ETHICAL APPROVAL FORM FOR RESEARCH PROJECTS AC-NMW

SECTION A: PERSONAL INFORMATION			
Title of project:			
Project start date:		Project end date:	
Project funded by:			
Name of applicant			
Applicant email address			
Team/department			
Name of lead researcher/ Principal Investigator + institutional affiliation			
Other co-investigators/ co-researchers + institutional affiliation			

Before completing, please read the Code of ethical principles and policy for research undertaken by researchers in AC-NMW

SECTION A: PROJECT SUMMARY			
1.	**Below,** please provide a **concise** summary of your project in lay terms for the general reader		
2.	What are the research questions?		
3a	Does the project involve human remains?	Yes ☐	No ☐
3b	Does the project involve living	Yes ☐	No ☐

	human subjects?		
	If you answered Yes to 3b, or to both 3a and 3b, please complete all sections of the form. If you answered Yes to 3b, please complete all sections of the form. If you answered Yes to 3a and No to 3b, then you only need to complete Section F. If you answered No to both 3a and 3b, you do not have to complete this form.		
5.	What sort of data will be collected and what methods will you use to do this?		
6.	How and where (venue) are you undertaking your research? What is the reason(s) for using this particular location?		
7.	(a) Will you be analysing secondary data (that is, data collected by others for research purposes)? If YES, does approval already exist for its use in further projects such as yours? *Please give details*		
	(b) Will you be using administrative data (that is, data collected by others for registration, transaction or record keeping purposes)? If YES, how will you be using these data (e.g. sifting for suitable research participants or analysing the data) ? *Please give details*		
SECTION B: participant recruitment			
	How will your participants be recruited?		
8.	(a) Does your project involve children or young people under the age of 18? If **No**, go to 10	Yes ☐	No ☐
	(b) If Yes, have you read the ESRC guidance on ethics and the inclusion of children and young people as research participants? Find these here	Yes ☐	No ☐

	(c) If Yes, have you also consulted the AC-NMW Guidance on child protection procedures, and do you know how to respond if you have concerns?	Yes ☐	No ☐
9.	(a) Does your project involve one-to-one or other *unsupervised* research with children and young people under the age of 18 ? If **No**, go to 9(b) If **Yes**, go to 9(c)	Yes ☐	No ☐
	(b) If your project involves only *supervised* contact with children and young people under the age of 18, have you consulted the head of the institution where you are undertaking your research to establish if you need a Disclosure and Barring Service (DBS) Check? If **Yes**, and you do need a DBS check, then go to 9(c); if you do not need a DBS check, then go to Question 10.	Yes ☐	No ☐
	(c) Do you have an up-to-date Disclosure and Barring Service (DBS) Check ? (*Please give details below if you have a pending application)*	Yes ☐	No ☐
10.	Does your project include people with learning, memory or communication difficulties? (*Please give details below)*	Yes ☐	No ☐
	If Yes, have you read the ESRC Guidance on research with potentially vulnerable people? You can find this here	Yes ☐	No ☐
11.	Does your project include people in custody? (*Please give details below)*	Yes ☐	No ☐

12.	Is your project likely to include people involved in illegal activities? (*Please give details below)*	Yes ☐	No ☐
13.	Does your project involve people belonging to a vulnerable group, other than those listed above? (*Please give details below)*	Yes ☐	No ☐
14.	Does your project include people who are, or are likely to become your clients or clients of the Museum department in which you work? (*Please give details below)*	Yes ☐	No ☐

SECTION C: CONSENT PROCEDURES

15.	Will you obtain written consent for participation?	Yes ☐	No ☐
	If Yes, how will you record and store this?		
16.	Please read Appendix 1 on the definition of 'active, informed consent'. What procedures will you use to obtain active, informed consent from participants?		

17.	If the research is observational, will you ask participants for their consent to being observed ?	N/A ☐	Yes ☐	No ☐

18.	Will you tell participants that their participation is voluntary?	Yes ☐	No ☐
19.	Will you tell participants that they may withdraw from the research at any time and for any reasons?	Yes ☐	No ☐
20.	Will you give potential participants a significant period of time to consider participation?	Yes ☐	No ☐
21.	Does your project provide for people for whom English / Welsh is not their first language?	Yes ☐	No ☐
SECTION D: POTENTIAL HARMS ARISING FROM THE PROJECT			
22.	Is there any realistic risk of any participants experiencing either physical or psychological distress or discomfort? *If Yes, please give details below*	Yes ☐	No ☐
23.	Is there any realistic risk of any participants experiencing a detriment to their interests as a result of participation? *If Yes, please give details below*	Yes ☐	No ☐
24.	**Below, please identify any potential for harm (to yourself or participants) that might arise from the way the research is conducted** (see Appendix 2) PLEASE DO NOT LEAVE BOX BLANK		
25.	**Below, please set out the measures you will put in place to control possible harms to yourself or participants** (see Appendix 3) PLEASE DO NOT LEAVE BOX BLANK		
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SECTION E: RESEARCHER SAFETY				
Before completing this section, you should read Appendix 3 'Managing the risks associated with research'				
26.	Are there any realistic safety risks associated with your fieldwork? If yes, please give details and ? attach your risk assessment ??	Yes ☐		No ☐
27.	Have you taken into account AC-NMW's guidance on safety in fieldwork / for lone workers ?	Yes ☐		No ☐
SECTION F: DATA COLLECTION				
28.	Does the project involve the need to collect samples for analysis from AC-NMW collections?	Yes ☐		No ☐
	If Yes, have you completed and appended the form Application for Samples and Analysis, duly signed and approved by the relevant Head of Section?	Yes ☐		No ☐
28.	Does the study involve the collection or use of human remains, including human tissue (skin, hair, nails, bone, teeth, DNA)?	Yes ☐		No ☐
	If **Yes**, have you met with the Head of Collections Management in order to investigate compliance with the Human Tissue Act (see Appendix 5)?	Yes ☐		No ☐
	Have you appended a description of how the human remains are to be used in accordance with the HTA, signed by the Head of Collections Management?	Yes ☐		No ☐
	If applicable, have you obtained a Ministry of Justice License for the exhumation of human remains and agreed any required reburial or repatriation of human remains after excavation and analysis?	Yes ☐		No ☐
29.	Does the project involve archaeological fieldwork?	Yes ☐		No ☐
	Have you secured the appropriate permission from the tenant and landowner? *Please give details*	Yes ☐	No ☐	N/A ☐
	Does the research take place outside of the UK?	Yes ☐	No ☐	N/A ☐

	If "Yes" have you gained appropriate permissions? *Please give details*	Yes ☐	No ☐	N/A ☐
	Does the area of research include any Scheduled Monuments?	Yes ☐	No ☐	N/A ☐
	If "Yes" have you gained permission from the appropriate authority? *Please give details*	Yes ☐	No ☐	N/A ☐
	Is the area of research special environmental interest or value (e.g., is it an SSSI)?	Yes ☐	No ☐	N/A ☐
	If "Yes" have you gained permission from the appropriate authority? *Please give details*	Yes ☐	No ☐	N/A ☐

SECTION G: DATA PROTECTION

30.	(a) Are you collecting sensitive data about living persons? [Defined as: participants' racial or ethnic origin, political opinions, religious beliefs (or similar), trade union membership, physical or mental health, sexual life, the commission or alleged commission any offence, or any proceedings for any offence committed or alleged to have been committed, or the disposal of such proceedings or the sentence of any court in such proceedings.]	Yes ☐	No ☐
	If **Yes**, how will you employ a more rigorous consent procedure?		
	(b) Are you collecting personal data (i.e. data that can identify a living person)? [Please note, this includes names, addresses, photographs, recordings of interviews/focus groups, DNA etc.]	Yes ☐	No ☐
	If **Yes**, how you will anonymise this data?		

	(c) Will any non-anonymised and/or personalised data be retained ?	Yes ☐	No ☐
	If **No**, what are the reasons for this ?		
	(d) Data (i.e. actual interview recordings, not just transcripts) should be retained for at least ten years or five years post-publication. Have you noted and included this information in your Information Sheet(s) to participants?	Yes ☐	No ☐
31.	**Below,** please detail how you will deal with data security. Please note, personal laptops (even password protected) stored in personal accommodation are not acceptable. Storage on AC-NMW network is required.		

If there are any other potential ethical issues that you think the Research Board should consider please explain them on a separate sheet. It is your obligation to bring to the attention of the Board any ethical issues not covered on this form.

Appendix 1:Definition and management of active and informed consent for research projects involving living human subjects

Please see the UK Research Ethics Guidebook (http://www.ethicsguidebook.ac.uk/Seeking-consent-88). This defines consent as follows:

> Consent is the central act in research ethics, as set out in the 1947 Nuremberg Code. The 1964 Helsinki Declaration stipulated that valid consent is properly informed and also freely given – without pressures such as coercion, threats or persuasion. The Nuremberg Code and Helsinki Declaration remain at the foundation of principles of consent in research today. The ESRC Framework for Research Ethics has two core principles concerned with freely given and fully informed consent - elsewhere these principles are captured in the concept of ***valid consent***.
> Principle Two states that:
> 'Research subjects must be informed fully about the purpose, methods and intended possible uses of the research, what their participation in the research entails and what risks, if any, are involved.'
> Principle Four states:
> 'Research participants must participate in a voluntary way, free from any coercion.'
> Respect for people's consent or refusal helps to prevent harm and abuse, such as their feeling deceived, exploited, shamed, or otherwise wronged by researchers. Participants and researchers may define 'harm' very differently. The consent process needs to allow time to clarify any differences. Researchers may then gain new insights into risks, and how to reduce them.
> Consent is therefore a process – not a simply yes or no. It is the process by which potential participants can decide if it is worth taking part in a study despite any risks and costs. This may sound rather extreme for a decision to take part in a small study, but respect for consent sets standards of respect for the whole relationship between the researchers and participants.

See also the guidance at the UK Data Archive: http://www.data-archive.ac.uk/create-manage/consent-ethics/consent

Informed consent

In ethical research it is essential to explain what you are asking people to do and the possible implications so that they can make a proper decision for themselves whether they wish to take part.

Information sheet to be given to participants

It is good practice to give research participants an Information Sheet. You should clearly present on the Information Sheet the following information, in terms that an ordinary person, rather than a specialist in your field, can understand:

- that you are inviting them to take part in a research project

- who you are – your role in the Museum

- the nature, risks (if any), benefits (if any), duration and purpose of the research project. You should give clear information about what the participant will be asked to do, where the research will be carried out, any risks to the participant's wellbeing, health and/or safety and the steps that will be taken to minimise those risks

- that participation in the project is entirely voluntary, and that participation and consent can be withdrawn at any point, without giving a reason

- if the project is funded (and if so, by whom)

- what the information gathered is intended to be used for, including where the results will

be published

- the arrangements concerning confidentiality of, and access to, information about the research participant

– how data will be used, stored and accessed – please consult the ethics guidebook at: http://www.ethicsguidebook.ac.uk/Consent-to-data-archiving-or-data-sharing-90 In the past, researchers have focused primarily on gaining informed consent for data collection only, but you should also inform participants about how their data will be stored, preserved and used in the long-term, and how confidentiality, where promised, will be maintained. So it's important to spell out how research data will be used in appropriate and ethical ways, in accordance with the Data Protection Act.

- how the research participant can obtain further information about the project (such as by the provision of work contact numbers/email for the researcher; home contact numbers should not be given)

- whom the research participant can contact if they are concerned about any aspect of how the research was conducted. This would normally be the Head of Research.

If there is too much information on the Information Sheet, there is a risk that participants may not read it. It's good practice to go through it with them orally. You might decide to have a shorter and longer version: e.g. give a summary on the front page and a fuller account on the back.

You should give the research participant a copy of the information sheet to keep.

Consent Forms

Research participants should be asked to give their consent to take part, in writing, on a consent form. The information sheet should be separate from the consent form and the Research Board.

You should ensure that, before written consent is given, the proposed participant has been given the opportunity of reading the information sheet and asking questions about the research. For this reason, sufficient time must be provided between the request to take part and the signing of the document, unless there are specific reasons why this cannot be done.

Exceptionally, it may be unnecessary or inappropriate to seek written consent although this will need to be clearly justified to the Research Board. For example, where you are handing out questionnaires that do not ask probing questions and it is clear from the front sheet what is going to be asked then we can assume that the act of accepting the questionnaire implies consent by the respondent. There may be other situations too where provision of an information sheet would be sufficient. Where, for good reason, written consent is not sought, you must still ensure that you give proposed research participants sufficient time to read the information about the research and ask questions.

Please note: If you want to perform interviews or observation without consent you need to provide a justification that relates directly to your project. It is not sufficient to quote guidelines stating that such an approach can be appropriate, without showing why it is necessary in the specific context of your project.

Active v passive informed consent

Passive consent is usually seen as an 'opt out' procedure – in other words, if you don't act, or don't reply to a request for consent, or keep silent, then you are assumed to have given consent. Alternatively, for research with children, parents are assumed to have consented to their child's participation unless they send in a form specifically refusing it.

Active consent is usually seen as an 'opt-in' process: you have to act, respond to a request, or say 'yes' in order for your consent to be assumed. Parents would have to send in a consent form in order for their child to take

part in your study.

It is usually seen as preferable to obtain active consent, but there is debate about this (for example, it is often the case that non-response to requests for consent do not imply a refusal to take part, but a non-engagement with the request, for whatever reason). It is up to researchers to exercise their judgement, having read the suggested articles and guidelines in this Appendix. If in doubt please do discuss with the Head of Research.

Please see, for further reading:
https://www.researchgate.net/publication/8430898_Active_and_passive_consent_A_comparison_of_actual_research_with_children