# **Annex 1**

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## **Research Ethics Review Questionnaire for research projects involving humans**

*Non-medical and non-psychological research with human participation,*

*primary research*

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| **1.Please answer the following questions with regard to the planned research:** | |
| a. What procedures are applied to make sure that the consent of participants is based on appropriate information? (The research subject should be able to give prior and voluntary consent to participating (without being pressured or unduly persuaded) in possession of all the relevant information. The information should in all cases contain the right to withdraw consent.)  Your reply should include the Consent Form that you distribute to the research participants, (Components: Information Sheet on the Research and Consent Form) |  |
| b. How do you plan to reach, recruit research participants? Participants must not feel „obliged” to get involved in the research. How is voluntariness ensured? |  |
| c. How is the confidential treatment of research data ensured? How is confidentiality, anonymity as well as the non-identifiability of research participants guaranteed? Please keep in mind that identification is not only possible by name. Does everyone who has access to the data sign a declaration of confidentiality (e.g. members of the research group, interviewer, transcriber, financing party)? |  |
| d. How do you plan to disseminate the publication, dissemination of data? Who will receive feedback about the findings and in what form? (e.g. if the research is carried out within an organization, does the organization get any separate feedback and how? If the research takes place within the framework of a participant action research project, how are the data disseminated? How is non-desirable identification minimized (e.g. use of pseudonyms, modification of key information, publication of aggregated data?)) |  |

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| **2. Does the research project involve:** | YES | NO |
| a. any risks, potential damage, or any negative consequences for the participants? (psychological, emotional, physical, social, economic, legal etc.)? |  |  |
| b. any risk or danger for the researchers? |  |  |
| c. any risk, damage, negative consequences for other persons, organizations?( e.g. financing body, organization at which the fieldwork is carried out, etc.) |  |  |
| d. any situation in which the consent form is not viable (e.g. a huge crowd)? |  |  |
| e. the participation of children/ minors or persons under guardianship? (How is the minor and the parent/guardian informed and how is the consent form obtained from them? When access is through an institution, how is the institution’s authorization obtained?) |  |  |
| f. the participation of any other vulnerable groups: mental/ physical patients or individuals at mental risk, prisoners, members of other vulnerable and dependent groups (e.g. expectant women, aged persons, students, members of the armed forces, discriminated groups)? (Here one needs to be aware in particular of legislation on special groups.) |  |  |
| g. the participation of research subjects where the distribution of power between the latter and the researcher is unequal? (e.g. lecturer among his/her students, manager in an organization recruiting research subjects among subordinates. How is voluntariness guaranteed?) |  |  |
| h. the use of gatekeepers/persons representing the group’s interests in order to access the research subjects? (when access to the research subjects is not direct, e.g. through a headmaster to the pupils, through a superior or secretary to employees at a workplace– the issue that arises here is whether participation is not forced.) |  |  |
| i. the conscious deception of participants or the concealment of information with regard to the nature or objectives of the research? |  |  |

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| j. disproportionately large financial allocations to participants in the research? (that are beyond the reimbursement of costs and the reasonable compensation of time invested) |  |  |
| k. research locations abroad, fieldwork abroad? |  |  |
| l. any conflict of interest issues? (do the financial interests of the researcher, of his/her organization raise any conflict of interest?) |  |  |
| m. the use of any administrative, personal or secret data that requires separate administrative authorization? |  |  |
| n. the sharing of any data, information or finding in addition to what was consented to by the research subjects? |  |  |
| o. the application of any visual or vocal methods by which the research subjects can be identified? (video recording, audio recording – how will anonymity, safe data storage (separating identifiers and answers/with restricted access) and destruction etc. be ensured? ) |  |  |
| p. Searches, data access through the internet, social media (e.g. forums, chat rooms)? (Please address the publicness of the data (open/restricted access), the rules on data use, the manner of obtaining an informed consent or in the absence thereof the justification, data storage etc. in your answer) |  |  |
| q. fieldwork in one or more organizations? (Will the organization be named in the final publication? What ethical issues arise in connection with the organizational research? Will the findings be disseminated within the organization? Particular care should be taken if the researcher works for the organization in question, as it might put the researcher in a vulnerable position, etc.) |  |  |
| r. addressing sensitive, intimate issues? (Drug use, sexual life etc.) |  |  |
| s. using secondary data? (Please justify data use, the means of data access, the publicness of data, data access in your answer/ please outline the original data collection and if personal data are used, information on informed consent) |  |  |

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| t. other ethical risks, issues? |  |  |

**A / In case your answer to any of the questions in Section 2 above is YES,**

1. please explain in the space below the table which aspect of the research requires an answer in the affirmative;
2. please explain why it is necessary to implement the research in the way it is proposed to be carried out;
3. please provide information on how you will address ethical issue, ensure the minimization and treatment of risks.

**B / The following declarations are obligatory for all research projects!**

1. **I declare to have understood the relevant research ethics policy and to accept the provisions thereof.**
2. **I declare that each researcher, contributor shall treat the research data in accordance with the data protection rules.**
3. **I declare to observe and to have observed by all researchers, contributors the university’s ethical rules, the provisions of the authorization during the planning and the implementation of the research.**

Name: …………………………………………………………………………….……………………..

Position in research project: ……………………………………………………………………..

Name of research project:……………………………………………………………………………….

Planned period of research: ………………………………………………………………………………

Name of grant/program of which the research is a part: …………………………………………………………………

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Date: ……………………………………………

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signature