**Ethikkommission der Humanwissenschaftliche Fakultät, Universität zu Köln**

**Application Form**

**Application form for the evaluation of a research project**

**A. Title/name of the research project**

**B. Name and address of the principal investigator (supervisor)**

Surname, first name:

Address:

Telephone number:

E-mail:

**C. Short summary of the research project (*max.* 500 words)**

(Objectives, participant sample or target group, methodical approach, scientific knowledge gain etc.)

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**D. Are other researchers involved in the research project?**

Name/Faculty/Place:

**E. External funding?**   Yes  No (self-financed)

Funding organization:

**F.1 Is an ethics statement required from the funding organization?**   Yes  No

**F.2 Is this a proposal for the alternative two-step procedure for DFG proposals?  
(see explanation of the application procedure)?**   Yes  No

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| **G. The application is accompanied by ... *Please tick if applicable*** |  |
| Informed consent form for the participants **(compulsory)** |  |
| Declaration of consent for study participation **(mandatory/**please argue carefully, should you opt to not ask participants for informed consent**)** |  |
| Separate declaration of consent for image and/or sound recordings (**mandatory**, if image or sound recordings are planned) |  |
| Statement as to whether the application has been submitted to another ethics committee **(mandatory)**. If yes, attach statement of the other ethics committee (**mandatory**, if any) |  |
| All steps of the research process in tabular form including (if applicable) description of the sample, its recruitment, instructions, tasks, questionnaires (naming only), as well as all other methods used in the study **(mandatory)** |  |
| Research proposal used for funding organization (**obligatory** if study is financed by funding organization) |  |
| Debriefing for studies with active or passive deception (**mandatory**, if applicable) |  |

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| **H. Checklist for the study (please tick "yes" or "no"; if not applicable mark with "n/a" in the white field)** |  |  |
|  | Yes | No |
| **1. Voluntarism:**  Is the voluntariness of participation ensured? (Please also check whether special incentives or dependent relationships might affect voluntariness – see the document “comments on checklist”) |  |  |
| **2. Legal Capacity:**  Will people participate in the study who are unable to give consent to participate themselves because they are underage, have a limited ability to judge participation, or are incapable of judgement (e.g. babies, small children, persons under 18 years of age, persons who are incapable of consent in a legal sense)? |  |  |
| **3. Vulnerable and/or marginalized groups:**  Will the study involve people who belong to a particularly vulnerable group (e.g. people with disabilities, people in inpatient or outpatient treatment facilities, prisoners, people with dementia, people in retirement homes, or discriminated against or marginalized groups of people)? |  |  |
| **4. Explicit statement regarding the right to terminate participation at any time:**  Are the participants assured that they can terminate their participation at any time without having to give a reason and with no negative consequences? |  |  |
| **5. Inclusion and exclusion criteria:**  Are there inclusion and/or exclusion criteria for participation? |  |  |
| **6 Informed consent:**  Are participants fully informed about the objectives and purposes of the study in a language accessible to them? |  |  |
| **7. Informed consent:**  Is informed consent obtained in written form? (compare comments to checklist) |  |  |
| **8. Deception about participation:**  Is it necessary for people to participate in the study without having been informed of their participation at that time, without having given their consent (e.g. in the case of experimental field studies, covert observation), or while not having been sufficiently informed about the purpose and content of the study (this does not entail full disclosure of hypotheses)? |  |  |
| **9. Active deception about content, purpose, method or setting:**  Are people actively and deliberately deceived about the content, purpose, method and/or setting of the study (e.g. by presenting a fake research purpose, giving false information, concealing important information etc.)? |  |  |
| **Potential Dangers** | | |
| **10. Intimacy/Stigmatization:**  Are there any questions regarding topics that could transgress individual intimacy boundaries of interviewees (e.g. stressful personal experiences or sexuality), or for which the answers could be perceived as stigmatising (e.g. illegal or deviant behaviour such as drug use, addictions or the abuse of stimulants, but also political convictions)? |  |  |
| **11. Psychological stress for participants:**  Can participants be expected to suffer psychological stress, fear, exhaustion, or other negative effects as a result of the study? |  |  |
| **12. Physical risks for participants:**  Will any invasive measurements be conducted on the participants of the study? Will they be subjected to potentially stressful (e.g. blood, saliva) or harmful procedures? Will physical pain be inflicted? Can any side effects be expected? |  |  |
| **13. Psychological or physical risks for researchers:**  Is there any potential danger for the researchers (e.g. psychological stress due to problematic interview topics and situations)? |  |  |
| **14. Substance allocation:**  Will the participants in the study be given drugs, placebos or other substances? |  |  |
| **15. Dealing with relevant findings:**  Are important findings relevant to participants likely to be identified (e.g. diagnoses, suicide risk, or abnormal laboratory findings)? |  |  |
| **16. Conflicts of interest:**  Are there possible conflicts of interest (e.g. cooperation partners, participants)? |  |  |
| **Data Protection** | | |
| **17. Anonymization or pseudonymization:**  Are the data either completely anonymized (so that it is not possible to assign the data to individuals) or pseudonymized (storage of the data with a personal code; associated data and names are stored in separate files); and are the applicable data protection regulations considered in each case? |  |  |
| **18. Data access:**  Is it certain that only people who are committed to confidentiality have access to the personal data (e.g. storage in locked cabinet, password-protected computer file)? |  |  |
| **19. Deletion of personal data at the request of the participants**  Can participants request the deletion of their data at any time, for example by means of a personal code, and are they informed about this option? Alternatively, if no personal code is generated, can the deletion of data be requested immediately after their participation and are participants notified of this fact? (see comments on checklist) |  |  |
| **20. Deletion of the data after a specified legal retention period.**  Is the deletion of personal data guaranteed after a specified legal retention period and will the participants be informed about this? |  |  |
| **21. Non-disclosure of other participants without obligation of confidentiality:**  When in a group setting, are participants explicitly asked to maintain confidentiality with regard to personal information disclosed by other participants? |  |  |
| **22. Publication Strategy:**  Both the publication of research data and the publication of research results require ethical considerations. Is the chosen form of anonymization or data aggregation guaranteeing the anonymity of the participants in your project? |  |  |
| **23. Information rights**  Do the participants have the opportunity to be informed about the research results after completion of the study? |  |  |
| **24. Insurance cover:**  Do participants have travel accident insurance or will they be informed that any travel is not insured? "("No" is only to be ticked if the participants have to travel without insurance to or from the study location.) |  |  |
|  | Yes | No |

If you have marked one or more questions in the checklist of the basic questionnaire with a cross in a coloured field, please also submit a detailed explanation of the response to the respective item (in each case under the header "Statement on H.XX", e.g. "Statement on H.13"). Please also consider cost-benefit aspects of the study and, in the case of data protection, the relevant legal framework conditions.

I certify that all information provided in this application is correct and in accordance with the professional ethics guidelines relevant to me. I also certify that the information provided does not differ from that provided in the application to the funding agency concerned. I am aware that the ultimate responsibility for compliance lies with me.

Place, Date Signature (responsible project leader)

**Appendix**

Please also provide the further relevant information in the following order:

1. All steps of the research process in a tabular format including description of the type and number of participants, their recruitment, instructions, tasks, questionnaires (in name only), instruments, informed consent, declarations of consent, etc. used in the study.
2. If applicable, comments on indexed points under H.
3. If applicable, statements of other ethics committees
4. If applicable, the research proposal (if research is financed by a funding organization)