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### **Arts and Humanities Ethics Committee**

### **FULL SUBMISSION FORM**

Completed forms should be sent **electronically** by the Supervisor (if the applicant is a student) or Head of Department or Departmental Research Chair (if the applicant is a member of staff) to the AHEC Administrator at [hrc-ethics@york.ac.uk](mailto:hrc-ethics@york.ac.uk), together with the relevant project information and informed consent forms.

The committee will respond to submissions within a maximum of four weeks, but will endeavour to respond sooner than this.

If you have any questions, you can contact your Departmental Ethics Officer (https://www.york.ac.uk/hrc/ahec/structure/), the AHEC Administrator, or the AHEC Chair (hrc-ethics@york.ac.uk).

#### Please refer to the Guidance Notes at the end before filling in this form

***Section A: Applicant details***

### 1a. Please provide the following details about the applicant

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| Name of Applicant: |  |
| email address: |  |
| Telephone: |  |
| Staff/Student Status (Masters or PhD): |  |
| Dept/Centre or Unit: |  |

### 1b. Any other applicants (for collaborative research projects) at York or elsewhere

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| Name of Applicant: |  |
| email address: |  |
| Telephone: |  |
| Staff/Student Status: |  |
| **University**Dept/Centre or Unit: |  |
| Head of Department: |  |
| HoD email address: |  |
| Head of Research:(if applicable) |  |
| HoR email address:(if applicable) |  |

**2. If you are a student please provide the following supervisory details for your project:**

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| 1st Supervisor |  |
| email address: |  |
| 2nd Supervisor |  |
| email address: |  |

***Section B: Outline of the research and ethical issues***

**3. Please provide the following details about your project:**

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| Title of Project: |  |
| Date of Submission to AHEC: |  |
| Project Start Date: |  |
| Duration: |  |
| Funded Yes/No: |  |
| Funding Source: |  |
| External Ethics Board Jurisdictions: |  |

**4. Conflicts of interest**

**Are any ethical concerns / conflicts of interest likely to arise as a consequence of funding source (with respect to your own work or that of other individuals/departments within in the University e.g. perceived or actual with respect to direct payments, research funding, indirect sponsorship, board or organisational memberships, past associations, future potential benefits, other…)**

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5. If the Principal Investigator or any other key investigators or collaborators have any direct personal involvement in the organisation sponsoring or funding the research that may give rise to a possible conflict of interest, please supply details.

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**6. Summary of research proposal**

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| Aims and objectives of the research Please outline the questions or hypotheses that will be examined in the research. |
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| Methods of data collection Outline how the data will be collected from or about human subjects (e.g. face to face interviews, online surveys, telephone surveys). |
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| **Research Outside of the UK**  Will you be conducting research outside of the UK? If so, specify where. Have you checked whether local ethical approval is required? Are there any different civil, legal, financial or cultural conditions that you need to be aware of? See the University’s guidance on conducting research outside the UK for further details: <https://www.york.ac.uk/staff/research/governance/research-policies/guidanceoutsideuk/>  If you are travelling outside of the UK, please 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.htm |
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***Section C: The research participants***

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| Recruitment of participants How many participants will take part in the research? How will they be identified and invited to take part in the study? How will informed consent be obtained? |
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**If research participants are to receive any payments, reimbursement of expenses, or any other incentives or benefits for taking part in your research, please give details, indicating what and how much they will receive and the basis on which this was decided.**

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**Please indicate whether any research participants will be from the following groups; if so, please explain the justification for their inclusion.**

***NB****: If you are collecting data from NHS patients or staff, or Social Service users or staff, you will need to apply for approval through the Integrated Research Application System (IRAS) https://www.myresearchproject.org.uk/*

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| NHS patients |  |
| NHS staff |  |
| Social Service users |  |
| Social Service staff |  |
| Children under 18 |  |
| Those with learning disability |  |
| Those suffering from dementia |  |
| Prisoners |  |
| Young offenders |  |
| Adults who are unable to consent for themselves |  |
| Those who could be considered to have a particularly dependent relationship with the investigator, e.g. those in care homes, medical or other students |  |
| Other vulnerable groups (please specify) |  |

**During your study, will anyone discuss sensitive, embarrassing or upsetting topics, or issues likely to disclose information requiring further action? If so, please give details of the procedures in place to deal with these issues.**

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**If the research involves deception of any kind, please explain and justify the deception.**

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**Please list and justify potential adverse effects, risks or hazards for participants.**

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**Please explain and justify any discomfort, distress, pain or inconvenience that the study might cause participants, including details of any procedures in place to deal with these issues.**

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**Please describe the potential benefits to participants.**

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***Section D: Obtaining consent***

**Please explain how voluntary informed consent to participate will be elicited from participants. If different groups are involved in the study (e.g. parents, children, staff), please describe the sequence of consent.**

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**If you do not envisage obtaining a signed record of consent from participants, please justify.**

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**If you do not envisage providing participants with a written information sheet about your study, please justify.**

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**Please explain what arrangements have been made to explain the research to participants who do not understand English well.**

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**Do you intend to offer anonymity to all participants? If not, please justify.**

**If anonymity is being offered, please explain how you will ensure that it is achieved.**

***Section E: Data protection***

**All personal and sensitive data must be collected and stored in accordance with the General Data Protection Regulation (GDPR) 2018 and the University’s research data management (RDM) policy. Before completing this section, please ensure that you have read the relevant information here:**

[**https://www.york.ac.uk/library/info-for/researchers/data/storing/**](https://www.york.ac.uk/library/info-for/researchers/data/storing/)

[**https://www.york.ac.uk/records-management/generaldataprotectionregulation/**](https://www.york.ac.uk/records-management/generaldataprotectionregulation/)

**You can find answers to some common questions here:**

[**https://www.york.ac.uk/records-management/dp/guidance/gdprcompliantresearch/researcherfaq/**](https://www.york.ac.uk/records-management/dp/guidance/gdprcompliantresearch/researcherfaq/)

**Does your project involve personal data as defined by the GDPR: Yes/No.**

Under the GDPR, personal data is **‘any information relating to an identified or identifiable natural person ('data subject');** an identifiable natural person is one who can be identified directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.’ (https://www.york.ac.uk/records-management/dp/glossary/)

**If yes, please provide a description of the data, and explain why you need to gather personally identifiable data rather than anonymised data:**

**Does it involve special category personal data as defined by the GDPR: Yes/No.**

Under the GDPR, special category personal data is ‘personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership or the processing of genetic data, biometric data for the purposes of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation.’ (https://www.york.ac.uk/records-management/dp/glossary/)

**If yes please provide a description of the data:**

**If your research involves ‘processing likely to result in a high risk to individuals’ interests’ then you will need to complete a Data and Privacy Impact Assessment (DPIA) and send it to the University’s Data Protection Officer (DPO) (**[**dataprotection@york.ac.uk**](mailto:dataprotection@york.ac.uk)**) for approval.**

**You will need to complete a DPIA if you plan to do any of the following:**

* Use systematic and extensive profiling or automated decision-making to make significant decisions about people.
* Process special category data or criminal offence data on a large scale.
* Systematically monitor a publicly accessible place on a large scale.
* Use new technologies.
* Use profiling, automated decision-making or special category data to help make decisions on someone’s access to a service, opportunity or benefit.
* Carry out profiling on a large scale.
* Process biometric or genetic data.
* Combine, compare or match data from multiple sources.
* Process personal data without providing a privacy notice directly to the individual.
* Process personal data in a way which involves tracking individuals’ online or offline location or behaviour.
* Process children’s personal data for profiling or automated decision-making or for marketing purposes, or offer online services directly to them.
* Process personal data which could result in a risk of physical harm in the event of a security breach.

**You may need to carry out a DPIA if you plan to do any of the following:**

* Evaluation or scoring.
* Automated decision-making with significant effects.
* Systematic processing of sensitive data or data of a highly personal nature.
* Processing on a large scale.
* Processing of data concerning vulnerable data subjects.
* Innovative technological or organisational solutions.
* Processing involving preventing data subjects from exercising a right or using a service or contract.

**For more details see: https://www.york.ac.uk/records-management/dp/dataprivacyimpactassessments/**

**If the research will involve any of the following activities please indicate so and provide further details. If you are working collaboratively with 3rd parties or sharing data with non-University personnel, please ensure that you have consulted the Information Governance Office and/or IP and Legal to ensure appropriate contracts and/or data sharing arrangements are in place.**

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| --- | --- |
| Transfer of data by electronic storage device |  |
| Electronic transfer of data by CD, tape, or equivalent |  |
| Transfer of data by ftp or via web sites |  |
| Sharing of data with other organisations |  |
| Export of data outside the European Union |  |
| Use of personal addresses, postcodes, faxes, emails or telephone numbers |  |
| Publication of direct quotations from respondents |  |
| Publication of data that might allow identification of individuals |  |
| Use of audio/visual recording devices |  |

**If the research will involve storing personal data, including sensitive data, on any one of the following please indicate and provide further details of what technical and organisational measures have you put in place to safeguard data (e.g. storage arrangements, folder and file encryption, safe handling practices etc.)**

|  |  |  |
| --- | --- | --- |
| University filestore or Google drive (recommended) |  | |
| Manual files |  | |
| University computers |  | Password protected Y/N  Encrypted Y/N |
| Private company computers |  | Password protected Y/N  Encrypted Y/N |
| Home or other personal computers |  | Password protected Y/N  Encrypted Y/N |
| Laptop computers/ CDs/ Portable disk-drives/ memory sticks |  | Password protected Y/N  Encrypted Y/N |
| Websites |  | Password protected Y/N  Encrypted Y/N |

**Please explain the measures in place to ensure data confidentiality, including details of encryption or other methods of anonymisation.**

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**Please explain the measures in place to ensure that you are capturing the minimum amount of personal data/special category data necessary for your research project.**

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**Please explain how you plan to anonymise data or pseudonymise data during the project to minimise data protection risk? If you are not able to do this, please explain why not.**

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**Please detail all who will have access to the data generated by the study.**

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**Please detail who will have control of, and act as custodian(s) for, data generated by the study.**

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**Please give details of data storage arrangements, including where data will be stored, how long for, and in what form.** If the data is not going to be destroyed within a set time-scale please include a justification for this. At the moment, the University's [Research Data Management](https://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/research-data-management-policy/) (RDM) policy is applied to research undertaken by postgraduate research students and research staff only. This suggests retaining important data for a period of 10 years. We recommend that taught postgraduates retain until their degree is awarded.

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***Section F: Data analysis and reporting***

**Please explain where, and by whom, data will be analysed.**

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**Please indicate whether your results will be reported and disseminated in any of the following ways, giving any relevant details.**

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| --- | --- |
| Peer reviewed journals |  |
| Internal report |  |
| Conference presentation |  |
| Other publication |  |
| Submission for academic assessment |  |
| Access to raw data and right to publish freely by all investigators in study |  |
| Other |  |

**Please explain how results will be made available to participants and the communities from which they are drawn.**

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***Section G: Risk analysis***

**Please list any potential risks to the researcher(s) employed on the project, including details of procedures to deal with any such risks (e.g. personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest…)**

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**Please list potential University / institutional risks (e.g. adverse publicity, financial loss, data protection) and what will be put in place to address these**

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**Any other information you wish to communicate to AHEC with respect to the application / research:**

***Section H: Ethics checklist***

**Please confirm that all of the steps indicated below have been taken, or will be taken, with regards to the above named project submitted for ethical approval. If there are any items that you cannot confirm, or are not relevant to your project, please use the space provided below to explain.**

Please tick if true, otherwise leave blank:

Informed consent will be sought from all research participants where appropriate

All data will be treated anonymously and stored in a secure place

All relevant issues relating to General Data Protection legislation have been considered (see https://www.york.ac.uk/records-management/dp/) and, if necessary, the Data Protection office contacted (Dr Charles Fonge, Borthwick Institute, [charles.fonge@york.ac.uk](mailto:charles.fonge@york.ac.uk))

All quotes and other material obtained from participants will be anonymised in all reports/publications arising from the study where appropriate

All reasonable steps have been taken to minimise risk of physical/ psychological harm to project participants.

All reasonable steps have been taken to minimise risk of physical/mental harm to researchers

Participants have been made aware of and consent to all potential futures uses of the research and data

Any relevant issues relating to intellectual property have been considered (see <https://www.york.ac.uk/staff/research/external-funding/ip/policy/>), and, if relevant, the University’s Contracts and Sponsorship Manager has been made aware of the research.

There are no known conflicts of interest with respect to finance/funding

The research is approved by the Supervisor, Head of Department or Head of Research

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|  | Information and Informed Consent form for participants are attached |

If any of the above items have not yet been confirmed, please explain why in the space below.

***Section I: Statements***

**Statement by applicant**

In submitting this application I hereby confirm that there are **no actual or perceived conflicts of interest** with respect to this application (and associated research) other than those already declared.

Furthermore, I hereby undertake to ensure that the above named research project will meet the commitments in the checklist above. In conducting the project, the research team will be guided by the AHRC’s ethical guidelines for research.

……………………………………….. (Name Applicant/Principal Investigator)

……………………………………….. (Date)

**Statement by supervisor (if the applicant is a student)**

I have read all component elements of this application in detail and discussed them with the applicant, suggesting revision or improvements where appropriate. I am satisfied that all documents to be shared with external partners or participants are of a suitably high standard to represent the thoughtfulness and professionalism of the applicant, the department and the university community well in their relations with external bodies.

……………………………………….. (Name of supervisor)

……………………………………….. (Date)

**Statement by Head of Department, Departmental Research Chair (if the applicant is a member of staff):**

I have read through the application and the documentation that will be shared with external bodies, where this exists, and am satisfied that documents to be shared with external partners or participants are of a suitably high standard to represent the thoughtfulness and professionalism of the project, the department and the university community well in their relations with external bodies.

……………………………………….. (Name)

..................................................................(Role)

……………………………………….. (Date)

The supervisor, Head of Department or Departmental Research Chair should send the completed form and accompanying documentation to the AHEC administrator at hrc-ethics@york.ac.uk.

**General points**

Yes

Are you collecting data from the NHS (patients, staff, Trusts, etc.)?

Yes

Are you a student registered in the Department of Health Sciences?

Does your study involve human participants?

You must apply for relevant approval through COREC. If you wish, you can send the HSRGC your application form for feedback before sending it to COREC. When you receive approval, you must fill in the HSRGC Advice of External Approval form (available on the HSRGC web pages).

* Please remember that this form will be read and assessed by non-experts in your field of research. You should use non-technical language which will explain clearly what you intend to do. You should do this as concisely as possible This is also true of any information sheets and consent forms which you prepare
* Copies of all additional relevant material, such as research questionnaires, information sheets and consent forms, should be attached to the Submission Form as appendices
* If substantial changes are made to the research after ethical approval has been granted, the investigator should inform AHEC.

Participation in a research study must be entirely voluntary, and no one ought to be asked to participate in a research project against their will. Researchers should avoid exerting undue influence when recruiting research participants.

Full justification of the inclusion of participants from any vulnerable groups should be provided. Please note the following specific advice:

### Research involving children

* Consent should normally be obtained from the parents or guardians. Consent must represent the child’s presumed wishes and may be revoked at any time without detriment to the child.
* Nevertheless, where appropriate a young person under the formal age of consent may still be deemed capable of giving consent without additional parental consent (‘Gillick competence’). The committee will advise you whether your proposal to do this is ethically acceptable.
* The child should receive information tailored to their capacity to understand, setting out the risks and benefits of participating in the research, from staff experienced in dealing with children.
* The investigator should carefully consider the explicit wishes of a child who is capable of forming an opinion and assessing the information, to refuse to participate or withdraw from the research. Ethically, this may override parental wishes.
* No incentives or financial inducements should be offered to children; only reimbursement of expenses and recognition of their time may be offered, and this with the agreement of their parent or guardian.
* The research should be of such a nature that it could only be conducted with children.
* The research should be particularly designed to minimise fear and discomfort. The risk threshold and degree of discomfort should be specifically designed and constantly monitored.
* The interests of the child should prevail over that of science and society.

### Research involving adults with incapacity

* Generally, you can assume that adults have the capacity to consent unless you have reason to believe otherwise.
* A person unable to give consent should still receive information, according to their capacity to understand, setting out the risks and benefits of participating in the research.
* The investigator should carefully consider the explicit wishes of the person who is capable of forming an opinion and assessing the information, to refuse to participate or withdraw from the research.
* No incentives or financial inducements should be offered. Reimbursement of out-of-pocket expenses and recognition of their time is permitted.
* The research should be particularly designed to minimise pain, fear and discomfort. The risk threshold and degree of discomfort should be specifically designed for the group of potential participants and constantly monitored.
* The interests of the person should prevail over that of science and society.
* The potential benefits from participating in the research should at least balance any potential risks.

### Research participants who have a dependent relationship with the investigator

* It is particularly important when research participants have a dependent relationship with the investigator (e.g., that of student and course tutor) that every effort is made to ensure consent is obtained in an entirely voluntary way and there is no coercion involved. Describe how this would be managed in your justification for the inclusion of such participants.

Where the research involves discussing potentially sensitive, embarrassing or upsetting topics, AHEC will want to know how the researcher intends to handle the potential consequences of such a discussion. Where the research involves disclosure of anything requiring action, AHEC will want to know that this will be appropriately handled.

Deception should be avoided if at all possible. If the research involves deception, full details of how this will occur and a justification for why is necessary should be given. Details of how participants will be debriefed should also be provided.

The committee will be particularly concerned to see all potential hazards described. They should also be clearly explained in relevant information sheets in such a way that a research participant can understand any potential risks before consenting to take part in the research. The committee will expect systems in place to monitor and respond to developments as the research proceeds, particularly those which put the safety of individuals at risk, and to ensure the design and conduct of the research is modified to respond to these risks.

The committee will expect any potential for distress, discomfort or inconvenience that might be experienced by a research participant be kept to a minimum. Any such potential must be clearly stated, with an explanation of why it is necessary and what has been done to minimise the effects. All this should also be communicated in the relevant information sheet in such a way that potential research participants can clearly understand what is involved if they consent to take part.

You should state here any potential direct benefits to be gained by the research participant through taking part in the research.

***Obtaining consent***

This section requires you to demonstrate how informed consent will be obtained. The committee regards the issue of consent as extremely important. For consent to be valid in law the participant must be both competent and legally entitled to consent.

Consent must be based on adequate information and must be voluntary. If you do not obtain consent in writing you must justify the use of non-written consent. You must also ensure that non-written consent is formally documented and witnessed. The committee expects a copy of relevant information sheets to be given to the research participant to be kept for reference. The consent to take part in a study should always be recorded in a participant's service records (when appropriate) and in the research documents.

Further information on writing information sheets and consent forms (including examples) can be found on the AHEC web site: [http://www.york.ac.uk/about/organisation/governance/sub-committees/ethics/AHEC/best-practice/](http://www.york.ac.uk/about/organisation/governance/sub-committees/ethics/hssec/best-practice/) .

Information should clearly reflect the study protocol and the language used should be suitable for a layperson. All technical words must be explained. The tone of information sheets should be invitational and not coercive. Information sheets should name the organisation(s) under the auspices of which the research is being conducted and provide the name and contact details of the researchers. Students should also ensure that the name and contact details of their supervisor are given on the information sheet.

You should note that, with the exception of research involving participants who fall within the remit of the Adults with Incapacity (Scotland) Act 2000, it is currently not possible to design a research study that makes provision for legal representatives. Other than in Scotland, there is currently no provision for one adult to consent on behalf of another, but you should consult up-to-date guidance on this.

You must include copies of all information sheets and consent forms as appendices to the completed Submission Form.

The Committee would in most instances expect participants (both individual and organisations) to be offered anonymity. If this is not the case please explain why this is not happening. If anonymity is being offered, please explain how it will be achieved, e.g. by the use of pseudonyms.

You should note that you need to obtain informed consent from research participants to ensure that your research is conducted in an ethical manner, and in order to comply with the common law duty of confidentiality. Consent is not, however, the legal basis for processing personal and special category personal data under the General Data Protection Regulation (GDPR).

***Section E: Data protection***

This section requires you to demonstrate compliance with the General Data Protection Regulation (GDPR). Further details, which you should read before completing this section, can be found here:

<https://www.york.ac.uk/records-management/dp/> <https://www.york.ac.uk/library/info-for/researchers/data/storing/>

The safe acquisition, storage and transmission of personal data are major ethical considerations, and there are also legal requirements in the GDPR. It is the researcher’s responsibility to ensure compliance with the legal requirements of the GDPR. The researcher should give full details of any plans to share data with others (particularly if it is identifiable), and especially if it is to be exported outside the UK. All storage must comply with the data protection principles, as must plans for the retention and destruction of the data. If data are to be archived for the use of other researchers in the future (e.g. in the Qualidata archive), participants should be informed of, and give specific consent to, archiving. If participants are to be audio/video recorded or observed, the committee will expect that fully informed consent is obtained from the research participants; especially, the committee will expect consenting participants to have been informed about the uses to which the material might be put, how the material will be stored, and how and when it will be destroyed. It should be noted that videos should not be used for commercial purposes. If quotations from interviews are to be used in any reports or publications, then participants should be informed that this will happen. Specific consent should be obtained for tape-recording and use of quotations.

If you storing and processing personal or special category personal data, then there is specific information that you need to provide participants with. Please see the template participant information sheet for studies collecting personal and special category data.

If your project involves processing data that is ‘likely to result in a high risk to individuals’ interests’, you need to complete a Data and Privacy Impact Assessment (DPIA) and send it to the University’s Data Protection Officer (DPO) ([dataprotection@york.ac.uk](mailto:dataprotection@york.ac.uk)) for approval. For more details see: https://www.york.ac.uk/records-management/generaldataprotectionregulation/dataprivacyimpactassessments/

***Section F: Data analysis and reporting***

This section is intended to provide information about the methods of analysis being adopted and the dissemination of the research.

The committee expects that the results of research will be reported and/or published. Participants should be informed of dissemination arrangements. The committee will expect results of research to be disseminated in a way that can be easily accessed by research participants and the communities from which they are drawn.

***Section G: Risk analysis***

This section requires you to consider any risks (physical and reputational) to the researcher and University. It is the responsibility of the lead researcher (and associated team) to demonstrate that they have considered and accounted for the safety of all those involved in the conduct of the research. It is the responsibility of all those involved in the research to ensure that any perceived or actual conflicts of interest are listed as part of the application