

Ethical self-assessment¹

The “ethical self-assessment of research projects” is intended to help researchers at the Pädagogische Hochschule Heidelberg University of Education and SRH University Heidelberg to independently assess the ethical aspects of proposed research projects and, where applicable, to refrain from submitting an ethics application to the Ethics Committee. If all questions in the table below can be answered with “yes”, it is probably not necessary to submit an application. Compliance with “[good research practice](#)” should be a priority when conducting any research and is assumed to be the basis here. After completion of the ethical self-assessment, the confirmation of completion can be filled out and submitted via [email](#). Please also submit the completed reflection form below. The latter and a copy of the confirmation will be archived accordingly.

Note:

Please note that the researcher’s project for reflection must not have been submitted or requested for an ethical opinion from an ethics committee. In addition, the ethical self-assessment may not be sufficient for submission to publishers. Please enquire in advance about the ethical review requirements of third-party funders and publishers.

The ethical self-assessment does not constitute an Ethics Committee opinion!

¹ Based on: Rat für Sozial- und Wirtschaftsdaten (2017): Forschungsethische Grundsätze und Prüfverfahren in den Sozial- und Wirtschaftswissenschaften (p. 25 ff.) [online https://www.dgfe.de/fileadmin/OrdnerRedakteure/Satzung_etc/2017_RatSWD_Output9_Forschungsethik.pdf]

PH Weingarten: Checklist. https://www.ph-weingarten.de/fileadmin/redakteure/Homepage/Forschung/Checkliste_Ethikantrag-PHW.pdf

Name of the researcher	Title of the research project

1. Is a researcher's contact information provided so that study participants can get in touch with them?	☐ yes ☐ no
2. Has the principle of data reduction and data economy ² been observed?	☐ yes ☐ no
3. Is the number of people with access to the data limited to the minimum necessary?	☐ yes ☐ no
4. Is full information provided on the study objectives, procedure and duration of the examination/study?	☐ yes ☐ no
5. Is full information provided on the potential burdens and/or risks of participation?	☐ yes ☐ no
6. Is full information provided on remuneration and/or other commitments?	☐ yes ☐ no

7. Is full information provided on voluntary participation and the possibility to withdraw at any time without prejudice?	☐ yes ☐ no
8. Is the security of data storage and analysis ensured (e.g. lockable steel cabinet, data backup on external storage media, ...)?	☐ yes ☐ no
9. Is full information provided on the security of data storage and analysis?	☐ yes ☐ no
10. Will there be no deliberate deception or manipulation of participants (e.g. in the form of incomplete or inaccurate information about study aims and methods, manipulated feedback on subject performance)?	☐ yes ☐ no
11. Is voluntary participation ensured?	☐ yes ☐ no

² in accordance with Section 3a of the Federal Data Protection Act [*Bundesdatenschutzgesetz* – BDSG]

12. Will the study be conducted on people who are able to give consent or, if they are unable to give consent, will consent be obtained from their legal representatives?	☐ yes ☐ no
13. Are particularly vulnerable people and minors excluded from the study? ³	☐ yes ☐ no

14. If video or audio recording is planned, is it ensured that participants cannot be clearly identified by third parties?	☐ yes ☐ no
15. Can participants request the deletion of their data at any time?	☐ yes ☐ no
16. Is it ensured that personal data is deleted after the legal retention period?	☐ yes ☐ no

I hereby confirm that the information given above is correct.

Place, date

Signature

³ Different people and groups may be defined as (socially and legally) "vulnerable", depending on the project context. (Rat SWD

https://www.dgfe.de/fileadmin/OrdnerRedakteure/Satzung_etc/2017_RatSWD_Output9_Forschungsethik.pdf, p. 27).