



# Supplementary Guidelines to the Rules of Procedure of the Ethics Committee at the Faculty of Humanities of the University of Hamburg

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*Disclaimer: The English translation of this document is provided for informational purposes only.  
In the event of any discrepancy or conflict, the German version shall prevail.*

## 1 APPLICATION

The applicant must be employed by the Faculty of Humanities at Universität Hamburg either at the time of application or in the event of approval of a third-party funded project applied for. The application should not have been submitted to any other ethics committee. Otherwise, in exceptional cases, the existing ethics vote with a detailed justification must be submitted in addition to the application.

Reasons must be given for the need for a vote by the Ethics Committee.

Applications are submitted to the chairperson or deputy chairperson electronically (all required documents summarized in one PDF by e-mail).

## 2 REQUIRED DOCUMENTS (DETAILED APPLICATION)

Applications for opinions from the Ethics Committee consist at least of the following documents and information, on which a statement must be made in each case (with a note if individual points are not relevant to the application). A tabular application form is available for this purpose.

The following information is part of the application:

### 2.1 Cover letter with full contact details

The cover letter must contain the full contact details of the applicant, usually the project leader. According to Section 2 (1) of the Rules of Procedure, a statement from the responsible university lecturer must be included if applicable.

## 2.2 Description of the framework conditions, subject matter and procedure of the planned study

Where applicable, the following points are particularly relevant for the statement by the Ethics Committee:

- a. What are the objectives of the project and which methods will be used? What period of time is planned for the study or studies and for the overall research project?
- b. How will the study participants be recruited (e.g. through advertisements, random selection from lists)? What criteria are used to select the study participants (e.g., by age or expertise in certain areas)?
- c. Is participation remunerated or are other benefits promised?
- d. Is the voluntary nature of participation guaranteed?
- e. Are the study participants physically stressed (e.g., through non-invasive measurements)? If it is a study to which the German Drug Law applies or in which invasive measures are planned, the application cannot be reviewed by the Ethics Committee of the Faculty of Humanities and should instead be submitted to the Ethics Committee of the Medical Association, for example.
- f. Are the study participants under particular mental stress (e.g., due to duration of activity, aversive stimuli, negative experiences)?
- g. Are the study participants deliberately given incomplete or incorrect instructions about the study objectives or procedures (e.g., through manipulated feedback on their performance)? If these procedures are necessary for study purposes, this should be formulated and justified accordingly in the application.
- h. How is the data masked? How and where is it stored and archived? Are there regulations on the deletion of primary data after a certain period of time and on the handling of coding lists of personal names?
- i. If the research project is funded by other bodies outside Universität Hamburg, these funders should be named.
- j. In the case of studies that examine special groups of people (e.g., persons with limited legal capacity), it should be ensured that appropriate declarations of consent are obtained from legal guardians and, if necessary, special insurance conditions are observed.

## 2.3 Ethical hazard and risk assessment for research abroad

In view of the increasingly critical situation in target countries for empirical research, the ethical hazard and risk assessment for employees and researchers must be considered as part of the ethical assessment, irrespective of the assessment of the methodology. This applies in particular to scientifically necessary work in conflict areas. Research and academic cooperation are generally regarded as urgently required reasons for travel. When applying, reference should first be made to the travel warnings and advice issued by the Federal Foreign Office.

For countries or regions with a travel warning, applicants should explain all measures that minimize a possible risk to employees and themselves. This may include, for example, many years of personal experience with the local situation and close work with local institutions and the

exclusive employment of qualified employees with good local knowledge. Other local protection measures are also conceivable.

## 2.4 Information form for study participants

The information form should contain information on the following points in particular:

- a. Objectives, procedure and duration of the study (see above)
- b. Burdens and risks of specific examination procedures, weighing up of benefits and risks
- c. Obligations of the study participants
- d. Remuneration and other commitments to study participants
- e. Information on the possibility of withdrawing from the willingness to participate at any time and without consequences
- f. Planned data protection measures: What personal data will be collected? Are video or audio recordings or other recordings of behavior planned? How will these be used? How will the anonymization (if applicable) of the collected data be implemented? Will the stored data be deleted and when?

## 2.5 Informed consent form of the study participants

The declaration of consent, if required (see point 5), should take the following points into account:

- a. Reference to the informed consent and the informed consent form
- b. Reference to the data protection measures, if necessary additional consent to the publication of audio and video recordings
- c. Confirmation of voluntariness and the possibility of withdrawal

It should be noted that both the information and the consent of the study participants should be given verbally and in writing and that the information and consent forms should be separate. The title of the study must be clearly recognizable on both forms and the names and full addresses of the principal investigators must be included. The study participants and, if applicable, the legal guardians must each be given a copy of the forms.

## 2.6 Declaration on informing the Ethics Committee

Each application must be accompanied by a declaration that the applicant undertakes to inform the Ethics Committee immediately of any disruptions, termination or similar of the research project.

# 3 EXAMPLE WORDINGS

Below you will find exemplary formulations that you can adapt and use for your purposes.

### 3.1 Information form

*The research project [...] aims to [...] Your task is to [...]. This may involve situations that you find less pleasant. [...] Personal data about you will also be collected. All information that we collect as part of our research will be treated confidentially and will only be used by members of our research team as part of the ongoing study. This study-related data will be passed on, stored and analyzed in accordance with legal regulations without naming names (i.e. your data will be coded). Should you decide against participation after the study and thus decide to delete the data collected, this is only possible until the study is completed for organizational reasons. At the end of the study, we are also obliged to delete our coding list of personal names, so that it is no longer possible to assign the collected data to individual study participants.*

*Responsible for the analysis and storage of your data is [...], Institute [...], University of Hamburg.*

*Participation in the research project is entirely voluntary. You can withdraw your consent to participate at any time and without giving reasons, without incurring any disadvantages.*

### 3.2 Consent form

*I have been informed about the nature, significance and scope of the planned examinations. I was given a copy of the participant information. I was able to ask questions about the procedure and the possible risks. I have understood the content of the information given to me.*

*I hereby give my consent to participate in the study. I am aware that I can withdraw my consent at any time without giving reasons and without incurring any disadvantages.*

*I am aware that the data obtained during the examinations will be further processed and used for scientific purposes. I hereby consent to the data being processed and published in such a way that it cannot be traced back to me personally. I can also revoke this consent at any time without giving reasons. I am aware that it may no longer be possible to remove my anonymized data from the study after it has been completed.*

### 3.3 Consent form for the use of individual study results and recordings

*I give my consent that my video/image/sound recording or my text or my questionnaire answers may be presented for demonstration purposes in events with limited number of participants (e.g., courses or at scientific conferences). (If applicable:;) I give my consent for my video/image/sound recording to be included in the corpus and to be permanently accessible to the public/researchers.*

### 3.4 Declaration on informing the Ethics Committee

*I/we undertake to inform the Ethics Committee immediately of any unexpected events that have an impact on ethical aspects. This includes any disruptions or discontinuation of the study.*

## **4 REQUIRED DOCUMENTS (SHORT APPLICATION)**

Short applications can be submitted for research projects where no significant ethical concerns are expected. The tabular application form can also be used for this purpose.

In any case, points 2.1 (cover letter), 2.4 (information form), 2.5 (declaration of consent), 3.4 (duty to inform) must be included in the short application. For point 2.2 (study objective), a declaration is sufficient in which the objectives, the planned period and the procedural methods of the research project as well as information on the study participants are briefly explained and reasons are given as to why the project is to be classified as ethically unobjectionable. In the case of research abroad, a hazard and risk assessment (2.3) must be provided.

## **5 SUPPLEMENTARY SUBJECT- AND STUDY-SPECIFIC PROVISIONS**

In exceptional cases, which must be explained in detail (e.g., long-term observation of participants), the consent form may be waived or the information provided to participants may be kept more general if essential research objectives cannot otherwise be achieved. The recommendations of the relevant professional associations apply, excerpts of which must be attached to the application with reference to the source.