**Committee for Ethical Compliance in Research**

**Involving Human Beings (CEPH-FGV)**

**Submission Form**

This form must be filled in by the researcher responsible for the research project or data collection protocol and sent to the email etica.pesquisa@fgv.br. Questions can be clarified on the CEPH-FGV website (https://ceph.fgv.br/), by the email indicated above or by phone +55 21 3799-6216.

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| **IDENTIFICATION** | | |
| **1. LEADING RESEARCHER** | | |
| Name: | | |
| School:  Research Center: | | Email: |
| Phone: | | Mobile phone: |
| Does the research involve other researchers? If yes, identify them: | | |
| **2. RESEARCH PROJECT** | | |
| Title: | | |
| Is the research funded by any institution? If yes, which?  If so, the funder has a specific interest in the research results? | | |
| Does the funder, if any, anyone other than the researcher or entity (such as the data provider) have any decision-making power over whether or not to publish the results? Explain. | | |
| Is this a final degree project?  If yes, what is the course and program?  Who is the advisor?  Advisor email?  *Ps. In the case of a final degree project, it is necessary that the advisor expressly agrees with the documents sent to CEPH. This can be done by sending an email after the researcher submits the forms to the Committee.* | | |
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| **QUESTIONNAIRE** | | |
| **1. RESEARCH DESCRIPTION** | | |
| Describe the research project (or data collection protocol) in up to 500 words, focusing on the method of interaction with participants and its importance for the fulfillment of research objectives. | | |
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| **2. RESEARCH PARTICIPANTS** | | |
| a. | Who are the project participants? Are there legally incapable participants (minors, for example)? Are there participants who need assistance (people with mental disabilities, for example)? | |
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| b. | How will participants be selected? What is the selection criteria? | |
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| c. | Might people other than the participants be directly affected by the project? | |
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| d. | What are the specific risks for research participants or third parties? | |
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| e. | How will potential risks be mitigated? | |
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| **3. INFORMED CONSENT** | | |
| Will the participants be asked to sign an informed consent statement? How will their consent be recorded (e.g., physical signature or virtual acceptance)? | | |
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| **When submitting this form, attach the informed consent form that will be used in the data collection. The term should describe the research, explain its risks, inform the participants' prerogatives and the contact details of the researcher and CEPH-FGV.**  **If the research involves people with disabilities or people in need of assistance, they must sign an assent form and their guardians or assistants, a consent form.**  **Models of terms of consent and informed assent are available on the CEPH-FGV website.** | | |
| **4. DATA COLLECTION AND PROCESSING** | | |
| a. | How will the data be collected and processed during the project? | |
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| b. | When does the collection start and when does it end? Inform the expected months for data collection.  Note. When setting the date, keep in mind two factors: 1) data collection should only start after the CEPH-FGV approval opinion is issued, which, as a rule, takes place within 7 days after the meeting of each month; and 2) projects that do not inform the date of completion of data collection will be approved within a standard period of 6 months from the issuance of the CEPH-FGV opinion. | |
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| c. | Does the research involve the use of documents and/or secondary data? Please specify below, highlighting whether they contain personal data. If personal data is involved, its use must also be approved by CEPH. It is necessary to indicate which documents and/or secondary data will be consulted, the variables involved, how these documents/data will be processed and how anonymization will occur. It is also necessary to indicate whether there is authorization to access documents and/or data, if they are private (if possible, attach a signed authorization term). | |
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| d. | Will sensitive data be collected? If so, is this collection strictly necessary for research? (Under the terms of article 5, II of the Brazilian General Data Protection Law, all personal data about “racial or ethnic origin, religious conviction, political opinion, union membership or organization of a religious, philosophical or political nature,” as well as “health or sexual life” data and “genetic or biometric” data is sensitive). | |
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| e. | What is the number of participants? Justify it. If it is impossible to indicate an exact number of participants, indicate at least one estimate (minimum and maximum). | |
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| f. | How will the collected data be stored? (For example: on a personal computer, on an external HD, in the cloud). Who will have access to the data? Will there be encryption? | |
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| **5. PROVISION OF INCENTIVES** | | |
| Will incentives be offered to participants (financial or not)? If so, describe and justify them. | | |
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| **6. CONFIDENTIALITY** | | |
| a. | What measures will be taken to preserve the research participants' privacy (or data confidentiality) and those potentially affected by it? Will the data identified during the collection phase be anonymized? How? (explain the anonymization technique, if applicable) | |
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| b. | Will the research involve sharing data or confidential information? | |
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| **7. RISK TO THE RESEARCHERS** | | |
| Are there any risks to the researchers? If so, give details and explain how these risks will be minimized. | | |
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| **8. CONFLICT OF INTEREST** | | |
| a. | Does the researcher maintain any professional ties or activities in addition to the research? If so, which one?  Note. If there is a professional activity in addition to the research, the information must necessarily be included in the Consent Form, even if there is no direct relationship with the research object. The understanding was consolidated by CEPH-FGV in Precedent 1, of February 14, 2020. | |
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| b. | Is there a potential conflict of interest in carrying out the research project? (This occurs, for example, when the researcher works professionally in the same sector as the participants or is his superior). This item should also consider the potential conflict of interest of the financier and the operator (as in cases where a company conducts interviews or applies questionnaires). | |
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| c. | If there is a potential conflict of interest, what measures will be taken to mitigate it? | |
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| **9. *DECEPTION*** | | |
| a. | Does the research methodology justify the use of deception? If so, how and when will the mistake occur? And for what reason? (Deception is understood as the practice of omitting information or intentionally providing incorrect information about an aspect of the research). | |
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| b. | If the research involves deception, will there be debriefing? Describe or justify its absence. (Debriefing is the clarification of the research methods and objectives provided to the participants after the end of the collection). | |
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| **10. DISCLOSURE** | | |
| Where do you expect to disclose the results of the study? Will the participants have access to these results? | | |
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**Precedents**

The precedents listed below summarize recurring CEPH decision.

**Precedent 1**

February 14, 2020

Researchers who work or intend to work in the same field or professional sector as the research participants must declare their activities, bonds or professional intentions in terms of consent, in order to explain potential conflicts of interest.

**Precedent 2**

February 14, 2020

In surveys of companies or organizations, researchers must: 1) ensure that participants are authorized to provide information about the company or organization to which they are linked; 2) ensure that the position or reputation of participants within the company or organization is not put at risk by conducting or disseminating the research; 3) adopt specific measures to minimize the risks to which the participants may be exposed, including obtaining written authorization to conduct the research by the companies or organizations to which they are linked.

**Precedent 3**

February 14, 2020

Research involving foreign participants must map and minimize specific risks to which these participants are exposed due to their citizenship or location.