

RESEARCH ETHICS REVIEW CHECKLIST

Version: 16 July 2024

Start of Block: Introduction

Intro Ethics Committee - Review Questionnaire

Thank you for your interest in conducting your research at NOVA Information Management School and MagIC Research Center.

This ethical review questionnaire will be completed for all research at NOVA IMS that involves human participants and personal data, regardless of whether it is collected online or in person, whether it is based on a survey, an experiment, a dataset, or interviews (i.e., it is also compulsory for observational studies and field interviews with managers).

This checklist is not applicable:

- To research that only involves collecting secondary data from open access databases and sources.
- To “Health-related research” referring to activities within the more classic realm of research with humans (e.g., observational research, clinical trials, biobanking and epidemiological studies). In such cases, please submit the **Research Protocol** for evaluation by the Ethics Committee by email to ethicscommittee@novaims.unl.pt.

Completing the questionnaire should take less than 5 minutes (about 15 questions), the following information will be useful when filling out the questionnaire:

- Information about the research project (e.g., R&D project, specific questions asked).
- Information about persons involved in research projects (name, title, and e-mail address).
- The description of the informed consent form and of the debrief form that you will use (only if you anticipate that you will need them).

The purpose is to identify the nature of the review process that will be carried out under the school’s ethical procedures (exempt or standard review):

- **APPROVED:** If your answers indicate that your project has no significant ethical implications, you will receive automatically the Ethics Committee Certificate of Approval.
- **NEED REVIEW:** If your answers indicate that your project may have ethical implications that should be brought before the NOVA IMS Ethics Committee and you might be asked to provide further information by email.

The NOVA IMS Internal Review Board Ethics Committee will perform a standard review within 1-2 weeks from submission.

At the end of the survey, you will be able to save a PDF with your answers for your records. You will also receive an email by completing this questionnaire. **Although the Ethics Committee reviews all procedures, do remember that ensuring the ethical treatment of participants is ultimately the researcher's responsibility.** In case of doubts, please contact the Ethics Committee: ethicscommittee@novaims.unl.pt

End of Block: Introduction

Start of Block: Project details

Details Please fill in the fields below:

Project Title: (1) _____

Name of the Principal Researcher (2) _____

Role of the Principal Researcher at NOVA IMS: (10)

Name of other Researcher(s) or Supervisor (if applicable) (3)

Other institutions involved (if applicable) (8)

Funding information (if applicable) (9)

Email address of applicant (4) _____

Date the Project Started (5) _____

Relevant Project Information (e.g., type of study or dataset, brief description, survey links, consortium information, etc) (7) _____

End of Block: Project details

Start of Block: Research Ethics Initial Checklist

Q1 What is the main field of the research project?

(DDMKT = Data-Driven Marketing, INFSYS = Information Systems, GEO = Geoinformatics, DSCI = Data Science, STAT = Statistics, FIN = Finances, OT = Other)

- DDMKT (1)
- INFSYS (2)
- GEO (3)
- DSCI (4)
- STAT (6)
- FIN (7)
- OTHER (8)

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Eligibility Please select the option that applies to the research project:

- The research ONLY involves collecting secondary data from open access databases and sources.
 - Usual APPROVED report sent by email to the Principal Researcher.
- The project is “Health-related research” referring to activities within the more classic realm of research with humans (e.g., observational research, clinical trials, biobanking and epidemiological studies).
 - According to the regulations of the Ethics Committee of NOVA IMS and MagIC Research Center this project was considered to **NEED REVIEW** in order to meet the requirements of the NOVA IMS Internal Review Board. For this reason, please submit the **Research Protocol** for evaluation by the Ethics Committee by email to ethicscommittee@novaims.unl.pt.
- None of the other options applies.

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Q17 Will you tell participants that their participation is voluntary and for academic purposes?

Yes (1)

No. Please justify: (2) _____

Q31 Can participants opt out?

Yes (1)

No. Please justify: (2) _____

Q16 Do you inform participants about the research purpose, methods, intended possible use of the research, and privacy / confidentiality note (e.g., debrief participants, or provide Consent Form for Participation to be signed by both the researcher and the participant)?

Yes (1)

No. Please justify and, if applicable, provide a link to the document of the Consent Form for Participation in your research: (2) _____

Q2 Does the study involve children/ minors or other persons unable to give informed consent?

No (4)

Yes. Please justify: (5) _____

Q3 Does the research involve potentially vulnerable individuals or groups (e.g., those with cognitive impairment, or those in unequal relationships)?

No (4)

Yes. Please justify: (5) _____

Q5 Will it be necessary for participants to take part in the study without their knowledge and consent at the time? (e.g., cover observation of people in non-public places)

No (14)

Yes. Please justify: (15) _____

Q6 Will the study involve processing personal data about sensitive topics? (e.g., sexual lifestyle, ethnicity, genetic, biometric and health data, political opinion, drug use, religious or philosophical beliefs)?

No (3)

Yes. (Q6a)

Q6a Will both the data storage and publication activities account for restrictions relating to confidentiality and privacy of personal and sensitive data?

Yes (3)

No. Please justify: (4) _____

Q34 Is there any aspect of the proposed research which might bring NOVA IMS into disrepute, such as controversial topics or prejudice?

No (3)

Yes. Please justify: (4) _____

Q7 Are any food or substances (e.g., food, drinks, vitamins) to be administered to the study participants, or will the study involve invasive, intrusive or potentially harmful procedures of any kind?

No (3)

Yes. Please justify: (4) _____

Q8 Could the study induce psychological stress, discomfort, anxiety or cause harm or negative consequences beyond the risks encountered in normal life?

No (3)

Yes. Please justify: (4) _____

Q9 If you are processing personal, administrative, or secure data, or pre-existing data sets or information that require permission from the appropriate authorities before use, do you have permission?

Not applicable (3)

Yes (3)

No. Please justify: (4) _____

Q10 Will the research involve respondents to be identified (online or offline)?

No (3)

Yes. Please justify: (4) _____

Q11 Is there a possibility that the safety of the researcher may be in question? (e.g., collecting data outside campus, hiring employed research assistants to collect field data)

No (3)

Yes. Please justify: (4) _____

Q12 Does the research involve public figures (figuras públicas) being part in participant research?

No (3)

Yes. Please justify: (4) _____

Q13 Will the research take place or participants' personal data be shared outside Portugal or European Union?

No (3)

Yes. Please justify: (4) _____

Q14 Will research involve the sharing of data (e.g., geolocation, IP address, surveillance) or confidential information beyond the initial consent given?

No (3)

Yes. Please justify: (4) _____

Q33 Are there any conflicts of interest in undertaking this research?

No (3)

Yes. Please justify: (4) _____

Q15 Will financial compensation or gifts be offered to participants?

No (6)

Yes. Please justify: (7) _____

QX Does this research involve the development, deployment and/or use of Artificial Intelligence-based systems?

No (6)

Yes. Please complete the following questions:

QX1 Could the AI based system/technique potentially stigmatise or discriminate against people (e.g., based on sex, race, ethnic or social origin, age, genetic features, disability, sexual orientation, language, religion or belief, membership to a political group, or membership to a national minority)?

No (3)

Yes. Please justify: (4) _____

QX2 Does the AI system/technique interact, replace or influence human decision-making processes (e.g., issues affecting human life, health, well-being or human rights, or economic, social or political decisions)?

No (3)

Yes. Please justify: (4) _____

Qx3 Does the AI system/technique have the potential to lead to negative social (e.g., on democracy, media, labour market, freedoms, educational choices, mass surveillance) and/or environmental impacts either through intended applications or plausible alternative uses?

No (3)

Yes. Please justify: (4) _____

End of Block: Research Ethics Initial Checklist

Start of Block: Last Ethics Reflection Question

reflection Reflecting on your answers to the previous questions, please select either option A or B below.

A. I consider that this project has no significant ethical implications to be brought before the NOVA IMS Ethics Committee (1)

B. I consider that this project may have ethical implications that should be brought before the NOVA IMS Ethics Committee (2)

End of Block: Last Ethics Reflection Question

NEED REVIEW EMAIL

Thank you for submitting your ethics form and additional materials for the NOVA IMS Ethics Committee evaluation.

According to the regulations of the Ethics Committee of NOVA IMS and MagIC Research Center this project was considered to **NEED REVIEW** in order to meet the requirements of the NOVA IMS Internal Review Board.

For this reason, the NOVA IMS Ethical Board Committee will review your proposal within **1-2 weeks** (during term time)

Project No.: **XXXXXXXXXX**

Project Title: **XXXXXXXXXX**

Principal Researcher: **XXXXXXXXXX**

Lisbon, date

NOVA IMS Ethics Committee

ethicscommittee@novaims.unl.pt

<https://magic.novaims.unl.pt/en/about-us/research-integrity/research-ethics/>