

For HSSREC sec use only:

HSSREC Ref:

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HUMANITIES & SOCIAL SCIENCES
RESEARCH ETHICS SUB-COMMITTEE (HSSREC)æ

Application for Approval of Research Project Involving Human (Non-NHS) participants.

Please complete this form and return with copies to the secretary of the HSSREC at least 10 working days before the Sub-Committee next meets.

No research project with ethical considerations may begin before the relevant Sub-Committee of the UREC has issued its written approval. Written confirmation of the Sub-Committee's decision will be emailed to the principal investigator as soon as possible after the Sub-Committee meeting.

Before completing this form, applicants must refer to the University's Statement and Guidelines on Ethical Practice (research code of practice/) in conjunction with any other guidance or ethical principles relevant to their specific research.

Section A: GENERAL INFORMATION

1. Project Title:

The Sense of Commitment (in children and adults): on-campus and off-campus testing

2. Applicant

Dr. John Michael (the lead applicant)

a. Department:

Philosophy Department and Psychology Department

b. Email:

<j.michael.2@warwick.ac.uk>

c. Telephone:

024 765 22323

3. Other investigator(s)

Dr. Sotaro Kita

a. Other Institution(s)

4. Proposed Start Date

01/01/2017

5. Duration:

n/a generic

6. Funding body

European Research Council, Starting Grant nr 679092

a. Are there any potential conflicts of interest?

No

No

| | |
|-----------------------------------|-----|
| <i>b. If yes, please specify:</i> | |
| 7. Is this a student project? | No |
| <i>a. If yes, name of student</i> | n/a |
| <i>b. Student email address</i> | n/a |
| Comments (leave blank if none) | |

Section B: PROJECT DETAILS

1. Please give a brief summary of the project (in lay terms), including the scientific benefit.

This is a generic ethics proposal for testing children and adults in cognitive studies with routine low-risk procedures to be administered on-campus in the Language and Learning Group labs in the Dept. of Psychology and off-campus administered in schools, nurseries and ThinkTank, the Birmingham Science Museum.

The scientific benefit is to advance our understanding the psychological processes and situational factors leading people to sense that they or others are committed to remaining engaged in joint actions and to resist distractions and tempting alternative options. Adult participants (18 years old or older) and university students (17 years old or older) will therefore be tested. Specifically, the experiments will investigate whether the following factors increase people's willingness to remain engaged in joint actions and to resist distraction: their own and their partner's effort, the amount of time they have an interacted with a specific partner already, the degree/tightness of coordination with their partner, the opportunity costs (in terms of other interesting activities) which they or their partner have spent (i.e. opportunities not taken). To measure commitment, participants will be grouped in pairs and asked to perform a simple individual task and a simple joint task simultaneously. Both the individual and the joint tasks involve: building a tower using small blocks, manipulating an apparatus together to move a ball or a virtual ball through a labyrinth or a virtual labyrinth, categorizing words that are presented as auditory stimuli, moving a computer mouse using a keyboard or joy stick so that visual stimuli move in a coordinated fashion on a computer screen. The resultant conflict between individual and joint tasks will enable us to measure their level of commitment via the time, effort and attention devoted to the joint task compared to the individual task.

In addition, an important component of the project will be to investigate how a sense of commitment to joint action develops in childhood, so this research will examine the sense of commitment in children between 0 to 16 years. The experimental logic is the same for children as for adults: children will be engaged in games, such as building towers together out of blocks, with other children, with puppets or with experimenters. At certain points, the partner (i.e. the other child, the puppet or the experimenter) may abandon the joint action with the test participant, and we will assess the degree to which the test participant is surprised, protests, and/or tries to re-engage their partner. In other test conditions, the test participant will be offered alternative opportunities to play other games, and we will measure the test participant's willingness to abandon the joint action in which s/he is already engaged, and assess whether s/he offers and explanation/excuse for abandoning the joint action.

General features of the tasks

For both the children and adults, the tasks are similar to their usual daily activities. For example, in addition to joint games such as tower-building and navigating (virtual) labyrinths, they may watch pictures or videos on a screen, and coordinate movements on a screen with a partner. Tasks will be

presented in such a way that they are enjoyable and engaging, and the demands are age-appropriate. Before the experiment starts, the caretakers of child participants will be briefed on nature of the task, procedure, and stimuli. ***The experimental procedure will not include ingestion (i.e., eating and drinking) by children.***

General features of the stimuli

The stimuli presented are similar to what our participants encounter in their usual daily activities. For children this includes pictures of animals and everyday objects, animated cartoons, and toys such as wooden blocks. For the adults, we will use standard computers and in/output devices (keyboard, mouse, microphone), as well as simple apparatus, such as blocks for building towers and a board with a labyrinth game resting ***No offensive or distressing materials will be presented.***

General features of the data collection

The data will be collected in non-invasive ways (i.e., no probe or recording devices are placed inside participant's body).

In some parts of the experiments, participants' movements will be recorded using a video camera. This will make it possible to assess the level of the children's surprise, protest and/or efforts to re-engage their partners. For adults, to measure participants' movements, we will in some instances use an electromagnetic motion tracking system. In these instances, sensors will be attached to participants' bodies using medical tape that is easy to remove or Velcro straps. The electromagnetic field in which participants will be moving is not very strong and so moving will not feel differently from the way it normally does. There are no health risks involved in using this technology.

Parental questionnaires and standardised tests

We will obtain additional information on cognitive development through parental questionnaires and standardised tests.

2. Please summarise the methodology to be used.

The studies will take place either on-campus in one of the rooms in the Department of Psychology (e.g., in the Language and Learning labs in Humanities building extension) or off-campus in schools, nurseries and Thinktank, the Birmingham Science Museum. For testing on-site and at ThinkTank child participants will be accompanied by a caretaker. For the studies involving children, the caretaker will be able to monitor child participants throughout the procedure either directly or via a video link. Before the experiment starts, the caretaker will have been briefed about the task, procedure, and stimuli, and written informed consent will be obtained. The PI will set an appropriate time limit, including breaks for participants if the study is long and/or intensive, so as not to exhaust participants. The exact time limit varies between studies and depends on the age of participants and tasks. The procedures are detailed below.

Implicit Response Procedures

These procedures are useful for children and adults, especially useful for young children who cannot be instructed to make explicit responses. For two of these, we use participants' looking behaviours (what they look at and for how long) as an indicator of their expectations: anticipatory looking and violation of expectations.

For anticipatory looking, expectations are measured in terms of where they look in anticipation of what will happen next. For example, if a child expects a puppet to remain engaged in a joint action and to resist an alternative offer to play a different game with a second puppet, then children should look to the area in which the joint action is taking place, and specifically to look at the object (e.g. a block) which the puppet should now use in the joint action. For violation of expectations, we will

measure how long children look at an event (such as a puppet getting up and leaving a joint action) as an indication of how surprised they are, i.e. indicating that their expectation has been violated.

Participants' looking behaviour will be captured by a video recording, which will be coded both on-line and off-line to determine overall attention for each trial, or by an eye tracker (which is based on automatic processing of video images of the eyes).

In addition, we will also measure children's sense of commitment by assessing how much they protest in instances in which their partner abandons the joint action, and/or how much they attempt to re-engage their partner. For adults, we will measure their pupil dilation (using an eye tracker, which is based on automatic processing of video images of the eyes) and in some cases also skin conductance as a measure of their degree of surprise.

Explicit Response Procedures

Adults will be asked to give responses by pressing buttons, using joysticks, and in some cases by giving verbal responses, e.g. to categorize objects or words as tools, animals, etc. We will measure their speed and accuracy in giving responses as a measure of their level of engagement/effort.

For adults and children, we will also measure how long they remain engaged in a joint action when offered a tempting outside offer (e.g. for children a different game to play, or for adults a small monetary reward).

Questionnaires

For adult participants, we will use a standard questionnaire to assess the level of rapport for each pair of adult participants after each interaction.

3. Please describe briefly any ethical issues and / or sensitive topics that will be covered during the course of the project. – None.
4. How do you intend to handle these areas? n/a
5. What possible or risks are there for the researcher?

Researchers are exposed to a relatively large population of children. This brings with it an increased risk of minor contagious diseases (e.g. colds, stomach bugs, head lice). These risks will be discussed by the research team, and appropriate measures will be taken, such as frequently washing hands.

6. Will you or any of the research team Yes

come into contact with participants be required to obtain criminal record clearance?

7. If “yes”, please confirm that such clearance will be obtained.

All researchers who come in contact with children will obtain such clearance or will be accompanied by another researcher who has already obtained such clearance.

Section C: PARTICIPANTS

1. How will participants be recruited?

Participants will be recruited through several means that are determined according to age group. The recruitment procedures differ for on-campus vs. off-campus testing

On-campus testing

On-campus testing is used primarily for two reasons. First, some studies require controlled environment for testing (e.g., a quiet sound attenuating) or specialist equipment (e.g., an eye tracker or an EED system). Second, because of the required precision in age (e.g. 24 months versus 30 months or 36 months), the recruitment will need to have two stages. In the first stage, we will recruit a large cohort of families who are willing to be contacted by us for future testing. In the second stage, when the children in these families reach the age appropriate for a certain study, we will contact the families and ask whether they would like to take part in the study.

Recruitment for the database of potential child participants in studies with on-campus testing

Families who have (or are expecting to soon have) infants and children (between the ages of 0 – 16 years) will be recruited from in and around the Coventry area by flyers, newspaper ads in newspapers, magazines and online discussion forums (e.g., NetMums), and attendance at baby events, such as book reading times at libraries, fairs, baby shows, etc. or at a science museum (e.g., ThinkTank in Birmingham) (please see a sample advertisement in **Attachment 2: Advertisement Form**). Parents can approach us via email or telephone from advertisements they have seen, or word of mouth. In this case we ask for information in **Attachment 3: Recruitment Form** and contact them when an appropriate study comes up in the future. Research Fellows, PhD students and research assistants may also attend meetings where parents might be found, such as library reading times, baby swim hours, baby fairs and other such events, as well as science museums such as ThinkTank. Permission will first be sought from the organising body of the event. Following this, an agreement will be made on the type of contact the organisers feel we can have; this may range from simply dropping off advertisement forms to actually talking to parents in person. In situations where parents are approached, they will be asked to provide information about their children and contact information so that we can contact them in the future when an appropriate study happens.

Recruitment of child participants for specific studies with on-campus testing

We will inform parents in the database of potential participants of more detailed information on a specific experiment that their children could take part in. This is done over the phone or by email. The content equivalent to the Information Sheet given at the experiment (**Attachment 1: Information and Consent Form**) will be provided to parents at this point.

Recruitment of child participants for off-campus testing

Permission will first be sought from the organising body (schools, nurseries and science museums such as the ThinkTank in Birmingham) by initially contacting them by phone or by email. We will first obtain agreement from headmistress/headmaster/nursery manager/the public engagement director of the museum to recruit and test in their organisations. Then, we will ask their staff to distribute information sheets and consent forms to caretakers. On the information sheet, a date will be specified for when caretakers need to have returned the consent slip to the organising body. At a science museum, we will arrange for a booth to be set up and will approach caretakers with children to participate in the study. Caretakers who are willing and available will be verbally briefed on the nature of the tasks; if they show interest in participating, we give them a written information sheet and a consent form similar to the ones used for nurseries and schools. Additionally, for all caretakers approached, whether they have agreed to their child being tested on the day or not, will be given a flyer (**Attachment 3: Sample Recruitment Form**) through which they can contact the University of Warwick Infant and Child Laboratory with contact information if they choose to be recruited into the database to be contacted by us at a later date.

Adult recruitment

Adult participants may be recruited by the same methods as potential child participants, but also by the DR@W System (the online Univ. of Warwick participant recruitment system) and email lists (see **Attachment 4: sample advertisement**).

For some studies requiring a large number of participants (50 per condition), adult participants (over 18) will be recruited online using either SurveyMonkey or the Mechanical Turk.

2. How many participants will be recruited?

Typical studies will involve a range between 20 and 50 participants per condition.

3. How will informed consent be obtained from the participants? (Please provide a copy of any consent forms and participant information sheets to be used). If no consent will be obtained, please explain why.

We use the British Psychological Society guidelines regarding consent for participants in our studies.

Studies with on-campus testing and online experiments

Before the experiment, we will explain an overview of the methodology and the general purpose of the study to the caretaker in case of children and to participants (in case of adult participants) (see the information sheet in **Attachment 5: Sample Information/Consent Form**). It will be made clear if video recording or photography will be involved. The caretaker or adult participant will sign an informed consent form on the basis of this explanation.

Studies with off-campus testing: Schools and nurseries

We will discuss with the headmistress/headmaster/nursery managers whether opt-in or opt-out consent is appropriate, given the nature of the procedure (we will always use opt-in consent for studies in which videos or photos are taken in such a way that children can be identified in the recordings). Then, we will ask their staff to distribute information sheets and consent forms to caretakers. It will be made clear at this point if video recording or photography will be involved, and release of images will be obtained in the way similar to the on-campus testing.

Studies with off-campus testing: Science museums

At a science museum, we give caretakers a written information sheet and a consent form similar to the ones used for nurseries and schools, accompanied by verbal explanations, and asked to sign the consent form.

4. Will deception be used during the course of the research? No

5. If yes why is it deemed necessary? n/a

6. Will the participant group include any children or vulnerable adults? Yes

7. If yes, please explain the necessity of including these individuals.

Our research focuses on language and cognitive development, which entails the use of experimental data obtained through infants, toddlers, children, and adolescents.

8. If yes, please explain how and from whom fully informed consent will be obtained.

We will provide information sheet to the child's caretaker and obtain written consent. When researchers are in face-to-face contact with caretakers, then caretakers will be able to ask questions. When children are recruited through letters from a nursery/school, then the letter will include contact information about researchers so that the caretaker can ask questions. Please refer to question 3 of part C for further information.

9. Will participants be given payment and/or incentives for participating in the research? Yes

If yes, please specify level of compensation, and source of the funds or incentives. If yes, please explain the necessity of such compensation

Children may be given a gift to thank them for their participation if funds permit and if headmistresses/headmasters/nursery managers agree. The gift may be a sticker, or a t-shirt with the Laboratory logo on it or a simple toy or book. They will also receive a certificate from the Laboratory, with their name on it. For on-campus testing, the caretaker's travel expense may be reimbursed if funds permit. Adult participants participating on campus receive cash (6 pounds per hour) or credits in Research Participation Scheme for psychology undergraduates. This compensation is necessary to show gratitude for the participant/caregiver's time and willingness to participate. In some cases they may receive up to 5 pounds bonus payment in order to incentivize the tasks. Adult participants recruited online may receive about 1 pound for brief experiments lasting about 5 minutes.

10. What possible benefits and/or risks to participants are there to this research?

Participating in this research will not expose children to any greater risks than in their everyday environment. Researchers are trained to be alert for potential hazards.

11. What arrangements have been made for reporting the results of the research to and/or debriefing the participants?

The caretakers of children and the adult participants will be given a full debriefing of what the study was looking at. This will be done verbally to ensure they feel comfortable to ask questions. Participants will be encouraged also to ask further questions by phone or email if they so desire.

12. What qualified personnel will be available to deal with possible adverse consequences/reactions to participating in this research?

A PI will be available and can be contacted by researchers. Before the commencement of any experiments, all participants and caretakers are briefed on their right to withdraw from a study at any point and for any reason. All lab staff (PI and researchers) are instructed to comply with any request to end the study. Researchers will also be informed about access to First Aid and Fire Escape routes. The debriefing sheet will also include the Laboratory contact information so that we can be reached if adverse consequences or reactions occur later.

Section D: DATA

1. How will you ensure confidentiality?
(Please give details of how and at what stage in the project you will anonymise data)

Prior to the commencement of the experiment, we will assign each participant an ID code through which the data will be kept confidential. We will not use the participants' names in computer data files, and on audio and video tapes. Any keys which link the ID codes and the participants' identities are stored separately from the main data in a locked cabinet or in a pass-word protected folder on a pass-word protected computer in a locked room with no public access in the Dept. of Psychology. Note that consent forms with the name and participant ID will allow us to trace which data belongs to which participant. This arrangement is necessary in situations such as a parent wanting a child's data to be removed from the system at a later date.

2. Who will have access to the data?

The data will be accessed by researchers involved in the project (the PI, collaborators, researchers and research assistants under the PI's supervision). The research assistants who will transcribe and code audio-video recordings will only have access to the data linked with participant ID but without further information on the identity of the participants. The participant database will be accessed by PIs and other researches under the PI's supervision.

3. Where will consent forms, information sheets and project data be stored?

The consent forms, questionnaires, audio-video tapes, computer data files and potential participant database will be stored in the following way to ensure security of the data. The consent forms, questionnaires, audio-video tapes will be stored in a cabinet in a locked room in the Department of Psychology with no public access. The computer files that may allow identification of participants will be stored on password protected computers in locked rooms with no public access. Fully anonymised data files will be stored on a password protected computers.

4. For how long will the above data be kept and how and when will data then be destroyed?

The data will be kept for 10 years after the publication. Anonymised data may be donated to public data depository such as UK Data Service for permanent archiving, which Research Councils encourages us to do. For the type of data where a person can be identified (video recording and photographs showing the face; audio recording of voice), we consider donation to public data depository for permanent archiving *only if* we have explicit written consents for donation from the caregivers or from the participants. Paper data will be shredded, digital data will be erased from computer hard drives, and media (CDs, DVDs, etc.) will be made unreadable.

5. Is it anticipated that there will be any future use of the data and have the participants been informed of this use.

No.

Will any interviews be audio or video-taped? Yes

6. If yes, please attach a copy of the consent/authorisation form

Please see **a separate file for consent and information sheets.**

Section E: PUBLICATION

1. How will publications of research findings recognise the contributions of all researchers engaged in the study?

Publications will include the researchers that were most involved in the conception, running, analysis, and/or write-up as co-authors. All other substantial contributions (e.g., recruitment of participants) will be recognized in the Acknowledgement section of publications.

Section F: FURTHER INFORMATION

Please give any additional information you believe to be relevant to this project.

NB: The following information should be included at some point within the participant

information sheet:

Should anyone have any complaints relating to a study conducted at the University or by University's employees or students, the complainant should be advised to contact the Deputy Registrar (contact detail below) more


http://www2.warwick.ac.uk/services/rss/researchgovernance/complaints_procedure/


This information has been included. (Please check tick box on RHS)

X

Section G: DECLARATION

- The information in this form together with any accompanying information is complete and correct to the best of my knowledge and belief and I take full responsibility for it.
- I undertake to abide by the ethical principles underlying the Declaration of Helsinki (<http://www.wma.net/e/policy/b3.htm>) and to abide by the University's Research Code of Conduct (<http://www2.warwick.ac.uk/services/rss/>) alongside any other relevant professional bodies' codes of conduct and/or ethical guidelines.
- If the research is approved, I undertake to adhere to the study protocol without agreed deviation.
- I undertake to inform the HSSREC of any changes in the protocol that would have ethical implications for my research.
- I am aware of my responsibility to be up to date and to comply with requirements of the law and the appropriate guidelines relating to security and confidentiality of participants' personal data.

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| Signature of Principal Investigator: |  |
| Name (Please Print): | John Michael |
| Date: 04/08/2016 | 28 July 2016 |
| N.B. For student projects, signatures from both the <i>supervisor</i> and the <i>student</i> are required. | |
| Signature of Student (if applicable) | |
| | |

| | |
|---|---|
| Signature of Chair of Department: |  |
| Name (Please Print): | PROFESSOR ROBIN CODDWIN |
| Date | 15.9.16 |
| <i>(Chair's signature must be obtained for every application submitted to HSSREC)</i> | |

APPLICANT CHECKLIST:

- Y Fully completed application form.
- Y Copies of any Participant Information Sheet(s) on University letterhead.
- Y Copies of any Participant Consent Form(s) on University letterhead.
- Y Copies of any relevant authorisations.

HSSREC/application form/ 2011/12/ Vsn 2:2

