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| **Application to the ETH Zurich Ethics Commission** |

Version *ETHZ\_Ethics\_Application\_V2024* (newest version [available here](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#documents))

**Principal Investigator (PI)[[1]](#endnote-1)**

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| **Name** | **Title** | **Group/Chair/Institute** | **University** |
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**Involved Researchers**

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| **Name** | **Title** | **Group/Chair/Institute** | **University** |
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**Overview**

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| Project type(Check all that apply) | [ ]  Bachelor’s thesis [ ]  Master’s thesis [ ]  Doctoral thesis [ ]  ResearchName of student:  |
| Student applications (BA/MA): I, *name*, confirm that my supervisor *name* has reviewed this application [ ]  |
| Method(s) of data collection(Check all that apply) | [ ]  Interview ([ ]  in person [ ]  phone [ ]  online)[ ]  Focus group ([ ]  in person [ ]  online)[ ]  Survey ([ ]  in person [ ]  phone [ ]  online)[ ]  (Experimental) behavioural study ([ ]  in person [ ]  online)[ ]  Social media ([ ]  observation [ ]  intervention)[ ]  Incomplete information or deception of participants[ ]  Physiological measurements [ ]  Mobile app ([ ]  incl. tracking) [ ]  Photo-/video-/audio recording [ ]  Secondary analysis of personal data[ ]  Data from lectures/students[[2]](#endnote-2) [ ]  Other methods:  |
| Number of participants | Minimum: Maximum: |
| Brief description of participants |  |
| Age group of participants | [ ]  18 Years or above [ ]  between … and … years old |

*In the following sections, address the ethics commission in a language understandable to all disciplines, using continuous text.*

* ***All annotations (in blue) must be deleted before submission on*** [***eResearch***](https://eresearch.ethz.ch/login.aspx)***.***

**1. Abstract**

*- Lay summary of study objective, methods, participants, and potential risks (max. 250 words)*

**2. Project**

**2.1 Study Objective**

*- Research questions, hypothesis, and objective of the study*

*- Explain the state of research, preliminary studies, pre-tests*

*- Scientific or social relevance of the project*

**2.2 Methods and Study Design**

*- Explain the study design and methods of data collection*

*- List all tools of data collection (surveys, interview questions, measuring devices apps etc. refer to the corresponding appendices.)*

*- Justify the use of deception or incomplete disclosure of information to participants (see* [*guidelines*](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#deception)*)*

*- Describe study site(s), procedures, and activities of participants*

**2.3 Participants**

*- Number of participants/data sets (include sample size calculations if applicable)*

*- List all inclusion and exclusion criteria*

*- Outline the recruitment process (if applicable, name recruitment platforms e.g., Prolific, MTurk)*

*- If applicable: justify the inclusion of vulnerable participants (e.g., children or minors, participants with cognitive or physical disabilities, people with economic or social disadvantages etc.)*

**2.4 Project Timeline**

*- Overview of project stages in tabular form with corresponding dates (interaction with participants may not take place before final approval by the ethics commission).*

**2.5 Project Partners and Funding**

*- Indicate the source(s) of funding*

*- Explain the roles and rights (in particular to data and use of study results) of project collaborators outside of ETH, external service providers, industry partners etc.*

*- For projects involving industry partners: specify the corresponding contracts and indicate whether these have been approved by the ETH Research Contracts Group.*

*- Disclose any possible conflicts of interest*

**2.6 Clinical Trials Abroad** *(to be deleted if not applicable)*

*- Explain why the study needs to be conducted abroad*

*- Explain how the project ensures compliance with the law applicable to clinical trials in Switzerland (see «Code of Conduct for scientific cooperation»,* [*RSETHZ 416*)](https://rechtssammlung.sp.ethz.ch/Dokumente/416en.pdf)

*- Explain how research results can be made accessible to and applied within the local community.*

**3. Ethical Aspects**

**3.1 Informed Consent and Debriefing**

*🡪 For general information on information & consent, see* [*guidelines*](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#informedconsent)

*- How are participants recruited? (Attach flyers / ads etc. in the appendix)*

*- How is the detailed study information (see below) handed out?*

*- How do participants express their informed consent to participate?*

*- Who keeps the consent forms, where, and for how long?* [[3]](#endnote-3)

*- Explain any debriefing, e.g., in case of incomplete information or deception due to study design (see* [*guidelines*](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#deception)

*- Whenever possible, study results should be made available to interested participants in an appropriate form (e.g., separate and secure storage of contact data).*

**3.2 Data Protection and Publication**

*- How is data collected (anonymous, encrypted/coded, personalised)? [[4]](#endnote-4)*

*- If personal data must be collected, for what purpose?*

*- How and where are personal data and pseudonymisation keys stored? Who has access to them??*

*- Is all data completely anonymised in accordance with ETH Law Art. 36d?*

*- How are results published or potentially made accessible (e.g., repository)?*

**3.3 Compensation**

*- Do participants receive compensation or incentives?*

*- Does the compensation, if any, correspond at least to the regional minimum wage (enclose calculations)?*

**3.4 Risks and Discomforts**

*- What physical and psychological risks and discomforts are to be expected for the participants? What countermeasures are planned?*

*- How do you address the needs of people with vulnerabilities*

*- Technology assessment / dual use: May the results of the project pose social or ecological risks?*

 *Wie wird mit vulnerablen Personen umgegangen?*

*- Technology assessment /Dual Use: May the results of the project pose social or ecological risks*

*- if applicable: are there potential risks to the researchers (e.g., for research taking place in unstable regions)*

**3.5 Risk-Benefit Analysis**

*- Compare the risks associated with the study to the anticipated societal or scientific benefits and explain why benefits outweigh the risks.*

**4. References**

**Required Appendices** *(please attach below)*

Appendix 1 ***Information and consent documents for participants***

* *Before people can participate in a study, they must have given their informed consent, i.e. they must be fully informed about the study (objective, method/design, risks, etc.) as well as their rights and responsibilities and give their documented consent to participate (see* [*guidelines*](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#informedconsent)*).*
* *Paper form: If possible, the information & consent document should be handed out in paper form (one copy each for the participants and the researchers). Below you will find a template that you can adapt to your project.*
* *Digital: If informed consent is obtained digitally (email / web / app), the application must explain how the study information is displayed to participants (no links) and how consent is given (e.g. via consent button). The required information given to participants remain the same as in paper form (see template below).*
* *If the participants are minors, the information sheet and declaration of consent must be addressed to their legal guardians. Separate versions in age-appropriate language must be created for participants (see* [*guidelines*](https://swissethics.ch/assets/kinder_notfall/leitfaden_pi_kinder_e.pdf) *by Swissethics).*
* *In the event of incomplete disclosure or deception, the designated debriefing text must be included, which (i) informs participants that incomplete information was provided or that they were deceived; (ii) indicates what information was withheld or falsified; (iii) explains why it was necessary to provide incomplete information or to deceive; (iv) gives participants the opportunity to ask questions; and (v) provides the opportunity to delete their data (see* [*guidelines*](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#deception)*).*

*- Use easily understandable language when writing the texts. Address participants directly ("You will carry out the following exercises..."). In addition to a version in German or English, translations into the language commonly spoken by the participant group must be included.*

*- Enclose flyer/advertisement for recruitment*

* *These texts represent your research group and ETH. Please check grammar and spelling carefully before submitting the application.*

Appendix 2 ***Data collection tools (survey, interview or focus group guidelines etc.)***

* *Attach all tools for data collection in their final version (survey questionnaires, guiding questions for interviews or group discussions, etc.; no links)*
* ***Only complete application can be reviewed***

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| **Appendix 1: Information and consent documents for participants** |

* *This is a template for consent in paper form. Adaptations are possible, but information should be provided on all points (in the case of digital information, insert the information and consent text as will be shown to participants, e.g. as screenshot):*

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**Information and consent form**

***Title of the study (may be shortened)***

Place and time: *Adress, Room, Date*

Contact person if you have any questions: *Full name, Affiliation, Mail/Phone*

Data Protection Officer ETH Zurich: Tomislav Mitar (tomislav.mitar@sl.ethz.ch)

We would like to ask you if you are willing to participate in our research project. Your participation is voluntary. Please read the text below carefully and ask the conducting person about anything you do not understand or would like to know.

**What is investigated and how?**

*Explain the aim, method/design (e.g., blinding, control groups) and potential benefits of the study.*

**Who can participate?**

*Explain inclusion and exclusion criteria*

**What am I supposed to do as a participant?**

*Explain the activities and duties of participants.*

**What are my rights during participation?**

*Possible text:* Your participation in this study is voluntary. You can withdraw your participation at any time without giving reasons and without any disadvantage.

**What risks and benefits can I expect?**

*E.g. health risks, risks associated with the processing of personal data.*

**Will I be compensated for my participation?**

*Explain the nature and extent of compensation.*

**What data is collected from me and how is it used?**

*Text module:* The following data is collected from you:

* *Identifying data (name, place of residence or work, contact details, IP address, etc.)*
* *Other (research) data (e.g. data from a survey, physiological data)*

*Explanation of the purpose for which this data is required.*

*Explanation of how identifying data is handled (is it stored separately from other data? Where is it stored? Who has access to it? When will it be deleted?)*

*Explain anonymisation: Assurance that all data will be anonymised as soon as the purpose of the data processing permits this (cf. ETH Law Art. 36d).*

*Explain how data may be published (incl. assurance that data will only be published in anonymised/aggregated form so that no conclusions can be drawn about individuals).*

*Explanation of where the anonymised data will be stored. Are they made accessible in a data repository (e.g. ETH Research Collection) (explain purpose)?*

*Are data or results shared with third parties (e.g. industry partners)? With whom? Is this exclusive?*

*May some data be shared with industry partners later?*

*Required text:* The members of the ETH Zurich Ethics Committee may inspect the original data for audit and control purposes, subject to strict confidentiality.

*Assurance that the applicable data protection laws (Federal Act on Data Protection (FADP), or European General Data Protection Regulation (GDPR)) are complied with when collecting and processing personal data.*

**Who is funding the study?**

*Disclosure of all sources.*

**Is any damage to health insured?** *Delete section for online studies*

*Possible text:* Damage to health directly related to the study is covered by ETH Zurich's public liability insurance. Beyond that, accident or health insurance is your own responsibility (e.g. travel to and from study site).

**Who reviewed the study?**

This study was reviewed and approved by the ETH Zurich Ethics Committee under application number *XX ETHICS-YYY*.

**Complaints office**

The secretariat of the ETH Zurich Ethics Committee is available to help you with complaints in connection with your participation in the study. Contact: *ethics@sl.ethz.ch* or 0041 44 632 85 72.

**Consent Form**

I, the participant, confirm by my signature that:

* I have read and understood the study information. My questions were answered completely and to my satisfaction.
* I had enough time to decide about my participation and am taking part in the study voluntarily.
* I fulfil the stated conditions for participation and am aware that the stated requirements must be met.
* I consent that the data described above may be collected from me and used as described.
* I know that I can cancel my participation any time.

I would like to be informed about the results of this study

□ Yes, name, phone number or e-mail: …………………………………………………………

□ No

*Only if applicable:*

If incidental findings result from the study that may lead to the diagnosis, treatment, or prevention of an existing or impending disease, I wish to

 □ be informed about the findings

 □ not be informed about the findings

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| --- | --- |
| Name of participant |  |
| ……………………………………………… |  |
| Place, date | Signature participant |
| ……………………………………………… | ……………………………………………… |
| Place, date | Signature conducting person |
| ……………………………………………… | ……………………………………………… |

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| **Appendix 2: Data collection tools (surveys, questionnaires, etc.)** |

1. **Further Information**

 At least one principal investigator (PI) must be a member of ETH Zurich (student, employee). The PI of regular research projects is usually a professor or a senior scientist with budget responsibility. If students are primarily responsible for the project, they should be identified as PI. [↑](#endnote-ref-1)
2. Please take note of the [guideline on research in an educational setting](https://ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html#educational). [↑](#endnote-ref-2)
3. Signed informed consent forms and other consent records should generally be stored separately and securely from other data for 5 years after completion of the study by the lead person responsible. [↑](#endnote-ref-3)
4. *«Anonymised data»:* Data that cannot be traced to a specific person or only with disproportionate effort (see [Human Research Act](https://www.fedlex.admin.ch/eli/cc/2013/617/en)); «Coded data*»*: data linked to a specific person via a code (ibid.); *«Personal data»:* any information relating to an identified or identifiable natural person; ( see [Data Protection Act](https://www.fedlex.admin.ch/eli/cc/2022/491/en)). For further explanation of terms see the [SPHN Glossary](https://sphn.ch/document/sphn-glossary/#pll_switcher). [↑](#endnote-ref-4)