

University of York Department of Archaeology Ethics Form

To be used for:

- Small scale evaluation & audit work
- Non-invasive research
- NOT INVOLVING VULNERABLE GROUPS such as:

x Children

x Those with learning disabilities

x People with mental impairment due to health or lifestyle

x Those who are terminally ill

x Vulnerable elderly

x Recently bereaved

x Those unable to consent to or understand the research

x Where research concerns sensitive topics / illegal activities

x Where deception is involved

x Any research requiring a Criminal Records Bureau check

IF YOUR RESEARCH INVOLVES THE ABOVE GROUPS YOU MUST SUBMIT A FULL APPLICATION TO AHEC: <https://www.york.ac.uk/hrc/ahec/>

The name, username and photo associated with your Google account will be recorded when you upload files and submit this form. Not **colleen.morgan@york.ac.uk**? [Switch account](#)

***Required**

Name of Applicant *

Your answer

Email Address: *

Your answer

Telephone Number:

Your answer

Is this a collaboration with another researcher? *

☐ Yes

☐ No

Staff/Student Status *

- ☐ Staff
- ☐ Postdoctoral Researcher
- ☐ PhD Student
- ☐ MSc/MA Student
- ☐ Undergraduate Student
- ☐ Visiting Researcher

Supervision

Name of 1st Supervisor *

Your answer

Email address *

Your answer

Name of 2nd Supervisor

Your answer

Email address

Your answer

Project Details

Title of Project *

Your answer

Project Start Date *

Date

mm/dd/yyyy

Duration *

Your answer

Is this research under the jurisdiction of any other external ethics board? (e.g. the European commission; Human Subjects Review in the USA)

Your answer

Funded *

☐ Yes

☐ No

Funding Source? *

Your answer

Summary of Research Proposal

Please briefly outline the questions or hypotheses that will be examined in the research *

Your answer

Methods of data collection *

☐ Face to face interviews

☐ Interview via email

☐ Online surveys

☐ Telephone/skype surveys

☐ Focus Groups

☐ Ethnographic Observation

☐ Other:

How many participants will take part in the research? *

Your answer

How will they be invited to take part in the study? *

Your answer

Confirm that you will obtain confirmed consent before subjects participate in the study *

☐ I will provide consent sheets for subjects to sign before participating in the study

☐ I will retain these forms for the duration of the research

Please upload your project information sheet to be given to all participants. *

[ADD FILE](#)

Please upload your informed consent form. *

[ADD FILE](#)

Please upload any additional files.

[ADD FILE](#)

Untitled section

Are the results to be disseminated to the participants? *

☐ Yes

☐ No

How will you be disseminating your results to your participants?

Your answer

Anonymity

In most instances we expect that anonymity will be offered to research subjects.

Please explain out how you intend to ensure anonymity. *

Your answer

If anonymity is not being offered please explain why this is the case.

Your answer

Data collection

All personal and sensitive data must be collected and stored in accordance with the Data Protection Act 1998 and the University's research data management policy

<https://www.york.ac.uk/library/info-for/researchers/data/storing/>

The University's research data management policy is applied to research undertaken by postgraduate research students and research staff only. This suggests retaining data for a period of 10 years.

Although data produced by taught postgraduates does not therefore need to be retained under the current policy we do recommend that you store the data for a minimum period of 2 years.

Please detail the types of data you will be collecting. *

- ☐ Interviews
- ☐ Questionnaires
- ☐ Audio recordings
- ☐ Video recordings
- ☐ Photographs
- ☐ Notes/ethnographic observations
- ☐ Other:

Where will the data be stored electronically? *

- ☐ Password protected laptop
- ☐ Password protected PC
- ☐ GOOGLE drive with no sharing enabled
- ☐ Encrypted folder on hard drive
- ☐ Other: _____

Where is the data to be stored in paper form?

- ☐ Locked filing cabinet
- ☐ Other: _____

At what point are you proposing to destroy the data, in relation to the duration of this project? *

- ☐ Two years after the research is turned in (ie a dissertation)
- ☐ Two years after the research is published
- ☐ Ten years after the research is completed
- ☐ Ten years after the research is published
- ☐ Other: _____

How will you destroy this data? *

☐ Secure delete it electronically

☐ Shred the paper forms

☐ Other: _____

If you are sharing your data with others outside your department, what steps are you taking to ensure that it is protected? *

☐ I am not sharing the data with others

☐ Sharing via password protected Google Drive

☐ Sharing via encrypted file sharing

☐ Other: _____

If the data is to be exported outside the European Union, what steps are you taking to ensure that it is protected? *

☐ I am not exporting it outside the EU

☐ I will comply with the Data Protection Act 1998 requirements

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

Risks to participants (e.g. emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information) The answer of "none" will not be accepted. *

Your answer

Risks to researchers (e.g. personal safety, physical harm, emotional distress, risk to accusation of harm/impropriety, conflict of interest....) The answer of "none" will not be accepted. *

Your answer

University/institutional risks (e.g. adverse publicity, financial loss, data protection....) The answer of "none" will not be accepted. *

Your answer

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....) *

Your answer

Please draw our attention to any other specific ethical issues this study raises. *

Your answer

Ethics checklist

Please confirm that all of the steps indicated below have been taken, or will be taken, with regards to the 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
- ☐ All data will be treated as anonymously as possible and stored in a secure place
- ☐ All relevant issues relating to Data Protection legislation have been considered
- ☐ 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 future 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/>)
- ☐ 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

Please explain in the space below, why if any of the above items have not yet been confirmed:

Your answer

Are there any issues that you wish to draw to the Committee's attention? It is your responsibility to highlight any ethical issues that may be of perceived or actual interest.

Your answer

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 in the previous section. In conducting the project, the research team will be guided by the RCUK Ethical Guidelines for research:

<http://www.ethicsguidebook.ac.uk/Research-Council-funding-122>

Type your name to sign the document *

Your answer

A copy of your responses will be emailed to colleen.morgan@york.ac.uk.