# *GZ: EK consecutive number/year*

Application for a review of the ethical acceptability

of the submitted research project

Project/Study  Publication

***Title of the research project or publication***

***Short title/acronym***

|  |  |
| --- | --- |
| **Applicant[[1]](#footnote-1)** | *First and last name* |
| Contact details | *Institute/organizational unit/company/ professional contact details* |
| Professional position | *Please indicate your professional position* |
| **Co-applicants in the study**  *Other researchers/institutions involved in your study (internal/external):* | *Please provide the first and last names of the researchers involved in the study, including their respective affiliation and role in the project.* |
| To which field(s) of expertise is the research project assigned? | Advanced Material Sciences  Human & Biotechnology  Information, Communication & Computing  Mobility & Production  Sustainable Systems  none of them |
| Is this a new submission?  If not, please state the reference number of the application submitted: | Yes  no |
| **Will final theses also be carried out as part of the research project?**  If so, which theses?  *Name of the supervising person(s):*  Is the publication of results also planned as part of the supervision? | no  yes, Bachelor  yes, Master/Diploma engineer  yes, doctorate  no publication planned  yes, a publication of results from the thesis/theses is planned |
| Study description, criteria catalog, informed consent | **This field is filled in by the office.**  Date of transmission |
| Checked under data protection law | **This field is filled in by the office.**  Date of transmission |
| **Brief description/summary** | *Please describe the aim and procedure of your study/publication briefly and in full sentences (max. 300 words).* |
| **Data source** | *Please briefly describe where the data comes from (e.g.: is it collected by yourself, does it come from open data sources or from research partners, ...):* |
| *When people are involved as participants***:**  **(Planned) number of participants** | *Number of planned participants* |
| **Acquisition of the participants** | *Please describe how you recruit participants for your study and attach any information material, notices, recruitment texts for emails, etc.* |
| **What compensation do the participants receive?**  *According to the procurement guidelines, employees of TU Graz cannot receive compensation for participating in studies as participants.*  Do the participants receive appropriate compensation even if they terminate their participation prematurely? | *Information on the type and amount of compensation for participants for their participation in the study.*  *Information on the type and amount of compensation for participants who terminate their participation in the study prematurely.* |
| **Are there inclusion and exclusion criteria for engaging as a participant in your study? If so, what are they?**  e.g.: Age, (pre-)illness, pregnancy, ... | *Specification of inclusion and exclusion criteria* |
| **Are there any partialities or dependencies in your study (see also 1.1.6. of the criteria catalog)?**  *A person cannot participate as participant in your study if they are dependent on the study management in terms of study law or labor law (e.g.: employees of the same institute as participants).* | *Disclosure of partialities or dependencies or confirmation that no persons are involved as participants who are dependent on the study management under study or employment law.* |
| ***Financing*** | *1) Information on the type of funding (e.g.: third-party funding, ...)*  *2) Details of the funding body funding your project (or the funding body e.g.: FWF, FFG)*  *3) Information on the project volume or on the amount of funding* |
| **Planned start and period of the research project** | *Indication of the planned start date and time period for conducting your study* |
| **Reason for submission (e.g.: interest, requirement for a publication, etc.)** |  |

1. **Description of the research project (max. 2 pages):**

Description of the objective and the scientific background of your research project (including relevant literature).

Description of the study procedure and explanation of the methods used and the role and tasks of the participants involved.

Description of the devices/equipment used, including brand and manufacturer.

Risk-benefit considerations: What are the risks (inconveniences, dangers, burdens) or side effects for the participants in relation to the benefits of the results of the research project?

# **Informed consent**

*Should humans engage as participants***:**

The participants should be informed by the study management about the following points (e.g.: by means of a participant information sheet and declaration of consent to participate in the research project):

1. Precisely state the title, purpose and duration of your research project and explain the procedure to the participants in simple and clear language (please avoid technical terms if possible)
2. Details of the research institution conducting the study and a responsible contact person (first and last name, e-mail address and telephone number if applicable) for further questions, suggestions or complaints
3. Indication of possible risks for the participants (inconvenience, danger, stress) and possible consequences
4. Information on the amount of the compensation (including in the event of premature termination) and other benefits for the participants[[2]](#footnote-2)

*Please ensure that funding for the participant compensation is secured at an early stage of the planning (budgeting in research proposals)!*

The appropriateness of the compensation depends first and foremost on whether or not funding is available for the study.

If funding is available, we recommend a **compensation of EUR 10 to 25 per hour** in the form of Holding-Graz vouchers or supermarket vouchers, depending on the following criteria:

**1. Depending on the type of study participation and effort required of the participants:** Do participants fill out a questionnaire, keep a diary, perform tasks, and/or undergo psychophysiological data collection?

**2. Depending on the duration of study participation:** One-time, repeated, total time spent

**3. Depending on the quality and quantity of the data provided by the participants:** sociodemographic data or additional health data?

If no funding is available, we recommend rewarding the participants for participating in your study with a symbolic token of appreciation, e.g., a raffle for goodies or individual feedback on their data evaluations or information on the study results.

Regardless of funding, we ask that you also provide pro rata compensation for those participants who withdraw from the study early for any reason. In any case, we recommend sharing the study results with participants.

1. Reference to the voluntary nature of participation, including the right to withdraw consent at any time without giving reasons and to terminate participation prematurely without any disadvantage to the participants
2. Reference to the Ethics Committee’s decision
3. Reference to the TU Graz Whistleblowing Policy and the Electronic Mailbox for Anonymous Tips (Whistleblowing)[[3]](#footnote-3)
4. Declaration of consent of the participants (or their legal representatives) to participate in the study

# **Self-Assessment (Criteria catalog)**

Please complete the following criteria catalog carefully. Indicate which criteria apply to your research project and which do not.[[4]](#footnote-4)

1. **Humans**

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| --- | --- | --- | --- |
| **Does the research project involve human participants?**  *(e.g.: through interviews; via audio and/or video recorded observations; during technology/prototype testing)* | | | |
| **YES** | continue to "1.1."  **⇓** | **NO** | continue to "1.4." **⇒** |

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| --- | --- | --- |
| * 1. **Humans as participants in the research project** | **YES** | **NO** |
| * + 1. Do the participants take part in the study voluntarily? |  |  |
| * + 1. Is this a self-experiment in which you yourself are a participant? |  |  |
| * + 1. Were the participants comprehensively informed in advance about the study being conducted on them in plain and intelligible language (informed consent)? |  |  |
| * + 1. Is it ensured that participation only takes place after informed consent has been signed by the participants and/or their legal representatives? |  |  |
| * + 1. Is it possible to withdraw from participation without personal negative consequences? |  |  |
| * + 1. Do humans who are dependent on the study management in terms of study law and/or labor law (e.g.: employees of the same institute) take part in the study as participants? |  |  |
| * + 1. Are other potentially vulnerable humans involved (children, persons unable to give consent, victims of abuse or violence, etc.)? |  |  |

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| * 1. **Physical or psychological interventions on participants** | **YES** | **NO** |
| * + 1. Are invasive techniques used (e.g.: for administering medication or contrast media, taking tissue samples, inserting implants, etc.)? |  |  |
| * + 1. Are techniques used that have an influence on brain activity (e.g.: influencing or stimulating neuronal processes)? |  |  |
| * + 1. Does participation in the study lead to at least one of the following consequences, such as the experience of humiliation, shame, torture, pain, psychological pressure or above-average stress, severe strain on the human sensory system, or any other consequence? |  |  |
| If so, which one? | | |
| * + 1. Could participants be harmed or are there possible risks or negative consequences? |  |  |
| * + 1. Do the benefits of the study justify the risks for the participants? |  |  |
| * + 1. Have all steps been taken to minimize the risks? |  |  |

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| * 1. **Reasonableness of the research project** | **YES** | **NO** |
| * + 1. Is it reasonable to expect the participants to engage in the study as a whole? |  |  |

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| * 1. **Are dead bodies/cadaver (parts) used in the course of the research project?** | | | | | |
| **YES** | continue to "1.4.1."  **⇓** | **NO** | continue to "1.5. Human stem cells, embryos and fetuses ..." **⇒** | | |
|  | | | | **YES** | **NO** |
| * + 1. Are corresponding legal bases/documents available? | | | |  |  |
| * + 1. Can a disturbance of the peace of the dead be ruled out? | | | |  |  |

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| **1.5. Does the research project involve the use of human (stem) cells, human tissue, or embryos or fetuses?** | | | | | | | |
| **YES** | | continue to "1.5.1."  **⇓** | | **NO** | continue to "2. Animals" **⇒** | | |
|  | | | | | | **YES** | **NO** |
| * + 1. Does the research project involve the use of human cells or human tissue? | | | | | |  |  |
| * + 1. Does the research project involve the use of human stem cells? | | | | | |  |  |
| If so: | 1.5.2.1. Are the stem cells obtained directly from embryos? | | | | |  |  |
| * + 1. Does the research project involve the use of human embryos or fetuses? | | | | | |  |  |
| If so: | 1.5.3.1 Are these destroyed in the course of research? | | | | |  |  |
| * + 1. Are the cells or human tissue used in the research project commercially available? | | | | | |  |  |
| * + 1. Are the cells or human tissue used in the research project obtained in the course of the research project? | | | | | |  |  |
| If not: | | | Where do the tissue or stem cells used in the research project come from? | | | | |

1. **Animals**

|  |  |  |  |
| --- | --- | --- | --- |
| **Are animals used in the course of the research project?** | | | |
| **YES** | continue to "2.1."  **⇓** | **NO** | continue to "3. sustainability ..." **⇒** |

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| * 1. **Animals in the research project** | **YES** | **NO** |
| * + 1. Are they vertebrates? |  |  |
| * + 1. Are these non-human primates (monkeys, chimpanzees, gorillas, etc.)? |  |  |
| * + 1. Are these animals genetically modified? |  |  |
| * + 1. Do these animals belong to an endangered species? |  |  |
| * + 1. Are there alternatives to the use of laboratory animals? |  |  |
| * + 1. Could laboratory animals be harmed in the course of the research project? |  |  |
| * + 1. Do the benefits of the study justify the risks for the laboratory animals? |  |  |
| * + 1. Are corresponding legal bases/documents available? |  |  |

1. **Sustainability, Health and Safety**

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| **Please answer the following questions:** | | **YES** | **NO** |
| * 1. Can your research project have a negative impact on the environment, animals, and/or plants? | |  |  |
| * 1. Are there any potential negative effects on endangered species (animals or plants), conservation areas, or biodiversity? | |  |  |
| * 1. Are substances used that could have potentially harmful consequences for participants and/or researchers? | |  |  |
| If so: | * + 1. Have adequate safety measures been taken to reduce the risk to participants and researchers? |  |  |
| * 1. Does your research project comply with the [TU Graz sustainability strategy](https://www.tugraz.at/en/tu-graz/university/climate-neutral-tu-graz/roadmap/)? | |  |  |
| If so, how do you ensure that resources are used sparingly? *Please give one or two examples.* | | | |

1. **Non-EU Countries / Third Countries**

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| --- | --- | --- | --- |
| **Will part of the research project be carried out outside the EU/in third countries?** | | | |
| **YES** | continue to "4.1."  **⇓** | **NO** | continue to "5. Information processing systems ..." **⇒** |

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| * 1. **Research projects outside the EU or in third countries** | | **YES** | **NO** |
| * + 1. Do the activities carried out in third countries potentially touch on ethical issues either from an EU perspective or from the perspective of the third country? | |  |  |
| * + 1. Are there plans to use local resources in third countries? | |  |  |
| If so: | * + - 1. Does this raise questions about how research funds are distributed? |  |  |
| * + 1. Are there plans to import material (other than data) from third countries into the EU or other third countries? | |  |  |
| * + 1. Does the research project include lower and/or lower-middle income countries? | |  |  |
| * + 1. Could participation in the research project expose the participants to a risk due to the situation in the relevant third country or in the country outside the EU? | |  |  |

1. **Information Processing Systems (especially Artificial Intelligence)**

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| **Information processing systems are generally used in the research process. Therefore, please answer the following questions.** | **YES** | **NO** |
| * 1. Can the information processing systems used in the research project influence, replace, or circumvent human decision-making processes? |  |  |
| * 1. Can the information processing systems used in the research project potentially stigmatize or discriminate against people? |  |  |
| * 1. Can the information processing systems used in the research project potentially lead to negative social consequences? |  |  |
| * 1. Does the research project involve the use of information processing systems in a weapon system? |  |  |
| * 1. Does the development and/or use of these information processing systems raise any other ethical issues not covered by the list? |  |  |
| If so, justification: | | |
| Other comments on 5.: | | |

1. **Conflicts of interest**

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| **Please answer the following questions:** | | | **YES** | **NO** |
| * 1. Are there possible conflicts of interest with the funding body/client or with project partners? | | |  |  |
| If so, which ones? | | | | |
| * 1. Are the results of your research project or parts thereof subject to confidentiality or is publication and/or further use prohibited | | |  |  |
| If so: | | What type of restriction is this? | | |
|  | | What is the reason for the restriction? | | |
|  | | What consequences can researchers expect from restricting (especially with regard to final theses)? | | |
|  | | How can you make sure that planned theses and publications can actually be done despite restrictions? | | |
| * 1. Can there be conflicts of interest regarding the content control of the publication? | | |  |  |
| If so, which ones? | | | | |
| * 1. Is stakeholder participation planned? | | |  |  |
| If so: | * + 1. Is there provision for appropriate recognition of their efforts? | |  |  |

1. **Working conditions in the research project**

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| **Please answer the following questions:** | **YES** | **NO** |
| * 1. Does your research project involve short-term employment contracts (up to one year)? |  |  |
| * 1. Are work-life balance aspects adequately considered (including in project planning)? |  |  |
| * 1. Is there appropriate and fair remuneration for different activities in the project (e.g. also for annotating and processing data records)? |  |  |
| * 1. Are diversity and gender-sensitive aspects considered in the project? |  |  |
| If so, how? *Please give one or two examples here.* | | |

1. **Reference Ethics Compass**

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| **Please answer the following questions:** | **YES** | **NO** |
| * 1. Is there a risk of reputational damage for Graz University of Technology? |  |  |
| * 1. Is a specific technology assessment planned as part of your research project? |  |  |
| * 1. Is your project related to the development of weapons systems? |  |  |
| * 1. Could your research results or parts thereof be used further (dual use, e.g.: in the context of military research, surveillance)? |  |  |
| * 1. Taking all the answers into account, do you see any risks or consequences? |  |  |
| If so, justification: | | |
| * 1. Are negative effects on individuals and/or society to be expected (e.g.: Restriction of personal autonomy, possible loss of skills due to increasing automation - "deskilling", possible effects on the labor market, discrimination) |  |  |

# **Further documents**

If applicable: Please enclose questionnaires, survey forms or tasks addressed to participants with your application.

If necessary, you can enclose further documents that you consider relevant for the assessment of your research project as a whole.

1. For final theses as part of a Bachelor's or Master's degree program, the ethics application must be submitted by the supervisor; doctoral students can also be applicants, the supervisors must be named as co-applicants. [↑](#footnote-ref-1)
2. Due to regional considerations, Holding Graz vouchers or supermarket vouchers are recommended. In accordance with TU Graz procurement guidelines RL 96000 RLBS 172-01, TU Graz employees may not receive cash payments as expense allowances for participating in studies. [↑](#footnote-ref-2)
3. Electronic Mailbox for Anonymous Tips (Whistleblowing), <https://www.tugraz.at/en/about-this-page/electronic-mailbox-for-anonymous-tips-whistleblowing> (requested on February 26th, 2025). [↑](#footnote-ref-3)
4. Based on the European Commission's list of criteria in connection with EU grants/Horizon Europe from 2021. [↑](#footnote-ref-4)