**Ethics Review Checklist**

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| **Instructions**   * This checklist will help you determine whether you need to submit your project for ethics review. If so, it will also help you determine which aspects you need to discuss in detail in the protocol form and whether you need to provide any supporting materials. * Complete the form by answering all the questions and items. If you have any doubts, please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu). |

**General Information**

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| Project Title: |
| Principal Investigator (PI) Full Name: |
| Department (or institution, if not UPF): |
| Applicant Full Name (if different from PI): |

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| Do you plan to follow the approved lab protocol? | yes | no |

If you selected “no”, you should explain all aspects of the procedures that do not conform to the standard protocol (e.g., participant recruitment procedure, payment procedure, etc.) in detail so that CIREP can review the deviations.

When answering the questions below, please note that you must collect personal data of the participants in order to process the payment of compensation, even if the data will be processed by administrative staff of the university.

1. **Human Participants**

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|  | | | If you answered “yes”: |
| Does your research involve human participants? | yes | no | Please complete the protocol form and submit your application by email to [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu). Include information on the recruitment procedures and inclusion/exclusion criteria and attach the informed consent form. |

If you answered “yes”, please respond to the questions below. If not, skip to section 2.

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|  |  |  | If you answered “yes”: |
| Are they minors under 14? | yes | no | Indicate the participants’ age range in the protocol form.  Note that minors under 14 cannot legally consent and are considered a vulnerable population. Consent must be sought from participants’ parents or legal guardians.  Please describe how the research team will ensure that participants understand what they are asked to do and give their assent. |
| Are they minors between 14 and 17? | yes | no | Minors are considered a vulnerable population. Minors 14 or older can legally consent to their personal data being processed. The consent form must be comprehensible to the target participants.  It is recommended that the participants’ parents or legal guardians’ consent be obtained as well, so consent forms for both the participants and their parents or guardians should be submitted with your application. |
| Are they over 65? | yes | no | Consider whether additional safeguards to protect the rights and welfare of participants may be necessary. |
| Are they patients? | yes | no | Note that, depending on the characteristics of your project, it may have to be reviewed by the Drug Research Ethical Committee (CEIm). Please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before completing the other application materials. |
| Are they vulnerable populations or populations that may require special provisions? | yes | no | Provide details on the type of vulnerability and justify the need to include this population.  Describe the measures you are going to implement to safeguard the participants’ rights. |
| Is it impossible or unfeasible to obtain consent from the participants themselves? | yes | no | Explain why this is the case and provide a comprehensive description of your proposed research methods. |
| Does your project involve deceiving participants or providing only partial information? | yes | no | Justify the need to do that and confirm that your methods will not cause any harm to your participants and that there are no alternative methods to achieve your research goals.  Explain how you will debrief your participants and indicate whether and how you will obtain informed consent retrospectively. |

1. **Protection of Personal Data**

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|  |  |  | If you answered “yes”: |
| Does your project involve personal data collection  and/or processing? | yes | no | Complete the protocol form and submit your application by email to [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu). Describe the procedures for data collection, storage, retention, transfer, destruction, or reuse. |

If you answered “yes”, please respond to the questions below. If not, skip to section 3.

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|  |  |  | If you answered “yes”: |
| Do you plan to import personal data from non-EU countries (including the UK)? | yes | no | Please review and confirm that the transfer of personal data will be made in accordance with the laws of the countries where the data will be collected. |
| Do you plan to export personal data to non-EU countries (including the UK)? | yes | no | An agreement between the institutions involved has to be signed. Please attach the agreement to your application or indicate when it will be signed if not yet available. |
| Do you plan to share the personal data collected with other non-UPF researchers? | yes | no | Indicate who will have access to which data and explain the transfer methods.  Confirm that a contract or a non-disclosure agreement (a template is provided on CIREP’s website) has been signed or will be signed between UPF and the researchers who will receive the data. |

Please respond to the questions below. If you answer “yes” to two or more of these questions, complete the DPIA template and submit it with the other application materials by email to [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu).

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| Does your project involve profiling or the evaluation of participants, including the collection of the participants’ data, in multiple areas of their life (work performance, personality, and behavior), covering various aspects of their personality or habits? | yes | no |
| Could your project contribute to or be involved in the design or implementation of automated decision-making systems that may have impact or prevent the access to products, services, or the exercise of rights by individuals? (E.g., systems to estimate individuals’ wealth status, professional competence, or probability of purchasing a product.) | yes | no |
| Does your project involve the observation, monitoring, supervision, geolocation, or control of the participants in a systematic and extensive manner, including the collection of data and metadata via networks, applications, or in publicly accessible areas, as well as the processing of unique identifiers that allow the identification of users of services of the information society, such as web services, social media, mobile applications, etc.? (E.g., systematic collection of all the activity of identifiable subjects on a social media platform for the last n years.) | yes | no |
| Does your project involve the use of special categories of personal data (i.e., data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership; genetic data; biometric data; data concerning health, or data concerning a natural person’s sex life or sexual orientation), data concerning criminal convictions or offenses, or data that allow the financial situation or solvency or personal information in relation to special categories of data to be determined or deduced? | yes | no |
| Does your project involve the use of biometric data for the purpose of uniquely identifying a natural person? | yes | no |
| Does your project involve the use of genetic data for any purpose? | yes | no |
| Does your project involve the use of data on a large scale? In order to determine whether processing may be on a large scale, consider the total amount of data subjects, the percentage of population analyzed, the amount of data collected, the retention time, and the geographical extension (e.g., data from over 100.000 users, data from over 90 % of UPF students, 10 years of retention time…). Check “yes” if at least one of these variables is large. | yes | no |
| Does your project involve the association, combination, or linking of records in databases from two or more data-processing events with different aims or from different sources? | yes | no |
| Does your project involve processing the data of vulnerable people or those who are at risk of social exclusion, including the data of persons aged under 14, older people, the disabled, persons who access social services, the victims of gender-related violence, patients of health or mental health institutions, etc.? | yes | no |
| Does your project involve the use of new technologies or an innovative use of consolidated technologies, including the use of technologies on a new scale, for a new purpose, or in combination with others, in a manner that entails new forms of data collection and usage that represents a risk to people’s rights and freedoms? (Clarification: CIREP is aware that most research projects by definition include innovation. Please select “yes” only if the technology or combination of technologies in use are truly new and the research outcome may pose a risk to people’s rights and freedoms.) | yes | no |
| Does your project involve processing data in a way that prevents participants from exercising their rights, using a service, or executing a contract? (E.g., participants cannot be informed that their personal data is to be used in the research project, or participating in the research project may block their access to some services.) | yes | no |

1. **Collaborative Projects**

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|  |  |  | If you answered “yes”: |
| Is this a collaborative project not led by UPF researchers? | yes | no | Please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before you complete the other application materials. |

If you answered “yes”, please respond to the questions below. If not, skip to section 4.

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|  |  |  | If you answered “yes”: |
| Has the lead partner obtained approval from their institution’s ethics committee? | yes | no | CIREP can waive the need for ethics review if the UPF researchers commit to following the approved protocols. Please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before you complete the application. |
| Has the ethics committee at the lead partner’s institution deemed the project exempt from ethics review? | yes | no | CIREP can waive the need for ethics review in certain cases. Please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before you complete the application. |

1. **Other Ethics Issues**

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|  |  |  | If you answered “yes”: |
| Does your research involve non-human animals? | yes | no | Note that projects involving non-human animals are reviewed by the Ethical Committee of Animal Experimentation at PRBB (CEEA-PRBB). Depending on the characteristics of your project, it may have to be reviewed by CEEA-PRBB. Please contact us at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before you complete the application. |
| Does your research involve the use of elements that may cause harm to humans (including research team members, due to, for example, fieldwork in politically unstable countries or the use of harmful or radioactive materials in the lab), the environment, animals, or plants? | yes | no | Provide details on health and safety measures to be implemented (section 6 of the protocol form).  Please provide a risk assessment and mitigation plan. |
| Do you plan to import any material, excluding personal data, from non-EU countries (including the UK)? | yes | no | Please describe the materials that you plan to import and the countries involved. Confirm that the transfer of materials will be made in accordance with the laws of the countries where the materials will be obtained and attach relevant import permits. |
| Do you plan to export any material, excluding personal data, to non-EU countries (including the UK)? | yes | no | Please describe the materials that you plan to export and the countries involved. Attach relevant export permits. |
| Does your research have the potential for military applications (dual use) or for malevolent, criminal, or terrorist abuse (misuse)? | yes | no | Please provide a risk assessment and mitigation plan. |
| Does your research involve the development, deployment, and/or use of artificial intelligence-based systems in a high risk area (i.e., an area listed, or closely related to the ones listed, in Annex III of the proposed [Artificial Intelligence Act](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52021PC0206)? | yes | no | Please provide a detailed explanation on how the potential ethics issues will be addressed, a risk assessment, and a description of the measures set in place to mitigate ethics risks. |

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| * If you answered “yes” to any of the questions in **sections 1 and 2**, please complete the application forms and submit them by email to [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu). Before you submit your application, check the instructions provided to determine which aspects you need to discuss in detail and whether you need to provide any supporting materials. * If you answered “yes” to any of the questions in **section 3 and 4**, please send us this checklist at [secretaria.cirep@upf.edu](mailto:secretaria.cirep@upf.edu) before you complete the other forms. |

**Signature**

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| PI Date |