Antragsnummer:

(Will be filled out by the ethics committee – File no.)		

Checklist for ethics committee

The Faculties of Economics and Business Administration of the TU Dortmund, Ruhr-University of Bochum, University of Duisburg-Essen, the Mercator School of Management of the University of Duisburg-Essen and the RWI have established a joint Ethics Committee. It is open to all members of these Faculties and the RWI.

In the first step of the approval process, please fill out this form to see whether our ethics committee can give you the approval that you need for your work.

1. Name and address of the responsible researcher

Last name, first name:

Address:

Telephone number:

Email:

2. Title of the study:

3. Short description of the study:

4. Checklist 1:

		Yes	No	Don't know
1.	Does the study aim to examine diseases or the structure and function of the human body?	☐	☐	☐
2.	Is the study a clinical trial?	☐	☐	☐

Did you answer "Yes" or "Don't know" to <u>any</u> of the above questions? In this case, our ethics committee cannot support you. You must address a medical ethics commission.

5. Checklist 2:

Please complete the following checklist to determine whether your protocol qualifies for exempt status. **Please also note the comments at the end of the form.**

		Yes	No	Don't know
1.	Does the study involve subjects that are uninformed about their participation in the study or who have not given informed consent to participate?	☐	☐	☐
2.	Does the study involve subjects from populations that are vulnerable?	☐	☐	☐
3.	Are the subjects not informed that their participation is voluntary and that they can withdraw at any time for any reason?	☐	☐	☐
4.	Are the subjects deceived or mislead by the researchers?	☐	☐	☐
5.	Does the study involve coercive financial or non-financial incentives that threaten the voluntary nature of a subject's choice?	☐	☐	☐
6.	Is there a substantial dependency relationship between the subjects and any of the involved researchers?	☐	☐	☐
7.	Could the study negatively influence the subjects' psychological integrity (e.g., by triggering severe emotional reactions)?	☐	☐	☐
8.	Could the study negatively influence the subjects' physical integrity (e.g., collection of blood or saliva samples, physical strain through physical exertion)?	☐	☐	☐
9.	Are the subjects asked to provide sensitive personal information (e.g., traumatizing experiences, sexual orientation, drug consumption)?	☐	☐	☐
10.	Is the purpose of the study to significantly influence peoples' lives or real-life behaviors? (e.g., influencing peoples' voting behavior; influencing peoples' job search behavior or outcomes)	☐	☐	☐
11.	Does the study expose any of the members of its research team to threats harming their physical or psychological integrity (e.g., field work in civil conflict region)?	☐	☐	☐
12.	Does the study involve the collection of data from voice, image or video recordings beyond data quality checks?	☐	☐	☐
13.	Will the study collect and use data that is not anonymized (Note: data is anonymized if the data cannot be assigned to a specific subject or if the assignment would require an exceptional amount of effort)?	☐	☐	☐
14.	Does any member of the research team have any association that poses or could be perceived as posing a conflict of interest in connection with the results of the study?	☐	☐	☐

Did you answer "No" to <u>all</u> of the questions above? In this case, your protocol qualifies for exempt status and your study does not require further review. Please submit the completed and signed form. You will then receive a letter confirming that your study qualifies for exempt status.

Did you answer "Yes" or "Don't know" to any of the above questions? If so, please write an application to the Ethics Committee. This request includes i) a short motivation describing the goals and relevance of the study, ii) a detailed description of the research design and iii) a discussion of all potential ethical issues (including the precise circumstances involving any items answered affirmatively on the Checklist for Exempt Status). See the webpage for more information. Please be sure to submit this form as well.

I hereby confirm that all the information given above is correct.

_____

Time, place, name of responsible researcher

Notes:

re 1: Such situations may be particularly relevant in studies in which the behaviour of people is observed or experimentally influenced without their knowledge.

re 2: Vulnerable people include, for example, children (under 18 - age to be documented during the recruitment process or prior to data collection), people with learning or communication difficulties, people with legal guardians, people engaged in illegal activities, people with impaired capacity/ability to make judgements.

re 3: To ensure that participants are aware of their right to opt out, the following statement or similar should be used in the guidance:
"Your participation is entirely voluntary and you may withdraw from participation in the experiment/survey at any time without giving a reason. However, in order for us to use your data for research, it is necessary that you complete all parts of the experiment/survey."

re 5: This could include excessively high monetary compensation or rewards in a different context, such as grades.

re 6: Often the subjects are students who are in a dependent relationship with one of the researchers (because they have to take an exam or are employed as student assistants or research assistants). In this case, it is very important to ensure that there are no negative consequences as a result of participation or non-participation in the study.

re 7: A distinction must be made here between negative and neutral consequences of the intervention. Mood changes due to sad music, for example, are harmless because such music is commonplace in everyday life. But showing images of war, for example, can be problematic. Such images can also be seen in everyday life, but people are not normally forced to look at them.
Studies can lead to uncomfortable situations for the participants. Here too, a distinction must be made between a minor inconvenience that can be considered comparable to everyday events and is therefore acceptable, and an inconvenience that crosses this line (being shouted at or ridiculed, etc.).

re 9: This question relates to data collection, which is sensitive for one of two reasons. On the one hand, it concerns information that is to be treated as highly confidential because its disclosure can lead to disadvantages for the person. On the other hand, it concerns disclosed information that can be associated with strong emotions for the person (e.g. traumatic experiences), which can lead to an unacceptable emotional burden for the subject(s).

re 12: For quality control purposes, a selection of interviews with standardised questionnaires are additionally recorded to ensure that the interviews were actually conducted. This is harmless as long as these recordings are deleted after quality control.

re 13: Data is anonymised if the data cannot be assigned to a specific test person or if the assignment would require an extraordinary effort)?