



## **Explanatory comments on the application form to be used for applications to the Ethics Commission of the Faculty of Humanities at the University of Cologne**

### **General Information:**

We request that the ethics proposal be submitted in one file (pdf, docx, rtf, etc.). This should include a (clearly marked) document labelled "General information for participants", "Declaration of consent" and, if applicable, the corresponding application for funding. A pdf file (searchable throughout) is preferred. The file name should be structured as follows: Year\_Month\_Day\_Ethikantrag\_Surname.pdf.

The day, month and year should correspond to the date of the application. The surname refers to that of the responsible project leader. The ethics proposal may be submitted in English or German.

We kindly ask you to carefully check whether the "General information for participants" and the accompanying "Declaration of consent" forms used in your application comply with the current standards of the national ethics committee. Many helpful suggestions with regard to appropriate wording can be found on the website of the DGPs Ethics Commission: (<https://www.dgps.de/index.php?id=186>)

If German speaking participants are to be recruited, these documents must be provided in the German language.

The application should be sent to the following email: [humf-ethikantrag@uni-koeln.de](mailto:humf-ethikantrag@uni-koeln.de) (to the attention of the Acting Director of the Ethics Commission, Prof. Dr. Alexander L. Gerlach)

Please note that Item D., "Are other researchers\* involved in the research project?", helps us with due process. Please list all researchers involved in the project (conception, implementation, evaluation, etc.): this information is necessary to ensure that any possible bias can be minimized or ruled out concerning the choice of evaluators.

*The page with the signature of the responsible project leader must be signed and forwarded to the Ethics Committee by in-house mail (address: Dekanat • Humanwissenschaftliche Fakultät • Universität zu Köln • Ethikkommission • Gronewaldstraße 2 • 50931 Köln) as otherwise no processing can take place.*

**Specific comments with regard to Table H ("Checklist"):**

H1:

Please check if you appropriately ensure that no disproportionate benefits are offered for participation: Specify if special rewards for participation, financial compensation, or other forms of incentives are used. If so, what are the consequences of this? Which ethical problems may arise and how do you plan to deal with them? Will you recruit participants through other institutions/gatekeepers? How will you demonstrate your relative independence from these? How will you ensure that participants from these institutions/gatekeepers are not treated differently from non-participants?

H7:

If no written consent is planned, please give the reasons for this (e.g. illegalised participants; illiterates etc.) and explain how consent will be obtained elsewhere. Which alternatives are chosen to guarantee respectful interaction?

H15:

If findings relevant to the participant are likely to present themselves, consent to report these findings should be obtained prior to the study (if applicable, including parents, guardians or caregivers). If necessary, please explain in what manner this is planned to occur, and whether and how the participants will be supported in the evaluation of these relevant findings. If no feedback should or can be given, please give reasons for this.

H16:

In the case of anonymisation, the possible identification of participants by third parties in video or sound recordings should also be considered. The provision of anonymity can also be at the expense of verifying your sources. Is this relevant to your case? If so, how will you deal with this tension? What will you do if they are public figures whose identity cannot be concealed?

H18:

An example of a replicable personal code is given on the web pages of the DGPs.

**Special note regarding DFG applications:**

At the request of the DFG, we are now offering a second alternative procedure for ethical advice on DFG applications: if you need a vote from the ethics committee in the context of a DFG application, you now have the option of choosing an alternative two-stage review procedure: a possible advantage is that you do not have to submit all relevant documents (e.g. participant information, declaration of consent, flyer, etc.) at the time of application. In the first step, you simply submit the completed form of the ethics application, add your DFG

application (in the form in which it will be submitted) and all documents that already have been completed in one PDF document. The ethics committee will then examine the ethical safety on the conceptual basis of your study (s) and advise you on it. If you receive approval from the DFG for your project, you then need to submit all missing documents with the initial application in a second step, whereupon these documents will also be checked according to the relevant criteria. Please note that the first expert opinion after this procedure is linked to the formal requirement to submit a follow-up application and that the vote loses its validity without subsequent submission of the documents missing for a complete evaluation of your project.

If you choose to apply for the two-stage assessment, please note this in your email and name your application as follows:

year\_month\_day\_Ethikantrag\_surname\_DFG.pdf