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**Ethics Committee Karlsruhe Institute of Technology (KIT)**

**Chair**: Prof. Dr. Kora Kristof (VP Digitalization and Sustainability)

**Official in charge:** Valerie Boda (Office for Good Scientific Practice and Ethical Principles, KIT Library)

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# **Request to the KIT Ethics Committee for Assessment of a Research Project (Substudy of Already Approved Study Series)**

# Overview of the Form

1. [Basic administrative information](#Basic_information)
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| 0 | Information will be completed by the Office for Good Scientific Practice and Ethical Principles |
| A | Application Number: |  |
| B | Date of submission: |  |

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| 1. | Basic Administrative Information |
| A | Project leader[[1]](#footnote-1) | Title Surname(s) Name |
| B | Email project leader: | surname.name@kit.edu |
| C | Project coordinator[[2]](#footnote-2): | Title Surname(s) Name |
| D | Email project coordinator: | surname.name@kit.edu |
| E | Institute (Acronym): | Institute for Examples (IfB) |
| F | Research group (if necessary): | research group |
| G | Address (with building and room no): | building and room no., street, house no., city, postal code |
| H | Other persons involved[[3]](#footnote-3): | (Title) Surname(s) Name (role) |

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| 2. | Information on Substudy |
| A | **Title of study series + short title of substudy** (if differing from title of study series, max. 10 words): | English:Title of study series in 10 words or lessSubstudy: Title substudy  |
| German (optional): Titel Studienserie in maximal 10 WörternSubstudy: Titel Teilstudie |
| B | **Duration of substudy:** | Month, year until Month, year |
| C | **Duration of data collecting phase:** | Month, year until Month, year |
| D | **Objective of the research project (max. 300 words)** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?)**: What overarching goal is to be achieved with the research project?**Goal of research project in max. 300 words |
| E | **Description of research project** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 300 words):**Description of research project in max. 300 words |
| F | **Description of methods[[4]](#footnote-4)** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 300 words):**Description of methods in max. 300 words |
| G | **Scientific relevance** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 250 words): What is the theoretical relevance of the project?**Theoretical relevance in max. 250 words |
| H | **Scientific relevance** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 250 words): What is the practical relevance of the project?**Practical relevance in max. 250 words |
| I | **Which ethically challenging areas and questions do you see as relevant to your research project?** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 300 words)**Description of ethically problematic areas in max. 300 words |
| J | **Optional: key literature (including data sets for reuse in this project):**Key literature |
| K | **Organizational setting of the study series** (please select):[ ]  Part of a lecture/ seminar[ ]  Bachelor thesis[ ]  Master thesis[ ]  Doctoral thesis[ ]  Study is third-party funded[ ]  Study is self-financed[ ]  Other: \_\_\_ | **Organizational setting of the substudy** (if different from study series) (please select):[ ]  Part of a lecture/ seminar[ ]  Bachelor thesis[ ]  Master thesis[ ]  Doctoral thesis[ ]  Study is third-party funded[ ]  Study is self-financed[ ]  Other: \_\_\_ |
| L | **Motivation for requesting approval by KIT ethics committee** (please select):We request approval of our research project…[ ]  Because it is required for publication.[ ]  Because the funding organization demands it.[ ]  Because the project touches ethically problematic topics.[ ]  Other: \_\_\_ |
| M | **Relation to other research projects** (please select):[ ]  New substudy for study series \_\_\_ with the application number[[5]](#footnote-5): \_\_\_[ ]  Resubmission of the request to the KIT ethics committee with the application number: \_\_\_ |
| N | Is there an **already existing vote by another ethics committee** to a request with identical content? [ ]  Yes. (Please attach) An additional vote from the KIT ethics committee is requested for the following reasons: \_\_\_[ ]  No. |
| O | Are there plans to request an additional vote from another ethics committee?[ ]  Yes. We plan this for the following reasons: \_\_\_[ ]  No. |

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| 3.  | Data Processing, Personal Data Protection, Ethical Data Sources |
| A | **Personal data:** Will you collect any personal data[[6]](#footnote-6) of study participants, scientific personnel or others?[ ]  Yes.[ ]  No.The data protection officer of KIT (DSB) already **granted approval of the data protection measures of the study series**[[7]](#footnote-7).[ ]  Yes.[ ]  No.The respective **data protection documents** have been **adapted for the substudy** (in consultation with DSB).[ ]  Yes. (Please attach)[ ]  No. |
| B | **Reuse of data:** Do you conduct your research using purchased datasets?[ ]  Yes. We use them for the following reasons: \_\_\_[ ]  No. |
| C | **Origin of data:** Are there any ambiguities regarding the origin of the data or regarding the compliance with ethical standards during their collection?[[8]](#footnote-8)[ ]  Yes. The following ambiguities exist as well as the following reasons to use the data despite their origin: \_\_\_[ ]  No. |
| D | **Publishing of results and data:** Do you forgo or restrict the publication of your results or research data for ethical reasons, even though this would be legally permissible?[ ]  Yes. We plan the following restrictions in publishing our results and research data: \_\_\_[ ]  No. |

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| 4. | Partnerships, Founding Institutions, Third Parties |
| A | Project partners[[9]](#footnote-9): | \_\_\_ |
| B | Public or private clients: | \_\_\_ |
| C | Funding agencies/ grant authorities: | \_\_\_ |
| D | Contractors[[10]](#footnote-10): | \_\_\_ |
| E | **Military-related research/ security-related research:** Are your partners/ clients/ funders/ commissioned companies/ etc. active in military security or security-related research?[[11]](#footnote-11)[ ]  Yes. But collaboration is ethically justifiable for the following reasons: \_\_\_[ ]  No.[ ]  I‘m not sure. But even if they are active in military security or security-related research, a collaboration is ethically justifiable for the following reasons: \_\_\_ |
| F | **Dependencies:** Is there a risk for structural dependency from clients or funding bodies, which are active in military security/ security-related research (e.g. financial dependencies, dependencies of university/ department policy)? [ ]  **Yes. There are the following risks and we take the following counter-measures: \_\_\_**[ ]  **No.****If “Yes”:** Is there a risk for granting the client’s or funding body’s whishes despite their incompatibility with the ethical principle of KIT, to pursue peaceful purposes with its research?[[12]](#footnote-12)[ ]  Yes. We will counteract this risk with the following measures: \_\_\_[ ]  No. |
| G | **Conflicts of interest:** Regarding the researchers involved, is there a risk for conflicts of interest, e.g. due to dual roles?[[13]](#footnote-13)[ ]  Yes. We anticipate the following conflicts of interest and have taken or will take the following counter-measures: \_\_\_[ ]  No. |
| H | **Foreign trade restrictions:** Do you have to consider foreign trade restrictions[[14]](#footnote-14), e.g in working with/ for above-mentioned partners/ clients/ etc. or in publishing results and research data?[ ]  Yes. The following restrictions must be observed and will be adhered to through the following measures: \_\_\_[ ]  No. |
| I | **Usage and exploitation rights:** Are there any requirements or restrictions imposed by partners/ clients/ etc. regarding the publication, usage and exploitation of the research results and research data?[ ]  Yes. There are the following requirements and restrictions: \_\_\_[ ]  No. |

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| 5. | Risks of Abuse, Military-relevant Research, “Dual Use” |
| A | **Will the substudy conduct purely basic research[[15]](#footnote-15)?**[ ]  Yes. [ ]  No. The study is to be classified as applied research or oriented basic research. |
| B | **If 5.A “No”:** Does the project serve exclusively civilian purposes or is the project designed in such a way that the optimization options or application scenarios are aimed at peaceful objectives? [[16]](#footnote-16)[ ]  Yes, the project serves exclusively civilian purposes. The most important optimization options or application scenarios are: \_\_\_[ ]  Yes, the optimization options or application scenarios aim on peaceful objectives. The most important of them are: \_\_\_[ ]  Yes, but military use could still be supported or cannot be ruled out.[ ]  No, the project (also) aims on military purposes. |
| C | **If 5.B “Yes, but…” or “No”:** If military purposes are pursued, could still be supported or cannot be ruled out: Are these purposes of protection, supply, reconnaissance/surveillance and immediate defense?[ ]  Yes. The most important optimization options/ application scenarios/ military purposes are: \_\_\_[ ]  No. The most important optimization options/ application scenarios/ military purposes are: \_\_\_**If “No”:** The above-mentioned purposes contradict KIT's ethical principle that research should serve peaceful purposes, which generates an ethical dilemma. Please explain briefly, why the violation of KIT's ethical principles must/ should be accepted in this case (risk-benefit assessment): \_\_\_ |
| D | **Do you see any risk for potential misuse of knowledge/ results/ technologies of your research project?[[17]](#footnote-17)**[ ]  Yes. The most important ethically problematical forms of misuse are: \_\_\_[ ]  No.**If “Yes”:** What options/ measures are available to you to reduce the risk of misuse of your research, and which can/ will you take?\_\_\_ |

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| 6. | Hazardous Substances, Environmental Protection, Animal Welfare, Material of Human Origin |
| A | **Hazardous substances:** Do you use or (potentially) generate hazardous substances[[18]](#footnote-18) (within legal limits) in your project?[ ]  Yes. This is necessary due to the following reasons (risk-benefit assessment): \_\_\_[ ]  No. |
| B | **Environmental hazards:** Are there increased environmental risks due to the substances used or produced in your project that go beyond the risk that usually exists in everyday research?[ ]  Yes. However, their use/ production is necessary for the following reasons (risk-benefit assessment): \_\_\_[ ]  No. |
| C | **If 6.A or 6.B “Yes”:** Did you involve the respective KIT representative in planning the project (e.g. biological security officer, hazardous materials officer, water protection officer, etc.)[[19]](#footnote-19)?[ ]  Yes.[ ]  No. |
| D | **Animal welfare**[[20]](#footnote-20): Does your project carry out animal testing or are animals involved in any other way?[ ]  Yes, we have already received the appropriate permits. (Please attach) [ ]  Yes, we have already asked the KIT animal protection officer for a statement to our project. (Please attach) [ ]  No. |
| E | **Material of human origin:** Will you use material of human origin (e.g. tissue, cells, blood, etc.) in the research project?[ ]  Yes. Using material of human origin is necessary for the following reasons (risk-benefit assessment): \_\_\_[ ]  No. |

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| 7. | Interaction with Test Subjects (if applicable) |
| A | **Description of experimental tasks (if necessary, divided in groups)** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?) **(max. 300 words): What shall the test subjects do? In what time frame?[[21]](#footnote-21)**Description of experimental tasks (max. 300 words) |
| B | **Description of the sample in this substudy (max. 250 words)** (if necessary, divided in groups)**:*** Number of persons
* Main characteristic(s) of the group(s)[[22]](#footnote-22)
* Age
* Gender distribution[[23]](#footnote-23)
* Inclusion and exclusion criteria for participation (list)[[24]](#footnote-24)
* Justification of necessity[[25]](#footnote-25)
 | Description of the sample of people (max. 250 words) |
| C | **Acquisition of test subjects in this substudy (if necessary, divided in groups) (max. 250 words)** (Refine and specify the description of the project. Are there differences/ expansions to the already approved study series?):* Recruitment
* Financial compensation (including rules for partial compensation if participation in the study is discontinued)
 | Description of acquisition of test subjects (max. 250 words) |
| D | **Voluntary nature:** Is participation in the substudy guaranteed to be voluntary?[[26]](#footnote-26) | [ ]  Yes. | [ ]  No. |
| E | **Withdrawal:** Are the participants assured that they can discontinue participation in the substudy at any time without giving reasons and without negative consequences? | [ ]  Yes. | [ ]  No. |
| F | **Legal capacity:** Will only people take part in the substudy, who can give their consent to participate because they are of age and fully capable of judgment?[[27]](#footnote-27) | [ ]  Yes. | [ ]  No. |
| G | **Participant information:** Are participants fully informed about the aims and purposes of the substudy in a language that is accessible to them? | [ ]  Yes. | [ ]  No. |
| H | **Informed consent:** Is informed consent obtained in writing (or electronically)? | [ ]  Yes. | [ ]  No. |
| I | **Standardized questionnaires:** Do you only use standardized questionnaires in your substudy (possibly with scaled answer options)?[[28]](#footnote-28)**If “No” (in case of qualitative surveys):** Are you working with interview guides?[[29]](#footnote-29) (If „Yes“, question no. 7.I is considered answered with „Yes“.) | [ ]  Yes.[ ]  Yes. | [ ]  No.[ ]  No. |
| J | **Training of research staff:** Have research staff been appropriately and adequately trained to ensure careful and sensitive communication with participants? | [ ]  Yes. | [ ]  No. |
| K | **If you have answered any or all of the questions above (7.D-J) with “Yes”**, please attach the respective documents in PDF format to this request (e.g. participant information, consent form, data privacy statement (reviewed by DSB), etc.).**If you answered “No” to at least one of the questions above (7.D-I)**, this could indicate ethical concerns regarding the study design. For each question, you answered with “No”, please explain whether and in what respect ethical concerns exist or could exist and why the study design was chosen in this form (risk-benefit assessment). Do you take any additional measures to rule out or reduce negative effects on the persons involved?\_\_\_ |
| L | **Vulnerable or marginalized groups:** Will people take part in the substudy, who belong to a particularly vulnerable group?[[30]](#footnote-30) | [ ]  Yes. | [ ]  No. |
| M | **Exposition of (groups) of people:** Could individuals, minorities or socially vulnerable groups be compromised, for example through the linking of statistical data? | [ ]  Yes. | [ ]  No. |
| N | **Negative consequences:** Are there negative social, legal or economic consequences for the test subjects that could arise in connection with the data collected?[[31]](#footnote-31) | [ ]  Yes. | [ ]  No. |
| O | **Deception regarding participation:** Is it necessary, that people take part in the substudy without – at the time – being informed about their participation or without having given their consent[[32]](#footnote-32) or that they are not adequately informed about the purpose and content of the substudy (disclosure of the hypotheses does not count)? | [ ]  Yes. | [ ]  No. |
| P | **Active deception about content, purpose, method or setting:** Are people actively and deliberately deceived about the content, purpose, method and/or setting of the substudy?[[33]](#footnote-33) | [ ]  Yes. | [ ]  No. |
| Q | **Physical strain/ risks:** Are the test subjects exposed to physical strain or risks that exceed what would be expected in everyday life?[[34]](#footnote-34) | [ ]  Yes. | [ ]  No. |
| R | **Physical pain:** Can the examination cause physical pain in test subjects?[[35]](#footnote-35) | [ ]  Yes. | [ ]  No. |
| S | **Psychological stress/ mental health risks:** Might your research cause psychological stress or other mental health risks to subjects beyond what would be expected in everyday life?[[36]](#footnote-36) | [ ]  Yes. | [ ]  No. |
| T | **If you answered “Yes” to at least one of the questions above (7.L-S)**, this could indicate ethical concerns regarding the study design. For each question, you answered with “Yes”, please explain whether and in what respect ethical concerns exist or could exist and why the study design was chosen in this form (risk-benefit assessment). Do you take any additional measures to rule out or reduce negative effects on the persons involved?\_\_\_ |
| U | **Rights to information:** Do participants have the opportunity to get information about the research results after the substudy or the whole study series has been completed?[ ]  Yes. Informing participants will or can be done via the following channels: \_\_\_[ ]  No. |

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| 8. | Responsibility for Research Staff[[37]](#footnote-37)  |
| A | **Physical strain/ risks:** Are the research staff exposed to physical strain or risks in connection with the substudy that exceed what would be expected in everyday life? | [ ]  Yes. | [ ]  No. |
| B | **Psychological stress/ mental health risks:** Might participating in your research project cause psychological stress or other mental health risks to research staff beyond what would be expected in everyday life? | [ ]  Yes. | [ ]  No. |
| C | **Other (negative) consequences:** Are there any negative social, legal or economic consequences for the research staff, which could arise in connection with the research project?[[38]](#footnote-38) | [ ]  Yes. | [ ]  No. |
| D | **If you answered “Yes” to at least one of the questions above (8.A-C)**, this could indicate ethical concerns regarding the study design. For each question, you answered with “Yes”, please explain whether and in what respect ethical concerns exist or could exist and why the study design was chosen in this form (risk-benefit assessment). Do you take any additional measures to rule out or reduce negative effects on the persons involved?\_\_\_ |
| E | **If the data collection (partially) takes place abroad:** Have all important measures[[39]](#footnote-39) been taken to protect (especially inexperienced) researchers during their research stay abroad?[ ]  Yes, we take measures to protect the researchers. The following measures are particularly noteworthy (optional): \_\_\_[ ]  No. Implementation of such measures has to be foregone for the following reasons: \_\_\_ |

With my signature, I confirm that …

* All information provided in this application is correct to the best of our knowledge and belief.
* We took note of the currently valid versions of the legal provisions and guidelines relevant to the research project and have been taken them into account when planning the research project and submitting the application. This applies in particular to:
	+ Data protection regulations according to the General Data Protection Regulation ([GDPR](http://data.europa.eu/eli/reg/2016/679/oj)) and the Data Protection Act of the state Baden-Württemberg ([LDSG BW](https://www.landesrecht-bw.de/jportal/?quelle=jlink&query=DSG+BW&psml=bsbawueprod.psml&max=true&aiz=true))
	+ [General Act on Equal Treatment](https://www.gesetze-im-internet.de/englisch_agg/index.html)
* We took note of the relevant regulations of the Karlsruhe Institute of Technology (KIT) in their currently valid versions and have been taken them into account when planning the research project and submitting the application. This applies in particular to:
	+ [Guidelines for Ethical Principles of KIT](https://www.kit.edu/downloads/kit_ethical_principles.pdf)
	+ [Statutes for Safeguarding Good Research Practice at KIT](https://www.sle.kit.edu/downloads/AmtlicheBekanntmachungen/2021_AB_061_English.pdf) and it’s [changes](https://www.sle.kit.edu/amtlicheBekanntmachungen_13978.php)
* We took into account the regulations and guidelines for research involving human subjects as well as other ethical standards in our respective field[[40]](#footnote-40) when planning the research project and submitting the application.

For student projects: I also confirm that we informed the students about the legal and institutional regulations as well as the ethical guidelines.

Place, date Signature project lead

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of project lead: Title Surname Name

If the project lead lies not with the professor holding the chair at the institute/ working unit:

I confirm that the project lead informed me about the above-mentioned research project and that I agree with its conduction at the institute/ work unit for which I am responsible.

Place, date Signature chair holder

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of chair holder: Title Surname Name

# Overview of the attached documents:

[ ]  Vote from another ethics committee

[ ]  Documents regarding project partners, clients, funding bodies, contractors

[ ]  \_\_\_

…

[ ]  Documents on the subject of “dual use” and the risks of misuse, e.g. information on measures to prevent misuse

[ ]  \_\_\_

…

[ ]  Further information on hazardous substances, environmental hazards, etc.

[ ]  \_\_\_

…

[ ]  Written assessment of the relevant central representative of KIT for \_\_\_

[ ]  Further information on animal protection/animal testing

[ ]  \_\_\_

…

[ ]  Animal welfare permits

[ ]  Participant information

[ ]  Documents for informed consent: data protection declaration, declaration of consent

[ ]  \_\_\_

…

[ ]  Questionnaires or interview guides (also draft versions)

[ ]  \_\_\_

…

[ ]  Further information on training research staff for interaction with test subjects

[ ]  \_\_\_

…

[ ]  Further documents, e.g. on the setup and functions of devices, the safety of forms of physical exercise, etc.

[ ]  \_\_\_

…

[ ]  …

1. Usually the full professor in charge. [↑](#footnote-ref-1)
2. If not identical with 1.A. [↑](#footnote-ref-2)
3. State their role (e.g. doctoral researcher, student) as well as organizational membership, if it is differing from 1.E-F. [↑](#footnote-ref-3)
4. E.g. measuring reaction times, recording EEG, filling out questionnaires, etc. [↑](#footnote-ref-4)
5. The KIT ethics committee assigns application numbers since September 2023. If you do not have an application number for the previous research project, please fill in the project title and the date of the respective meeting of the KIT ethics committee, in which your project was approved. [↑](#footnote-ref-5)
6. Following art. 4 of the GDPR “personal data” is considered any information regarding an identified or (via combining characteristics) identifiable natural person. Those include characteristics, that could identify a person directly (like e.g. name, identification number, location data, online identification) or indirectly via (a combination of) distinctive characteristics of physical, physiological, genetic, psychological, economic, cultural or social nature. [↑](#footnote-ref-6)
7. dsb@kit.edu, web: <https://www.dsb.kit.edu/>. [↑](#footnote-ref-7)
8. For example, data could be collected without knowledge and consent of the subjects (for instance in the case of Henrietta Lacks), data could be used at the expense of the group of persons examined (e.g. genetic profiling for prosecution in authoritarian systems). [↑](#footnote-ref-8)
9. E.g., other research institutions, cooperating commercial partners, etc. [↑](#footnote-ref-9)
10. E.g., service providers for transcriptions, crowdsourcing platforms (like clickworker.de), etc. [↑](#footnote-ref-10)
11. In particular military or military-related institutions or companies, and companies with a broad product line including military-related business areas (military engineering). [↑](#footnote-ref-11)
12. See [Gesetz über das Karlsruher Institut für Technologie § 2(3)](https://www.landesrecht-bw.de/jportal/;jsessionid=A2597E5A21F2DE904F5B25D31C83967D.jp81?quelle=jlink&query=KITG+BW&psml=bsbawueprod.psml&max=true&aiz=true#jlr-KITGBWV10P2) and [Guidelines for Ethical Principles of Karlsruhe Institute of Technology (KIT)](https://www.kit.edu/downloads/kit_ethical_principles.pdf), p.2. [↑](#footnote-ref-12)
13. E.g., employment with an involved company or paid consulting work for an involved company, family or personal relationships, active political activity, etc. [↑](#footnote-ref-13)
14. See <https://www.recht.kit.edu/185.php>. [↑](#footnote-ref-14)
15. The KIT ethics committee follows the definition of OECD on the terms “basic research”, “applied research” and “oriented basic research” ([Frascati Manual 2015](https://www.oecd.org/sti/frascati-manual-2015-9789264239012-en.htm), p. 365, 376). [↑](#footnote-ref-15)
16. This means, there is no restriction in preserving, using and exploiting all possible options for settling conflicts in a non-violent way and there is no risk of research results being used for personal or structural violence. [↑](#footnote-ref-16)
17. E.g., use for surveillance technology, risk for (intentional) misinterpretation of results by the public or politicians (e.g. in the context of conspiracy theories or political consulting), etc. [↑](#footnote-ref-17)
18. E.g., chemicals biological agents, radioactive material, etc., see <https://www.kiss.kit.edu/71.php>. [↑](#footnote-ref-18)
19. See list with official representatives: <https://www.sum.kit.edu/1337.php>. [↑](#footnote-ref-19)
20. See the information on animal protection at KIT: <https://www.kiss.kit.edu/english/165.php>. [↑](#footnote-ref-20)
21. E.g., within or outside regular working hours, at the same time every day, about 1 hour in total, etc. [↑](#footnote-ref-21)
22. E.g. teachers, visually impaired persons, users of a specific software, etc. [↑](#footnote-ref-22)
23. As long as the specific research question does not contradict this (e.g., study of female students only, etc.), an even gender distribution should be aimed for in order to minimize gender bias as much as possible. [↑](#footnote-ref-23)
24. E.g., language skills, age, legal capacity, training, previous experience, etc. [↑](#footnote-ref-24)
25. In accordance with the principle of data minimization, the collection of sensitive data (such as genetic or biometric data, health data, information about sexual orientation, etc.) as well as personal data as a whole must be checked and justified as to why their collection is necessary. [↑](#footnote-ref-25)
26. In particular, check whether certain incentives (e.g. well above-average financial participation compensation) or dependent relationships (e.g. between students and teachers) impair voluntary participation. [↑](#footnote-ref-26)
27. Persons without (full) legal capacity include babies, small children, people under the age of 18 or people who are legally unable to give consent due to cognitive limitations. [↑](#footnote-ref-27)
28. Standardized questionnaires use close-ended questions only. All participants are asked the same questions in the same order, the general conditions should be as similar as possible for all respondents (survey situation, interviewer), and all persons involved should understand the questions/answers in the same way (little room for interpretation). Standardized questionnaires allow for the examination of large samples and relatively easy anonymization. [↑](#footnote-ref-28)
29. Qualitative interviews work with open, semi-structured questions. They are used for relatively narrow research questions and for theory-based research. Here too, the questions and general conditions should be the same for all respondents if possible. However, anonymization is correspondingly more difficult with this method of data collection (due to a smaller sample, potentially more sensitive data, etc.). [↑](#footnote-ref-29)
30. E.g., people with disabilities, (sick) people in inpatient or outpatient treatment facilities, or in prison, people with dementia, people in geriatric facilities, people exposed to discrimination, marginalized groups of people. [↑](#footnote-ref-30)
31. E.g., by collecting information on illegal employment, corruption or escape aid. [↑](#footnote-ref-31)
32. E.g.,. during experimental field investigations or covert observation. [↑](#footnote-ref-32)
33. E.g., by pretending false purposes, giving false information or concealing important information, etc. [↑](#footnote-ref-33)
34. E.g., through laser beams, noise, (unusual) physical activity or moving machines. [↑](#footnote-ref-34)
35. E.g., through invasive methods, potentially stressful procedures (e.g. giving blood/ saliva samples), potentially harmful procedures or intentional infliction of physical pain. [↑](#footnote-ref-35)
36. E.g., by triggering strong (negative) emotions such as anger or fear, triggering traumatic experiences, etc. [↑](#footnote-ref-36)
37. Including student assistants and research assistants, technical personnel and administrative staff, etc. [↑](#footnote-ref-37)
38. For example, an obligation to secrecy (as required by research ethics) could potentially lead to criminal prosecution. [↑](#footnote-ref-38)
39. E.g. taking into account the current security situation (see travel and safety instructions from the Federal Foreign Office, entry in the ELEFAND crisis preparedness list (for German citizens) or the corresponding offers from your own home country), country-specific risks (e.g. avoiding unsafe means of transport, taking into account climatic peculiarities, natural disasters) and criminal law regulations, health precautions (e.g. vaccinations), etc. [↑](#footnote-ref-39)
40. [Declaration of Helsinki](https://www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/), [professional ethical guidelines](https://zwpd.transmit.de/images/zwpd/dienstleistungen/ethikkommission/ethik-richtlinien-2016.pdf) of the Professional Association of German Psychologists and the German Psychological Society, ethical principles in the social and economic sciences ([RatSWD](https://www.konsortswd.de/themen/forschungsethik/)), ethical principles of the engineering profession ([VDI](https://www.vdi.de/fileadmin/pages/mein_vdi/redakteure/publikationen/VDI_Ethische_Grundsaetze_des_Ingenieurberufs.pdf)), etc. [↑](#footnote-ref-40)