Osaka University Graduate School of Human Sciences Research Ethics Committee

Research Ethics Checklist

**Note for filling out the form**: This document is locked for editing in the form format. The fillable fields are in grey. If you are unable to mark the check box by clicking on it, it is possible that the document has been unlocked. You may reference World Help to lock the document in the form format before filling it out. Also, this document is commonly used in Graduate School of Human Sciences. Please do not unlock the check list to modify the space. The purpose of this document is to confirm basics of the research; therefore, please describe the research plans in the application form.

|  |  |  |
| --- | --- | --- |
| Applicant affiliation Behavioral Division Social Division Educational Division Kyosei Studies | | |
| Field of Research | Position or Level of Study | Supervisor Name (For Graduate Students) |
| Applicant Name | Research Title | |

All surveys and research studies conducted by the faculty members and graduate students (including some undergraduate students) of the Graduate School of Human Sciences that involve human subjects must be approved by the Ethics Committee. In the following list of research methods, please check all items that apply.

**<Research Method>**

|  |
| --- |
| Please select the research method you will implement (you may select more than one):  A. Intervention study or Clinical trial  　　　　 ↳ If you selected A, proceed to pp. 2-4  B. Participant observation or Observational study without intervention  　　　　 ↳ If you selected B, proceed to pp. 5-6  C. Interview survey  　　 　　↳ If you selected C, proceed to pp. 7-9  D. Non-anonymous questionnaire survey, Epistemological survey, Survey of documents containing personal information  　　　　 ↳ If you selected D, proceed to pp. 10-11  E. Anonymous questionnaire survey  　　 　　↳ If you selected E, proceed to pp. 12-13  F. Other investigation and research (     )  　　 　　↳ If you selected F, proceed to pp. 14-16 |

**In the survey, please only check answers for the research method(s) selected above. There is no need to check for research methods you will not implement. If selecting multiple research methods, you are only required to check Common-1 to Common-6 once.**

Please check “Yes” for applicable items, “No” for inapplicable items, “N/A” for items inapplicable to the applicant’s research plan, and “Uncertain” for items presently unknown. Upon completion of the form, please submit it along with Divisional Research Ethics Screening Application Form to the division’s Research Ethics Committee.

1. **Intervention Study or Clinical Trial**

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **A-7** | Are there safeguards to prevent mental, physical, and social relationship problems from affecting you, affiliated organizations, co-researchers, and assistants? | Yes  No |
| **A-8** | Are there safeguards to prevent mental, physical, and social relationship problems from affecting research subjects and persons concerned? | Yes  No |
| **A-9** | Will you handle information that significantly invades the privacy (long-term behavioral observation, personal relationships, etc.) and sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of research subjects? | Yes  No  Uncertain |
| **A-10** | If you discover a problem concerning research subjects during the course of the research, will you provide appropriate interventions or support? | Yes  No  Uncertain |
| **A-11** | If you discover a problem concerning research subjects during the course of the research, and if you or your co-researchers are unable to resolve it with your expertise, will you consider requesting mediation or intervention from a third party, rather than neglecting the problem? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **A-12** | What method will you use to obtain consent from research subjects or their legal representatives, such as their guardians? | In writing  Orally Uncertain |
| **A-13** | Do your research subjects include socially vulnerable individuals, such as children, disabled or ill persons, and ethnic minorities, who would require special considerations? | Yes  No  Uncertain |
| **A-14** | Even in the case of research concerning children and disabled or ill persons, will you make an effort, where possible, to find subjects who are able to understand the research content and voluntarily participate in it? | Yes  No  N/A |
| **A-15** | If the research purpose requires subjects who would experience difficulties understanding the research content by regular explanations, such as children and individuals with disability or illness, will you provide sufficient explanations to their legal representatives, such as parents and guardians, and obtain their consent? Moreover, are there provisions to confirm, as much as possible, their discomfort or refusal regarding the study, and to respect these provisions? | Yes  No  N/A |
| **A-16** | If your research subjects include students, patients, and residents who are under the custodianship of an institution or an organization, such as a school, hospital, or welfare facility, do you have provisions to obtain approval from the Ethics Committee of said institution? | Yes  No  N/A |
| **A-17** | In your explanation of the research, will you clarify to research subjects that their participation in the research is voluntary and that they are able to discontinue or withdraw their participation at any time without any negative consequences? | Yes  No  N/A |
| **A-18** | If your research subjects are students, are there measures in place to ensure that their participation or non-participation in the research will cause no negative consequence to their education? | Yes  No  N/A |
| **A-19** | Will you provide a clear explanation to research subjects as to why they were chosen and how they will be requested to participate in the research? | Yes  No  N/A |
| **A-20** | Will you provide explanations concerning the significance and purpose of the research, as well as the duration of participation and its specific methods? | Yes  No  N/A |
| **A-21** | Will you explain the benefits gained by participating in the research (including the provision of monetary remuneration, etc.) and the anticipated risks? | Yes  No  N/A |
| **A-22** | Will you provide explanations concerning the handling of personal information and considerations when publishing the outcomes? | Yes  No  N/A |
| **A-23** | If taking photographs, videos, or recordings, will you be considerate in your approach and obtain consent from research subjects as well as persons concerned? | Yes  No  N/A |
| **A-24** | Will you provide the name, affiliation and contact information of the primary researcher or co-researchers so that research subjects may ask for further information? | Yes  No  N/A |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **A-25** | Does the plan specify how the personal information and data collected in the research will be stored and managed (anonymization, storage medium and location, etc.) in order to prevent their loss, leakage, and misidentification? | Yes  No  N/A |
| **A-26** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No  N/A |
| **A-27** | Do the consent form and the research plan outline how long the research subjects’ personal information will be kept and how it will be handled upon completion of the research? | Yes  No  N/A |
| **A-28** | Have you given adequate consideration to ensure that the publication of research outcomes would cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No  N/A |
| **A-29** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No  N/A |
| **A-30** | In the event that individuals other than experts directly involved with research subjects (the subject’s attending physician, nurse, or care giver, etc.) will access the subjects’ personal information (such as medical records) for the purpose of the research, will you obtain consent from the subjects or their legal representatives? | Yes  No  N/A |
| **A-31** | If using research subjects’ personal information for educational purposes (lecture, workshop, seminar, etc.), will you take measures to ensure that individuals are unidentifiable and consider the bounds of information disclosure, even if research subjects have given consent? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **A-32** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  Uncertain |
| **A-33** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **A-34** | If the above is applicable, does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **A-35** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **A-36** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interests in the research outcomes? | Yes  No  Uncertain |
| **A-37** | If the above is applicable, do you have measures to prevent bias (such as interpretation of data and publication methods advantageous to interested parties) caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **A-38** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) other than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **A-39** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **A-40** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

**<Information Disclosure and Response to Enquiries>**

|  |  |  |
| --- | --- | --- |
| **A-41** | If research subjects request for data disclosure or for use of the data to be discontinued, will you respond promptly to such requests? | Yes  No  N/A |

1. **Participant Observation or Observational Study without Intervention**

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **B-7** | Will you handle information that significantly invades the privacy (long-term behavioral observation, personal relationships, etc.) and sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of observation subjects? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **B-8** | If the observation is to take place in locations under the management of institutions or organizations such as schools, hospitals, and welfare facilities, do you have provisions to obtain approval from the Ethics Committee of said institution? | Yes  No  N/A |
| **B-9** | Will you explain the research plan and obtain consent from institutions, organizations, or important stakeholders that govern the location where the observation is to take place? | Yes  No  N/A |
| **B-10** | What method will you use to obtain consent from observation subjects and persons concerned? | In writing  Orally  N/A |
| **B-11** | If taking photographs, videos, or recordings, will you be considerate in your approach and obtain consent from research subjects as well as persons concerned? | Yes  No  N/A |
| **B-12** | Will you provide the name, affiliation, and contact information of the primary researcher or co-researchers in some manner so that observation subjects may ask for further information? | Yes  No  N/A |
| **B-13** | Do your observation subjects include socially vulnerable individuals, such as children, disabled or ill persons, or ethnic minorities, who would require special considerations? | Yes  No  Uncertain |
| **B-14** | Even in a research study concerning children and disabled or ill persons, will you make an effort, where possible, to find subjects who are able to understand the research content and voluntarily participate in it? | Yes  No  N/A |
| **B-15** | If the research purpose requires subjects, who would experience difficulties understanding the research content by regular explanations, such as children and individuals with disability or illness, will you provide sufficient explanations to their legal representatives, such as parents and guardians, and obtain their consent? Moreover, are there provisions to confirm, as much as possible, their discomfort or refusal regarding the study and to respect it? | Yes  No  N/A |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **B-16** | Do the consent form and the plan specify how the personal information and data collected in the research will be stored and managed (anonymization, storage medium and location, etc.) in order to prevent their loss, leakage, and misidentification? | Yes  No  N/A |
| **B-17** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No  N/A |
| **B-18** | Do the consent form and the research plan outline how long the research subjects’ personal information will be kept and how it will be handled upon completion of the research? | Yes  No  N/A |
| **B-19** | Have you given adequate consideration to ensure that the publication of research outcomes would cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No  N/A |
| **B-20** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **B-21** | For the purpose of the research, do you plan to interact with the subjects while hiding your identity as the researcher? | Yes  No  Uncertain |
| **B-22** | If the above is applicable, do you plan to provide explanations to the subjects upon completion of the research? | Yes  No  N/A |
| **B-23** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  Uncertain |
| **B-24** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **B-25** | If the above is applicable, does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **B-26** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **B-27** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interest in the research outcomes? | Yes  No  Uncertain |
| **B-28** | If the above is applicable, do you have measures to prevent bias caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **B-29** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) other than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **B-30** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **B-31** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

**<Information Disclosure and Response to Enquiries>**

|  |  |  |
| --- | --- | --- |
| **B-32** | If research subjects request for data disclosure or for use of the data to be discontinued, will you respond promptly to such requests? (Select “N/A” for anonymous questionnaires) | Yes  No  N/A |

1. **Interview Survey**

**(If commissioning a substantial portion of the work to a business, please check what measures it will take concerning the items below)**

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **C-7** | Are there safeguards to prevent mental, physical and social relationship problems from affecting you, affiliated organizations, co-researchers, and assistants? | Yes  No |
| **C-8** | Are there safeguards to prevent mental, physical and social relationship problems from affecting research subjects and persons concerned? | Yes  No |
| **C-9** | Will you handle information that significantly invades the privacy (long-term behavioral observation, personal relationships, etc.) and sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of research subjects? | Yes  No  Uncertain |
| **C-10** | If you discover a problem concerning research subjects during the course of the research, will you provide appropriate interventions or support? | Yes  No  Uncertain |
| **C-11** | If you discover a problem concerning research subjects during the course of the research, and if you or your co-researchers are unable to resolve it with your expertise, will you consider requesting mediation or intervention from a third party, rather than neglecting the problem? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **C-12** | Do your research subjects include socially vulnerable individuals, such as children, disabled or ill persons, and ethnic minorities, who would require special considerations? | Yes  No  Uncertain |
| **C-13** | Even in a research study concerning children and disabled or ill persons, will you make an effort, where possible, to find subjects who are able to understand the research content and voluntarily participate in it? | Yes  No  N/A |
| **C-14** | If the research purpose requires subjects who would experience difficulties understanding the research content by regular explanations, such as children and individuals with disability or illness, will you provide sufficient explanations to their legal representatives, such as parents and guardians, and obtain their consent? Moreover, are there provisions to confirm, as much as possible, their discomfort or refusal regarding the study and to respect it? | Yes  No  N/A |
| **C-15** | If your research subjects include students, patients, and residents who are under the custodianship of an institution or an organization, such as a school, hospital, or welfare facility, do you have provisions to obtain approval from the Ethics Committee of said institution? | Yes  No  N/A |
| **C-16** | In your explanation of the research, will you clarify to research subjects that their participation in the research is voluntary and that they are able to discontinue or withdraw their participation at any time without any negative consequences? | Yes  No  N/A |
| **C-17** | If your research subjects are students, are there measures in place to ensure that their participation or non-participation in the research will cause no negative consequence to their education? | Yes  No  N/A |
| **C-18** | Will you provide a clear explanation to research subjects as to why they were chosen and how they will be requested to participate in the research? | Yes  No  N/A |
| **C-19** | Will you provide explanations concerning the significance and purpose of the research, as well as the duration of participation and its specific methods? | Yes  No  N/A |
| **C-20** | Will you explain the benefits gained by participating in the research (including the provision of monetary remuneration, etc.) and the anticipated risks? | Yes  No  N/A |
| **C-21** | Will you provide explanations concerning the handling of personal information and considerations when publishing the outcomes? | Yes  No  N/A |
| **C-22** | If taking photographs, videos, or recordings, will you be considerate in your approach and obtain consent from research subjects as well as persons concerned? | Yes  No  N/A |
| **C-23** | What method will you use to obtain consent from observation subjects and persons concerned? | Orally  In writing Uncertain |
| **C-24** | Will you provide the name, affiliation, and contact information of the primary researcher or co-researchers so that research subjects may ask for further information? | Yes  No  N/A |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **C-25** | Do the consent form and the plan specify how the personal information and data collected in the research will be stored and managed (anonymization, storage medium and location, etc.) in order to prevent their loss, leakage, and misidentification? | Yes  No  N/A |
| **C-26** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No  N/A |
| **C-27** | Do the consent form and the research plan outline how long the research subjects’ personal information will be kept and how it will be handled upon completion of the research? | Yes  No  N/A |
| **C-28** | Have you given adequate consideration to ensure that the publication of research outcomes will cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No  N/A |
| **C-29** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **C-30** | For the purpose of the research, do you plan to interact with the subjects while hiding your identity as the researcher? | Yes  No  Uncertain |
| **C-31** | If the above is applicable, do you plan to provide explanations to the subjects upon completion of the research? | Yes  No  N/A |
| **C-32** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  Uncertain |
| **C-33** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **C-34** | Does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **C-35** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **C-36** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interest in the research outcomes? | Yes  No  Uncertain |
| **C-37** | If the above is applicable, do you have measures to prevent bias caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **C-38** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) other than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **C-39** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **C-40** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

**<Information Disclosure and Response to Enquiries>**

|  |  |  |
| --- | --- | --- |
| **C-41** | If research subjects request for data disclosure or for use of the data to be discontinued, will you respond promptly to such requests? (Select “N/A” for anonymous questionnaires) | Yes  No  N/A |

1. **Non-anonymous Questionnaire Survey, Epistemological Survey, Survey of Documents Containing Personal Information**

**(If commissioning a substantial portion of the work to a business, please check what measures it will take concerning the items below)**

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **D-7** | Will you handle information that significantly invades the privacy or sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of research subjects? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **D-8** | Do your research subjects include socially vulnerable individuals, such as children, disabled or ill persons, and ethnic minorities, who would require special considerations? | Yes  No  Uncertain |
| **D-9** | If your research subjects include students, patients, and residents who are under the custodianship of an institution or an organization, such as a school, hospital, or welfare facility, do you have provisions to obtain approval from the Ethics Committee of said institution? | Yes  No  N/A |
| **D-10** | If your research subjects are students, are there measures in place to ensure that their participation or non-participation in the research will cause no negative consequence to their education? | Yes  No  N/A |
| **D-11** | Will the questionnaire and consent form state that participation in the research is voluntary and that it is possible to withdraw from the research even after submitting the questionnaire and providing personal information, without any negative consequences? | Yes  No |
| **D-12** | Do the questionnaire and the consent form describe the handling of personal information and considerations when publishing the outcome? | Yes  No  N/A |
| **D-13** | Will you provide the name, affiliation, and contact information of the primary researcher or co-researchers on the questionnaire or the consent form so that research subjects may ask for further information? | Yes  No |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **D-14** | Will you anonymize personal information to prevent its leakage? | Yes  No |
| **D-15** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No |
| **D-16** | Do the questionnaire and consent form outline how long the personal information of research subjects will be kept and how it will be handled upon completion of the research? | Yes  No |
| **D-17** | Have you given adequate consideration to ensure that the publication of research outcomes will cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No |
| **D-18** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No |
| **D-19** | In the event that individuals other than experts directly involved with research subjects (the subject’s attending physician, nurse, or care giver, etc.) will access subject’ personal information (such as medical records) for the purpose of the research, will you obtain consent from the subjects or their legal representatives? | Yes  No  N/A |
| **D-20** | If using research subjects’ personal information for educational purposes (lecture, workshop, seminar, etc.), will you take measures to ensure individuals are unidentifiable and consider the bounds of information disclosure, even if research subjects have given consent? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **D-21** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  N/A |
| **D-22** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **D-23** | If the above is applicable, does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **D-24** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **D-25** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interest in the research outcomes? | Yes  No  Uncertain |
| **D-26** | If the above is applicable, do you have measures to prevent bias caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **D-27** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) other than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **D-28** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **D-29** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

**<Information Disclosure and Response to Enquiries>**

|  |  |  |
| --- | --- | --- |
| **D-30** | If research subjects request for data disclosure or for use of the data to be discontinued, will you respond promptly to such requests? | Yes  No  N/A |

1. **Anonymous Questionnaire Survey**

**(If commissioning a substantial portion of the work to a business, please check what measures it will take concerning the items below)**

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **E-7** | Will you handle information that significantly invades the privacy or sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of research subjects? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **E-8** | If your research subjects include students, patients, and residents who are under the custodianship of an institution or an organization, such as a school, hospital, or welfare facility, do you have provisions to obtain approval from the Ethics Committee of said institution? | Yes  No  N/A |
| **E-9** | If your research subjects are students, are there measures in place to ensure that their participation or non-participation in the research will cause no negative consequence to their education? | Yes  No  N/A |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **E-10** | Does the questionnaire describe the handling of personal information and considerations when publishing the outcomes? | Yes  No  N/A |
| **E-11** | Will you provide the name, affiliation, and contact information of the primary researcher or co-researchers on the questionnaire so that research subjects may ask for further information? | Yes  No  N/A |
| **E-12** | Does the questionnaire specify how the personal information and data collected in the research will be stored and managed (storage medium and location, etc.) in order to prevent their leakage? | Yes  No  N/A |
| **E-13** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No  N/A |
| **E-14** | Have you given adequate consideration to ensure that the publication of research outcomes will cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No  N/A |
| **E-15** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **E-16** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  N/A |
| **E-17** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **E-18** | If the above is applicable, does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **E-19** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **E-20** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interest in the research outcomes? | Yes  No  Uncertain |
| **E-21** | If the above is applicable, do you have measures to prevent bias caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **E-22** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) other than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **E-23** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **E-24** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

1. **Other Investigation and Research**

**Please specify your research method below:**

(     )

**<Research Implementation Body>**

|  |  |  |
| --- | --- | --- |
| **Common-1** | Do you have the expert knowledge, skills, and sufficient experience required to carry out this research? Alternatively, will you carry out the research under the guidance and supervision of an expert, who possesses such knowledge, skills, and experience? | Yes  No |
| **Common-2** | Do you confirm that the research does not contain socially inappropriate motives or customs, such as discrimination and malice, in its purpose, method, or plan? | Yes  No |
| **Common-3** | Are there co-researchers, research institutions, organizations, or businesses with whom you will conduct this study, or to whom you will commission a substantial portion of the work? | Yes  No  Uncertain |
| **Common-4** | Does the research plan mention the above researchers, organizations, institutions, or businesses? | Yes  No  N/A |
| **Common-5** | Do you have a written arrangement concerning your relationship with the above researchers, organizations, institutions, and businesses, and their roles? | Yes  No  N/A |
| **Common-6** | Regarding the above researchers, organizations, institutions, and businesses, have you confirmed the existence of ethics screening at said institution if conducting collaborative research, and their ethics standards if commissioning to a business? | Yes  No  N/A |

**<Safety>**

|  |  |  |
| --- | --- | --- |
| **F-7** | Are there safeguards to prevent mental, physical, and social relationship problems from affecting you, affiliated organizations, co-researchers, and assistants? | Yes  No |
| **F-8** | Are there safeguards to prevent mental, physical, and social relationship problems from affecting research subjects and persons concerned? | Yes  No |
| **F-9** | Will you handle information that significantly invades the privacy (long-term behavioral observation, personal relationships, etc.) and sensitive information (political beliefs, religious beliefs, sexual orientation, etc.) of research subjects? | Yes  No  Uncertain |
| **F-10** | If you discover a problem concerning research subjects during the course of the research, will you provide appropriate interventions or support? | Yes  No  Uncertain |
| **F-11** | If you discover a problem concerning research subjects during the course of the research, and if you or your co-researchers are unable to resolve it with your expertise, will you consider requesting mediation or intervention from a third party, rather than neglecting the problem? | Yes  No  Uncertain |

**<Informed Consent>**

|  |  |  |
| --- | --- | --- |
| **F-12** | Do your research subjects include socially vulnerable individuals, such as children, disabled or ill persons, and ethnic minorities, who would require special considerations? | Yes  No  Uncertain |
| **F-13** | Even in a research study concerning children and disabled or ill persons, will you make an effort, where possible, to find subjects who are able to understand the research content and voluntarily participate in it? | Yes  No  N/A |
| **F-14** | If the research purpose requires subjects who would experience difficulties understanding the research content by regular explanations, such as children and individuals with disability or illness, will you provide sufficient explanations to their legal representatives, such as parents and guardians, and obtain their consent? Moreover, are there provisions to confirm, as much as possible, their discomfort or refusal regarding the study and to respect it? | Yes  No  N/A |
| **F-15** | If your research subjects include students, patients, and residents who are under the custodianship of an institution or an organization, such as a school, hospital, or welfare facility, do you have provisions to obtain approval from the Ethics Committee of the said institution? | Yes  No  N/A |
| **F-16** | In your explanation of the research, will you clarify to research subjects that their participation in the research is voluntary and that they are able to discontinue or withdraw their participation at any time without any negative consequences? | Yes  No  N/A |
| **F-17** | If your research subjects are students, are there measures in place to ensure that their participation or non-participation in the research will cause no negative consequence to their education? | Yes  No  N/A |
| **F-18** | Will you provide a clear explanation to research subjects as to why they were chosen and how they will be requested to participate in the research? | Yes  No  N/A |
| **F-19** | Will you provide explanations concerning the significance and purpose of the research, as well as the duration of participation and its specific methods? | Yes  No  N/A |
| **F-20** | Will you explain the benefits gained by participating in the research (including the provision of monetary remuneration, etc.) and the anticipated risks? | Yes  No  N/A |
| **F-21** | Will you provide explanations concerning the handling of personal information and considerations when publishing the outcomes? | Yes  No  N/A |
| **F-22** | If taking photographs, videos, or recordings, will you be considerate in your approach and obtain consent from research subjects as well as persons concerned? | Yes  No  N/A |
| **F-23** | Will you provide the name, affiliation and contact information of the primary researcher or co-researchers so that research subjects may ask for further information? | Yes  No  N/A |

**<Confidentiality>**

|  |  |  |
| --- | --- | --- |
| **F-24** | Does the plan specify how the personal information and data collected in the research will be stored and managed (anonymization, storage medium and location, etc.) in order to prevent their loss, leakage, and misidentification? | Yes  No  N/A |
| **F-25** | With regards to personal information gained in the research, are there sufficient safeguards to prioritize the protection of research subjects’ privacy and to prevent its leakage to their affiliations or to persons concerned? | Yes  No  N/A |
| **F-26** | Do the consent form and the research plan outline how long the research subjects’ personal information will be kept and how it will be handled upon completion of the research? | Yes  No  N/A |
| **F-27** | Have you given adequate consideration to ensure that the publication of research outcomes will cause no negative consequence to research subjects? Moreover, if publishing the research outcomes, will you anonymize information that could identify research subjects and persons concerned? | Yes  No  N/A |
| **F-28** | Will the data obtained in the research be used solely for the purpose of the research? | Yes  No  N/A |
| **F-29** | In the event that individuals other than experts directly involved with research subjects (the subject’s attending physician, nurse, or care giver, etc.) will access subjects’ personal information (such as medical records) for the purpose of the research, will you obtain consent from the subjects or their legal representatives? | Yes  No  N/A |
| **F-30** | If using research subjects’ personal information for educational purposes (lecture, workshop, seminar, etc.), will you take measures to ensure individuals are unidentifiable and consider the bounds of information disclosure, even if research subjects have given consent? | Yes  No  N/A |

**<Deception and Debriefing>**

|  |  |  |
| --- | --- | --- |
| **F-31** | If you are unable to reveal the true purpose of the research ahead of time due to the nature of your research plan, will you use misleading explanations? | Yes  No  N/A |
| **F-32** | If conducting research that uses deception, will you inform the research subjects about the use of deception and explain its true purpose by the end of the research? | Yes  No  N/A |
| **F-33** | If the above is applicable, does the primary researcher or the co-researcher have provisions to respond faithfully to questions and requests from research subjects after the research is completed? | Yes  No  N/A |

**<Conflict of Interest>**

|  |  |  |
| --- | --- | --- |
| **F-34** | Among your research subjects, are there interested parties or those who have or had a close relationship with the researcher, presently or in the past? | Yes  No  Uncertain |
| **F-35** | Are you receiving support or benefit for the research, such as supply of funds, equipment, and facility, from businesses, individuals, and organizations that have financial interest in the research outcomes? | Yes  No  Uncertain |
| **F-36** | If the above is applicable, do you have measures to prevent bias caused by such financial interest from affecting your research outcomes and publication methods? | Yes  No  N/A |
| **F-37** | Are there any pre-anticipated conflicts of interest (financial interests that may affect the research outcome) than those stated above? | Yes  No  Uncertain |

**<Remuneration to Research Participants>**

|  |  |  |
| --- | --- | --- |
| **F-38** | Will you provide monetary or other forms of remuneration to research subjects for their participation in the research? | Yes  No  N/A |
| **F-39** | If the above is applicable, do you confirm that its value adheres to societal standards? | Yes  No  N/A |

**<Information Disclosure and Response to Enquiries>**

|  |  |  |
| --- | --- | --- |
| **F-40** | If research subjects request for data disclosure or for use of the data to be discontinued, will you respond promptly to such requests? | Yes  No  N/A |