offering the data?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

(C11) In cases where the people under study belong to socially disadvantaged communities, does your research subordinate their personal interests in relation to more general social and collective interests?

[ ]  Yes 🡪 Provide explanation below

[ ]  No

(C12, FAQ) Does the research involve withholding information (e.g. about the identity of the researcher on the internet)?

[ ]  No, no information is withheld from participants

[ ]  Yes, information is withheld from participants, but the procedure ensures an accurate description of risk to the participants, whom will later be debriefed about the research 🡪 Provide information on the procedure below

[ ]  Yes, information is withheld from participants and the procedure may not fully indicate risks or be able to ensure debriefing upon completed participation 🡪 Provide explanation below

(C13, FAQ) Does the research involve deception from participants (e.g. about the identity of the researcher on the internet)? If so, does the procedure ensure participants are not deceived about risks and that they are to be accurately debriefed?

[ ]  No, the research does not involve deception

[ ]  Yes, participants are misled, but the procedure ensures an accurate description of risk to the participants, whom will later be debriefed about the research 🡪 Provide information on the procedure below

[ ]  Yes, participants are misled and the procedure may not fully indicate risks or be able to ensure debriefing upon completed participation 🡪 Provide explanation below

**Block E: Supplementary documentation *(Mandatory)***

*Please submit the following files with your application:*

[ ]  The data management plan (compulsory when data is being collected)

[ ]  Informed consent form for research involving data collection among or about human subjects (compulsory when data is being collected)

[ ]  If available: A detailed description of the methodology (survey questions, experimental design, codebook, etc.)

[ ]  If applicable: Consent agreement with third-party research body providing data

**Appendix 1 Data management plan checklist**

In case you have not used the ESHCC data management plan template, please check whether your data management plan contains the following elements:

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Period of data collection (estimated start and end date) |[ ] [ ]
| Description of what data will be generated by your research |[ ] [ ]
| Description of who will ‘own’ the data, and the intellectual property rights relating to them? |[ ] [ ]
| Description of how, where and for how long the data collected will be stored |[ ] [ ]
| Description of how, and after how long the data will be disposed of |[ ] [ ]
| Explanation of what will happen with the data after the completion of the research *(embargo; making data findable/interopable; sharing data and reusability; open access)*  |[ ] [ ]
| Have you added the *following standard paragraph*? To act in accordance with the Netherlands Code of Conduct for Scientific Practice: “Raw research data are stored for at least ten years. These data are made available to other scientific practitioners at request. Raw research data are archived in such a way that they can be consulted at a minimum expense of time and effort.” |[ ] [ ]
| What are the estimated costs for making the project data open access? |[ ] [ ]
| Does the consent from the primary data cover further analysis (use of data for secondary analysis)?  |[ ] [ ]
| Is a means for obtaining consent for future secondary analysis indicated, if desired?  |[ ] [ ]

And in case you conduct research among/about human subjects:

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Clear justification for personal data that will be collected |[ ] [ ]
| Indication that only relevant data will be collected and this will not be more than what is needed for the research study |[ ] [ ]
| Description of all data protection measures, providing evidence that the confidentiality of the participants will be ensured according to the relevant EU standards (see e.g. EU Directive 95/46/EC and the GDPR), being: |  |  |
| 1. Clarification of whether the data will be anonymised (link to personal data will be destroyed) or coded (the data will be reversible) |[ ] [ ]
| 2. If the data will not be anonymised, an explanation as to why you cannot anonymise the data (e.g. you need to recontact the participants or do follow-up in case of long-term study) |[ ] [ ]
| 3. Description of how any link to the research participants will be handled if not fully anonymised |[ ] [ ]
| 4. If the data will be coded, description of the coding system, and who will have access to the code, incl. confirmation that it cannot be tracked back to identifiable persons unless essential for the study |[ ] [ ]

**Appendix 2 Informed consent form checklist**

In case you have not used the ESHCC informed consent form template, please check whether your data management plan contains the following elements:

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Researchers involved |[ ] [ ]
| Sources of funding |[ ] [ ]
| Purpose of the study |[ ] [ ]
| Respondent selection and recruitment procedure |[ ] [ ]
| Research procedure |[ ] [ ]
| Anticipated/potential risks/discomfort |[ ] [ ]
| Potential benefits |[ ] [ ]
| Confidentiality |[ ] [ ]
| Compensation |[ ] [ ]
| Sharing the results  |[ ] [ ]
| Right to withdraw |[ ] [ ]
| Statement of consent  |[ ] [ ]
| If applicable: consent to audio recording |[ ] [ ]
| If applicable: consent to secondary use (FAQ) |[ ] [ ]
| Independent contact person |[ ] [ ]