

**Arts and Humanities Ethics Committee**

 **NON-ANONYMOUS INTERVIEWS ETHICS CHECKLIST**

In most cases, it is expected that research participants will be offered anonymity. There are, however, some cases where offering anonymity may not be appropriate. These kinds of case include, but are not limited to, interviews with authors, artists, directors, and other public figures.

This checklist is **ONLY**to be used for research work by staff and students involving interviews that meet the following conditions:

* They are with members of non-vulnerable groups
* Participants do not require anonymity
* The research is low risk.

Applicants will need to justify why participants do not require anonymity. They also need to confirm that the research is low risk and that relevant data protection measures are in place. Where these criteria are not met, a standard or full ethics application will need to be submitted.

Please note that this approval **ONLY** covers non-anonymous interviews – if you are undertaking other activities as part of your research that fall under the University’s [Code of Practice and Principles for Good Ethical Governance](https://www.york.ac.uk/staff/research/governance/research-policies/ethics-code/), then they will require separate ethics approval. Please also note that it is the researcher’s responsibility to ensure that the interview remains a low risk activity as it develops. It is, for example, the researcher’s responsibility to ensure that the interview does not involve discussion of sensitive subjects or illegal activities, for which ethical approval has not been granted.

All student applications must be first discussed with their supervisor prior to their submission, and submitted by their supervisor to show that their supervisor approves the application.

Please note that all completed checklists must be emailed to the Arts and Humanities Ethics Committee (hrc-ethics@york.ac.uk) and you **MUST NOT** contact participants or collect data until Ethics approval has been granted for this project.

For more information, please consult the AHEC web pages available at <https://www.york.ac.uk/hrc/ahec/>

**SECTION 1: APPLICANT AND PROJECT DETAILS**

**ALL** applicants must complete box 1A.

| **Box 1A: Applicant Details** |
| --- |

|  |  |
| --- | --- |
| Applicant Name |  |
| Email address |  |
| Staff or Student  |  |

**STUDENT** applicants must complete box 1B.

| **Box 1B: Programme Details** |
| --- |

|  |  |
| --- | --- |
| Programme of Study |  |
| Module Title and Convenor(if applicable) |  |
| Project Supervisor  |  |
| Project Title |  |

**STAFF** applicants must complete box 1C.

| **Box 1C: Research Details** |
| --- |

|  |  |
| --- | --- |
| Research Project Title |  |
| Project Start Date |  |
| Project Duration  |  |
| Collaborator details(if applicable, names, email addresses and institutions) |  |
| Funding source(if applicable) |  |

**SECTION 2: APPROVAL**

**ALL** applicants must complete boxes 2A, 2B and 2C.

| **Box 2A: Interview Description** |
| --- |
| Please provide a description of your intended non-anonymous interviews (max 500 words), including:* what the overall aims of your project are,
* who you intend to interview,
* how you have identified them as potential participants,
* what you intend to interview the participants about (note that this should be more specific than the overall aims of your project) and
* an explanation of why it is suitable to treat these participants’ data non-anonymously,
* and whether you intend to anonymise the collected data at point of publication.
 |
|  |

Please mark your answer to each question in Box 3B: Ethical Issues with an “X” or a tick in the appropriate column.

| **Box 2B: Ethical Issues** | YES | NO |
| --- | --- | --- |
| 1 | Will any of the interviewees be recruited in their capacity as: * Patients or users of the NHS,
* Relatives or carers of patients or users of the NHS,
* NHS staff?
 |  |  |
| 2 | Will the interview involve the use of, or potential access to, NHS premises or facilities? |  |  |
| 3 | Will the project involve interviewing any of the following: * Vulnerable participants who are unable to make their own decisions or give informed consent (e.g. people with learning disabilities; people with mental impairment due to health or lifestyle; people who are terminally ill or recently bereaved)?
* Any persons under the age of 18?
 |  |  |
| 4 | Will the interview involve discussion of topics that are potentially sensitive to the interviewee (e.g. sexual activity, mental health issues)? |  |  |
| 5 | Will the interview involve discussion of illegal activities (e.g. drug use)?  |  |  |
| 6 | Will the interview involve covert recording or deliberately misleading the interviewees in any way?  |  |  |
| 8 | Will financial inducements **OTHER THAN** reasonable expenses and compensation for the inconvenience (e.g. chocolate, Amazon vouchers) be offered to the interviewees?  |  |  |
| 9 | Could the interview potentially involve hurting the interviewees or causing them distress? |  |  |
| 10 | Could the interview potentially involve harm or distress to the interviewer (e.g. think about where and when the interview is taking place, adverse publicity)?  |  |  |
| 11 | Is it reasonably foreseeable that the project could result in any anticipated university/institutional risk (e.g. adverse publicity, financial loss)?  |  |  |
| 12 | Is it reasonably foreseeable that the interview could result in any disclosure of confidential or sensitive information (e.g. financial data; personal data; sensitive organisational information)?  |  |  |
| 13 | Will you be conducting any interviews or collecting any data from **OUTSIDE** the UK?  |  |  |
| 14 | If you are conducting interviews or collecting any data outside from outside of the UK, please specify **WHERE**:Please read the University’s guidance on conducting research outside of the UK, and **CONFIRM** that you will comply with the requirements: <https://www.york.ac.uk/staff/research/governance/research-policies/guidanceoutsideuk/>Please also confirm that you will complete the University’s travel log at least 48 before the start of your trip and discuss your trip with Health and Safety at least 14 days in advance if it is high risk. For further information, see: https://www.york.ac.uk/admin/hsas/safetynet/Insurance/travel\_log.htmIf you have any questions, please contact the Chair of AHEC via hrc-ethics@york.ac.uk |  |  |

Please mark your answer to each question in Box 2C: Data Protection Issues with an “X” or a tick in the appropriate column. Note that in these questions, electronic data includes, but is not limited to, audio or video recordings and/or written notes.

| **Box 2C: Data Protection Issues** | YES | NO |
| --- | --- | --- |
| 1 | Will you guarantee that **IF** you use a portable device (e.g. laptop, mobile phone, dictaphone, USB stick) to collect electronic data that device will **EITHER** be password or passcode protected **OR** encrypted? |  |  |
| 2 | Will you guarantee that **IF** you use a portable device to collect electronic data you will transfer that data to your University Google Drive account or University Filestore as soon as possible after the interview **AND** delete it from your personal device?  |  |  |
| 3 | Will you guarantee that the research data will **ONLY** be accessible to the project team **AND** that **IF** the project team extends beyond the University of York that you have consulted the University’s IP and Legal team to ensure appropriate data protection safeguards are in place?  |  |  |
| 4 | Will you guarantee that you are collecting the **MINIMUM** amount of data necessary for the intended research?  |  |  |
| 5 | Will you guarantee that you will **ONLY** collect and access the data from these interviews from within the European Economic Area (EEA)?  |  |  |
| 6 | Will you guarantee to destroy all physical **AND** electronic data **EITHER** after your module marks have been ratified by the Board of Examiners **OR** 10 years after last requested access? |  |  |
| 7 | **IF** storing electronic data for 10 years after last requested access, will you guarantee to **EITHER**use a University Google Drive account **OR** an approved data repository service to store the data?  |  |  |
| 8 | Have you screened your project against the [Data Protection Impact Assessment (DPIA) screening questions](https://www.york.ac.uk/records-management/dp/dataprivacyimpactassessments/) **AND** if required conducted a DPIA and submitted a copy to the Data Protection Officer for review?  |  |  |

**If you have answered “yes” to ANY of the questions in Box 2B: Ethical Issues OR you have answered “no” to ANY of the questions in Box 2C: Data Protection Issues:**

You may need to describe more fully how you plan to deal with the particular ethical or data protection issue by submitting either the Standard or Full Ethics form to the Arts and Humanities Ethics committee for review or by following the NHS ethics approval process. Please consult the [AHEC Ethics web pages](https://www.york.ac.uk/hrc/ahec/) for the Standard and Full forms and for guidance.

The main exception to this will be if you are collecting data from outside of the UK, but have confirmed that you will comply with the University’s policy on conducting research outside of the UK.

Please mark your answer to each question in Box 2D: Templates with an “X” or a tick in the appropriate column to confirm you will use these templates.

|  |  |  |
| --- | --- | --- |
| **Box 2D: Templates** | YES | NO |
| 1 | Do you agree to use the template project information sheet for your non-anonymous interview?  |  |  |
| 2 | Do you agree to use the template informed consent form for your non-anonymous interview?  |  |  |

**If you have answered “yes” to BOTH of the questions in Box 2D: Templates p**lease move onto complete Section 3, page 7 **AND** update the template information sheet (pages 9 – 12) and template informed consent form (page 13).

**If you have answered “no” to EITHER of the questions in Box 2D: Templates** your non-anonymous interview project will need further Ethics approval to check the appropriateness of your project information sheet and informed consent forms.

Please consult the [AHEC Ethics web pages](https://www.york.ac.uk/hrc/ahec/) for the Standard and Full forms and for guidance.

**SECTION 3: UNDERTAKING**

Please mark your answer to each question in Box 3A: Applicant Agreement with an “X” or a tick in the appropriate column.

**If you are a student, please also have your supervisor complete Box 3B: Supervisor Agreement and provide their signature overleaf.**

Once completed, submit the checklist for review by the Arts and Humanities Ethics committee by emailing the checklist to hrc-ethics@york.ac.uk from the applicant’s University of York account. The Ethics Committee will accept a typed/digital signature from the applicant if the form is returned by email from the applicant’s University of York account, and similarly a typed/digital signature and responses to the supervisor questions if the supervisor is cc’d to that email.

Please note that you **MUST NOT** begin contacting participants or collecting data **UNITL** you have received a response from the Ethics committee.

| **Box 3A: Applicant Agreement** | YES | NO |
| --- | --- | --- |
| 1 | I hereby undertake to ensure that the non-anonymous interview conducted for the above project will meet all the statements as expressed in this checklist. |  |  |
| 2 | I hereby undertake that all academic work related to the interview will be guided by the University’s ethical rules and regulations. |  |  |
| 3 | I understand that I must not progress with this project until I have received confirmation from the Arts and Humanities Ethics committee that Ethics approval through this non-anonymous interview checklist is appropriate for this project. |  |  |
| 4 | I have updated the template information sheet **AND** consent form (pages 9 to 13). |  |  |
| 5 | I undertake to report any changes to the above as soon as is feasible to the Chair of AHEC. |  |  |

|  |  |
| --- | --- |
| Applicant Name |  |
| Signed |  |
| Date |  |

| **Box 3B: Supervisor Agreement** | YES | NO |
| --- | --- | --- |
| 1 | I have reviewed this checklist in discussion with the student. |  |  |
| 2 | I have reviewed the information sheet and consent form in discussion with the student. |  |  |
| 3 | I believe conducting non-anonymous interviews is appropriate for this work **AND** that no further Ethics approval is required for the proposed non-anonymous interviews. |  |  |
| 4 | **IF** you have selected “No” in response to statement 2:I confirm that the student will submit either the Standard or Full Ethics form for further ethical approval.  |  |  |

|  |  |
| --- | --- |
| Supervisor Name |  |
| Signed |  |
| Date |  |

**Participant Information Sheet Template for Non-Anonymous Interviews**

[Project Title]

**Department of** [insert details]

**University of York**

**Background**

The University of York [details of other collaborators if applicable] would like to invite you to take part in the following research project: [name]

Before agreeing to take part, please read this information sheet carefully and let us know if anything is unclear or you would like further information.

**What is the purpose of the study?**

[Provide details of:]

*What is the research about?*

*Why is the research being carried out?*

*Who is carrying it out – the researcher and the institution? If student, give details of the programme, module and who is supervising (including their name and job title)*

*Has the research been the subject of ethical review (provide details – including a contact for the Chair of the Committee)?*

*What will happen to participants – when, for how long, where, and with whom?*

*What are the possible benefits and risks of taking part?*

*Will participants be paid to take part, or will any expenses be covered?*

*Will participants have access to outputs, and if so how?*

**Why have I been invited to take part?**

You have been invited to take part because [provide details].

**Do I have to take part?**

No, participation is optional. If you do decide to take part, you will be given a copy of this information sheet for your records and will be asked to complete a participant consent form. If you change your mind at any point during the study, you will be able to withdraw your participation without having to provide a reason.

**On what basis will you process my data?**

Under the General Data Protection Regulation (GDPR), the University has to identify a legal basis for processing personal data and, where appropriate, an additional condition for processing special category data.

**IF NOT COLLECTING SPECIAL CATEGORY DATA**

Personal data is defined as data from which someone could be identified. For example, in this study I will be collecting [include example of personal data here]. Special category data is personal data which the GDPR says is more sensitive, and so needs more protection. In this study, I will not be collecting any special category data**.**

**IF COLLECTING SPECIAL CATEGORY DATA**

Personal data is defined as data from which someone could be identified. For example, in this study I will be collecting [include examples of personal data here]. Special category data is personal data which the GDPR says is more sensitive, and so needs more protection. In this study, the special category data I will be collecting includes [include examples of special category data here]**.**

In line with our charter which states that we advance learning and knowledge by teaching and research, the University processes personal data for research purposes under Article 6 (1) (e) of the GDPR:

*Processing is necessary for the performance of a task carried out in the public interest*

**INCLUDE IF COLLECTING SPECIAL CATEGORY DATA OTHERWISE DELETE**

Special category data is processed under Article 9 (2) (j):

*Processing is necessary for archiving purposes in the public interest, or scientific and historical research purposes or statistical purposes*

Research will only be undertaken where ethical approval has been obtained, where there is a clear public interest and where appropriate safeguards have been put in place to protect data.

In line with ethical expectations and in order to comply with common law duty of confidentiality, we will seek your consent to participate where appropriate. This consent will not, however, be our legal basis for processing your data under the GDPR.

**How will you use my data?**

Data will be processed for the purposes outlined in this notice.

**Will you share my data with 3rd parties?**

Yes. The following third parties will have access to your data for the following purposes [provide details].

Your data may be used in [delete as appropriate: my dissertation / research reports / publications].

Anonymised data may be reused by the research team or other third parties for secondary research purposes.

**How will you keep my data secure?**

The University will put in place appropriate technical and organisational measures to protect your personal data and/or special category data. For the purposes of this project we will [provide details].

Information will be treated confidentiality and shared on a need-to-know basis only. The University is committed to the principle of data protection by design and default and will collect the minimum amount of data necessary for the project.

**Will you transfer my data internationally?**

**EITHER**

No. Data will be held within the European Economic Area in full compliance with data protection legislation.

**OR**

Possibly. The University’s cloud storage solution is provided by Google which means that data can be located at any of Google’s globally spread data centres. The University has data protection complaint arrangements in place with this provider. For further information see,<https://www.york.ac.uk/it-services/google/policy/privacy/>.

**Will I be identified in any research outputs?**

Yes. Your participation in this interview is non-anonymous and therefore you will be identified in the following outputs [provide details].

**How long will you keep my data?**

Data will be retained in line with legal requirements or where there is a business need. Retention timeframes will be determined in line with the University’s Records Retention Schedule.

**What rights do I have in relation to my data?**

Under the GDPR, you have a general right of access to your data, a right to rectification, erasure, restriction, objection or portability. You also have a right to withdrawal. Please note, not all rights apply where data is processed purely for research purposes. For further information see, <https://www.york.ac.uk/records-management/generaldataprotectionregulation/individualsrights/>.

**Questions or concerns**

If you have any questions about this participant information sheet or concerns about how your data is being processed, please contact the Arts and Humanities Ethics Chair (hrc-ethics@york.ac.uk) in the first instance. If you are still dissatisfied, please contact the University’s Acting Data Protection Officer at dataprotection@york.ac.uk.

If you have any questions about the project itself, please contact the lead researcher [include name and email address] or the project supervisor[include name and email address].

**Right to complain**

If you are unhappy with the way in which the University has handled your personal data, you have a right to complain to the Information Commissioner’s Office. For information on reporting a concern to the Information Commissioner’s Office, see [www.ico.org.uk/concerns](http://www.ico.org.uk/concerns).

**Participant Consent Form Template for Non-Anonymous Interviews**

**[Project Title]**

**[Department]**

**University of York**

Thank you for your interest in this project. This project aims to [include brief description of project aim and purpose].

**Please read the following statements carefully and tick the appropriate box:**

|  |  |  |
| --- | --- | --- |
|  | **YES** | **NO** |
| I have read the information sheet provided |  |  |
| I agree to take part in this project |  |  |
| I consent to being interviewed for this project |  |  |
| [delete as appropriate] I consent to the interview being video recorded |  |  |
| [delete as appropriate]I consent to the interview being audio recorded |  |  |
| I understand my right to withdraw and/or destroy my data from this project at any time |  |  |
| I consent to be identified by name in the outputs from this project |  |  |
| I am over the age of 18 |  |  |

**Participant Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Participant Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_/\_\_\_/\_\_\_\_\_\_**

**Researcher Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Researcher Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_/\_\_\_/\_\_\_\_\_\_**