**Groupe d’Analyse et de Théorie Economique (GATE)**

**GATE-LAB ETHICS REVIEW BOARD**

**INITIAL CHECKLIST**

GATE (UMR 5824, CNRS, University of Lyon) provides a two-stage process for reviewing research projects for possible ethical concerns:

1. An initial checklist and “light touch” review form, to provide an initial assessment of whether possible ethical risks may exist.
2. A full review form, to be used in instances in which the initial checklist indicates a significant probability that the proposed research poses ethical risks.

For the following classes of projects ethics review is compulsory:

1. Any research in which humans are used as subjects, or which involves tissues of humans. This includes standard economics experiments in which subjects are paid.
2. Any research which involves the researcher using data which contains information which can be traced back to specific individuals, either through the use of identifying numbers (e.g., INSEE number, student number) or other types of information (e.g., addresses). This category also includes the use of data from previous experiments. It does not include research using only anonymous records and datasets, or research using aggregate, publicly-available information.
3. Any research which is funded by any funding body which requires ethics review for the projects it funds, irrespective of the previous categories.

Researchers are also invited to submit, for any project, the initial checklist form to the GATE Ethics Review Board for consideration, even though the project may not fall within these categories. This may occur, for instance, when reviewing the initial checklist flags an area of concern arising from the unique nature of a particular project. Submitting a project for the advice of the Review Board does not imply a commitment to submit follow-on on similar projects to the Review Board in future, unless the Review Board advises it would be beneficial to do so.

*Student research projects***.** When a student is lead investigator on a research project, it is the responsibility of the supervisor to exercise appropriate professional judgment on ethics matters, including guiding the student in completing the initial checklist and, if necessary, submitting the checklist for ethical review.

In completing the initial checklist, the following resources may be helpful:

* GATE Charter of Ethics
* Ethics at CNRS http://www.cnrs.fr/comets/spip.php?article31

**Groupe d’Analyse et de Théorie Economique (GATE)**

**GATE-LAB RESEARCH REVIEW BOARD**

**INITIAL CHECKLIST**

Please submit an electronic copy of this document and any accompanying document to the Director of GATE-LAB\* with CC to thevenet@gate.cnrs.fr

\* Director of GATE-LAB: Marie Claire Villeval – villeval@gate.cnrs.fr

**Section I: Project Details**

|  |  |
| --- | --- |
| 1. Project Title: |  |
| 1. Project Funder: |  |
| 1. Start and End Dates: |  |
| 1. Summary of the Project  (*20 lines*) |  |
| 1. Motivation of the Project (Main research questions)   (*Half a page*) |  |
| 1. Description of the design   (Methodology, protocol, …)  (*2 pages*)  *It is recommended that the instructions are joined to the application* |  |

**Section II: Applicant Details**

|  |  |
| --- | --- |
| 1. Name of applicant: |  |
| 1. Role: |  |
| 1. Supervisor (for PhDs): |  |
| 1. Email address: |  |
| 1. Telephone number: |  |

**Section III: Research Checklist**

Please answer each question by ticking the appropriate box:

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Research that may need to be reviewed by an external Ethics Committee:** | **Yes** | **No** |
| 1. | Will the study involve recruitment of patients or staff from health services? |  |  |
| 2. | Does the study involve participants age 16 or over who are unable to give informed consent (e.g., people with learning disabilities)? |  |  |
| 3. | Will tissue samples (including blood) be obtained from participants? |  |  |

*If you have answered ‘Yes’ to questions 1, 2 or 3* you will need to submit your research for ethical approval to the appropriate external body.

Send the completed and signed Checklist to the Director of GATE-LAB and to Quentin Thévenet in CC for registration. You do not need to complete questions 4 – 18.

Once ethical approval is granted by the external body, a copy of the approval should be sent to the Director of GATE-LAB and to Quentin Thévenet in CC for their records.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Research that may need a full review:** | **Yes** | **No** |
| 4. | Does the research involve animals? |  |  |
| 5. | Does the research involve vulnerable groups (children, those with cognitive impairment, or those in unequal relationships, e.g. *own* students in class)? |  |  |
| 6. | Will it be necessary for participants to take part in the study without their knowledge and consent at the time (e.g. covert observation of people in non-public places)? |  |  |
| 7. | Will deception be used? |  |  |
| 8. | Will the study involve discussion of sexual activity, drug use, ethnicity, or political behavior? |  |  |
| 9. | Will the research involve access to records of personal/ sensitive/ confidential information, or involve commercial confidentiality/national security? |  |  |
| 10. | Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind? |  |  |
| 11. | Is pain or more than mild discomfort likely to result from the study? |  |  |
| 12. | Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? |  |  |
| 13. | Will the study involve prolonged or repetitive testing beyond a regular laboratory experiment? |  |  |
| 14. | Will the research involve administrative or secure data that requires permission from the appropriate authorities before use? |  |  |
| 15. | Is there a possibility that the safety of the researcher may be in question? |  |  |
| 16. | Will the research involve respondents to the internet or other visual/vocal methods where respondents may be identified? |  |  |
| 17. | Will research involve the sharing of data or confidential information beyond the initial consent given (e.g., secondary use of data)? |  |  |
| 18. | Will financial inducements (*other than reasonable expenses and compensation for time as in regular laboratory experiments*) be offered to participants? |  |  |

***If you have answered ‘Yes’ to ANY of questions 4 to 18 in Section III*,** please explain your YES-answers:

Depending on your description in the above box, you might need to describe more fully how you plan to deal with the ethics issues raised by your research. The GATE-Lab Ethics Review Board will let you know within at most three weeks whether this is necessary. If you answered YES to several questions above or if you think that your research involves ethical issues beyond standard procedures in economics, it is probably easier to fill in a full review form right away. If you are in doubt what to do, do not hesitate to contact the Director of GATE-Lab as early as possible in the process of designing your research.

Please note that it is your responsibility to follow the GATE-Lab Research Ethics Procedures and any relevant academic or professional guidelines in the conduct of your study. This includes providing appropriate information sheets and consent forms, following appropriate recruitment policies, and ensuring confidentiality in the storage and use of data.

Any significant change in the question, design or conduct over the course of the research should be notified to the GATE-Lab Research Ethics Review Board and may require a new application for ethics approval.

**Section IV: Signatures**

Applicant’s name:

Signed: Date:

Supervisor’s name (for PhD students):

Signed: Date:

**Section V: Initial Review**

(to be completed by the Director of GATE-Lab)

|  |
| --- |
| Project Reference Number: |

*Strike out Box 1 or Box 2 as appropriate*

**Box 1**

The potential for risk of harm to participants, researchers and others affected by this proposed study is minimal. No further Research Ethics Review is required, and research may start, subject to management approval being obtained from any host organisation.

Director of GATE-Lab **(Name):**

**Signed: Date:**

**Box 2**

Formal Research Ethics review is required for this study. Research may not start until this has been done. The GATE-Lab Research Ethics Committee will help to you to determine the appropriate REC and access the necessary application documents.

Director of GATE-Lab **(Name):**

**Signed: Date:**

*When Section VI has been completed a copy of the signed Checklist should be returned to the Lead Investigator.*