**Self-Assessment Test at the central ethics committee**

This questionnaire will help you establish whether your project requires a review by the university’s Central Ethics Committee and to what extent your project is ethically sensitive. It is organised in two parts: (1) assessment for ethics review; (2) questions on ethically sensitive aspects. After completing the questionnaire, you will receive further information as well as the necessary documents.

**Part 1: General information and application requirements**

The first part elicits general information regarding your project and its context, and is intended to assess whether your project requires an ethics application.

Name: Klicken oder tippen Sie hier, um Text einzugeben.

Date of the self-assessment: Klicken oder tippen Sie, um ein Datum einzugeben.

Faculty/Scientific Center: Klicken oder tippen Sie hier, um Text einzugeben.

*Please note that the faculties 01 Human Sciences and 05 Social Sciences have their own ethics committees. If you are a member of either of these faculties, please contact your faculty-internal committee with your request.*

**Basic information on the project**

Please indicate the type of your project here (multiple selection possible)

[ ]  Bachelor's or master's thesis

[ ]  PhD thesis or postdoctoral thesis

[ ]  Non-externally funded research project

[ ]  Third-party funded project

[ ]  Publication project

**Topic or title of your project**

Please enter the topic or title of your project here:

Klicken oder tippen Sie hier, um Text einzugeben.

**Requirement for an ethics review**

Do you need an ethics approval for your project for an external institution (e.g. third party funding organisation, journal, publishing house etc.)?

[ ] Yes,

it is required by Klicken oder tippen Sie hier, um Text einzugeben.

[ ] No

If an ethics approval is mandated externally, are there specific requirements set by the external institution for that the ethics committee should observe in their review?

[ ] Yes,

they are: Klicken oder tippen Sie hier, um Text einzugeben.

[ ] No

Is there a deadline for completing the ethics vote (grant application process, submission to a journal, thesis deadline)?

[ ] Yes,

the deadline is: Klicken oder tippen Sie hier, um Text einzugeben.

[ ] No

Has a request for a similar project already been submitted to the Central Ethics Committee (e.g. from the same faculty or department, or regarding a comparable procedure)?

[ ]  No

[ ]  Yes

In this case, please provide some details:

Title: Klicken oder tippen Sie hier, um Text einzugeben.

Applicant(s): Klicken oder tippen Sie hier, um Text einzugeben.

(if known: Sequence number: zEK-Klicken oder tippen Sie hier, um Text einzugeben.)

Please briefly explain in which way your project is similar to the one already reviewed (e.g. methods, experimental design, subject or by the data protection documents that have already been used in the previous application)
Klicken oder tippen Sie hier, um Text einzugeben.

**Part 2: Ethical and data sensitivity of your project.**

This part represents your self-assessment regarding the ethical sensitivity of your research project.

1. **Research with animals**

Do you plan to conduct research with animals in your project?

[ ] Yes

Please provide a brief description: Klicken oder tippen Sie hier, um Text einzugeben.

*For research involving animals, please contact the University's Animal Welfare Officer first to clarify if your project contains (an) animal experiment(s) that must be reviewed by the Animal Welfare Authority*

[ ] No

1. **Data collection**

What data collection methods will be used? (Multiple selection possible)

[ ]  Questionnaires

[ ]  Interviews

[ ]  Psychological tests

[ ]  Physiological tests

[ ]  Audio recordings

[ ]  Video recordings

[ ]  Projective procedures

[ ]  Observations

[ ]  Document analysis

[ ]  Other: Klicken oder tippen Sie hier, um Text einzugeben.

1. **In which country/countries will the primary data collection take place?** (Multiple answers possible)

Klicken oder tippen Sie hier, um Text einzugeben.

1. **Personal data**

Definition:

According to Art. 4 No. 1 DSGVO, personal data are "any information relating to an identified or identifiable natural person (hereinafter 'data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person." It is important to note in this definition that the reference to a person can arise directly from the data used, but also from the additional knowledge of the person responsible for the data. The inclusion of "indirect" identifiability also covers many cases where the data subject's name is not included.

Question:
Does your project collect personal data?

[ ]  Yes

Please briefly state which personal data are going to be collected:
Klicken oder tippen Sie hier, um Text einzugeben.

* If you answered yes, please proceed with the next question, (5) Data management.

[ ]  No

Please state briefly why you are not collecting any personal data:
Klicken oder tippen Sie hier, um Text einzugeben.

* If you answered no, please proceed with question 11 “Research with humans”
1. **Data management**

What kind of data processing records do you require?

[ ]  Contract on joint responsibility for a processing activity (if an institution or person outside U Kassel jointly decides with you on the means and purposes of the processing of the personal data)

[ ]  Contract for the processing of personal data (“Auftragsverarbeitungsvertrag”, i.e. AVV) if a natural or judirical person outside U Kassel who processes the personal data according to your instructions

[ ]  Processing records (“Verarbeitungsverzeichnis”, i.e. VVT) because they collect and store the data independently and on servers of U Kassel

*If a submission to the Central Ethics Committee is required, please prepare the relevant list or contract, coordinate it with the Data Protection Officer if necessary, and attach it to your application to the Committee. Templates and advice on data processing can be found on the Data Protection Officer's page (*[*https://www.uni-kassel.de/hochschulverwaltung/organisation/beauftragte/datenschutz*](https://www.uni-kassel.de/hochschulverwaltung/organisation/beauftragte/datenschutz)*)*

1. **Type of data**

How is the personal data collected and processed?

[ ]  Anonymized

Please clarify:
Which data is anonymised? At what point in the data collection or data evaluation does the step occur? How will you proceed here

Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  Pseudonymised

Please clarify:
Which data will be pseudonymised? At what point in the data collection or data analysis does the step take place? How will you proceed here?

Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  Some data are anonymised, others are pseudonymised

Please clarify:
Which data are anonymized, which are pseudonymised, and why? At what point in the data collection or data analysis does the step occur? How will you proceed here?

Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  Without measures of anonymization and pseudonomisation

Please explain briefly:
Klicken oder tippen Sie hier, um Text einzugeben.

*If you are unsure about the exact nature of your data collection, we recommend the following definition by the European Commission:* [*https://commission.europa.eu/law/law-topic/data-protection/reform/what-personal-data\_en*](https://commission.europa.eu/law/law-topic/data-protection/reform/what-personal-data_en)

1. **Confidentiality**

Is confidentiality guaranteed and is there a duty of confidentiality?

[ ]  Yes

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Data protection information**

Are participants informed about the study, esp. about the data collected, the purposes of use, the rights of data subjects, the contact details of the data protection officers, the possibility of withdrawing from participation and the protection of personal data)?

[ ]  Yes

If yes, which documents (in one document or individually) do you provide to participants?

[ ]  Declaration of consent to participation

[ ]  Information sheet on the objectives and procedures of the project

[ ]  Overview of data protection measures and data protection contacts

[ ]  Information about the possibility of withdrawal

[ ]  Information about data deletion

*If you are requested to submit an application to the central ethics committee, these documents are a mandatory part of the application. For this purpose, please check whether your documents are compliant with the requirements of the data protection officers.*

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

*If no: Please contact the data protection officer for support, as the information in the documents represents a mandatory component for a project!*

*Compliance with data protection is a central requirement for clearance by the ethics committee!*

1. **Preliminary review of the data protection documents**

Have the documents on data protection and declaration of consent already been cleared by the data protection officer, or have you used their template(s)?

[ ]  Yes, the documents have already been reviewed by the data protection officer

[ ]  Yes, I have used the template provided by the data protection office

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

*The templates of the data protection officers can be found here:* [*https://www.uni-kassel.de/intern/datenschutz-1*](https://www.uni-kassel.de/intern/datenschutz-1)

1. **Right to data deletion**

Can participants request the deletion/destruction of their personal data at any time and will they be informed of this right?

[ ]  Yes

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Research with humans**

Please answer this question **only if you answered No to question 4** ("Personal data").

If you indicated that you do not collect personal data, it is still possible that your project involves research on/with people, albeit without collecting any personal information on them and thereby guaranteeing their anonymity.

Question:
Does your project involve work with participants?

[ ]  Yes

* If yes, please go to question 12 „Voluntariness“

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

* If no, please proceed to question 26 „Implications for researchers“
1. **Voluntariness**

Is it guaranteed that participation in the project is voluntary?

[ ]  Yes

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Legal capacity**

Will persons participate in the study who are not able to give informed consent (e.g., persons under 18 years of age or persons who are not legally capable of giving consent)?

[ ]  Yes

 If yes, please briefly explain:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Vulnerable persons**

Will the study involve individuals who belong to a particularly vulnerable group (e.g., individuals with learning disabilities, individuals in correctional settings, refugees)?

[ ]  Yes

If yes, please briefly explain:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Inclusion and exclusion criteria**

Are there any criteria for the inclusion and/or exclusion for certain (groups of) participants?

[ ]  Yes

If yes, please briefly explain:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Deception about participation**

Is it necessary for your study that individuals participate without being informed about their participation prior to it or without having given their consent (e.g., in the case of non-open observation), or that they are not fully informed about the purpose and content of the study (note: this does not include disclosure of the research hypotheses)?

[ ]  Yes

If yes: Please briefly explain and explain how and when the deception is resolved:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Deception about study purpose**

Are individuals actively deceived about the content and purpose of the study?

[ ]  Yes

If yes: Please briefly explain and explain how and when the deception is resolved:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Intimacy / stigmatization**

Does your study involve questions on topics that touch on intimate matters for the respondent, or require answers that may be perceived as stigmatizing (e.g., about illegal or deviant behaviour)?

[ ]  Yes

If yes, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Physical strain**

Will participants be physically impacted?

[ ]  Yes

[ ]  Blood collection

[ ]  Administering of medication

[ ]  Invasive measurements

[ ]  Non-invasive measurements

[ ]  Other:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Psychological stress**

Are participants likely to experience psychological stress, fear, fatigue, pain, or other negative effects as a result of the study beyond what would be expected in everyday life?

[ ]  Yes, due to:

[ ]  Duration of activity

[ ]  Aversive stimuli

[ ]  Other:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Personal details**

Are participants likely to disclose personal experiences or attitudes during the study?

[ ]  Yes

If yes, please briefly explain and list the possible thematic areas in question:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Precautions**

Are precautions taken to minimize negative effects on participants?

[ ]  Yes

If yes, please specify:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

If no, please explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Insurance coverage**

Do participants have insurance cover for their journey to and from the study location, or are they informed that the journey to the location is not insured? (Note: If there is such insurance, the policy should be available for inspection in the secretary's office)

[ ]  Yes

If yes, please briefly explain the format of the insurance:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Use of technical devices**

Do you plan to experiment with or collect data from people using technical devices?

[ ]  Yes

If yes, please list which (types of) devices you will be using:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

1. **Publications**

Will you produce publications or other interim or final reports on your project, and, if working with participants, will these reports be available for subjects to view?

[ ]  Yes

If yes, please specify how and when:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

If no, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

1. **Implications for researchers**

Is it likely that the researchers involved will be exposed to direct or indirect psychological or physical stress and/or other hazards?

[ ]  Yes

If yes, please briefly explain why:
Klicken oder tippen Sie hier, um Text einzugeben.

[ ]  No

**Completion of the survey**

By completing the self-assessment, you confirm that all information in this questionnaire is accurate to the best of your knowledge.