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**Arts and Humanities Ethics Committee**

### STANDARD SUBMISSION FORM

**To be used for:**

* Small scale evaluation and audit work
* Low-risk research involving human participants
* **Not** research involving vulnerable groups e.g.
  + Children
  + Those with learning disabilities
  + People with mental impairment due to health or lifestyle
  + Those who are terminally ill
  + Recently bereaved
  + Those unable to consent to or understand the research
  + Where research concerns sensitive topics / illegal activities
  + Where deception is involved
  + Any research requiring a CRB or DBS check
* Following initial evaluation you may be required to submit a Full application to AHEC where ethical issues need more detailed consideration

Applicants are advised to read the AHEC guidance on designing participant information sheets and participant consent forms, and other specific guidance which can be found at:

<https://www.york.ac.uk/hrc/ahec/guidance>

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).

**SUBMISSION FORM**

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

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| --- | --- |
| Name of Applicant: |  |
| email address: |  |
| Telephone: |  |
| Staff/Student Status: |  |
| 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: |  |
| UniversityDept/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: |  |

**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. 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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| 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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| Participant information sheets and consent forms Please attach (1) the project information sheet to be given to all participants and (2) the informed consent form or a combined project information and informed consent form **(n.b. failure to submit these documents may delay the approval process.)** |
| 1. If either the project information or informed consent forms have not been attached, please explain why this is the case. |
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| 1. Are the results to be given as feedback or disseminated to your participants (if yes please specify when, in what form, and by what means) |
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| **Anonymity** In most instances the Committee expects that anonymity will be offered to research subjects. Please set out how you intend to ensure anonymity. If anonymity is not being offered please explain why this is the case. |
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| **Data collection** All personal and sensitive personal 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, see:  <https://www.york.ac.uk/records-management/dp/>  [https://www.york.ac.uk/library/info-for/researchers/data/storing/](https://www.york.ac.uk/library/info-for/researchers/data/storing/%20)  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. |
| 1. Please detail type(s) of data you will be collecting (e.g. interviews, questionnaires, recordings). |
|  |
| 1. How will you collect the data and where will it be stored electronically? Please describe what protection there will be in relation to electronic storage? |
| **Data collection**  Video recording  Audio Recording  Notes  Other  **Data storage**  University filestore or Google Drive (recommended)  Password protected laptop  Password protected PC  Other |
| 1. Where is the data to be stored in paper form? Please describe how this will be protected. |
| Locked filing cabinet  Other |
| 1. At what point are you proposing to destroy the data, in relation to the duration of this project? And how? |
|  |
| v. If your project involves collecting **personal data** **as** **defined by the GDPR**, please provide a description of the data, and explain why you need to gather personally identifiable data rather than anonymised data.  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/) |
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| vi. If your project involves collecting **special categories of personal data as defined by the GDPR**, please provide a description of the data.  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/) |
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| vii. 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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| viii. 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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| ix. If you are sharing personal or special category personal data with others outside your department, what steps are you taking to ensure that it is protected? If you are working collaboratively with third 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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| x. If the data is to be exported outside the European Union, what steps are you taking to ensure that it is protected? **(Note: you must identify how you will comply with General Data Protection Regulation requirements.)** |
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| Perceived risks or ethical problems Please outline any anticipated risks or ethical problems that may adversely affect any of the participants, the researchers and or the university, and the steps that will be taken to address them. **(Note: all research involving human participants can have adverse effects.)** |
| 1. Risks to participants (e.g. emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information…) |
|  |
| 1. Risks to researchers (e.g. personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest…) |
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| 1. University/institutional risks (e.g. adverse publicity, financial loss, data protection…) |
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| 1. Financial conflicts of interest (e.g. perceived or actual with respect to direct payments, research funding, indirect sponsorship, board or organisational memberships, past associations, future potential benefits, other…) |
|  |
| v. Please draw the committee’s attention to any other specific ethical issues this study raises. |
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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/>  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.htm> |
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**5. 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 Regulation have been considered (see <https://www.york.ac.uk/records-management/generaldataprotectionregulation/>) &, if necessary, the Data Protection office contacted (dataprotection@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

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

**6. Other comments**

Are there any issues that you wish to draw to the Committee’s attention (it is your responsibility to draw any ethical issues to AHEC that may be of perceived or actual interest)?

**7. Submission Checklist for Applicants**

Finally, please **complete the statement section below** and ensure that **the indicated documents** below are sent **electronically** to [hrc-ethics@york.ac.uk](mailto:hrc-ethics@york.ac.uk) by the supervisor, Head of Department or Departmental Research Chair, as appropriate.

|  |  |
| --- | --- |
|  | AHEC Application form |
|  | Information and Informed Consent form for participants |

**8. 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 of applicant)

……………………………………….. (Date)

***If applicant is a student:***

**Statement by supervisor**

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)

***If applicant is a member of academic staff:***

**Statement by Head of Department or Departmental Research Chair:**

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)

**Re-submission of AHEC application form**

If the application is a re-submission following comments made by AHEC Committee members, the applicant and Supervisor should sign below to confirm that they have read and understood the AHEC recommendations and consider that the attached response deals appropriately with its recommendations.

..................................................................(Applicant)

..................................................................(Supervisor/Head of Department)

……………………………………….. (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](mailto:hrc-ethics@york.ac.uk).