

**SCHOOL OF HISTORY, ARCHAEOLOGY AND RELIGION**

**RESEARCH AND TEACHING ETHICAL APPROVAL FORM**

**To Be Submitted to the School’s Ethics Officer: Professor Helen Nicholson, School of History, Archaeology & Religion, John Percival Building, 5.45 (Nicholsonhj@cardiff.ac.uk)**

**Note: The form must be accompanied by any necessary documentation applicable to the project (consent forms, permissions, questionnaires, etc.)**

|  |  |
| --- | --- |
| Principal Investigator / Supervisor |       |
| Student Name & Number (if applicable) |       |
| Email Address |       |
| Title of Project |       |
| Purpose of work proposed i.e. teaching, undergraduate project, postgraduate project, externally funded research, commercial research |  |
| Other Collaborators |       |
| Funding Body/Funder (if applicable) |       |
| Are there any potential conflicts of interest?*If* ***yes****, please confirm the action you propose to take to address such conflicts* |  |
| STAFF & SUPERVISORS ONLYHave you completed Cardiff University’s Research Integrity Training?  | YES/ NO |
| STUDENTS ONLYHas your supervisor both read ***and***approved this form? | YES [ ]   |
| Supervisor Signature |  |

**PLEASE REFER TO THE FOLLOWING BEFORE FILLING OUT THE REST OF YOUR APPLICATION:**

The Procedures for Ethical Approval of Research in SHARE, available on the School Research Ethics webpage: <https://www.cardiff.ac.uk/history-archaeology-religion/research/research-ethics> ; or log into Intranet, then click on Research Support > Research Integrity and Governance > Research Ethics > Ethical Review > School Research Ethics Committees/

1. Information on data management, collecting personal data: data protection act requirements can be accessed via the Cardiff University Staff Intranet: <https://intranet.cardiff.ac.uk/> , under Research Support
2. Cardiff University’s Research Integrity and Governance Code of Practice

<https://www.cardiff.ac.uk/__data/assets/pdf_file/0004/937021/research-integrity-and-governance-code-of-practice-v2.pdf>

1. Ensure you submit the following with your application:
	1. **Full project proposal, including any questionnaires (if applicable)**
	2. **Participant information form and Consent form (if applicable)**
	3. **Copies of all relevant permissions (if applicable)**
	4. **Details concerning external funding (if applicable).**

**Recruitment Procedures**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **If you answer ‘yes’ to any of these questions, please explain in the ethical issues box of this form, and in your proposal, how you plan to address these concerns. For the University's ethics procedures regarding research involving children and vulnerable adults, please follow the link below and see in particular pp. 9-10:**  **https://www.cardiff.ac.uk/\_\_data/assets/pdf\_file/0009/995094/Safeguarding-Policy-October-2017.pdf** | **Yes** | **No** | **N/A** |
| **1** | Does your project include children under 16 years of age? | **[ ]**  | **[ ]**  | **[ ]**  |
| **2** | Does your project include people with learning or communication difficulties? | **[ ]**  | **[ ]**  | **[ ]**  |
| **3** | Does your project include people in custody? | **[ ]**  | **[ ]**  | **[ ]**  |
| **4** | Is your project likely to include people involved in illegal activities? | **[ ]**  | **[ ]**  | **[ ]**  |
| **5** | Does your project involve people belonging to a vulnerable group, other than those listed above? | **[ ]**  | **[ ]**  | **[ ]**  |
| **6** | Does your project include people who are, or are likely to become your clients or clients of the department in which you work? | **[ ]**  | **[ ]**  | **[ ]**  |
| **7** | Does your project include people for whom English / Welsh is not their first language? | **[ ]**  | **[ ]**  | **[ ]**  |

**Consent Procedures (non-archaeological)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Yes** | **No** | **N/A** |
| **8** | Will you tell participants that their participation is voluntary? | **[ ]**  | **[ ]**  | **[ ]**  |
| **9** | Will you obtain written consent for participation? | **[ ]**  | **[ ]**  | **[ ]**  |
| **10** | If the research is observational, will you ask participants for their consent to being observed?  | **[ ]**  | **[ ]**  | **[ ]**  |
| **11** | Will you tell participants that they may withdraw from the research at any time and for any reasons? | **[ ]**  | **[ ]**  | **[ ]**  |
| **12** | Will you give potential participants a significant period of time to consider participation? | **[ ]**  | **[ ]**  | **[ ]**  |
| **13** | If there is anonymity or disclosure involved, will you obtain explicit written, signed, and dated consent of the participant(s)? | **[ ]**  | **[ ]**  | **[ ]**  |

**Possible Harm to Participants**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **If there are any risks to the participants you must explain in the ethical issues box of this form, and in your proposal, how you intend to minimise these risks and provide appropriate safeguards. For further information regarding the University’s research ethics procedures and its health and safety policies, please follow the link: https://www.cardiff.ac.uk/\_\_data/assets/pdf\_file/0004/937021/research-integrity-and-governance-code-of-practice-v2.pdf**  | **Yes** | **No** | **N/A** |
| **14** | Have all measures been taken to minimise the risk of any participants experiencing either physical or psychological distress or discomfort? | **[ ]**  | **[ ]**  | **[ ]**  |
| **15** | Is there any realistic risk of any participants experiencing a detriment to their interests as a result of participation? | **[ ]**  | **[ ]**  | **[ ]**  |
| **16** | Please confirm that you have readand understood CU’s Code of Practice for those working with Children and ‘Adults at Risk’: https://www.cardiff.ac.uk/\_\_data/assets/pdf\_file/0006/995100/Code-of-Practice-for-those-working-with-Children-and-Adults-at-Risk-General-Principles.pdfand activity specific guidance, as applicable: <https://www.cardiff.ac.uk/public-information/policies-and-procedures/safeguarding/activity-specific-guidance> | **[ ]**  | **[ ]**  | **[ ]**  |

**Data Protection**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Yes** | **No** | **N/A** |
| **17** | Will any non-anonymised and/or personalised data be generated and/or stored? | **[ ]**  | **[ ]**  | **[ ]**  |
| **18** | Will you have access to documents containing sensitive[[1]](#footnote-1) data about living individuals?If “Yes” will you gain the consent of the individuals concerned? | **[ ]**  | **[ ]**  | **[ ]**  |
| **[ ]**  | **[ ]**  | **[ ]**  |

**Ancient Human Remains**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Yes** | **No** | **N/A** |
| **19** | Have you secured the appropriate permission, if required, to excavate, export and/or sample any ancient human remains? | **[ ]**  | **[ ]**  | **[ ]**  |
| **20** | If applicable, have you discussed and agreed preferred options for the disposal of human remains after excavation and analysis? | **[ ]**  | **[ ]**  | **[ ]**  |
| **21** | Have you read and understood the School’s policy on Human Remains? | **[ ]**  | **[ ]**  | **[ ]**  |

**Human Tissue**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Yes** | **No** | **N/A** |
| **22** | Does the study involve the collection and use of human tissue (including, but not limited to, blood, saliva and bodily waste fluids)? | **[ ]**  | **[ ]**  | **[ ]**  |
| **23** | If “Yes”, has a copy of the submitted application and any supporting documentation been emailed to the Human Tissue Act Compliance Team (HTA@cf.ac.uk), with the Research Ethics Officer of SHARE (contact on p. 1) copied in? A decision will only be made once these documents have been received. | **[ ]**  | **[ ]**  | **[ ]**  |

**Permissions to Carry Out Fieldwork**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Yes** | **No** | **N/A** |
| **24** | Have you secured the appropriate permission from the tenant and landowner? | **[ ]**  | **[ ]**  | **[ ]**  |
| **25** | Does the research take place outside of the UK?If “Yes” have you gained appropriate permissions?  | **[ ]**  | **[ ]**  | **[ ]**  |
| **[ ]**  | **[ ]**  | **[ ]**  |
| **25** | Does the area of research include any Scheduled Monuments?If “Yes” have you gained permission from the appropriate authority? | **[ ]**  | **[ ]**  | **[ ]**  |
| **[ ]**  | **[ ]**  | **[ ]**  |
| **26** | Is the area of research special environmental interest or value (e.g., is it an SSSI)?If “Yes” have you gained permission from the appropriate authority? | **[ ]**  | **[ ]**  | **[ ]**  |
| **[ ]**  | **[ ]**  | **[ ]**  |
| **27** | Have you contacted the local Site and Monuments Officer? | **[ ]**  | **[ ]**  | **[ ]**  |
| **28** | Is there an agreement in place with the legal owner of any materials recovered regarding the deposition of material culture and archive? | **[ ]**  | **[ ]**  | **[ ]**  |
| **29** | If the material is to be deposited with another institution in due course, is this agreement in place? | **[ ]**  | **[ ]**  | **[ ]**  |

**Provision against terrorism**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **30** | Have you given due regard to the “Prevent Duty”, in particular, to prevent anyone being drawn into terrorism? <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445916/Prevent_Duty_Guidance_For_Higher_Education__England__Wales_.pdf> <http://www.cardiff.ac.uk/public-information/policies-and-procedures/freedom-of-speech>  | **[ ]**  | **[ ]**  | **[ ]**  |

**Project Summary**

**Please provide further information on your overall project proposal below (200-300 words)**

**Please explain how the identified ethical issues will be handled. This includes anonymity, confidentiality, safe storage and ethical handling of data within the expected time frame, and participant consent as detailed in the sections above. If applicable, discuss your processes for recruitment and obtaining consent, and indicate how many participants your project will require to produce viable results.**

**It is your responsibility to bring these and any other ethical issues not covered on this form to the attention of the Committee (please use separate sheets if necessary).**

**STATEMENT OF ETHICAL APPROVAL**

This project has been considered using agreed School procedures and is now approved.

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Print Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Chair, School Ethics Committee)

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Print Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Second Confirmation)

1. Sensitive data are *inter alia* data that relates to racial or ethnic origin, political opinions, religious beliefs, trade union membership, physical or mental health, sexual life, actual and alleged offences. [↑](#footnote-ref-1)