



**Rector's Order No. 6/2024 (IX.25)**  
**on the Research Ethics Regulation of the Károli Gáspár University of the Reformed Church in Hungary**

Pursuant to Article 13 (1) of Act CCIV of 2011 on National Higher Education and Article 64 (1) of the Organisational and Operational Rules, Organisational and Operational Regulations (hereinafter referred to as OOR) of Károli Gáspár University of the Reformed Church in Hungary (hereinafter referred to as the University), acting within the scope of my management authority under Article 63 (7) a) of the OOR, I issue the following order:

1. § The University's Research Ethics Regulation (hereinafter referred to as the Regulation) is included in Annex 1 to this order.
2. § This order shall enter into force upon publication on the website, on 25 September 2024.

Budapest, 25 September 2024.

Prof. Dr. László Henrik Trócsányi (sgd)  
Rector



## RESEARCH ETHICS REGULATION OF KÁROLI GÁSPÁR UNIVERSITY OF THE REFORMED CHURCH IN HUNGARY

Károli Gáspár University of the Reformed Church in Hungary (hereinafter referred to as the University) is committed to ensuring the international principles of research, the maximum quality and reliability of research, and to avoiding circumstances that compromise or violate research integrity, therefore issues the following Research Ethics Regulations.

### General Provisions

#### *Article 1*

(1) The scope of the Regulation extends to the University's lecturers, researchers, students, visiting lecturers, visiting researchers, visiting students, members of research groups and workshops, contributors to research (hereinafter jointly referred to as researchers) and participants in research at the University.

(2) The scope of the Regulation covers all research carried out by the University from its own resources, domestic or foreign funding, or from applications.

#### *Article 2*

(1) The faculties of the University shall establish a faculty research ethics regulation and carry out a research ethics authorization procedure.

(2) Faculty regulations should provide for the research ethics authorization process, the rules of operation of the Faculty Research Ethics Committee and the procedures for the registration of research ethics authorizations.

(3) The faculty research ethics regulation is adopted by the Faculty Council with the prior approval of the University Academic Council. If no special faculty research ethics regulation is adopted, or in matters not regulated in the faculty regulations, the researchers shall apply the provisions of this Regulation.

### Applicable standards

#### *Article 3*

Researchers of the University who manage and participate in research are required to conduct their research in accordance with the Science Ethics Code of the Hungarian Academy of Sciences, the Singapore Statement on Research Integrity, the Hong Kong Principles, the principles of Magna Charta Universitatum, the principles and guidelines of the ALLEA European Code of Conduct for Research Integrity, and the recommendations of European and national professional organisations on ethics and research integrity, and to apply and comply with the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (hereinafter: General Data Protection Regulation, GDPR).



## Definitions

### Article 4

For the purposes of this Regulation:

1. *'Processing'* means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction. (GDPR Article 4)
2. *'Controller'* means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law. (GDPR Article 4)
3. *'Data management'* means the operation done with research data, in particular the data transfer, storage and meta data management.
4. *'Assigned/participating researcher'* means a member of a research team.
5. *'Consent'* of the data subject means any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her. (GDPR Article 4 (11))
6. *'Research'* means an activity to learn, acquire new knowledge, develop or test theories.
7. *'Research data'* means any data, database or information that no longer contains personal data relating to the research.
8. *'Research participant'* means a person who is directly concerned by the research, whose observation or data collection is carried out in connection with the research.
9. *'Research contributor'* means a natural person who participates in the conduct of the research under the direction of the research leader.
10. *'Research manager'* means a person designated on the basis of a research project to take leading and responsible role for a specific project. Only a qualified (PhD) researcher can be a research manager. The research manager is usually defined according to an accepted application, but research activities can also be carried out without an application. In exceptional cases, individual research can also be carried out by a non-qualified researcher, but in this case the head of department will appoint a qualified (PhD) supervisor to work on the research.
11. *'Research team'* means a formation organised to investigate one or more topics, led by the researcher responsible for the work of the research team (research team leader).
12. *'Special categories of data'* mean data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation. (GDPR Article 9)



13. '*Workshop supervisor*' means a lecturer with an MA, MSc or MD degree. If the workshop supervisor does not have a PhD degree, the final responsibility concerning the research lies with the researcher who has appointed the workshop supervisor. The head of department/institute/centre is responsible for providing and supervising the workshop topic management as defined here.

14. '*Publication (scientific communication)*' means the publication of the research results, either orally (presentations) or in writing (different types of publications).

15. '*Thesis supervisor*' means a lecturer-researcher who supervises a thesis work. The thesis supervisor should preferably have a PhD degree. If the programme supervisor allows a non-qualified lecturer to supervise the thesis, the programme supervisor has the final responsibility for the research conducted on the thesis.

16. '*Personal data*' means any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. (GDPR Article 4)

17. '*Supervisor*' means a lecturer or researcher in PhD studies who is fully responsible for the scientific activity of a PhD student and for the guidance and support of the student's scientific work.

18. '*Senior researcher*' means a researcher with a PhD degree who is entitled to carry out independent research and to supervise the work of another junior researcher without a qualification.

## **Principles**

### *Article 5*

(1) During the research, researchers must act fairly, i.e. report accurately on the research process, take into account alternative opinions and refrain from making unfounded statements or statements that make things look better or worse.

(2) Researchers must act consciously, i.e. apply methods that comply with the rules of the profession and discipline, and take the utmost care in planning, carrying out, reporting, communicating and publishing the results.

(3) Researchers should be respectful of colleagues, research participants, society, ecosystems, cultural heritage and the environment.

(4) During the research, efforts should be made to ensure transparency, to make clear what the research results are based on, how they were established and what interests are involved.

(5) Researchers should maintain their independence, i.e. exclude any intervention that come from outside the scientific field (e.g. from political or business actors) in the choice of methods, collection of data, formulation of communications. At the same time, they should reject any attempt of influence from a scientific field that does not comply with the rules of scientific argumentation.

(6) Researchers should take responsibility for the research and its publication, i.e. take into account the interests of other stakeholders as long as it does not conflict with the principles of independence, and what research can be considered scientifically or socially relevant. Researchers should pay attention to accountability in the field of research from idea to publication, its management and organisation, training, supervision, mentoring and the wider effects of research.



## **Research ethics standards**

### *Article 6*

- (1) Researchers are obliged to respect the standards of the discipline in their research.
- (2) When planning and carrying out research, researchers should strive to favour environmentally conscious, climate-neutral and sustainable methods and tools.
- (3) During the research, efforts should be made to accurately determine the exploitable results, to assess the advantages, disadvantages and consequences of possible methods of exploitation.
- (4) In the case of research involving a trade secret, the researcher must act according to the agreement concluded with the trade secret holder, and data considered a trade secret may be used with the permission of the trade secret holder.

### *Article 7*

All research has a responsible leader. The research manager is responsible for the scientific integrity of research, obtaining the research ethics authorization, processing personal data, conducting the research and publishing the results. However, research participants can also be held responsible if they are not aware and/or do not follow the rules and standards and the instructions of the research manager that apply to them.

### *Article 8*

- (1) During the research, the everyday life and functioning of the community, person or organisation under study must be taken into account. When planning the research, it is necessary to assess the potential impact of the research itself and the results of the research on the community, person and organisation concerned, and to consider the social benefits and risks.
- (2) If the research participants are children, special care should be taken to assess the potential impact of the research. In such a case, even if no personal data are processed, it is important to obtain the consents of parents and guardians, to inform them about the expectable research and to provide them with the possibility to obtain more detailed information. In the event of processing personal data, the guardian's consent must be obtained.
- (3) Information may only be requested from the research participants after adequate information and with their consent.
- (4) Special attention should be paid to ensuring that members of groups who need support in making their decisions are assisted in making those decisions, beyond the legal requirements, where necessary.
- (5) If the participants of the research are users, employees, students of the service provided by the person carrying out or participating in the research, particular care should be taken to ensure that their participation in the research is voluntary and that the circumstances of the research make it clear that their participation in the research or their absence from it, and the information obtained in the course of the research, in no way affect the content of their legal relationship.

### *Article 9*

When planning the research, a risk management plan should be drawn up, the potential risks to researchers and research participants should be assessed and preventive measures should be taken to



avoid them. Research participants should be prepared to deal with potentially dangerous situations and be given the necessary support and the possibility of free decision.

#### *Article 10*

(1) In the case of each research, potential conflicts of interest and their impact should be examined. The independence of the research is at risk if

- a) the sponsor of the research has an interest in a certain result of the research,
- b) certain partners and authorities involved in the research have an interest in certain results,
- c) the research participants have an interest in a particular result.

(2) The researcher's duty is to remain neutral in risky cases referred to in section (1) to be aware of the various interests and to take account of their potential effect.

#### *Article 11*

When reporting on and publishing their research, researchers will report on their results and methods which report should extend to the use of external services, artificial intelligence and automated tools. The use of external services, artificial intelligence and automated tools should comply with the accepted standards of the discipline. The use of external services, artificial intelligence and automated tools must be controllable.

#### *Article 12*

The researcher should respect the intellectual property of others, including research tools, research ideas and patents. Intellectual property rights arising from the research should be settled during the planning of the research, and if possible by prior agreement. Regarding the management of intellectual property, the University's Intellectual Property Management Regulation shall apply.

#### *Article 13*

(1) The presentation of the results of the research work to the public, in any oral or written form, is considered a publication. The authors, their quality and affiliation should be indicated in the publication.

(2) The University's researchers, lecturers, doctoral students of doctoral schools should indicate the University as their affiliation.

(3) If the research is carried out in cooperation with an external partner, the rights and obligations of the parties during the cooperation, in particular the liability of the partners, publications and intellectual property must be laid down in a written agreement.

(4) Technical, financial and other non-scientific contribution do not create authorship. Contributors not meeting the authorship criteria should be mentioned in the publication.

### **Violation of research integrity**

#### *Article 14*

The production of fabrication, falsification and plagiarism violate research integrity and constitute research misconduct.



### *Article 15*

- (1) The researcher should avoid the manipulation of empirical data in all cases, not including the professional and documented handling of any data errors or outliers.
- (2) It is considered manipulation of the data, if part of the data is ignored, effects contrary to expectations or correlations are not shown.
- (3) The one-sided presentation of empirical data and the use of misleading or false figures should also be avoided.
- (4) Subsequent modification of the research documentation is considered scientific fraud, unless it aims to record facts previously unknown, in which case the fact of modification must be indicated.

### *Article 16*

Researchers can publish their own research result in their own name. If they cite the results of other research in their publication, they should do so only in accordance with the rules of scientific citation. This rule also applies to their own previously published work.

### *Article 17*

Hiding the use of artificial intelligence or automated tools, or not presenting them in a transparent or traceable manner in the creation or formulation of content violates research integrity.

### *Article 18*

- (1) In addition to the direct breach of research integrity, researchers are also obliged to refrain from other unacceptable practices, in particular:
  - a) manipulating authorship or diminishing the role of other researchers in their publication,
  - b) republishing of a substantial part of their own previous publications, including translations, without proper reference to the original ('self-plagiarism'),
  - c) selective citations to emphasize their own findings and to gain the sympathy of editors, reviewers or colleagues,
  - d) withholding research results,
  - e) allowing supporters/sponsors to compromise the independence of the research process, or communicating results aimed at publishing or disseminating distorting findings,
  - f) unnecessary expansion of the bibliography of studies,
  - g) accusing researchers of malicious misconduct or otherwise violating good research practices,
  - h) misrepresentation of research results,
  - i) exaggerating the importance and practical applicability of findings,
  - j) delaying or hindering the work of other researchers,
  - k) abuse of a senior position to encourage the breach of research integrity,
  - l) ignoring suspected breaches of research integrity by others, or covering up inappropriate responses to misconduct or other breaches of research integrity by institutions,





- m) founding or supporting of so-called parasitic journals that compromise the quality control of research.

### **Sanctions**

#### *Article 19*

(1) The University condemns and sanctions violations of research ethics and research integrity. On the basis of the findings of the Research Ethics Committee, it is also possible to initiate measures under labour, civil and criminal law.

(2) The University will make efforts to prevent the development of unacceptable practices. It strives to prevent and eliminate unacceptable practices through trainings, supervision and mentoring, and by creating a positive and supportive research environment.

### **Data processing and data management**

#### *Article 20*

Particular care must be taken in data management during the research.

#### *Article 21*

(1) Research at the University is often based on personal data. All data should be regarded personal data by which a natural person can be identified or which can be linked to such data. The research must comply with European and national regulations on the processing of data, in particular the GDPR and the University's Privacy Policy, which must be reviewed in connection with each research.

(2) The principles of the GDPR which are lawfulness, fairness and transparency, purpose limitation, data minimisation, accuracy, storage limitation, integrity and confidentiality, apply to the research. The controller is responsible for compliance with the GDPR principles and must be able to demonstrate such compliance ('accountability').

#### *Article 22*

(1) In particular, the following aspects shall apply to the processing of personal data:

- a) particular attention must be paid to the protection of personal data during the entire research process. Research participants and the research manager shall sign the Research Integrity Statement as set out in Appendix 1 that they have been trained on data protection and data security rules,
- b) when planning the research, the purpose of the processing of personal data, and accordingly the scope of the personal data to be processed, must be precisely defined, and only as much and such data should be processed as is actually necessary to achieve the purpose of the research,
- c) the enforcement of the rights of data subjects must be ensured. The rules on the rights of data subjects and the exercise of their rights should be reviewed, particularly but not exclusively the right to withdraw their consent to the processing of personal data, the right to access the personal data processed and the right to object against a decision based on automated processing (e.g. profiling). For example, a decision based on automated data processing with legal effect is the automatic rejection of an online loan application or online employment recruitment without human intervention. All data subjects shall have the possibility to exercise these rights as easily as possible and should be informed of the way to do so,





- d) data subjects shall be given appropriate, prior information during the research and, normally, their consent to the processing of their personal data should be obtained on the basis of such information. The right to informational self-determination (related to the protection of personal data) must be ensured during the research. The Privacy Policy is available at [kre.hu/adatvedelem](http://kre.hu/adatvedelem),
- e) data subjects shall be given the possibility, as far as the objectives allow, to give their consent only for certain areas of research or for certain parts of research projects,
- f) processing personal data may be lawful even without the information of the data subjects, if processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party, except where such interests are overridden by the interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child (GDPR 6 (1) f)). As a general rule, the voluntary consent based on prior information (GDPR Article 6 (1) a)) shall apply in all cases, and the legal basis under point f) can be applied in particularly justified cases, following a documented balancing of interests carried out by the researcher (and presented to the Data Protection Officer (DPO), if necessary). A particularly justified case is where it proves impossible or would require a disproportionate effort to inform the data subject. This situation may arise in particular if the data processing serves the purpose of archiving in public interest, scientific and historical research or statistical purposes. In this respect, the number of data subjects, the age of the data and the appropriate guarantees accepted should be taken into account. The fact that the information of the data subject proves impossible or would require disproportionate effort should be examined and documented by the researcher on a case-by-case basis,
- g) special protection of children's rights: if the research involves the processing of children's personal data, the person who has parental custody over the child under the age 16 can give consent instead of the child; if the child is over the age of 16 but under the age of 18, the child's consent to the processing of personal data will be valid only with the approval of the person exercising parental custody over the child,
- h) researchers can obtain new knowledge of great value. On the basis of registries, research results can be enhanced, as they draw on a larger population. Within social science, research on the basis of registries enables researchers to obtain essential knowledge about the long-term correlation of a number of social conditions such as unemployment and education with other life conditions. Research results obtained through registries provide solid, high-quality knowledge which can provide the basis for the formulation and implementation of knowledge-based policy, improve the quality of life for a number of people and improve the efficiency of social services. In order to facilitate scientific research, personal data can be processed for scientific research purposes, subject to appropriate conditions and safeguards set out in Union or Member State law (GDPR Preamble (157)),
- i) the duration of the processing of personal data shall be planned in advance. The processing of personal data must be terminated immediately as soon as the research no longer makes it necessary. The processing of personal data is terminated by the final and irrevocable deletion of personal data. The deletion of personal data must be documented in a protocol. It should also be documented when only a part of the personal data processed in the course of the research has been deleted, at the same time indicating the scope of the personal data still processed,
- j) 'personal data breach' means a breach of security leading to the accidental or unlawful destruction, loss, unauthorized disclosure of, or access to, personal data transmitted, stored or otherwise processed. Personal data breaches include, among others, unauthorized access to the personal data processed, phishing, loss/theft of a device, hacking of an IT system, unauthorized verbal communication of personal data, unlawful disclosure of personal data to the public,



sending personal data to an incorrect addressee. A data breach should be reported to the DPO of the University.

#### *Article 23*

During the preparation of the research, a Data Management Plan (Appendix 2) shall be prepared which includes the legal basis for the data processing, the scope of the personal data processed, the method of data processing, the measures to ensure the enforcement of the rights of the data subjects and the measures for the protection of personal data. The Data Management Plan shall be attached to the application for the research ethics authorization. The Privacy Policy relating to the research, in accordance with Article 5 (1) of the GDPR or Article 13-15 of the GDPR, should be drawn up on the basis of the Data Management Plan no later than the actual start of the processing of personal data. The Head of the Rector's Office is entitled to approve the policy. For questions regarding the processing of personal data, researchers may turn to the University's DPO, who can provide information and professional advice to the researchers on their obligations under the GDPR and other EU or member state data protection provisions, according to Article 39 (1) a) of the GDPR.

### **Transparency and publicity of scientific data**

#### *Article 24*

In the processing of scientific data, the widest possible publicity and transparency shall be ensured in order to ensure integrity and the development of science. To ensure transparency, it is recommended to use Open Science tools as much as possible.

#### *Article 25*

(1) When planning the processing of data of scientific value, researchers shall pay attention to the following:

- a) a preliminary description should be provided of the data of scientific value that will be collected during the research. In this case, the concept of data should be interpreted broadly, extending beyond quantitative data to include qualitative research data, and even photos, videos and data collected from the internet using artificial intelligence,
- b) the available data on the research topic should be presented and the reasons why they are not suitable to answer the research question should be described. This makes clear the value of the planned research and the need for data collection,
- c) it should be planned in what format data will be distributed and archived,
- d) it should be planned what metadata will be recorded in addition to the research data created or collected, to help those who access the data later to better understand the data,
- e) it should be planned where and in what form the collected data will be stored. Best practice for storage is to store (anonymised) data in multiple, different locations,
- f) it should be made clear who is responsible for the management of data during the entire data cycle,
- g) it should be specified who owns the data to be created and any other intellectual property rights,
- h) it should be planned in what form, to what extent, when and where the research data will be available,



- i) it should be planned from what source the costs of making the data public or archiving them will be covered.

(2) If the type of data or the data processing, the storage or disclosure of data changes, the Data Management Plan must be updated. The purpose-based consent must be repeated in the event of a change in the purpose of processing.

### **University Research Ethics Committee**

#### *Article 26*

(1) The University has a University Research Ethics Committee (Hungarian abbreviation: EKB, hereinafter referred to as the Committee) to discuss research integrity and research ethics matters, investigate violations of research ethics standards and issue research ethics authorizations.

(2) The Committee is a 3-member body established by the Rector.

(3) The Committee is chaired by the Vice-Rector for Science and Innovation, and its two other members are appointed by the Rector from among the researchers of the faculty. The Rector's credentials are issued for a term of 3 years.

(4) The Committee may use experts to a specific procedure (e.g. disciplinary, data protection). The experts have no voting rights at the meetings of the Committee. If processing of personal data is involved in the research that is subject to the research ethics authorization, or if this cannot be clearly identified, the involvement of the Data Protection Officer is required.

(5) The Committee's operation is supervised by the University Academic Council.

(6) The tasks of the Committee's secretary are carried out by a person appointed by the Vice-Rector for Science and Innovation.

#### *Article 27*

(1) Tasks and powers of the Committee:

- a) takes a position on general research ethics issues and has the right to propose standards,
- b) has decision-making powers in individual research ethics authorization procedures,
- c) investigates suspected breaches of research ethics standards either ex officio or on the basis of a complaint, and initiates ethics procedures if necessary,
- d) may propose to the Rector to make employer's action, to assert a civil claim and to initiate criminal proceedings.

(2) The Committee is entitled to inspect university research authorized by it on a case-by-case basis, either ex officio or upon receipt of a complaint. As part of this, it is entitled to consult the research documentation, and to ask questions in writing and orally to any research participant. The Committee prepares a report on the result of the investigation for the Rector and the University Academic Council. The research manager, professional manager or any research participant is obliged to cooperate with the Committee and the person invited by the Committee. The Committee initiates a research ethics procedure in the event of conduct found during the inspection which does not comply with the research ethics authorization.



(3) The Committee is entitled to delegate its powers under Article 27 (1) to the Faculty Research Ethics Committee on a case-by-case basis and to request it to proceed, decide or adopt a resolution on a matter within its tasks and competences.

#### *Article 28*

(1) The Committee meets as often as requested but at least once a semester, on the basis of the submitted requests. The meeting is convened by the chairperson by e-mail 3 days before the meeting, indicating the date, place and the agenda of the meeting.

(2) The Committee may also consult electronically, or a member or expert may register for a face-to-face meeting electronically using the online collaboration platform established by the secretary (e.g. MS-Teams). In this case, the members of the Committee decide on the proposal submitted by the chairperson of the Committee by e-mail.

#### *Article 29*

Meetings of the Committee are not open to the public, but at the decision of the Committee a public meeting can be held at the initiative of the chairperson or a member. The Committee's secretary may attend the closed meeting and, if necessary, the invited expert may participate in the discussion of the item on the agenda.

#### *Article 30*

(1) The Committee has a quorum if all three members of the Committee are present during the discussion of the agenda (in person or electronically).

(2) The Committee makes its decisions during the discussion of the relevant agenda by open ballot, by the unanimous vote of those present with the right to vote.

#### *Article 31*

(1) The Committee adopts a resolution or decides on authorization in the form of a decision. The decision is issued by the chairperson. The substantive part of the resolutions and decisions in authorization cases is published on the research page of the university website by the secretary of the Committee.

(2) Research ethics authorizations should contain the minimum data set out in Appendix 7.

#### *Article 32*

The decision on the research ethics authorization is mandatory for the research manager, the researcher and all participants in the research, and there is no possibility of derogation.

#### *Article 33*

The Committee keeps a record of its resolutions, positions and decisions on individual cases.

### **Faculty Research Ethics Committee**

#### *Article 34*

(1) The faculties of the University should set up a Faculty Research Ethics Committee.



(2) The Faculty Research Ethics Committee is responsible for issuing research ethics authorizations for faculty research.

(3) The Faculty Research Ethics Committee acts in accordance with the provisions of Article 35-38 and makes decisions in accordance with Article 31-33 in matters of research ethics authorizations. 1 copy of the decisions shall be sent to the University Research Ethics Committee which keeps a record of the University's research ethics authorizations.

(4) The Faculty Research Ethics Committee is not entitled to act in matters falling within the tasks and competence of the University Research Ethics Committee, with the exception referred to in section (2), unless the University Research Ethics Committee requests it to do so under Article 27 (3).

(5) The structure and the rules of procedure of the Faculty Research Ethics Committees shall be specified in the faculty research ethics regulations.

### **Research ethics authorization**

#### *Article 35*

The research ethics authorization process aims at carrying out a preliminary assessment of the ethics, data protection and integrity of research.

#### *Article 36*

(1) A research ethics authorization shall be obtained by every research manager who

- a) is a lecturer, researcher of the University,
- b) the researcher carries out the research using the University's name, with university affiliation, and the research
- c) directly affects the participants of the research, influences their everyday lives, or may endanger them or their private lives,
- d) the research endangers the researchers and the staff carrying out the research,
- e) in the area of the research several different (public, civil, business) interests conflict which must be handled carefully,
- f) the own interests of the research conflict with the interests of the stakeholders,
- g) personal data are processed in connection with the research.

#### *Article 37*

It is not compulsory to obtain a research ethics authorization if

- a) due to the content of the research or other affiliation of the researcher, the research ethics authorization has already been issued for the research by a national or international research ethics body,
- b) the research is carried out exclusively by secondary analysis of anonymised data, in which case the disclosure of identity is excluded,
- c) the research is based solely on the analyses of public data (publications, published sources),



- d) the research is carried out for the purpose of writing a bachelor or master thesis, in the framework of workshop research and project lessons or other classroom activities, but in these cases the students involved shall sign a Research Integrity Statement (Appendix 1), provided that the conditions set out in the previous two sections are otherwise met. The responsible thesis supervisor or lecturer shall keep the signed statements until the end of the examination period following the end of the research or, if the research lasts longer, until the end of the processing of personal data, and then he/she has to ensure that these data are destroyed. In the case of a thesis, if the thesis has not been classified, the author must declare whether the thesis may be made public in whole or in part.
- e) the research is carried out in the framework of a university or national conference of Scientific Students' Associations, National Higher Education Scholarship or other scholarships related to a bachelor or master programme, and the acquisition of a research ethics authorization is not required in the process, but in these cases it is still mandatory to fill in a Research Integrity Statement and keep them until the end of the semester following the end of the application and competition process (including the control period) or, if it lasts longer, until the end of the processing of personal data, and then to ensure their destruction.

#### *Article 38*

(1) The research ethics authorization procedure is an application procedure which can be started by submitting the Research Integrity form (Appendix 3). The Research Integrity form and its attachments shall be submitted by the research manager to the chairperson of the Faculty Research Ethics Committee, or in the absence of thereof, to the chairperson of the University Research Ethics Committee in electronic form, digitally signed, no later than 10 working days before the next meeting of the Committee.

(2) The Research Integrity form and its attachments submitted to the Committee shall be formally checked by the Secretary. In the case of a formal error, the Secretary shall call the research manager to correct deficiencies within 3 days. The Secretary shall enter the serial university identification number of the research on the formally correct Research Integrity form, which should be obtained from the Secretary of the Committee.

(3) The chairperson of the Committee shall send to the committee members the research integrity forms that meet the formal requirements and have been received at least 10 working days before the next meeting of the Committee. The Committee shall evaluate the submitted forms (Appendix 5, Research Integrity Assessment form) at its next meeting. The assessment includes the decision, the evaluation of the potential risks and the reasons for the decision.

(4) Following the decision,

- a) if the decision is positive, the Committee will issue a research ethics authorization in the form of a decision, with an identification number corresponding to the Research Ethics Assessment form modified by the Committee's decision,
- b) in the event of rejection, the Committee shall inform the applicant in writing, giving reasons and guidance for a successful submission. There is no right of appeal against a negative decision.

(5) The sample research ethics authorization set out in Appendix 6 contains the minimal formal and content elements of research ethics authorizations which can be supplemented by the Committee on a case-by-case basis.



## **Research ethics investigation**

### *Article 39*

The purpose of the research ethics investigation is to examine the ethical and integrity problems raised during on-going or completed research and, where appropriate, to make recommendations to remedy the arising problems. The purpose of the research ethics investigation is intended specifically to ensure the scientific integrity of research.

### *Article 40*

- (1) The Committee shall initiate a research ethics investigation in the event of a complaint concerning research led by the University's lecturer or researcher.
- (2) The Committee may examine any research with a university affiliation (ex officio procedure).

### *Article 41*

- (1) Anyone can initiate the procedure by filling in the Research Ethics Assessment form (Appendix 7).
- (2) The Secretary shall formally check the Research Ethics Assessment form and its attachments received by the Committee. In the event of a formal error, the Secretariat shall ask the complainant to correct deficiencies within 10 working days.
- (3) The chairperson of the Committee shall request the documentation of the research concerned from the research leader on the basis of the formally correct research ethics assessment form which complies with the formal requirements. The research leader has 5 working days to submit the documentation. The chairperson of the Committee shall send the research ethics assessment form and the research documentation received at least 5 working days before the next meeting of the Committee to the two members of the committee for their comments.
- (4) The chairperson of the Committee may also decide to involve an expert. The expert may be a researcher employed by the University. In exceptional cases, in the event of a conflict of interests, a researcher from another higher education institution may be involved as an expert in the procedure. If an expert is involved, the chairperson shall send the Research Ethics Assessment form and the research documentation to the expert. The expert shall evaluate the submitted form and the research documentation and send his/her comments to the committee members within 14 days.

### *Article 42*

- (1) The form submitted is assessed by the Committee. The assessment includes the evaluation of the problem formulated, the possible questions to be addressed to the research manager, and, if necessary, the proposed corrective actions (e.g. corrective communication, withdrawal of the publication etc.).
- (2) The Committee may invite the complainant and the research leader to the hearing of the research ethics assessment on the agenda, may request documents from the organisational units of the University and from the research participants, and is entitled to request declarations from the participants of the research and from the staff and students of the University. The Committee shall send the preliminary opinion to the research manager. After that, the Committee shall take a unanimous position. If the Committee cannot reach a unanimous decision on a case, the case may be adjourned at most once.





*Article 43*

(1) The Committee shall inform the complainant and the research manager in writing of its position on the case.

(2) If, according to the position, the research integrity has been compromised or the research ethical standards have been violated, the Committee shall send its position to the Rector to take actions. On the basis of the Committee's conclusions, the Rector may

- a) initiate an ethics procedure,
- b) take an employer's action,
- c) initiate a procedure to enforce a civil claim,
- d) initiate a criminal procedure.