Research Ethics Checklist

We thank you for your interest in conducting research at Cognition and Behavior Lab. Before conducting research at Cognition and Behavior Lab, the principal investigator is required to fill out the checklist below. The checklist is **not** an application for formal ethics approval for your study.

We have developed the checklist to support researchers to carefully and critically think about ethical and data protection issues pertaining to their research. Two or more members of the Lab's Human Subjects Committee will review the Checklist.

After undergoing review, you will be contacted by Lab management with the comments from the Human Subjects Committee. Issues will be discussed between the three parties—namely the research team, the Human Subjects Committee and Lab management.

If the issues cannot be resolved, the research project under review may not take place at Cognition and Behavior Lab. Please note that Lab management and the Scientific Advisory Board make the final decision about whether a study can be conducted at the Lab.

Complete the below form and use the submit button in the end of the document or mail it in pdf format to cobelab@au.dk. If possible, please use Adobe Acrobat Reader to fill in the form.

Amendments to an earlier accepted research ethics checklist	
You do not need a full review from the human subject committee if your project has an earlier accepted research ethics checklist This box is reserved for when you have minor changes in already approved studies or replication of earlier completed projects. Please fill this box in the same document as your earlier approved unedited research ethics checklist or attach the earlier approved research ethics checklist in a separate file.	
Changes from original research design	Please describe the changes as they differ from your previous proposal:

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Date:

About the Project			
Project title:			
Project start-date:		Anticipated end-date:	
Principal Investigator(s):		Email address(es):	
Supervisor (if PI is a student):		Email address(es):	
Type of student project (if PI is a student):	☐PhD project ☐Master project ☐ Bachelor project ☐Other		
Funding body:			
Data collection method:	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): _____		

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Research design (including data collection procedure):

Please describe your research design/data collection procedure in 300-800 words (understandable for researchers outside your discipline)

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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?	☐	☐
Does your sample include children (aged below 18), mentally incapacitated persons, patients, your own students, 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 researcher?	☐	☐
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 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?	☐	☐
Will it be necessary for participants to take part in the study without their knowledge and informed consent at the time?	☐	☐
Does the proposed research involve tracking the location or observation of people?	☐	☐
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 processing of sensitive data (e.g., health, sexual lifestyle, ethnicity, political conviction such as party choice or membership, religious or philosophical conviction)?	☐	☐
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 deception?[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? Has such exposure been clearly stated in the consent form?	☐	☐

[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.

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Do the participants take part in your study without a reward (e.g., monetary, voucher or a gift) that compensates them for the time they spend in your study?	☐	☐

If you answered yes to one or more of the questions on the previous page, then please describe in detail for each question that you answered with yes the nature and extent of the risk and provide the rationale for the necessity of such risks. Does the value of information to be gained outweigh the risks? Which extra precautions have been taken in the light of these risks?

Informed Consent	
What type of consent will be obtained from study participants? ☐ Oral consent ☐ Written consent (using the appropriate template from COBE Lab) ☐ Anonymous questionnaire (cover letter required, no consent form needed) ☐ Other (please specify): When obtaining written consent from the study participants please use the latest version of COBE Lab's template for written consent. You find it here: https://bss.au.dk/en/cognition-and-behavior-lab/for-researchers/procedure-guide-for-researchers/	
If you do not use written consent/COBE Lab's consent form template, explain why:	
Informed consent form	Please attach your informed consent form: Click here to attach consent form ☐ Informed consent form is attached If you experience any issues with attaching files, feel free to attach the consent form separately when submitting the research ethics checklist

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Handling of data

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

☐ None of the above

If you are not sure, what type of data you are collecting, please describe the data in more detail:

Research projects that treats personal data must be registered internally at AU before the project starts. The designated data responsible for the project must fill out this form. If the *only* personal data collected for a project are CPR-numbers and names exclusively for the purpose of payment, then internal notification is not needed. Read more on AU's website on data protection in research, or contact legal@au.dk for help.

☐ Appropriate notification form has been filled out and submitted

☐ Data collection is completely anonymous and notification form is not required

☐ This is a student project (master/bachelor) and notification form is not required

Note: If you are a bachelor or master student, your project should *not* be registered at AU. As a student you are an independent data controller. This places an obligation on you to familiarise yourself with data protection regulation. Read AU's guide to processing personal data in student projects and contact Anja Sandholdt Hald, legal advisor at AU, if you have any questions.

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How will you store data? Specifically, what precautions that 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. Before filling out this section, please inform yourself about data protection at https://bss.au.dk/en/cognition-and-behavior-lab/for-researchers/procedure-guide-for-researchers/data-protection-registration/ Please describe:
Are external data processors involved? ☐ No, only persons who are AU staff are to process personal data ☐ Yes, personal data will be processed by persons who are not AU staff, and/or other external parties (including IT systems such as Qualtrics, SurveyXact, etc.) If yes, which third parties: If external persons/parties are to process personal data, a data processing agreement must be signed before the processing begins. If you need help to prepare a data processing agreement, please contact AU's Technology and Transfer Office at tto@au.dk. Note that for some IT systems, a data processing agreement between the system and AU already exists.

Name, position and contact information for the designated data responsible in the research project	

Thank you for completing the Research Ethics Checklist. Please use the submit button below or send your completed Checklist in PDF format to cobelab@au.dk. The Lab will then send the relevant information to the Lab's Human Subjects Committee. The Lab's Human Subjects Committee will review your Checklist and Lab Management will contact you with the Committee's advice within five–seven working days.

Click here to submit research ethics checklist

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