**DEPARTMENT OF PSYCHOLOGY**

**HUMAN PARTICIPANTS PROJECTS ETHICS FORM**

**(for student projects)**

***This form does not cover work in YNiC or work with non-human animals. YNiC has its own ethical procedures and currently ethical approval for work with non-human animals is sought via the Biology Department.***

**Please check the following instructions before submitting your form:**

* Complete the ethics form:
  + Make sure the research aims and study design/outline are clear.
  + Make sure that it is clear who the participants are and how they will be recruited.
* Make sure that your supervisor has completed Q1 to Q3.
* Make sure that all students and supervisor(s) have signed the form.
* Make sure that you complete the information sheet, the consent form, and the debriefing at the end of this document. These are the standard templates for in-person and online studies with non-vulnerable adults. **If your testing includes children or vulnerable adults, please discuss this with your supervisor and complete and submit the templates for those groups:** [**https://wiki.york.ac.uk/display/PsyStudentDocs/UG+Handbook+-+Ethics**](https://wiki.york.ac.uk/display/PsyStudentDocs/UG+Handbook+-+Ethics)
* If you use any materials that could be of sensitive nature, please submit a copy of the questionnaires/materials for review.

**Supervisors:**

Please ensure that the research design is appropriate for the stated aims. Make sure that the form is intelligible and that all questions have been answered. Please also ensure that all issues that could raise any ethical concerns are clearly described in the form and **that questions 1, 2, and 3 have been answered correctly.**

**ETHICS FORM**

**Title of the project:**

**Name(s) and e-mail address(es) of student(s):**

**Project supervisor:**

**Q1. Supervisors: Does any of the following apply to this project?**

Participants will be exposed to conditions that are designed to be emotive or aversive (e.g., emotional words or images).

The study involves the testing of children or vulnerable adults.

The project raises notable Health and Safety issues.

The study requires that participants divulge sensitive information about themselves.

The study asks questions that could potentially upset participants (e.g., questions about anxiety, eating problems).

The study might raise ethical issues of a different nature, namely (please explain): ….

**If any of these apply, please give some further explanation (1/2 sentences):**

**Q2. Supervisors: Data Protection Impact Assessment (DPIA):**

**For data processing likely to be "high risk" to individuals' interests, Principal Investigators are required to complete a Data Protection Impact Assessment (DPIA). For most cases this will not be necessary, but you must consider the need for a DPIA and, if a DPIA is required, then ethical approval will be contingent on having a DPIA vetted and approved by the University's Data Protection Officer. You can find more information about the DPIA, including “screening questions”, here: https://www.york.ac.uk/records-management/dp/dataprivacyimpactassessments/**

I have considered the need for a DPIA and decided that a DPIA is not necessary

I consider that the work demands a DPIA and this has been approved by the University's Data Protection Officer

I consider that the work demands a DPIA and am awaiting a decision from the University's Data Protection Officer

**Q3. Supervisors: Are you collecting any personal data? (see https://wiki.york.ac.uk/display/PsyStaffDocs/Ethics)**

Yes

 No

*If you are collecting personal data, please first read the final page of this form (p. 13) and then answer the following:*

I am following UoY’s default procedures regarding collection and storage of personal data and confirm all points listed on p. 13 of this form.

 I do not follow (all) default procedures and, where relevant, have provided more information on p. 13 of this form

**Q4. What are your research questions? Give a short description of the project’s aims (no more than 300 words).**

**Q5. What do participants need to do? Give a short description of the project outline, including the tasks participants need to complete.**

**Q6. What type of stimuli or materials will participants be exposed to?**

Questionnaires asking participants about their background and other personal information (e.g., age, gender, place of birth, etc).

**** Questionnaires designed to measure personal attributes/characteristics (such as personality, mood, temperament, attitudes, etc).

Standardised tests (such as IQ, reading tasks, etc).

Tasks measuring e.g., memory, attention, language, etc.

Pictures/videos

Speech/other sounds

Written words/language

Other, namely:

**Q7. Give a short description of each task/questionnaire that you plan to use and the stimuli/materials. If your materials include any stimuli/questions that could be of sensitive nature (e.g., emotional images, questions about mental health), you need to submit your full materials with your ethics request form.**

**Q8. Explain how participants’ confidentiality is guaranteed. If any of your tasks/questions ask for personal or sensitive data, please explain how you (the student) and your supervisor will ensure that students cannot link the data to a particular participant. Steps can include running the study online and saving data anonymously and/or the supervisor removing any information that can identify participants before sharing the data with the student.**

**Q9. If your study asks questions of a sensitive nature (e.g., questions about anxiety), please describe how you will minimise the risks involved. Describe how and why you have chosen these materials and how you will minimise the risk of distressing participants.**

**Q10. How long is the study expected to take?**

**Q11. How many participants do you plan to recruit?**

**Q12a. What type of participants do you plan to recruit?**

Non-vulnerable adult participants.

 Vulnerable adult participants.

 Children.

**Q12b. If you are planning to work with children or vulnerable adults, please consult with your supervisor and submit the necessary additional consent and information forms. You will not be able to start testing children or vulnerable adults unless and until you have DBS clearance.**

I will not test children or vulnerable adults and do not need DBS clearance.

 I need DBS clearance and will ensure that I have it before I start testing.

 I need DBS clearance and already have it.

**Q13. Are there any requirements participants should meet to take part (e.g., specific age group, study or occupation, etc.)?**

**Q14. How do you plan to recruit your participants?**

**Q15. Are you planning to run the study in person or online? If this is an online study, please also mention which platform you will use for the study (e.g., Qualtrics, Gorilla).**

**Q16. Are you planning to make audio, visual or audio-visual recordings of the participants? If you plan to make recordings, please submit the additional consent forms for recordings**

Yes – and I will use the additional and necessary consent forms for recordings.

 No

**Q17. In some exceptional cases it is possible to reimburse participants for their help. This can be done if an experiment is extremely demanding due to the length/nature of the session(s). Typical exceptional cases where reimbursement might be allowed is when work involves brain imaging, EEG, or sleep, or when members of a special group need to visit the lab.**

I intend to pay my participants because… (please provide a reason why)

 I do not intend to pay my participants

**Q18. Are there any other issues that have not been covered but that might raise ethical concerns? (If there are none, just write NONE)**

**Ethical approval cannot be granted until all interested parties (students and supervisor) have signed the form. In signing the form students should be aware that they fully understand and agree with the following confidentiality agreement.**

“I acknowledge that the data collected during the course of the project will be treated confidentially. I agree not to discuss the data associated with any particular individual with anyone other than the researchers directly associated with the project. Failure to abide by this confidentiality agreement will most likely be treated as academic misconduct.”

**Students’ signature (all students must sign if this is a group project):**

……………………… ……………………… ………………………

**Date:**

**Remember to also complete the next pages, where you will be asked to complete the information sheet, consent form, and debrief for this study.**

**Supervisor's assessment**

**Before signing the form off please reacquaint yourself with the current information regarding Ethics that can be found on the staff wiki. You need to consider each of the following in turn and check them of accordingly.**

I confirm that I have secured the resources required by this project, including any workshop time, equipment, or space that are additional to those already allocated to me.

The design of this study ensures that the dignity, welfare and safety of the participants will be ensured and that if children or other vulnerable individuals are involved they will be afforded the necessary protection.

All statutory, legislative and other formal requirements of the research have been addressed (e.g., permissions, police checks)

I am confident that the participants will be provided with all necessary information before the study, together with a consent form, and after the study in debriefing.

I am confident the participants’ confidentiality will be preserved.

I consider that the risks involved to the student, the participants and any third party are insignificant and carry no special supervisory considerations. If this is unchecked, please complete and attach a Risk Assessment Form available from the resources administrator.

**Supervisor’s signature:**

**Date:**

**Information sheet**

* Please complete the sections in yellow in this information sheet if you plan to test non-vulnerable adults. If you plan to test children or vulnerable adults, please discuss this with your supervisor and submit and use the appropriate information sheets and consent forms.
* If you plan to make recordings, please also submit the consent form for recordings (see https://wiki.york.ac.uk/display/PsyStudentDocs/UG+Handbook+-+Ethics)
* Include your supervisor’s contact details (not your own!) in all forms.
* In the information sheet make sure that the following is clear:
  + The participant knows what is expected of them
  + The participant knows that they can withdraw at any time during the study and knows if/how their data can be removed after they complete the study.
  + Participants know how to ask questions.
  + The participant is aware of any potentially disturbing questions and/or stimuli they might be presented with.

|  |
| --- |
| **Participant Information Sheet**  [TITLE OF PROJECT] |
| It is important to be aware of the information that is provided by the Department of Psychology about the general terms and conditions that apply with respect to the processing of personal data.  Please consult:  <https://wiki.york.ac.uk/display/PsySharedDocs/Key+information+about+GDPR>    [If you are collecting personal data and do NOT follow the default procedures described  on the Wiki page, please explain your procedures regarding data storage, security, and  retention here]. |
| 1. **Background**   The University of York [name of supervisor] would like to invite you to take part in the following research project.  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.  [For online studies add:] If you have any questions or want to  discuss any aspect of the study please contact [supervisor name] ([supervisor contact details]) before completing the consent form. |
| 1. **What is the purpose of the study?**     The study is designed to [explain your research aims]  The study [specify succinctly and clearly what the participant will have to do]  [For studies that ask sensitive questions add:]  This study uses [explain why the questions/materials might be sensitive]. If you think these [questions/materials] might negatively affect you, please do not take part in this study. You are also free to stop the study at any time before completion without providing a reason. [If relevant, explain that no individual feedback on performance will be given.] |
| 1. **Why have I been invited to take part?**     You have been invited to take part because you are 18 years or older and [edit] |
| 1. **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] OR [given the option to download a copy of this information sheet HERE]. You 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.  [For online studies, please use one of the following]  You can withdraw at any time before study completion by closing the screen. Data will be stored anonymously. We are therefore not able to remove your responses after study completion.  OR  You can withdraw at any time. At the start of the study you will be asked to create and enter a personal (anonymous) code. If you would like to remove your data at a later date, please contact [Supervisor’s name] with your unique code. |
| 1. **Will you share my data with 3rd parties?**     No. Data will be accessible to the project team at York only.  [If you plan to share anonymised data publicly on e.g., OSF, explain that you will only share anonymised data and no personal data.]    **OR**    Yes. The following third parties will have access to your data for the following purposes [edit]  Anonymised data may be reused by the research team or other third parties for secondary research and/or teaching purposes. |
| 1. **Will you transfer my data internationally?**     No.  OR  [Specify exactly the sort of international data transfer that will be undertaken and why] |
| 1. **Will I be identified in any research outputs?**   No  OR  Not without your written consent. |
| 1. **Questions or concerns**   If you have any questions about this participant information sheet or concerns about how your data is being processed, please contact [Supervisor’s Name] in the first instance. If you are still dissatisfied, please contact the University’s Acting Data Protection Officer at dataprotection@york.ac.uk.  Contact Details: [Supervisor’s Name] Department of Psychology,  The University of York, York, YO10 5DD  Phone: 01904 32xxxx E-mail: [edit] |

**Consent form**

Please complete either the consent form for TESTING IN PERSON or for TESTING ONLINE. Delete the other consent form.

### CONSENT FORM FOR ADULT PARTICIPANTS IF **TESTING IN PERSON**

[TITLE OF PROJECT]

Declaration of Consent

|  |  |
| --- | --- |
|  | Please circle either YES or NO |
| 1. I have read and understood the information sheet entitled ‘<<name of study>>’, and I have had the chance to discuss the study and to ask questions. | YES / NO |
| 2. I have had satisfactory answers to all of my questions. | YES / NO |
| 3. Who has explained the study to you?  …………………………………………………………… |  |
| 4. I understand that I am free to withdraw from the study:   1. At any time. 2. Without having to give a reason. | YES / NO |
| 5. If I have any questions or concerns about the research, I know I can contact <<name of supervisor>> via email <<include email>> or by phone <<telephone number>>. | YES / NO |
| 6. I accept the terms and conditions of this study and agree to take part. | YES / NO |
| 7. PARTICIPANT Signature of Participant.……………………………………………………….……………... Date……..……………………  Name (BLOCK LETTERS) ……………………………………………………………………………………………………...….. | |
| 8. INVESTIGATORI have explained the study to the above participant and they have indicted their willingness to take part. Signature of Investigator...……………………………………………..……….……..…. Date…………….…..…….….  Name (BLOCK LETTERS) …………………………………………………….…………………………………………..…..….. | |

### CONSENT FORM FOR ADULT PARTICIPANTS IF **TESTING ONLINE**

When presenting the consent form online, present a consent box with each statement or one consent box at the end asking the participant to consent to all statements. Make sure that participants can only start your study if they have given consent to all statements.

[TITLE OF PROJECT]

Declaration of Consent

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| --- |
|  |
| 1. I have read and understood the information sheet entitled ‘<<name of study>>’, and I have asked any questions I had via email. |
| 2. If I asked any questions, I have had satisfactory answers to all of them. |
|  |
| 3. I understand that I am free to withdraw from the study:   1. At any time without having to give a reason. After completion of the study, I understand that I have to contact <<name of supervisor>> with my unique code if I want to have my data removed.   OR [remove one of these two options, depending on your study]   1. At any time until study completion without having to give a reason. I understand that data are saved anonymously and that they cannot be removed after study completion. |
| 4. If I have any questions or concerns about the research, I know I can contact <<name of supervisor>> via email <<include email>> or by phone <<telephone number>>. |
| 5. I accept the terms and conditions of this study and agree to take part. |

**DEBRIEFING SHEET FOR ADULT PARTICIPANTS**

Department of Psychology, University of York

***[Name of Research Project]***

Dear participant,

* Thank the participant for participating.
* Give the participant a brief idea of what you actually tested in your study. This may differ from the level of information you provided in the informed consent. For example, in the informed consent you might say that you are interested in studying word processing, but here in the debriefing form you can explain that you were specifically interested in differences between verb and noun processing. It is particularly important to be clear about any form of deception that has been used and why this was deemed necessary.
* Make clear to the participant that they may ask you any further questions now. For online studies, make clear to the participants that and how they can contact your supervisor for further questions.
* **Provide contact details of your supervisor (please do not include the student’s contact details)**
* **If you asked any sensitive questions (e.g., about their mental health), provide sources of support that participants can contact. You can find an example of a debrief with sources on the Wiki.**

**Collection of personal data**

*This part only applies to projects collecting personal data. Please read through these points and confirm that you follow them in Q3 (p.3). If you deviate from the default procedures, provide more information about your procedures here.*

* 1. I am capturing the minimum amount of personal data necessary to answer my research objective(s).
  2. I will not share any personal data collected in this project with other organisations, including (for example) collaborators at other universities/research institutes, transcribers, institutional or funder repositories/archives, or government departments.
  3. I will not share personal data with any country or organisation outside the UK.

*If you intend to deviate from point 2 and/or 3, explain here whom you will be sharing the data with and in which country they are based, and describe what type of personal data is to be shared. In this circumstance, you will need to confirm that the Research and Knowledge Exchange Contracts Team have been consulted to ensure that appropriate data sharing agreements/contracts are put in place between the University and third parties.*

* 1. I will follow the university's guidelines to make sure security measures are in place to protect the data. [Link to the university's record-management information](https://www.york.ac.uk/records-management/dp/) / [Link to the university's data security information](https://www.york.ac.uk/it-services/security/encryption/)

*If you intend to deviate from these guidelines, explain here which security measures will be used to protect the data.*

* 1. I will follow the university's guidelines regarding data retention and, in particular, I will not retain the data for longer than is needed for the project. [Link to university's data retention information](https://www.york.ac.uk/records-management/dp/dataretention)

*If you intend to deviate from these guidelines, explain your retention procedures here.*