CETOR Application Form

Request for ethical assessment of research by the Research Ethics Review Committee Faculty of Law (CETOR)

This form is in English, but feel free to respond in Dutch / Dit formulier is Engelstalig, maar u kunt gerust in het Nederlands de vragen beantwoorden.

For explanations of the questions, see the document: CETOR Guide
Zie voor uitleg bij de vragen het document: CETOR Leeswijzer

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1. Date of Submission

Day-Month-Year

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2. Title of Your Research

Complete (working) title

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3. Date of Commencement and (expected) Duration of Study

Intended start date of the study and intended end date
(Day-Month-Year to Day-Month-Year)

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4. Applicant and Any Other Investigators

Your name and email address and the names of any other investigators.
Are you the responsible investigator (Primary Investigator/P.I.)? If not, please state who is.

Is the project a joint project with external partner organizations or institutions?

- *No*
- *Yes, please mention the name of the institution, the principal investigator or contact person at the other institution.*
  Is this partner situated in- or outside the European Union?
  Is there a (formal) agreement between the institutions regarding this research project?

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4a. PhD Candidate

If you are a PhD candidate, please fill in the following:

0 PhD candidate-employee

0 PhD candidate, not an employee (external PhD candidate or scholarship PhD candidate)

Who are your supervisors?

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5. Department/Section/Research Program

Research program and department or section where the research is conducted.

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6. Description of the Study

a. Brief description of the study, especially the research question and methodology. (Tip: copy this information from the CWB application).

b. Previous studies in the same field. Have you conducted similar research yourself in the past, or are you aware of similar research at the University of Groningen?
Was ethical review conducted in those cases?

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7. Funding and Principal

Who is funding your research? The University of Groningen (1st flow of funds), research funders such as NWO or the EU (2nd flow of funds), or other institutions or companies (3rd flow of funds). In the case of external funding, has your research already been reviewed by the funding agency on ethics and data management?

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8. Data Collection

What type of data will be collected?

- *0 Quantitative data (numerical and measurable information)*
- *0 Qualitative data (descriptive insights like opinions or observations)*

Do you use secondary data (data from existing sources)?

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0 No
0 Yes (please explain)

What method(s) will you use for the collection of data?
(delete or cross out the not-applicable options)

- *Structured individual interviews*
- *Semi-structured individual interviews*
- *Structured group interviews*
- *Semi-structured group interviews*
- *Observations*
- *Survey(s)*
- *Experiment(s) in real life (interventions)*
- *Other (please explain)*

Which software will you use to analyze data?

- *Software available in the University Workplace (i.e. Excel, Stata, Atlas-ti)*
- *Software purchased / licensed for this research project (please explain)*
- *Open software or software developed in this research project (please explain)*

Will you use Artificial Intelligence tools to analyze data? MG or: to process data (automated transcription is not analysing but processing, processing is a broader term)

- *Tools available in the University Workplace (i.e. Mistral Le Chat, Whisper)*
- *Software purchased / licensed for this research project (please explain)*
- *Open software or software developed in this research project (please explain)*

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9. Participants

If you will be working exclusively with secondary data and/or there is no interaction with persons, you can skip this question.

a. Describe the research population (students, citizens, experts, etc.).

b. Are there any underage or vulnerable participants?
If yes, please describe this in detail in Section 16-A.

c. Is there a dependency relationship between the researcher and the participants? If yes, describe.

d. Describe the method of recruiting respondents.

e. Are participants (possibly) rewarded?

f. What information is reported back to the participants?

10. Risks for Participants

Describe whether there are risks for the participants or data subjects, such as health risks (e.g., stress) or misuse of personal data (profiling).
If yes, what measures do you take to eliminate or reduce these risks?
Assess whether it is necessary to refer participants to institutions that can provide assistance or aftercare.

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11. Permission

Are there institutions outside the University of Groningen that need to give permission for the research, and if so, to what extent has this permission already been obtained?

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12. Risks for the Researcher

Describe whether there are risks for the researcher and, if so, what measures will you take to eliminate or reduce these risks.
Assess whether it is necessary to provide special support to researchers.

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13. Risk of Malicious Use

Explain whether there is a risk that third parties could maliciously use the research.

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14. Withholding Information or Use of Deception

Describe whether, and if so, how information is withheld or deception is used in the research. Add an appendix (debriefing document) to this application that explains how participants are informed about this afterwards.

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15. Risk to the Reputation of the University of Groningen

*Describe whether there are risks to the ethical reputation of the University of Groningen **or** your own reputation; for example in the case of socially controversial research or funding by*

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controversial companies or interest groups.
If so, what measures you take to eliminate or reduce these risks.

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16. Processing and Protection of Personal Data

Because of the **General Data Protection Regulation (GDPR)**, several matters must be recorded. This registration, combined with the other information from this form, can demonstrate that there is a legal basis for processing personal data and that the researcher takes appropriate "technical and organizational measures" to protect the personal data processed in the research.
Have a look at the CETOR Guide for more information on these questions.

A. Categories of Research Subjects
People whose personal data will be processed.
Delete or cross out what does not apply

0 Adults (not vulnerable)

- Minors < 16 years
- Minors < 18 years
- Patients
- Vulnerable persons (describe below)

Please note: research subjects can be "vulnerable persons", depending on the circumstances related to the project and the research subject. People are vulnerable in the context of the GDPR when:

- *They cannot freely give their consent or cannot object to participation in the research. For example, patients, detainees, and minors;*
- *They are unable to form an opinion about the processing of their personal data (e.g., individuals with a certain mental disorder);*
- *The processing of the personal data processed about them could harm them (e.g., processing political opinions of people in countries with oppressive regimes).*

B. Categories of Personal Data that will be processed
Delete or cross out what does not apply.

- General personal data
- Special categories of personal data:
    - Nationality
    - BSN (Citizen Service Number) or V-number (foreigners registration number)
    - Information revealing racial or ethnic origin
    - Information revealing political opinions

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- Information about a person's physical health
- Information about a person's mental health
- Information about a person's sex life or sexual orientation
- Information revealing religious or philosophical beliefs
- Information revealing membership in a trade union
- Biometric information
- Genetic information
- Criminal record
- Other (explain below)

C. Providers of Personal Data

Who will provide the personal data that will be used in the research? If the personal data will be provided by an external party (not being the researcher or the University of Groningen), describe which party(ies) this concerns and indicate whether an agreement has been signed.

- Data provided by the researcher
- Data provided by the University of Groningen
- Data provided by an external party (explain below)

Explanation: *In interviews or surveys, the researcher provides the data themselves. For external parties, agreements must include provisions on handling the personal data used in your research.*

D. Data Protection

What technical and organizational measures do you take to protect the personal data of those involved? Also explain these measures in the information document for participants and in the consent form.

Pay attention to the different phases of the research:

- *Recruitment of participants (if applicable);*
- *Data collection and transfer of data;*
- *Storage and archiving during and after the research;*
- *Sharing and publishing of research data;*
- *Reports and publications.*

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E. Personal data forwarded outside the EU
Will any personal data be transferred to countries outside the European Economic Area? Please note: The European Economic Area includes EU, Norway, Iceland and Liechtenstein. The United Kingdom is a non-EU country after 1 May 2021 and is subject to an adequacy decision issued by the European Commission[1].

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17. DPIA pre scan

In case of a situation as listed below, it could be advisable to perform a DPIA (Data Protection Risk Assessment) in advance of the ethical assessment by the CETOR.
More information on a DPIA can be found in Appendix ii in the CETOR Guide.

1. Processing sensitive personal data (e.g. criminal data, data on orientation, health data);
2. Processing personal data of vulnerable persons (e.g. children, mentally ill persons and patients);
3. Assessing people based on personal characteristics (e.g. profiling);
4. Making automated decisions based on personal data (making decisions without human intervention, for example providing a mortgage);
5. Systematic and large-scale monitoring (e.g. camera surveillance);
6. Large-scale data processing (e.g., because of numbers of people, duration, or amount of data);
7. Linking of collections of personal data (e.g., combining databases of multiple organizations);
8. Use of new technologies (e.g. mobile apps, new access control, smart camera systems);
9. Blocking a right, services or contract based on personal data (individuals lose control or a right).

0 None of the above is, or might be, applicable to this research project;
0 One or more of these situations is, or might be, applicable to this research project. Please explain below.

18. Data Management

A. Where will the (raw) data be stored during the research?
   - On your personal drive (X-drive) of the UG network
   - In a Publication Package or other shared drive (Y drive) on the UG network
   - On a Unishare drive
   - On a (shared) UG Google Drive
   - Other, please specify

B. Are there non-digital data (such as field notes, diaries, paper surveys, photocopies of original documents, etc.) that need to be stored during and after the research?

[1] *https://commission.europa.eu/document/download/a7907f8f-6e1c-4782-a193-d16b2cfe7650_en?filename=JUST_template_comingsoon_standard_26.pdf*

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- No
- Yes. Please specify and explain where these documents will be stored during the research and (when applicable) archived for the long term; how is access and management (including destruction after archiving) arranged.

C. Will you be sharing data during your research with researchers who are not part of the research group as described in Section 4?
   - No
   - Yes, please mention their names and the organization they work for.

D. Are there shared responsibilities for data management?
   - No
   - Yes, please explain below.

E. Where will the data be stored after the research?
   - Data is archived in a Publication Package or other shared drive (Y drive) on the UG network
   - Data is archived in another location (please explain below)
   - There is no data to be archived (please explain below)

F. For how long should the data be kept after the project ends?
   - 10 years (this is the standard retention period according to the Faculty Data Management policy)
   - Less than 10 years (please explain why and for how long)
   - More than 10 years (please explain why and for how long)

G. Will data suitable for reuse, or data not available in the publication(s), be archived and published in a repository to be available for other researchers?
   - Yes, in DataverseNL (the default UG repository)
   - Yes, in … (please specify)
   - No, data suitable for reuse is published in another way (please specify)
   - No, there are no data suitable for reuse (please explain)
   - No, for data protection or other (legal) reasons, data is not made available to other researchers (please explain)

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Attachments to this Application

- Form: Information about the research (mandatory)
- Form: Informed consent (if applicable)
- Form: Debriefing (if applicable)
- Recruitment materials for respondents (if applicable)
- Questionnaires or topic lists for semi-structured interviews (if applicable)

Please submit this form and attachments by email to the CETOR Secretary:

Christine Penninga-Lin
Secretary of the Ethical Committee (CETOR)
Faculty of Law - Research Office
E: c.i.penninga-lin@rug.nl

If you have any questions about the forms or procedure or would like to discuss your application before submitting it, you are very welcome to contact the CETOR Secretary.

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