



UNIVERSITY OF AMSTERDAM
Economics & Business



Research Ethics Instructions

Contents

Preamble	3
Definitions	
Chapter 1 - General	4
Article 1 - Research integrity at UvA EB	
Article 2 - Research Management Services	
Article 3 - Data Steward	
Article 4 - Economics and Business Ethics Committee	
Chapter 2 - Economics and Business Ethics Committee (EBEC)	5
Article 5 - EBEC tasks and responsibilities	
Article 6 - EBEC composition	
Article 7 - EBEC internal procedures	
Article 8 - EBEC Chairperson	
Article 9 - Autonomy, confidentiality, and conflicts of interest	
Chapter 3 - Registration of research projects in UvA EB RMS	7
Article 10 - Registration of research projects in UvA EB RMS: general	
Article 11 - Registration of research projects in UvA EB RMS: procedure	
Article 12 - Registration of research projects in UvA EB RMS: timing	
Article 13 - Registration of research projects in UvA EB RMS: research projects consisting of multiple studies	
Article 14 - Registration of research projects in UvA EB RMS: additions and changes to registered projects	
Article 15 - Data Protection Review	
Article 16 - Data Management Plan	
Article 17 - Ethics Review	
Chapter 4 - General principles	11
Article 18 - Types of data	
Article 19 - General principles regarding management and storage of personal data	
Article 20 - General principles for research involving human subjects	
Article 21 - Deception	
Article 22 - Informed consent	
Article 23 - Research with potentially vulnerable human subjects	
Article 24 - Research collaboration with third parties	
Chapter 5 - Approval	15
Article 25 - Approval and revision	

Preamble

Definitions

- a. *Data Steward* - a person appointed by UvA Economics and Business (UvA EB) to help researchers with data management.
- b. *Human subject* - a living individual human being.
- c. *Personal data* - data that can be traced back to specific individuals.
- d. *Researcher* - an employee or student of UvA EB who, alone or as part of a research team, plans to conduct a research project and registers this project in UvA EB Research Management Services (RMS).
- e. *Research project* - a project consisting of one or more studies.
- f. *Research team* - a group of individuals of whom at least one is an UvA EB employee or student who together conduct a research project.
- g. *Study* - an investigation that is conducted to generate academic or practice-oriented knowledge.
- h. *Third parties* - individuals or organisations that are not employees or students of UvA. This includes researchers at other institutions.
- i. *UvA* - the University of Amsterdam (Universiteit van Amsterdam).
- j. *UvA EB* - the faculty of Economics and Business at the University of Amsterdam.

Chapter 1 - General

Article 1 - Research integrity at UvA EB

UvA Economics and Business (UvA EB) endorses the **Netherlands Code of Conduct for Research Integrity** (2018) and the five principles of integrity in research: honesty, scrupulousness, transparency, independence, and responsibility.

Article 2 - Research Management Services

- a. To promote research integrity, UvA EB requires researchers, including students, to register their research projects in UvA EB Research Management Services (RMS).
- b. UvA EB RMS contains three modules:
 1. Data Protection Review
 2. Data Management Plan
 3. Ethics Review

Article 3 - Data Steward

To promote adequate data management UvA EB appoints a Data Steward.

Article 4 - Economics and Business Ethics Committee

To promote research integrity UvA EB establishes the Economics and Business Ethics Committee (EBEC).

Chapter 2 - Economics and Business Ethics Committee (EBEC)

Article 5 - EBEC tasks and responsibilities

The EBEC has the following tasks and responsibilities:

- a. Promoting research integrity at UvA EB.
- b. Evaluating the ethicality of research proposals submitted for the Ethics Review in UvA EB RMS.
- c. Promoting that research involving human subjects complies with relevant institutional, national, and international ethics regulations and legal requirements.
- d. Providing solicited and unsolicited advice to the UvA EB Faculty Board, Research Directors, Educational Directors, faculty members, staff, and students on issues related to research integrity.
- e. Providing solicited and unsolicited advice to the UvA EB Faculty Board, Research Directors, Educational Directors, faculty members, staff, and students on issues related to research collaboration with third parties, as described in Article 24.
- f. Proposing changes to the UvA EB Research Ethics Instructions.

Article 6 - EBEC composition

- a. The EBEC consists of four members, including one Chairperson.
- b. The EBEC members are tenured associate or full professors at UvA EB.
- c. Two EBEC members are affiliated with the Amsterdam Business School and two EBEC members are associated with the Amsterdam School of Economics.
- d. EBEC members are appointed by the UvA EB Dean for a period of three years, with the option of renewal for one period.

Article 7 - EBEC internal procedures

- a. The EBEC meets at least one time per year.
- b. EBEC meetings are not public.
- c. EBEC meeting minutes are made available to the UvA EB Faculty Board, Research Directors, and Educational Directors within three weeks after the meeting.
- d. The EBEC discusses research proposals submitted for Ethics Review in UvA EB RMS using the comments function within the RMS application.
- e. The EBEC makes decisions based on a majority vote. Members may choose to abstain.
- f. If the number of votes for two or more alternatives is the same, the vote of the EBEC Chairperson is decisive.
- g. The EBEC prepares an annual report and makes this available to the UvA EB Faculty Board, Research Directors, and Educational Directors at the latest in February of the next year.

Article 8 - EBEC Chairperson

The EBEC Chairperson has the following tasks and responsibilities:

- a. Initiate, open, close, and chair EBEC meetings.
- b. Prepare the agenda for EBEC meetings.
- c. Sign correspondence and other documents on behalf of the EBEC.
- d. Corresponding with researchers who submit research proposals submitted for Ethics Review in UvA EB RMS.
- e. Corresponding with UvA EB Faculty Board, Research Directors, and Educational Directors.
- f. Corresponding with the Data Steward.
- g. Corresponding with other UvA EB faculty and staff members, including staff members responsible for data protection impact assessments (DPIA) **required by Dutch law**.
- h. Corresponding with other UvA Ethics Committees, including the UvA-wide Ethics Committee “Algemene Instellingsgebonden Ethische Commissie” (AIEC).
- i. Assuming membership of the UvA-wide Ethics Committee “Algemene Instellingsgebonden Ethische Commissie” (AIEC) and attend AIEC meetings.

Article 9 - Autonomy, confidentiality, and conflicts of interest

- a. EBEC members review research proposals submitted for Ethics Review in the UvA EB RMS and participate in the EBEC autonomously, without conflicts of interest.
- b. EBEC members do not review research proposals submitted for Ethics Review in the UvA EB RMS in which they are involved as researcher or supervisor, or in another relevant capacity.
- c. EBEC members do not review research proposals submitted for Ethics Review in the UvA EB RMS that affect their interests in any way.
- d. EBEC members who are in a position as described in Article 9b or 9c notify this to the EBEC Chairperson as soon as possible. The EBEC then decides based on votes of the other members.
- e. If multiple members are in a position as described in Article 9b or 9c, the EBEC Chairperson may decide to ask an UvA EB faculty member who is not a member of the EBEC for advice.
- f. EBEC members observe strict confidentiality about all information concerning the content of research proposals submitted for Ethics Review in UvA EB RMS and the internal communication about these proposals during the review process.

Chapter 3 - Registration of research projects in UvA EB RMS

Article 10 - Registration of research projects in UvA EB RMS: general

- a. All research projects conducted by EB faculty members and students are registered in UvA EB RMS, independent of whether data is collected or used in the research project.
- b. Research projects include research done by Ph.D. students, post-docs, and faculty members, as well as Bachelor's theses, Master's theses, and theses for executive programmes.
- c. The responsibility for timely, complete, and accurate registration of a research project in UvA EB RMS falls on the EB faculty member or student. Non-compliance with this responsibility may, depending on the circumstances, lead to potential legal repercussions and/or the imposition of sanctions.
- d. Bachelor's theses, Master's theses, and Executive programmes theses can only be registered in UvA EB RMS when the research project has been approved by the thesis supervisor. As part of the registration, students enter the name and email address of the thesis supervisor and confirm that the supervisor has approved the research project.
- e. Homework assignments and take-home exams are not considered research projects as meant in Article 10a and do not need to be registered in UvA EB RMS.
- f. In case it is unclear whether something qualifies as a research project, it is recommendable to register it in UvA EB RMS.

Article 11 - Registration of research projects in UvA EB RMS: procedure

- a. When registering a research project in UvA EB RMS, the researcher indicates:
 1. Which type(s) of data, if any, is collected and/or used in the research project, using the classification of Article 18.
 2. Whether the research topic is ethically sensitive and/or may have legal implications.
 3. Whether the research project involves collaboration with third parties.
 4. If the research project involves collaboration with third parties, whether any of the issues mentioned in Article 24b are true.
 5. Whether the research project has been evaluated and approved by the ethics committee or Institutional Review Board (IRB) of another university or another UvA faculty.
 6. Whether a research project similar to the current project was previously rejected by the EBEC or another ethics committee or Institutional Review Board (IRB).
- b. Based on the information provided about the research project (Article 11a), researchers may need to fill out none, one, or multiple of the three modules in UvA EB RMS mentioned in Article 2b.
- c. UvA EB RMS informs researchers which of the three modules mentioned in Article 2b need to be filled out.
- d. Research projects for which an Ethics Review (Article 2b-3) is not necessary automatically receive the EBEC ethics approval mentioned in Article 17g.

Article 12 - Registration of research projects in UvA EB RMS: timing

- a. For research projects for which no data is collected and/or used or for which only existing databases are used (i.e., research projects falling in the categories defined in Articles 18a or 18b), registration of the research project in UvA EB RMS takes place before the results of the research project are shared with people outside of the research team (e.g., before a thesis is handed in or before a working paper is submitted to a conference or journal).
- b. For research projects for which new databases are created (i.e., research projects falling in the categories defined in Article 18c or 18d), registration of the research project in UvA EB RMS takes place before data is collected by the researcher. Researchers can only start the data collection when each required module (Article 11b) has been filled out and approved.
- c. Registration of a research project in UvA EB RMS after the relevant deadlines mentioned in Article 12a and 12b is not possible.

Article 13 - Registration of research projects in UvA EB RMS: research projects consisting of multiple studies

- a. When registering a research project that consists of multiple studies in UvA EB RMS, researchers register it as a single research project.
- b. When registering a research project that consist of multiple studies in UvA EB RMS, researchers make sure that the registration adequately covers each study that is part of the project.
- c. Once a research project is registered in UvA EB RMS, it is no longer possible to add studies to that project (cf. Article 14.)

Article 14 - Registration of research projects in UvA EB RMS: additions and changes to registered projects

- a. When a researcher plans to conduct a new study that is related to a research project that is already registered in UvA EB RMS, this study needs to be registered in UvA EB RMS as a new research project.
- b. When a researcher wants to change a study that is part of a project that is already registered in UvA EB RMS, the study needs to be registered in UvA EB RMS as a new research project.
- c. In derogation of Article 14b, it is not necessary to register a redesigned study as a new research project in UvA EB RMS when the changes are minor and do not affect the nature of the study or the points mentioned in Article 11a and Article 17c.
- d. In derogation of Article 14b, it is not necessary to register a redesigned study as a new research project in UvA EB RMS when the changes only apply to how and where the data of the research project are collected, stored, archived and made available, as meant in Article 16b. In such cases, the researcher can change the existing Data Management Plan that is registered in UvA EB RMS.
- e. If it is unclear whether it is necessary to register a redesigned study as a new research project in UvA EB RMS, it is recommendable to do so.

Article 15 - Data Protection Review

- a. The Data Protection Review is one of the three modules in UvA EB RMS (Article 11b-1).
- b. In the Data Protection Review module the researcher specifies which potentially sensitive data about individuals are collected and/or stored.
- c. The Data Protection Review is performed by the Data Steward.
- d. When performing the Data Protection Review, the Data Steward considers applicable laws and regulations, the principles listed in the Netherlands Code of Conduct for Research Integrity as described in Article 1, and the general principles regarding management and storage of data about identifiable individuals as described in Article 19.
- e. When necessary, the Data Steward initiates a **data protection impact assessment (DPIA) as required by Dutch law**.
- f. The Data Steward informs the researcher about omissions and required changes in the Data Protection Review.
- g. If the Data Protection Review leads to the conclusion that data protection is adequate, the Data Steward formally approves the Data Protection Review and informs the researcher thereof.

Article 16 - Data Management Plan

- a. The Data Management Plan is one of the three modules in UvA EB RMS (Article 11b-2).
- b. In the Data Management Plan module the researcher specifies how and where the data of the research project are collected, stored, archived, and made available.
- c. The Data Management Plan is evaluated by the Data Steward.
- d. When evaluating the Data Management Plan, the Data Steward considers applicable laws and regulations, the principles listed in the Netherlands Code of Conduct for Research Integrity as described in Article 1, and the general principles regarding management and storage of data about identifiable individuals as described in Article 19.
- e. The Data Steward informs the researcher about omissions and required changes in the Data Management Plan.
- f. If the Data Steward judges the Data Management Plan to be adequate, the Data Steward formally approves the Data Management Plan and informs the researcher thereof.

Article 17 - Ethics Review

- a. The Ethics Review is one of the three modules in UvA EB RMS (Article 11b-3).
- b. In the Ethics Review module the researcher provides more information about the purpose and nature of the research project and about the data collection method.
- c. In the Ethics Review module the researcher always indicates whether:
 1. The research project involves the use of deception of human subjects following the exception mentioned in Article 21c.
 2. The research project involves engagement of human subjects without their registered active informed consent, following the exception mentioned in Article 22g.

3. The research project involves data collection from potentially vulnerable human subjects, as specified in Article 23.
 4. The research project involves administration of drugs, placebos or any other substances to human subjects.
 5. The research project requires human subjects to answer questions or expose them to stimuli that are potentially sensitive, distressing, or offensive.
 6. The research project involves invasive, intrusive, or potentially harmful procedures of any kind or may induce stress or anxiety, or cause harm.
- d. As part of the Ethics Review, the researcher may be required to upload documents that will be used in the research project.
 - e. The Ethics Review is performed by the EBEC.
 - f. When performing the Ethics Review, the EBEC considers the principles listed in the Netherlands Code of Conduct for Research Integrity as described in Article 1 and the general principles described in Articles 19, 20, 21, 22, 23, and 24 of the UvA EB Research Ethics Instructions. The EBEC may also consider additional relevant principles or standards.
 - g. If the EBEC judges the research project to be ethically acceptable, the EBEC formally approves the project.
 - h. Based on the researcher's answers in response to the questions mentioned in Article 11a and Article 17c, the research project either automatically gets ethics approval or is selected for additional scrutiny by the EBEC.
 - i. For research projects that are selected for additional scrutiny by the EBEC (Article 17h) the decision about ethics approval is made following the procedures described in Articles 7d, 7e, and 7f.
 - j. If the EBEC judges the research project to not be ethically acceptable, the EBEC specifies the changes to the research project that are required to get ethics approval, and informs the researcher about the decision and the required changes.
 - k. If the information about the research project provided by the researcher is insufficient for the EBEC to evaluate the ethical acceptability of the research project, the EBEC specifies which additional information is required and requests the researcher to provide this information.
 - l. Immediately after a research project get ethics approval from the EBEC per Article 17g, a letter signed by the EBEC Chairperson confirming the ethics approval is sent to the researcher.
 - m. The EBEC responds to the researcher within two weeks of the registration of the research project in UvA EB RMS, with an approval (Article 17g), a request to make changes to the research project (Article 17j), or a request for additional information (Article 17k).
 - n. Appeal against the EBEC's decision about ethics approval is not possible.

Chapter 4 - General principles

Article 18 - Types of data

UvA EB RMS distinguishes between the following types of data collection and use in research projects:

- a. No data collection or use (e.g., theoretical/mathematical modelling).
- b. Use of existing databases:
 1. Databases available through the university library.
 2. Other publicly available databases.
 3. Not publicly available databases (e.g., databases made available by companies or other organisations).
- c. Creation of new databases by collecting data but not directly from human subjects:
 1. Data are collected from existing publicly available sources such as journals, books, or websites (e.g., a literature review).
 2. Data are collected from existing not publicly available sources (e.g., private documents, meeting minutes, reports, logs).
 3. Data are collected through web scraping.
 4. Data are automatically collected (e.g., IP-addresses, GPS data).
 5. Data are generated by computer software (e.g., simulations, numerical experiments).
- d. Creation of new databases by collecting data directly from human subjects:
 1. Participants fill out a questionnaire.
 2. Participants participate in an experiment.
 3. Participants are interviewed.
 4. Participants are observed/recorded.
 5. Participants provide biological or genetic data (e.g., saliva, blood samples, fingerprints).

Article 19 - General principles regarding management and storage of personal data

Researchers who collect personal data:

- a. Do not collect and store more personal data than is necessary for the research project.
- b. Delete personal data that is collected for administrative purposes only as soon as possible.
- c. Anonymise personal data by removing possibly identifying information, or, when anonymisation is impossible, pseudonymise this data.
- d. Store personal data in a safe way, following recommendations for data storage and data management provided by UvA.
- e. Do not share personal data with anyone outside the research team, unless absolutely necessary.

Article 20 - General principles for research involving human subjects

- a. Researchers treat human subjects with respect and dignity.
- b. Researchers take the interests of human subjects into consideration and take measures to ensure that their rights and wellbeing will not be violated.
- c. Researchers do not expose human subjects to risks that are larger than what they would encounter in their everyday life.
- d. Researchers minimise potential risk, harm, or other negative consequences to human subjects during or after the research project. Any remaining potential risk, harm, or other negative consequences must be justifiable on the grounds that it benefits society at large.
- e. Researchers adhere to the specific guidelines and principles regarding the treatment of human subjects specified in Articles 21, 22, and 23.

Article 21 - Deception

- a. Researchers refrain from the use of deception of human subjects.
- b. Not informing participants about the purpose of the research project is not considered deception.
- c. In deviation from Article 21a, the use of deception of human subjects may be acceptable if equally effective procedures in which no deception occurs are impossible or prohibitively expensive.
- d. No exceptions based on Article 21c can be made when the deception implies that human subjects are misled about possible risks and inconveniences that participation in the research project might entail.
- e. No exceptions based on Article 21c can be made when deception is forbidden by the laboratory or platform where the study is conducted or the human subjects are recruited for participation.
- f. When researchers use deception of human subjects based on the exception mentioned in Article 21c, they adequately debrief the human subjects after the data is collected.

Article 22 - Informed consent

- a. Researchers collecting data directly from human subjects inform prospective subjects about the purpose and method of the data collection, to the extent this does not interfere with the aim of the research project.
- b. Researchers inform prospective subjects about the fact that their participation is voluntary and that they may refuse to participate or cancel their participation at any time, for any reason, and without any penalty.
- c. Researchers inform prospective subjects about factors which may affect their willingness to participate, such as potential risks, discomfort, adverse effects, or limitations on confidentiality.
- d. Researchers provide human subjects with contact details of the researcher such that they can contact the researcher during or after the data collection.
- e. The agreement of human subjects to participate in the research project is based on active informed consent.
- f. Researchers are required to collect evidence of human subjects' active informed consent, for example in the form of a signed or digitally approved informed consent form.
- g. In special cases in which it is not reasonably possible for human subjects to provide active informed consent, the EBEC can lift the requirements stated in Articles 22e and 22f upon request of the researcher.

Article 23 - Research with potentially vulnerable human subjects

- a. Minors under the age of 18, persons incapable of judgment, or otherwise vulnerable persons (e.g., refugees, persons with drug or alcohol problems, persons with special needs) can only be used as human subjects if they are uniquely suited for the research project's purpose, and the burden on the subjects is minimised.
- b. When the human subjects are minors under the age of 18 or persons incapable of judgment, it is necessary to gain active informed consent as mentioned in Articles 22e and 22f from a legal representative of the subjects. When the human subjects are children between the ages of 12 and 18, both the human subjects themselves and a legal representative need to provide active informed consent.
- c. In specific cases, the EBEC can lift the requirement stated in Article 23b to get active informed consent from a legal representative of the subject.

Article 24 - Research collaboration with third parties

- a. Researchers collaborating with third parties adhere to the principles and policies for research collaboration with third parties established by UvA in the “Beleidskader Samenwerking met Derden in Onderzoek”.
- b. Before starting a research collaboration with a third party, researchers consider whether one or more of the following are true:
 1. The research project potentially involves knowledge that has direct or indirect military or terroristic applications.
 2. The research project potentially involves knowledge that has a considerable risk of being abused for malicious purposes.
 3. A third party is potentially controversial.
 4. The research project is (partly) financed through a potentially controversial programme.
 5. The research project takes place in a potentially controversial country.
- c. When considering whether any of the points under Article 24b are true, researchers follow the definitions and explanations provided by UvA in the “Beleidskader Samenwerking met Derden in Onderzoek”.
- d. Researchers who intend to start a research project in collaboration with a third party indicate this when registering the research project in UvA EB RMS (cf. Article 11a-3). If researchers believe that one or more of the points under Article 24b are true for their research project, they also indicate this when registering the research project in UvA EB RMS (cf. Article 11a-4).
- e. Research projects in collaboration with a third party for which one or more of the points under Article 24b are true are passed on to the general UvA ‘Adviescommissie Onderzoek met Derden’ for advice.

Chapter 5 - Approval

Article 25 - Approval and revision

- a. The UvA EB Research Ethics Instructions are approved by the UvA EB Faculty Board on 14 December 2023.
- b. The UvA EB Research Ethics Instructions are in effect from 1 January 2024.
- c. Revisions to the UvA EB Research Ethics Instructions can be made at any time and require the explicit approval of the UvA EB Faculty Board.
- d. Proposals for revisions to the UvA EB Research Ethics Instructions should be send to the EBEC.