UNIVERSITÄT PADERBORN
Die Universität der Informationsgesellschaft

Standard questionnaire for applications for ethical review by the Paderborn University Ethics Committee

The following standard questionnaire is based largely on the *German Psychological Society's professional ethical guidelines* 7.3.1 to 7.3.9 (DGPs, 2016). Some of the wording of the questions has been taken verbatim from these guidelines. Where this is the case, reference is made to the respective DGPs guidelines in brackets after the relevant question header. The German Association for Experimental Economic Research's (GfeW) standard procedure for reviewing the ethical aspects of research projects (*GfeW review procedure*) (https://gfew.de/ethik) has also been drawn on to design this questionnaire. Appropriate reference is also made here to any questions based on the GfeW review procedure.

Please answer all of the 15 questions below by ticking "Yes" or "No".

Applicant:

Short project title:

	Yes	No
1. Preliminary examination (GfeW Question 1): Has the planned study already been examined and rejected by another ethics committee?	☐	☐
2. Voluntary nature (DGPs 7.3.3): Can it be guaranteed that the subjects' participation in the study is voluntary?	☐	☐
3. Consent (DGPs 7.3.3): Will informed (written) consent be obtained from the subjects regarding participation in the study and data collection?[1]	☐	☐
4. Undisclosed participation (DGPs 7.3.3 and 7.3.6): Will subjects participate in the study without being informed of their participation at the time at which the research project is conducted or without having given their explicit consent to participate (e.g. experimental field studies, covert observations)?	☐	☐

1 Explicit consent may be waived "(1) if it is reasonable to assume that participation in the research will not cause any harm or inconvenience beyond everyday experience, and if the research relates to (a) common educational methods, curricula or teaching methods in the education sector; (b) anonymous questions/questionnaires, independent observations or archive material, the disclosure of which does not expose the participants to any risk of criminal or civil liability, financial loss, professional disadvantage or reputational damage and where confidentiality is guaranteed; (c) factors affecting work and organisational efficiency in organisations, the investigation of which cannot cause any professional disadvantage to the participants and where confidentiality is guaranteed, or (2) if the research is otherwise permitted by laws and regulations" (DGPs, 2017, pg. 22). If any of these reasons apply, then a short application may be submitted, even if "No" has been ticked for Question 2. Please state the reason why explicit consent is not necessary.

	Yes	No
5. Persons in need of protection (DGPs 7.3.3): Is the study aimed at the participation of subjects who, by law or on account of their physical or mental condition, are not able to give informed consent to participate in the study (e.g. persons under the age of 18 or people with physical or mental disabilities) or who, because of the study design, are otherwise particularly vulnerable (e.g. pregnant women, addicts)?	☐	☐
6. Animal testing: Are any animals involved in the planned project (as study subjects or in any other way)?	☐	☐
7. Information (DGPs 7.3.3 and 7.3.6): Will the subjects be informed of *(a) the purpose of the study; (b) the expected duration of the study and the respective procedure; (c) their right to refuse or terminate participation; (d) foreseeable consequences of non-participation or early termination of participation; (e) foreseeable factors that can reasonably be expected to influence willingness to participate (e.g. potential risk); (f) the expected findings of the study; (g) the guarantee of confidentiality and anonymity and, where applicable, the limits of these; (h) the bonus for participation; (i) the different test groups in experimental studies and (j) who they can contact if they have any questions about the research project and about their rights as* subjects?	☐	☐
8. Deception (DGPs 7.3.8, GfeW Question 4): Will the subjects be deceived about the study content, purpose, method or setting or about the promised participation incentives (e.g. payments for experiments), or will specific information about the study be withheld from them? *(Lack of disclosure of the research hypothesis or hypotheses does not fall into this category.)*	☐	☐
9. Intimacy or risk of stigmatisation (DGPs 7.3.3): Does the study address topics that could be perceived by the subjects as intimate (e.g. stressful personal experiences, sexuality, non-conformity) or stigmatising (e.g. illegal or deviant behaviour)?	☐	☐
10. Psychological stress (DGPs 7.3.3): Is there a risk that the subjects will experience psychological stress, fear, exhaustion or any other negative effects (e.g. triggering of traumatic experiences) beyond everyday levels as a result of participating in the study?	☐	☐
11. Physical risks (DGPs 7.3.3): Will the subjects be exposed to any physical risks (e.g. pain, negative side effects) or any potentially stressful or even harmful procedures (e.g. blood sampling) as a result of participating in the study?	☐	☐
12. Administration of substances (DGPs 7.3.3): Will the subjects be administered any medication, placebos or any other substances as part of the study?	☐	☐
13. Remuneration/participation incentives (DGPs 7.3.7): Will the subjects be offered any financial or other incentives that risk encouraging them to participate through coercion?[2]	☐	☐

2 Incentives are to be regarded as coercive if they are designed in such a way that "it must be assumed that the subject is willing to take risks that they would most likely not have taken without this compensation" (Spickhoff & Knebe, 2014, pg. 158). As a rule, this does not include any incentives that represent reasonable compensation for the subject's travel costs, loss of earnings or time.

	Yes	No
14. Disadvantages in case of non-participation (DGPs 7.3.5): Will non-participation in the study result in any direct disadvantages or negative consequences for the subjects? (*Please note:* If participation is required by the relevant examination regulations, potential participants must be made aware of equivalent alternatives for participating in the study.	☐	☐
15. Option to terminate participation (DGPs 7.3.3): Will the subjects have the option to terminate participation during the course of the study at their own request and without any negative consequences, and is this communicated to them in advance?	☐	☐

If you have *no ticks in the coloured boxes* for any of the questions above, you can submit this document in conjunction with a brief description of the study (0.5 to 1 page; both as a PDF, please) by e-mail to ethik-kommission@upb.de, i.e. standard procedure.

If, on the other hand, you have *ticked the coloured box* for *at least one* of the above questions, you will need to follow the in-depth procedure. In the in-depth procedure, in addition to an informative description of the study (1 to 3 pages), all study documents (data collection instruments, instructions etc.) must be provided. If you are following this procedure, please in particular explain why the aspects of your study for which you have ticked the coloured box in the standard questionnaire above are necessary and how you intend to deal with these from an ethical perspective.

Please tick: Standard or in-depth procedure

☐ All questions in the standard questionnaire have been answered with ticks in the white box. (Standard procedure)

☐ The deviation is explained in an attached application in accordance with the Paderborn University Ethics Committee's guidelines for applicants. (In-depth procedure, where at least one tick in a coloured box)

Please tick: Data privacy

☐ The relevant data privacy regulations are complied with.

Place	Date	Signature

List of references

DGPs (2016). *German Association of Psychologists' and German Psychological Society's professional ethical guidelines and German Association of Psychologists' professional code of conduct* Göttingen: DPGs. Accessed at https://www.dgps.de/index.php?id=85 on 07/08/2017.

Spickhoff, A., & Knehe, H. M. (2014). Freiwilligkeit bei der Teilnahme/unangemessene Anreize (Voluntary participation/inappropriate incentives). In C. Lenk, G. Duttge, & H. Fangerau (Ed.), *Handbuch Ethik und Recht der Forschung am Menschen* (Handbook on ethics and law for research involving human subjects) (pg. 157-158). Berlin: Springer.