Application Form

for the Assessment of Ethical Research Aspects of Social, Economic and Educational Studies by the Ethics Committee

***Version 01.04.2024 V4***

*Please note the detailed application information*

*on the website of the Ethics Committee.*

* + Please complete the application form.
	+ Only fully completed applications can be processed.
* All details provided will remain confidential.
* Please send the signed application form and the documents or attachments as required in the application form by email (in pdf format) to ethikkommission@wiso.uni-tuebingen.de..

# 1. Applicant and Type of Assessment

## 1.1 Personal Details:

 Title Please select an option.

 First Name First name of the applicant

 Family Name Family name of the applicant

## 1.2 Contact Details

 Address Full Office Address

 Email Email address to be used for contact

 Phone Contact phone number

## 1.3 Department/Institute

 Please select your department or institute.

 If you selected 'Other', please specify here.

##  Position

 Please select your current position.

## 1.5 Previous Application

Has an application for review of research ethical or data protection law aspects of the project been submitted previously or simultaneously?

 Please select an option.

 If so, please specify when and where.

## 1.6 Possible conflict of interests

Please name the members of the ethics committee with whom you have collaborated scientifically in the past three years.

(*Multiple choice*)

 Prof. Dr. Gabriele Abels [ ]

 Dr. Lisa Bäulke [ ]

 Dr. Aenne Brielmann [ ]

 Dr. Janina Eberhart [ ]

 Dr. Rolf Frankenberger [ ]

 AOR Dr. Helga Gese [ ]

 Prof. Dr. Annika Goeze [ ]

 Prof. Dr. Joachim Grammig [ ]

 Prof. Dr. Jasmin Joecks [ ]

 Prof. Dr. Benjamin Nagengast [ ]

 Prof. Dr. Tim Pawlowski [ ]

 Prof. Dr. Christoph Randler [ ]

 Dr. Malte Ring [ ]

 Prof. Dr. Stefan Schwarzer [ ]

 Prof. Dr. Rüdiger Wulf [ ]

# 2 General Information on the Research Project

## 2.1. Project Title:

 Full project title.

 Project acronym or short title, if available.

## 2.2 Timing

Intended period of the research project:

 Start: start date End: completion date

Intended period of data collection:

 Start: start date End: completion date

## 2.3 Type of Research Project

(*multiple answers possible*)

 Contract research/externally funded research [ ]

 Qualification work (habilitation) [ ]

 Qualification work (dissertation) [ ]

 Other research project [ ]

## 2.4 Funding

 Please specify funding.

 Please name the sponsor.

## 2.5 Institutions Involved in the Research Project

Please specify which institutions will be involved in the project:

 Are there any institutions involved?

 Please specify the institution(s).

## 2.6 Other Research Project Participants

Please specify which *researchers or research teams* will be involved in the project:

 [ ] Other principal investigators: Please specify.

 [ ] (Other) postdocs: Please specify.

 [ ] Phds: Please specify.

 [ ] Student assistants: Please specify.

 [ ] Other: Please specify.

## 2.7 Conflicts of Interest

Are there any potential conflicts of interest, e.g. conflicts between scientific interests of the research project and other interests of the researchers or (un)involved third parties?

 Please indicate.

 If yes, please specify existing conflicts of interest.

# 3 Study design and methodical approach

**3.1 Data Collection Methods**

(*Multiple answers possible*)

 1. Observation, participatory observation [ ]

 2. Group discussion, focus group [ ]

 by disclosing personal information [ ]

 3. Qualitative interviews [ ]

 by disclosing personal information [ ]

 4. Standardized Interviews

 face-to-face [ ]

 by phone [ ]

 by mail/ in writing [ ]

 online [ ]

 by disclosing personal information [ ]

 5. using audio or video recording [ ]

 6. Experiment

 Laboratory experiment [ ]

 Field experiment/ intervention study [ ]

 Physical stress [ ]

 Mental stress [ ]

 Delusion and Information [ ]
(***Please explain briefly in the project outline when and how participants will be debriefed.***)

 7. Collection of social media data [ ]

 8. Document Search

 in public, freely accessible sources [ ]
(e.g. newspapers, internet, etc.)

 in non-public, restricted-access sources [ ]
(e.g. in archives, files, internet, etc.)

 9. Other: [ ]

Please specify.

**3.2 Type of Sampling**

 Please select an option.

Other (please specify).

## 3.3 Project Population

## (*Multiple answers possible*)

 [ ]  School students

 [ ]  Teachers

 [ ]  Students

 [ ]  University of Tübingen staff

 [ ]  Children up to 14 years of age

 [ ]  Adolescents (14 to 18 years of age) fully able to consent

 [ ]  Adults (18 years and older) fully able to consent

 [ ]  People or groups of people with limited ability to consent (e.g. people with intellectual disabilities)

 [ ]  People or groups of people who are socially disadvantaged or particularly vulnerable (e.g. stigmatized groups, people without residence permits, etc.)

 [ ]  People or groups of people in particularly vulnerable living conditions

 [ ]  Other:

 Please specify.

## 3.4 Setting and Survey Location

*Please outline setting and location of the survey.*

## 3.5 Permission to Collect Data

Has the institution where participants are recruited (by the institution or third parties) given consent?

 Please select an option.

## 3.6 Approach and Recruiting

*Please outline the planned process of recruiting participants, i.e. how to identify and approach people (in person, by email, by mail, by phone, by flyer, etc.). If the participants are selected for the study by third parties (e.g. by teachers, social workers), please indicate which agreements have been made.*

## 3.7 Reimbursement of Expenses and Incentives

*Please outline to what extent the participants are entitled to receive compensation, the type of compensation, specific incentives for participation (if any), and explain.*

## 3.8 Voluntary Participation

*Please explain briefly to what extent the voluntary nature of participation in the study is guaranteed, and to what extent people may also decide not to participate, or withdraw from participation without negative consequences. Please indicate the responsible contact in this case, and also how to request deletion of data already collected.*

## 3.9 Informed Consent

*Please specify how and in what way the informed consent of the participants will be obtained (in verbal, written, electronic form, etc.). Please state the reasons for not obtaining the participants' consent (if applicable).*

# 4 Risks and Harm Prevention Strategies

## 4.1 Potential Risks for Participants

*(Multiple answers possible - please tick where applicable)*

 Emotional and psychological stress [ ]
(e.g. due to problematic issues, strenuous/lengthy participation, aversive stimuli, negative experiences)

 Physical risks [ ]

 Deception/misleading information [ ]

 Personal data is collected [ ]

 Sensitive data is collected [ ]
(e.g. regarding characteristics that are socially stigmatized, lead to discrimination, or may have other negative consequences (e.g. consequences of a legal nature)

 Other [ ]

## 4.2 Minimizing the Risks for Participants

*Please explain in brief which damage prevention strategies are in place to minimize risks for the participants (data protection issues will only be briefly noted here and dealt with under item 5).*

## 4.3 Potential Risks for Conductors of the Study

(*Multiple answers possible - please tick where applicable*)

 Emotional and psychological stress (e.g. due to problematic issues, excessive demands, aggressive reactions, etc.) [ ]

 Physical risks (e.g. physical violence, risk of accidents) [ ]

 Other [ ]

## 4.4 Minimizing Risks for Conductors of the Study

*Please list the strategies in place to minimize risks for the conductors of the study.*

## 4.5 Anonymization of Data

(*multiple answers possible*)

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Type of Anonymization** | **Description** | **Yes** |
| 1. | No anonymization:Use of identifying information | Express consent of the participants to the use of their real names. | [ ]  |
| 2. | Pseudonymization | The names of the participants are replaced by pseudonyms. | [ ]  |
| 3. | De-identified data | Reversible process in which the identification features are changed into codes while the researcher preserves the identifiers. | [ ]  |
| 4. | Anonymized data | Irreversible process in which the identification features are changed into codes but the key will not be retained. Codes can no longer be assigned to people. | [ ]  |
| 5. | Coarse data | Personal information, which in general made it possible to identify individual participants, will be coarsened prior to data transfer so that identification is no longer possible. | [ ]  |
| 6. | No personal data is collected, or data that has already been completely anonymized is used. | The researchers do not know the participants' identity. The participants are, for example, randomly selected and participate in the research project without providing identifying information. | [ ]  |
| 7. | Other Please specify. | [ ]  |

## 4.6 Data Storage and Data Access

*Please explain in brief where data (and identifiers, if any) are stored and how access is protected. Please explain who has access to which data, and how other people (not including those listed under 1.1 and 2.6) possibly get access to data (e.g. administrators).*

## 4.7 Data Sanitization

*Please explain in brief which data is sanitized when, and which data may be stored for longer periods.*

## 4.8 Final Assessment

*Please explain briefly how the procedure and the associated risks, in particular, can be justified from a research-ethical point of view, and how they are in proportion to the expected benefit of the study.*

# 5 Accessibility of Research Results

## 5.1 Accessibility for the Research Community

*Please explain briefly whether and how the collected data will be digitally archived and made accessible to the research community for replication and future evaluations; please also name the online repository. Please also describe in brief how and in what way the research results will be made accessible to a specialist audience or the research community.*

## 5.2 Accessibility for Participants and a Wider Public

*Please outline how and in what way the research results will be made accessible to the participants or a wider public.*

# 6 Further Remarks

*Please add further information (if any) that you consider relevant for the research-ethical assessment of the project.*

# 7 Attachments

# Please note that in addition to the project outline, all other attachments listed below must be included, provided that they relate to matters relevant to the planned project.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Attached** | **Not yet available** | **Not relevant for the planned project** |
| 1. | **Project outline (required!)** (max. 2000 words on the theoretical background, content classification, research goals and hypotheses, and the general methodological design) | [ ]  |  |  |
| 2. | **Survey tools (see 3.1)**(e.g. questionnaire, interview guide, pictures, videos etc.) | [ ]  |  | [ ]  |
| 3. | **General information for participants about the investigation (see 3.6)** | [ ]  |  | [ ]  |
| 4. | **Participant briefing on data protection**(see notes in the download area) | [ ]  |  | [ ]  |
| 5. | **Debriefing text** | [ ]  |  | [ ]  |
| 6. | **Permission from the institution (see 3.5)**(e.g. School\*1)) | [ ]  | [ ]  | [ ]  |
| 7. | **Agreement with third parties (see 3.6)**(e.g. regarding data collection and storage) | [ ]  |  | [ ]  |
| 8. | **Declaration of consent (see 3.9)** | [ ]  |  | [ ]  |
| 9. | **Declaration of consent to video and audio recordings (see 3.9)** | [ ]  |  | [ ]  |
| 10. | **Comments on the anonymisation strategies (see 4.5)**(differentiate according to data collection, data entry, data preparation, data evaluation, data transfer, publication of results, if necessary) | [ ]  |  | [ ]  |
| 11. | **Confidentiality declaration for project staff** | [ ]  |  | [ ]  |
| 12. | **Other:** Please specify. | [ ]  |  | [ ]  |

**\* 1)** *According to the administrative directive of the Baden-Wuerttemberg Ministry for Education, Youth and Sports on "Advertising, Competitions and Surveys at Schools", Official Gazette for Culture and Education (KuU, of 21 September 2002, as amended on 28 October 2005; source: Landesrecht BW Bürgerservice, esp. item 4.1), the school management must give approval for examinations at a school. For examinations at several schools, approval must be given either (i) by the executive school management (if the schools are located in the area of a school body), (ii) by the regional council (unless the schools are located in the area of a school body), or (iii) by the Ministry of Education (if the schools are located in different government districts).*

# 8 Declaration on the Accuracy of the Information Provided

I hereby confirm that I have read the relevant ethical guidelines of the responsible specialist society(s) and that the statements made in this application and the attachments are correct, to the best of my knowledge. The research project and data collection will only be carried out as described in the application using the submitted materials. Any changes to the research project or the materials will be communicated to the ethics committee.

[ ]  I confirm that all applicants have read the application and agree with the contents.

[ ]  I am the sole applicant.

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Date First Name Family Name Signature

 of the applicant