

GRADUATE INSTITUTE RESEARCH ETHICS CHECKLIST

| | Yes | No |
|--|--------------------------|--------------------------|
| ➤ Will the research involve topics that may be deemed politically or culturally sensitive (e.g. sexual behaviour or preference, experience of violence or abuse, mental health, use of medical or biological data, ethnic status, religious belief)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Could the research cause harm or entail negative consequences for vulnerable groups of people or communities? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Could the research cause harm, induce physical or psychological stress, or entail risks to participants or third parties beyond what can reasonably be expected in everyday life? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research involve participants who are particularly vulnerable or unable to give informed consent (e.g. children, inmates, adults with learning difficulties, physical or mental impairments)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research require the cooperation of a “gatekeeper” (e.g. an authority figure who has the power to grant access to groups and individuals, possibly without their informed consent)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will it be necessary for participants to take part in the research without their knowledge and consent at the time of participation (e.g. research involving deception or covert observation)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will material or financial inducements (other than reasonable expenses and compensation for time) be offered to participants? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research involve collecting confidential, protected or otherwise sensitive data? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research involve the internet or other visual/vocal methods (e.g. recordings, pictures, videos) where people may be identified? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research require approval from competent authorities to collect data from public or private institutions (e.g. schools, charities, prisons, hospitals, government agencies)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research involve investigation of illegal conduct or criminal offences? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research involve collection of medical or biological data? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Will the research take place in politically sensitive, conflictual or dangerous environments or expose investigators to potential risks, harm or injury? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Could the research entail or lead to conflicts of interest (e.g. financial sources compromising the independence or objectivity of the research)? | <input type="checkbox"/> | <input type="checkbox"/> |
| ➤ Could the image of the Graduate Institute, its academic departments or research centres, or any other institution involved in the project be negatively affected by this research? | <input type="checkbox"/> | <input type="checkbox"/> |

If you have answered “yes” to any of the questions above, please read what follows.

- A. If you are a researcher at the Graduate Institute submitting a research project or grant application to an external funding agency requesting ethical approval from the host institution
- Please fill out and send the *Research Ethics Approval Form* to the Graduate Institute’s Ethics Review Committee (ResearchOffice@graduateinstitute.ch) together with the required attachments. The Ethics Review Committee will get back to you within four weeks.
- B. If you are a Master or PhD student
- Please contact the competent faculty (in case of seminar papers) or your thesis supervisor (in case of Master or PhD theses) to discuss the ethics issue(s) you have identified and take appropriate measures.
- C. Research projects not falling under the criteria specified under point A but a) potentially presenting significant ethical risks or b) requiring ethics approval for journal publications or c) requiring ethics approval for the conduct of field work (i.e. the granting of local ethics approvals) may be referred to the Ethics Review Committee by way of exception. In such cases a preliminary assessment is required from the thesis supervisor (in the case of PhD or Master students) or from the Head of the relevant department or research centre/programme. The preliminary ethics assessment needs to be sent together with the completed Research Ethics Approval Form to the Ethics Review Committee (researchoffice@graduateinstitute.ch).