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Univerzita Palackého
v Olomouci

INTERNAL REGULATION OF UP FACULTY OF ARTS

FF-B-20/02

Statute of the Palacký University Olomouc Faculty of Arts

Research Ethics Panel

Contents: This internal regulation stipulates the scope and authority of the FF UP Ethics Panel, the rules of its conduct and the manner of selecting its members. This internal regulation also defines the cases in which it is necessary for a research project proposal to be assessed by the FF UP Ethics Panel. It also stipulates when and how the FF UP Ethics Panel will comment on a discussed research project proposal.

Guarantor: Vice-Dean for Organization and Development

Valid: date

Effective: date

Statute of the Palacký University Olomouc Faculty of Arts

Research Ethics Panel

Preamble

Given that the subjects of many scientific and research works and projects implemented at the Palacký University Olomouc Faculty of Arts are human beings, this statute is developed in accordance with the basic principles reflecting this fact. These principles are contained, for example, in the *European Charter for Researchers* and in the *Ethical Framework for Research* as adopted by the Government of the Czech Republic in its Resolution No. 1005 from 17 August 2005.

Article 1

Mission, Nature of the Activity, Seat

1. The Palacký University Olomouc Faculty of Arts Research Ethics Panel (hereinafter the "**Ethics Panel**") has been established by the Dean of the Palacký University Olomouc Faculty of Arts (hereinafter "**FF UP**") following a debate within the Academic Senate of FF UP (hereinafter "**the Senate**").
2. The Ethics Panel is a permanent advisory body of the Dean of the Faculty responsible for assessing and issuing opinions on compliance with ethical standards of basic or applied research and research projects (hereinafter collectively "**research projects**") carried out by FF UP staff or students studying in study programs at FF UP (hereinafter collectively referred to as the "**submitter**" or "**submitters**").
3. The Ethics Panel should ensure that research projects are assessed through a competent, objective and independent process.
4. The mission of the Ethics Panel is also to ensure in advance protection of the dignity, freedoms, health, quality of life and safety of all research participants.
5. The mission of the Ethics Panel is also to cultivate and promote best practices in the processing of research project proposals and to generally help improve the quality of research project proposals.
6. Unless the Chair of the Ethics Panel decides otherwise, the seat of the Ethics Panel is the Dean's Office at FF UP.

Article 2

Scope of Activity of the Ethics Panel

1. The Ethics Panel focuses particularly on assessing the ethical admissibility of research project proposals for which FF UP or its employees are the primary coordinators or researchers, both in terms of their overall focus as well as the planned research procedures and tools. The Ethics Panel may also assess the expected level of informedness of research participants and the level of protection of their rights.
2. Employees of FF UP are obliged to submit their research project for assessment by the Ethics Panel in the following cases:
 - a) if required by legislation or a binding international agreement (biomedicine, use of biomedical procedures);

- b) if approval by the Ethics Panel is required by the provider of a grant or other support;
 - c) if approval by the Ethics Panel is required by an academic journal, or if approval by the Ethics Panel is a requirement for publication in a certain academic journal of the submitter's choosing;
 - d) for research carried out on vulnerable individuals or groups (persons with mental disabilities, persons with limited legal capacity, etc.);
 - e) for research aimed at processing the following personal data of the identified or identifiable persons:
 - a. racial or ethnic origin;
 - b. political views;
 - c. religious or philosophical beliefs;
 - d. trade union membership;
 - e. genetic data;
 - f. biometric data processed for the unique identification of a person;
 - g. health data;
 - h. sexual life or sexual orientation;
 - i. data relating to criminal convictions, criminal offenses or associated security measures;
 - f) for research using cover stories or other ethically questionable research methods.
3. In these aforementioned cases, the FF UP employee in question is obliged to submit a request for the assessment of the research project in accordance with this internal regulation in good time and with all the necessary annexes attached.
 4. The Ethics Panel also assesses the ethical aspects of research carried out as part of qualificational and similar works or research projects of FF UP students in bachelor, master and doctoral study programs. It does so, however, only in special and justified cases and on the basis of a written recommendation from the supervisor or other relevant persons.
 5. As a matter of principle, it is not within the scope of activity of the Ethics Panel to assess the ethical aspects of the procedure of a submitter or a researcher while the project is being carried out.

Article 3

Membership on the Ethics Panel, Prerequisites for Membership

1. The Ethics Panel has a minimum of 6 and a maximum of 9 members.
2. The term of office of a member is three years. Members may be reappointed.
3. Members of the Ethics Panel cannot deputise others to perform their duties.
4. Members of the Ethics Panel should have sufficient experience and expertise to be able to assess research project proposals in accordance with the scope of activities of the Ethics Panel.
5. Only people of integrity may be members of the Ethics Panel; for the purposes of this internal regulation, a person of integrity is someone who has not been convicted of an intentional criminal offense or is considered to not have been convicted.

Article 4

Establishment and Termination of Membership

1. Members of the Ethics Panel are appointed in writing by the Dean following consultation with the Scholarly Board of the Faculty of Arts and are usually selected from among the members of the UP academic community or from UP professors

- emeriti. People who are not in an employment contract with FF UP or UP may become members of the Ethics Panel.
2. When selecting members of the Ethics Panel, the Scholarly Board of FF UP and the Dean of FF UP take the main scientific disciplines practiced at FF UP into account. These are the primary concern of the Ethics Panel and should be adequately represented on the Ethics Panel.
 3. Proposals for membership of the Ethics Panel are submitted to the Dean of FF UP. Proposals can be submitted by all members of the FF UP academic community. The proposal must include the consent of the proposed member of the Ethics Panel. The Dean is not bound by the submitted proposals; they are entitled to submit other suitable candidates who consent to membership on the Ethics Panel for deliberation by the Scholarly Board.
 4. Membership on the Ethics Panel can be terminated prior to the end of a term by:
 - a) resigning from the post;
 - b) the Chair of the Ethics Panel being informed that the member of the Ethics Panel had been lawfully convicted of an intentional criminal act;
 - c) dismissal by the Dean after following a discussion with the Scholarly Board of FF UP.

Article 5

Rights and Obligations of Members of the Ethics Panel

1. Members of the Ethics Panel have the duty to actively participate in its activities.
2. Members of the Ethics Panel are obliged to act with the utmost efforts to objectively assess the matter, regardless of circumstances. When making decisions, they are only bound by the law, the internal regulations and norms of UP, the ascertained facts and their personal conscience.
3. If a member learns that the matter in question may be of personal concern to them due to their membership on the panel or the performance of their duties (hereinafter referred to as "**conflict of interest**"), they shall inform the other members about this fact without undue delay. If a member has a conflict of interest, they shall not be allowed to vote on matters to which the conflict of interest relates.
4. For members of the Ethics Panel, a conflict of interest occurs especially in cases where a member of the panel:
 - a) is the submitter or member of the research team of the project in question;
 - b) has personal or work ties to the submitter or other members of the research team of the project in question that could influence their judgment when assessing the research project;
 - c) submits a research project as a submitter or a member of the research team into the same competition to which the project to be assessed had also been submitted (provided that the submitted research projects might end up competing against each other).
5. Members of the Ethics Panel may not misuse information about the content of the assessed research projects.
6. Members of the Ethics Panel will maintain confidentiality regarding the information and facts they learned in connection with their membership on the Ethics Panel, unless this internal regulation specifies otherwise.

Article 6
Chair of the Ethics Panel

1. The Chair of the Ethics Panel is elected by the members of the Ethics Panel from among themselves at the first meeting or, in the case of a vacancy, at the next meeting of the Ethics Panel. The first meeting will be convened by the Dean no later than one month after the appointment of the members of the Ethics Panel. An absolute majority of the present members of the Ethics Panel is required for the election of a Chair.
2. A member of the Ethics Panel is elected to be the Chair for the maximum length equal to the remainder of their term as a member of the Ethics Panel; members of the Ethics Panel may elect a Chair for a shorter term, with a minimum length of 1 year.
3. The position of the Chair of the Ethics Panel ends by:
 - a) the termination of the Chair's membership on the Ethics Panel;
 - b) the end of their term as Chair (end of the time period for which they were elected to be the Chair);
 - c) resignation from the post of Chair;
 - d) removal from office by an absolute majority of votes of all members of the Ethics Panel.

Article 7
Preparation of the Ethics Panel Meeting

1. The Ethics Panel meets as needed. The meeting is convened by the Chair of the Ethics Panel or a member of the Ethics Panel authorised by the Chair far enough in advance for the members of the Ethics Panel to receive an invitation no later than 10 days before the meeting. The invitation also includes the agenda of the meeting.
2. In special and justified cases, the Chair of the Ethics Panel may convene a meeting of the Ethics Panel within a shorter time-frame.
3. The Chair is obliged to convene a meeting of the Ethics Panel without undue delay after receiving a request for the assessment of a research project, no later than within the first month following the month in which the request was submitted.
4. The Chair of the Ethics Panel or their authorised representative shall ensure that the members have the opportunity to become fully acquainted with all the materials that will be discussed at the meeting at least 10 days in advance. In special and justified cases, this period may be shortened by a decision of the Chair.
5. The Chair or a member of the Ethics Panel authorised by them shall appoint a rapporteur for each matter under consideration at least 10 days before the meeting of the Ethics Panel. The rapporteur is obliged to study the material in detail and/or to prepare a specific draft opinion for the Ethics Panel and structure its reasoning.
6. If the submitter requests an accelerated assessment of the research project and provides substantiated reasons in favour of accelerated assessment, the Chair of the Ethics Panel or a member authorised by them shall proceed by shortening the deadlines specified in this Article. The ethics panel will then prioritise discussion of the matter.

Article 8
Meetings of the Ethics Panel

1. The meeting is chaired by the Chair of the Ethics Panel or a member of the Ethics Panel authorised by them.

2. Meetings of the Ethics Panel are not public. The Dean of FF UP and the Chair of the Senate may participate in the meetings of the Ethics Panel in an advisory capacity, provided that there is no conflict of interest. The Ethics Panel may invite other persons to a meeting to act in an advisory capacity, depending on the nature of the matter under consideration.
3. The Ethics Panel may also invite the submitter of the research project or another person associated with the research project to the meeting.
4. The Ethics Panel has a quorum if a two-thirds majority of all its members is present.
5. Minutes are taken of the meetings of the Ethics Panel which are verified by the Chair or a member of the Ethics Panel authorised by them. The minutes contain a brief overview of the discussed agenda, including the voting results.

Article 9

Voting on the Ethics Panel

1. The Chair and the members of the Ethics Panel all have one vote.
2. An opinion requires an absolute majority of the votes of the authorised members of the Ethics Panel present. If a request for the assessment of a research project is discussed, but no opinion is adopted nor is there a decision to postpone the vote, then the opinion is considered a negative one.
3. Procedural issues are voted on by acclamation.
4. The core matters, especially the opinions of the Ethics Panel, are voted on through an open vote (by show of hands, verbal expression) and each member is given space to defend their decision.
5. If any member of the Ethics Panel requests that the vote be secret, the Chair of the Ethics Panel will comply with such a request. The Chair also decides what form the secret vote will take and how it will be performed.
6. The Ethics Panel may vote by letter, but only if the topic has been discussed in advance at a meeting of the Ethics Panel. If voting is done by letter, the Chair of the Ethics Panel proceeds in accordance with the Rules of the Procedure of the Senate.

Article 10

Submission and Discussion of Research Project Proposals

1. The Ethics Panel assesses research project proposals at the request of the submitter or the principal researcher of the research project at the faculty or a student of FF UP under the conditions established by this internal regulation.
2. In special cases, a research project may also be assessed at the behest of another FF UP employee or out of personal initiative.
3. If the documents submitted for the meeting of the Ethics Panel are incomplete, the Chair shall request that the submitter or another person involved in the research project provide the missing information.
4. Proposals for research projects are submitted to the Ethics Panel's consideration through the Chair.
5. The requirements for an application for a research project to be assessed by the Ethics Panel are available on the public section of the FF UP website.
6. The Ethics Panel accepts for assessment only those project proposals which have not yet started. While the project is being carried out, the only thing that may be discussed are suggestions to alter it.
7. In special and justified cases, the Chair of the Ethics Panel or a member authorised by them may invite a consultant on the matter, either from among the UP employees or elsewhere. The Chair of the Ethics Panel or a member authorised by them shall ensure that the consultant maintains confidentiality regarding the discussed matter.

8. The submitter is entitled to withdraw the application for the assessment of the research project. The latest point at which this can be done is before the Ethics Panel begins voting on their opinion of research project.
9. The Ethics Panel will typically process applications for the assessment of research projects within 60 days of the date of the proper submission of the application (in the case of accelerated assessments, this typically occurs within 30 days). The application is duly submitted if it is complete, contains the necessary annexes and no further supplementation of the application by the submitter is required.

Article 11

Opinion of the Ethics Panel

1. The Ethics Panel issues a written opinion of the assessed research project proposals. This opinion can be either positive or negative.
2. A negative opinion will be issued by the Ethics Panel only if the research project does not meet the ethical standards for basic or applied research and research projects, or if the research is incompatible with the requirements to ensure the protection of the dignity, freedoms, health, quality of life and the safety of all the research participants.
3. The Ethics Panel shall explain and substantiate its negative opinions. The Ethics Panel shall explicitly specify the extent to which and the reasons why the research project fails to comply with the requirements set out in paragraph 2.
4. The opinion of the Ethics Panel is sent to the submitter of the assessed project proposal and to the Dean. The Dean decides on the manner and form of the recording of these opinions and designates the organizational unit responsible for the storing (archiving) of the opinions.
5. Members of the Ethics Panel may not make any changes to the submitted project proposals.
6. In cases where the Ethics Panel issues a positive opinion of the research project proposal, the Ethics Panel may recommend minor changes to the project or the submitted documents (instructions or informed consent).
7. In the event that the Ethics Panel's negative opinion includes recommended changes to a project or the submitted documents (such as instructions or informed consent), it is up to the the submitter to accept these proposed changes and submit an amended proposal to the Ethics Panel for assessment.

Article 12

Further Activities of the Ethics Panel

1. The Ethics Panel, its Chair or a member authorised by the Chair may, at the initiative of the submitter of the research project, provide a preliminary consultation regarding the preparation of the research project or the preparation of the application for the ethical assessment of the research project.
2. Based on the experience from its activities, the Ethics Panel may issue general recommendations for applicants for research projects. These recommendations will typically be attached to the minutes of the Ethics Panel meeting or will be published on the public section of the FF UP website.
3. In special cases, the Ethics Panel also deals with suggestions other than requests for the assessment of a research project, under the requirement that such suggestions are related to the activities and mission of the Ethics Panel described in Articles 1 and 2 of this Statute. Suggestions regarding the activities of the Ethics Panel may come from any member of the academic community of FF UP or employee of FF UP.
4. Suggestions that are not related to the activities and mission of the Ethics Panel described in Articles 1 and 2 of this Statute are not dealt with by the Ethics Panel. The

Chair of the Ethics Panel or a member authorised by them decides on the discarding of such suggestions. In such cases, they will notify the submitter of the suggestion that it has been discarded.

5. The Ethics Panel also does not deal with anonymous requests.

Article 13

Language of the Proceedings

1. Requests for the assessment of research projects may be submitted in Czech, Slovak or English.
2. The language of the Ethics Panel proceedings is Czech unless otherwise agreed upon among the members of the Ethics Panel.
3. The opinion of the Ethics Panel is typically prepared in Czech. When reasonable and requested by the research project submitter, the opinion will be prepared in English.

Article 14

Final Provisions

1. This Statute was discussed by the Academic Senate of the Palacký University Faculty of Arts on 14 October 2020.
2. This Statute becomes valid on the day of its publication and shall take effect seven days after it had become valid.

In Olomouc, 16 October 2020

prof. PhDr. Zdeněk Pechal, CSc.
Dean of FF UP