Preliminary Checklist for Ethical Review

in Survey or Experiment on Human Participants/Subjects

Date:

This checklist will help you determine in advance whether an ethical review is required.

|  |  |
| --- | --- |
| Name |  |
| Affiliation / Position |  |
| Research Title |  |

**Step 1: Positioning of the survey / experiment.**

**Please answer "yes" or "no" to the following questions.**

|  |  |  |
| --- | --- | --- |
| 1 | This survey or experiment is part of a class work designed for students to learn research methods. | Yes　 No |
| 2 | This survey or experiment is conducted by Tohoku University or its schools/faculties for the purpose of improving university administration. | Yes　 No |

⇒ If you answered “yes” to either or both of the above questions, ethical review is not required.

⇒ If you answered “no” to all of the above questions, please answer the questions in Step 2 below.

**Step 2-1: Prior explanation and consent**

|  |  |  |
| --- | --- | --- |
| 3 | The purpose of this survey or experiment will not be disclosed to the participants in advance. | Yes　 No |
| 4 | No prior written consent will be obtained from the participants for this survey or experiment. | Yes　 No |
| 5 | The participants of this survey or experiment may not request the cancellation in the middle of the survey or experiment. | Yes　 No |

**Step 2-2: Burden and pain**

|  |  |  |
| --- | --- | --- |
| 6 | The participants in this survey or experiment may be disadvantaged by providing their information. | Yes　 No |
| 7 | This survey or experiment may cause mental and/or physical harm or distress to the participants. | Yes　 No |

**Step 2-3: Personal information / data**

|  |  |  |
| --- | --- | --- |
| 8 | In this survey or experiment, personal information / data will be collected. | Yes　 No |
| 9 | In this survey or experiment, personal information / data that could identify individual participants may be collected. | Yes　 No |

**Step 2-4: Appropriateness of the survey or experiment**

|  |  |  |
| --- | --- | --- |
| 10 | There is some power or blood relationship between the participants and the person in charge of this survey or experiment. | Yes　 No |
| 11 | The participants will receive an honorarium or other financial inducement (excluding transportation costs, etc.). | Yes　 No |
| 12 | This survey or experiment is intended for people with disabilities (intellectual, mental, physical, etc.). | Yes　 No |
| 13 | The participants/subjects of this survey or experiment are under 18 years of age. | Yes　 No |

**Step 2-5: Compliance with ethical codes of affiliated academic societies, etc.**

|  |  |  |
| --- | --- | --- |
| 14 | An external organization—an affiliated academic society, organization to conduct this survey or experiment, etc.—requires or recommends approval from a research ethical review committee of the applicant’s institution prior to conducting research or experiments. | Yes　 No |

⇒ If you answered “yes” to at least one of the above questions, this survey or experiment may be subject to review. Prior to the survey or experiment, please review and redesign the methodology or submit this preliminary checklist and review documents to the Ethical Review Committee for review.

⇒ If you answered “no” to all of the above questions, this survey or experiment is not subject to review. However, if these questions are anticipated to arise during the course of the survey or experiment, please submit the review documents to the Ethical Review Committee for review.