# Research Ethics Checklist – Step 1

Researchers employed at the Department of Economics of the University of Copenhagen, i.e. PhDs and Postdocs as well as Assistant -, Associate - and Full Professors, who wish to obtain an ethical approval for their research projects should – in a first step – go through an ethics checklist.

The checklist is designed to support researchers in thinking about the ethical dimensions of their research project as well as give guidance to the Ethics Committee at the Department of Economics whether an approval can be granted without further clarifications or whether more background information is needed for the Committee to be able to decide.

Therefore, as a first step to obtain approval, the principal investigator (PI) is required to fill out the research ethics checklist below. The answers to this checklist will be reviewed by a member of the Ethics Committee at the Department of Economics. In case they meet certain requirements, approval will be granted soon after the answers to the checklist have been reviewed.

In case the requirements are not fulfilled the PI will receive further clarification questions. The answers will then be reviewed by the Ethics Committee.

Please note that the Ethics Committee at the Department of Economics cannot assess projects that involve biological samples, medical treatment, etc. Please send these types of projects to the appropriate bodies that deal with these kind of projects.

In extra ordinary cases we are willing review projects that already in progress.

**Please complete the below form and mail it to** ethics@econ.ku.dk

Date (dd/mm/yyyy):

|  |
| --- |
| **About the Project:**  |
| Project title: |       |
| Project start-date:  |       | Anticipated end-date: |       |
| Principal Investigator(s): |       | Email address(es): |       |
| Supervisor(if PI is a PhD student): |       | Email address(es): |       |
| Others researchers that participate in the project | Name:       | Email:       |
| Research design:(including potential data collection procedure) | **Please describe your research design/data collection procedure in 300-800 words**:(understandable for researchers outside your discipline)      |
| Self-evaluation of ethical dilemmas | Please consider all possible ethical dilemmas there may be for the participant/in the project and let us know how you are solving it?  |
| Funding body: |       |
| Has your project been preregistered? E.g. at the American Economic Association: <https://www.aeaweb.org/journals/policies/rct-registry> | Yes:       No:       Registration number:      Location:       (please provide a link) |
| Have you received an ethical approval from another institution?  | Yes:       No:        |
| If yes, why do you need an additional approval from the Department of Economics at KU? (max 100 words)      |
| Data collection method: | Data collection: (please tick at least one box. If you tick “other”, please explain your data collection in details ) [ ] Interviews [ ] Questionnaire [ ]  Experiment [ ] Secondary data [ ] Observation [ ]  Other (please specify):       |

|  |  |  |
| --- | --- | --- |
| **Risk of harm. Please answer the following questions:**  | Yes | No |
| Do the funders have a role in study design, data collection and analysis, decision to publish, or preparation of the manuscript? | [ ]  | [ ]  |
| If yes, describe the role of the funder? (max 300 words)      |
| Does your sample include children (aged below 18), mentally incapacitated persons, patients, members of ethnic minorities, individuals who are in custody or care arrangement such as pupils or students at school or in a professional or client relationship with the researchers involved in this project? | [ ]  | [ ]  |
| If yes, describe their role in the study and why it is important to sample them (max 400 words)      |
| Does the proposed research involve processing of sensitive data (e.g., location, health, sexual lifestyle, ethnicity, and political conviction such as party choice or membership, religious or philosophical conviction)?  | [ ]  | [ ]  |
| If yes, please explain how this data is elicited, why it is needed for the purpose of the study and how it is treated (max 400 words)      |
| Does the study cause a general risk, harm or negative consequences on the participants, such as (but not exclusively) a potential for psychological, social, economic, or legal harm to the participant? | [ ]  | [ ]  |
| Does the proposed research involve imposing pain, more than mild discomfort, or induce psychological stress or anxiety on the participants? | [ ]  | [ ]  |
| Does the proposed research involve any drugs, placebos or other substances (e.g., food substances, vitamins) to be administered to the study participants or does the study involve any invasive, intrusive or potentially harmful procedures of any kind?  | [ ]  | [ ]  |
| Does the proposed research involve human biological samples, human genetic material (e.g., will tissue samples such as blood or saliva, be obtained from participants)?  | [ ]  | [ ]  |
| Does the proposed research involve deception?[[1]](#footnote-1) | [ ]  | [ ]  |
| Does the research rely on an internet platform where respondents’ data may be monitored by a third party (such as Amazon Turk, eBay, …) or is any information from the study likely to be passed on to external companies or organizations in the course of the research?  | [ ]  | [ ]  |
| If yes, please explain in more detail (max 400 words)      |  |
| Do you compensate participants for the participation in your study (e.g., monetary, voucher or a gift)? | [ ]  | [ ]  |
| If yes, please explain how you compensate them (max 200 words)      |

|  |
| --- |
| **Informed Consent:**  |
| Will it be necessary for participants to take part in the study without their knowledge and informed consent at the time? Yes:       No:       If yes, please answer the questions below: |
| **If needed, what type of consent will be obtained from study participants?** [ ]  Oral consent[ ]  Written consent [ ]  Anonymous questionnaire (cover letter required, no consent form needed) **[ ]**  Other (please specify):       |
| **If you do not use written consent, explain why:**  |
| Informed consent form | **Please attach your informed consent form, if it is necessary for your study:****[ ]  Informed consent form is attached****[ ]  An informed consent form is not needed**  |
| If a consent form is needed: Does your consent form state if participants can opt-out or withdraw? | **[ ] Yes, it is stated that participants can opt-out or withdraw in the consent form****[ ] An informed consent form is not needed**  |

|  |
| --- |
| **Handling of data:** |
| **[ ]** Yes, I registered my project at the faculty level and am following the rules of GDPR.**Which type of personal data will be collected?** **[ ]  Sensitive data** e.g. ethnical background, political, religious or philosophical orientation, union membership, fingerprints, sexual orientation etc. [ ]  **Normal personal information** e.g. names, addresses, job position, education, economic situation etc.[ ]  **Payment information** e.g. CPR-numbers and names[ ]  **Other** (please specify):       |
| **How will you store the data? Specifically, what precautions will be taken to safeguard identifiable records of individuals and to protect their private information?** This is of particular relevance if CPR numbers, sensitive information or other personal information are collected.**Please describe (200 words):** |
| **Are external data processors involved?** **[ ]  No, only persons who are KU staff are to process personal data****[ ]  Yes, personal data will be processed by persons who are not KU staff, and/or other external parties (including IT systems such as Qualtrics, SurveyXact, etc.)**If external persons/parties are to process personal data, a data processing agreement must be signed before the processing begins. |
| **Name, position and contact information for the data controller in the research project**  |  |

**The Next Steps**

Thank you for completing the Research Ethics Checklist.

Please send your completed checklist, any supplementary material and existing ethics approvals from other institutions to ethics@econ.ku.dk .

A member of the ethics committee will review your answers and you will be contacted afterwards by either obtaining an approval or by being send additional questions.

The answers to your checklist and any further correspondence will be treated confidentially.

In case of questions please write to ethics@econ.ku.dk.

1. Deception means lying, misleading or wrongly informing participants about the true nature of a situation. In other words, there is no deception if anything you tell subjects in an experiment is true. Note that withholding information does not necessarily constitute deception, but this is a grey area. [↑](#footnote-ref-1)