

University Ethics Committee (UEK) Guidelines for Ethics applications

The following guidelines provide you with step-by-step information on the procedure for your ethics application to the Ethics Committee of the University of Basel (UEK).

We recommend that you first use the [Ethics Self-Assessment Tool](#) to check whether the UEK has the competence for assessing your research project. In case of doubt, the management of the UEK (uek@unibas.ch) will be happy to assist you.

FYI: The submission of an ethics application is at the researchers' request.

1. Application Submission

The UEK office accepts ethics applications by email, checks their completeness, and assists the applicant. The complete application dossier is then sent to the reviewers. The application form and the required documents can be submitted at any time by email (uek@unibas.ch).

Application deadline

Reviews are issued on an ongoing basis. The UEK decides on approval during its meetings (usually four times a year, see the [UEK website for meeting dates](#)) and via the circulation channel. The completed application dossier should be sent to uek@unibas.ch **at least six weeks before the respective meeting of the UEK**. The entire approval procedure takes approximately 7-8 weeks - if there are no major questions and comments.

2. Review and decision-making process

The ethics review is carried out by a main reviewer and a co-reviewer from the UEK as well as by the data protection officer. The ethics review may be delegated to external experts without voting rights. The decision of the UEK takes in consideration the expert opinions, but is not bound by them. The members vote independently by simple majority (see Regulations of the University Ethics Committee, Art. 4).

Research projects are assessed on the basis of the principles of research ethics and good scientific practice, the legal framework, the internal regulations of the University of Basel, the recommendations of the Swiss Academies and similar national and international institutions. Further federal regulations remain subject to change.

Approval categories

The UEK may 1) approve research projects, 2) approve them with conditions (either minor or major revisions), 3) reject them. The UEK may 4) not to proceed with the application. Accepted applications in category 2) must be resubmitted to the UEK after revision. Rejected applications in category 3) can in principle be resubmitted to the UEK. Reference must be made to the rejected application and all points that have been amended must be clearly marked.

Retrospective reviews

The UEK does not issue retrospective ethical reviews, i.e. after data collection has already started, but the UEK can give on researchers' request an advisory opinion.

Members of the Ethics Committee

Prof. Dr. Torsten Schwede (president)

Prof. Dr. Jens Gaab (Representation Psychology)

Prof. Dr. Sabine Gless (Representation Law)

Prof. Dr. Anne-Katrin Pröbstel (Representation Life-Sciences and Medicine)

Prof. Dr. Oliver Nachtwey (Representation Humanities)

Prof. Dr. Laurent Goetschel (Representation Political Sciences)

Prof. Dr. Heiko Schuldt (Representation Information Security)

Danielle Kaufmann (Data Protection Officer)

Dr. Marcus Dantz (Chief Information Security Officer/CISO)

Recusal request

In principle, applicants have the right to submit a request for recusal if they are potentially exposed to a conflict of interest with a member or members of the UEK. The justified request for recusal must be sent to the managing director of the UEK together with the application dossier.

Contact

Enquiries and submissions of research projects are to be sent by e-mail to the managing director uek@unibas.ch