



Council for British Research in the Levant

Research Manual

Policies and procedures

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1. Introduction

Dear researcher,

Welcome to the CBRL research community. If you have been sent this document, it is because you have recently been awarded funding, a staff position, or are a team member on a project partnership with CBRL. Congratulations! We also make this document available on the CBRL website for researchers considering making an application to CBRL.

This document should be read in combination with the terms and conditions of your award (or, if you are an employee, with the terms and conditions of your employment). No matter where you are based, we hope that this document will act as a helpful resource for your research activities.

Policies and procedures can be boring, but we urge you to make sure you understand our approach and requirements. As a network and organisation, we have decades of experience in the Levant, informing our understanding of what constitutes best research practice here. This document is an attempt to pass on this experience to enable you to achieve the results you are looking for while safeguarding yourself, your informants and CBRL. Where we place restraints on what you can do, it is because of ethical, legal, or safeguarding concerns, not because we want to limit your academic freedom. We want to empower you as a researcher.

If you have not already done so, you will need to get in touch with us about your project ethics and risk assessments. More information can be found in this document.

Please do note that although it is a requirement of your award terms and conditions that you comply with this document, you remain an independent researcher (notwithstanding our award and the support we offer in this manual).

We look forward to meeting you and learning more about your work.

With warm wishes,

The CBRL Research Committee

2. Scope

This document concerns the CBRL funded research activities of all CBRL staff, fellows, grant holders and project partner/affiliated organisations, collectively known as “CBRL researchers”.

For CBRL’s general codes of conduct and policies please refer to the CBRL website [here](#). The guidelines given in this manual relate to the conduct of research.

At present, the types of research carried out in CBRL’s name include: research conducted by CBRL staff (using CBRL or external funding); funded research projects where CBRL is an official partner; and CBRL-funded projects and individuals. Unless CBRL notifies you otherwise, this manual will also apply to other research carried out in CBRL’s name. CBRL affiliated projects should also have their own policies and procedures in place, to be agreed on a case by case basis.

For all other definitions please refer to the UKRIO Concordat to Support Research Integrity [Annex A: Definitions](#) (page 18).

3. Research Governance

3.1 Overview and purpose

CBRL researchers who are not CBRL employees will have a separate institutional base – a university or research organisation, and may be subject to the codes of conduct and policy guidelines of that home institution. Nonetheless, their position as a CBRL researcher or affiliated researcher means that their activities and publications are also subject to CBRL’s policies.

As a long-term presence in the Levant, CBRL is home to considerable expertise about conducting and publishing research in and about the region. Although CBRL does not purport to act as an institutional base for researchers (other than staff), we do hope, where possible, to offer access to that expertise including local knowledge and networks.

CBRL’s mission is *to advance knowledge and understanding of the peoples and cultures of the Levant*. Our vision is *for research in the humanities, social sciences and related fields to make the fullest possible contribution to fostering knowledge and understanding of the Levant, for the common good*. Details of our core activities and values can be found on the CBRL website: [What we do - CBRL](#). Details of our statement of principles and policies are on the CBRL website at: [Policies - CBRL](#).

In 2021, CBRL revised its research themes, as follows:

1. Heritage - 'Understanding the past ... and its present impacts'
2. States, societies and cultures of the Levant
3. Cities and urbanisation
4. Refugees, migration, displacement, and diasporas
5. Challenges of sustainability and resilience

Details of indicative sub-topics are available on the CBRL website: [Research themes - CBRL](#), but they are not meant to be limiting. Disciplinary and interdisciplinary approaches are equally encouraged in the research CBRL supports.

The purpose of this document is to clarify what that relationship with CBRL looks like in practice, who you are answerable to, what is expected of you, and what support you can expect from CBRL. As such, Research Governance is defined as the processes and policies that define the relationship between the researcher, the lead contact or manager at CBRL, and CBRL as an organisation. While researcher relationships are often mutually beneficial, friendly, semi-formal and long-term, all of which CBRL recognises as positive, formalising the relationship for the duration of the researcher’s project provides important clarity around responsibility, process and best practice.

3.2 Policy details

3.2.1 Relationships

Research governance formalises the relationship between the researcher, their CBRL lead contact, CBRL as an organisation and (where applicable) the researcher's home institution. In most situations, the "organisation" of CBRL will be represented by the Research Committee.

3.2.2 Lead contacts

You will be designated a lead contact. This is the person at CBRL who knows about your project. In the majority of cases, your lead contact will be the CBRL Institute Director at either the Kenyon Institute or the British Institute in Amman. Details of the Institute Directors can be found [here](#). In the case that you are a CBRL Institute Director, your lead contact is the Chair of the Research Committee. In some cases, your lead contact might also bring in a secondary contact (for example if someone else within CBRL has useful or appropriate knowledge, or capacity).

If you need advice or guidance, your lead contact is the person to ask in the first instance. You are encouraged to get to know your lead contact and take an active interest in the Institutes during your time as a researcher with CBRL. Your lead contact will seek to offer such support as they are able to but do remember that they are not supervising your project, and have other priorities and workloads – amongst other things, they run the Institutes and conduct their own research. Therefore, although we hope that your lead contact will be able to offer you support, you should not place reliance on this, and you remain responsible at all times for taking steps to identify the risks that may arise during the course of your work and taking steps to mitigate them.

You should keep in touch with your lead contact about your project. Where reasonably possible, they should know roughly where you are, when you are travelling and if you make any significant changes to your research design. This is important so that CBRL is kept informed of researchers plans, to ensure that awards are being appropriately used in line with CBRL's charitable objects, and your award terms and conditions.

3.2.3 Research Committee

The Research Committee is one branch of CBRL's governance, with oversight of all research activity. The Committee is made up of academics and experts in various disciplines, all with some focus on the Levant. The Committee meets at least four times per year, and they are already aware of your work, because they were part of the application assessment process.

The full list of current Research Committee members can be found on our website at [Governance - CBRL](#).

If you need to contact the Research Committee regarding your project or the terms of your grant, please write to the Executive Assistant. Contact details can be found in section 12.

3.2.4 London office

The London office is located inside the British Academy and is the UK base for a small team of support staff. CBRL is one of eight British International Research Institutes (BIRIs) who share offices there. Currently, CBRL and six of the BIRI receive significant government funding through the British Academy, via the UK's Department for Business, Energy and Industrial Strategy (BEIS).

During your time with CBRL, you will be required to submit a report, publication, lecture or podcast as part of the terms of your award or employment, and this may be organised in collaboration with the London office or through the Institutes. The London team coordinates events and conferences, produces newsletters, runs our social media platforms, and helps to manage our relationships with the British Academy and UK funders. You are welcome to reach out to the team at any time with ideas, requests, or just to introduce yourself. Please find a list of contacts in section 12 and see the CBRL website: [Staff - CBRL](#).

3.2.5 Home Institution

Unless you are employed or solely funded by CBRL, you will have a home institution – likely a research organisation or university. If this is the case, then the primary responsibility for oversight of your project lies with that institution. Nonetheless, you are expected to understand and comply with CBRL's codes and policies on ethical research practice, outlined in this document, and to comply with this document and your award terms and conditions. In the unlikely event that there is any conflict between the requirements placed on you by CBRL and any requirements place on you by your home institution, please raise this with your lead contact.

3.2.6 Mentorship and support

As an employee or grant holder, you are part of the CBRL network, and we hope to offer you a level of access to CBRL's resources, including support, advice and mentorship during your funded activities or employment. CBRL hopes to help you to form working relationships which last throughout your career and will in turn add to CBRL's support network. However, as you will appreciate, CBRL offers this support to researchers who are not staff as a gesture of goodwill and in support of our shared goals, and you should not place reliance on receiving this support; in most cases, we would expect that your home institution would primarily offer you support.

Individuals within CBRL may also reach out to you if your knowledge and expertise would be useful or helpful to them and their work. While you have no formal

commitment to CBRL after your funding or employment ends, it is hoped that you will continue to engage with the network in the spirit of collaboration and partnership.

You are invited to keep in touch with CBRL through continuing your membership, attending events online, at the Institutes and in London, as well as receiving and contributing to the monthly e-newsletter and annual Bulletin. CBRL publishes two peer-reviewed journals, [Levant](#) and [Contemporary Levant](#), and you are encouraged to consider publication of your research in these venues. We also publish archaeological monographs. Prospective authors are encouraged to contact the Editors to discuss potential submissions.

3.2.7 Complaints

Any complaints should be directed to your lead contact in the first instance. If your complaint concerns your lead contact, or you are uncomfortable discussing it with your lead contact, you should contact the Research Committee Chair. If you are unhappy with the Research Committee, you should write to the CBRL Chair or Executive Assistant. A list of key contacts can be found at the end of this document.

If your complaint concerns a safeguarding issue, for example bullying, discrimination, harassment, or sexual abuse, you should contact the Safeguarding Lead. For more information, please see [CBRL's policies](#) and the list of contacts at the end of this document.

4. Research Ethics

4.1 CBRL Research Principles and Integrity

CBRL's policies and guidelines exist to support scholarship that upholds the highest standards of research integrity, recognising these as fundamental to ethical, sound and sustainable scholarly engagement and production. For CBRL's full [Statement of Principles](#), please see the CBRL website.

In defining the principles of research integrity, we draw upon values consistent with the Concordat to Support Research Integrity¹, and actively seek to foster principles of honesty, rigour, transparency and openness, and care and respect, in all aspects of our work and the research we support.

We hold principles of Research Integrity to include:

- i. *Honesty* in the presentation of research goals, findings, and intentions of research, including the declaration of any possible risk; reporting on the purpose of research, its methods and procedures; the use and acknowledgment of other researchers' work and ideas, ensuring proper citation and avoiding plagiarism; and conveying evidentially-based interpretations;
- ii. *Rigour*, in line with prevailing disciplinary norms and standards in: performing research and using appropriate methods; adhering to an agreed protocol where appropriate; drawing interpretations and conclusions for the research; and communicating the results;
- iii. *Transparency and openness*: in declaring conflicts of interest and risks; in obtaining consent from or on behalf of participants or others affected by the research; in reporting research data collection methods; in the analysis and interpretation of data; in making research findings widely available, including sharing negative results as appropriate; and in presenting one's work to other researchers and to the general public;
- iv. *Care and respect* for all participants in and subjects of research, including humans, animals, the environment and cultural objects. This includes respect for the confidentiality of information supplied by research subjects and anonymity of respondents unless otherwise agreed with research subjects and respondents. It also entails respect for the stewardship of research and scholarship for future generations.

CBRL expects all applicants for funding to indicate whether their proposed research raises any specific ethical issues that would require sensitivity and adherence to specific ethical guidelines and practices. These may include:

¹ The [Concordat to Support Research Integrity](#) was first published by Universities UK in 2012 with an update in 2019. It was developed in collaboration with the funding councils, research councils, the Wellcome Trust and other government departments and seeks to provide a comprehensive national framework for good research conduct and its governance. See [Updated FINAL-the-concordat-to-support-research-integrity.pdf \(universitiesuk.ac.uk\)](#)

- the involvement of human participants;
- the involvement of human remains;
- the use of animals;
- the destructive analysis of historic artefacts;
- the study of artefacts the legal provenance of which is not absolutely secure;
- research that may result in damage to the natural or historic environment;
- the use of sensitive social, economic or political data;
- research conducted in occupied territories.
- The involvement of vulnerable persons including refugees, displaced persons, stateless persons and children.

4.2 Overview and purpose

All research activities raise ethical questions. CBRL requires all its staff, partners and researchers to consider the ethics of their activities, but seeks to do this in a supportive, enabling way. As such the purpose of the code of conduct is to provide policy guidance and support before, during, and after their research activities in the Levant. CBRL funds diverse, transdisciplinary research in a complex region and this document cannot act as a comprehensive guide to all the potential ethical issues that researchers may face during their research activities. Instead, this section outlines CBRL's values and ethical principles, and formalises the processes surrounding considering research ethics.

Above all, CBRL considers best practice to be ethical practice, and this is the best way to ensure successful research outcomes for your project. You must also understand how your behaviours and practices in the region reflect upon CBRL, whether directly or indirectly. Above all, you are expected to operate to the highest ethical research standards and raise any concerns with your lead contact. CBRL seeks to facilitate and guide you towards a reflexive approach to ethical research design and practice. Although you retain responsibility for your ethical practice, you are encouraged to draw on the expertise of CBRL's staff and networks and seek help and advice as part of their commitment to ethical research.

CBRL has a duty to protect its values, but also its position and relationships as an embedded stakeholder in the Levant and is committed to ensuring all research carried out in its name or using its resources is in line with the values and ethical principles as defined in the Ethics Statement. CBRL recognises that what is "ethical" is often contested and contextual, and as such does not see itself as the arbiter of morality in research. CBRL usually only provides research ethics "approval" to its employed staff, but in either case, the researcher is expected to demonstrate that they understand and can demonstrate a commitment to CBRL's ethical principles in their activities.

4.3 Ethical Code of Conduct

This section outlines CBRL's policy on how ethical questions should be considered and recorded by the researcher prior to any research activity.

4.3.1 Relationships

There are many stakeholders in each research project and their needs, rights, dignity and interests should each be considered with regards to ethics. These may include but are not limited to:

- Researcher (self)
- CBRL supervisor/ project contact
- Other CBRL colleagues
- CBRL (as an institution)
- Co-investigators on the project
- Co-funders on the project
- Subcontractors (assistants, drivers, translators)
- Home department/ institution
- Government and governmental agencies
- Participants/ subjects (individual and group)
- Cultural heritage

CBRL requires that researchers record the risk to themselves and others directly involved in the project, but researchers are encouraged to think about ethics more broadly, and consider the positions of each stakeholder.

4.3.2 Documentation

Please refer to the appendix for a blank Ethics Declaration Form. This form must be completed and submitted to CBRL after the award is made and before research commences.

Please note that if you are employed by CBRL you must submit your declaration to the Research Committee and await their response *before* commencing research. Your form will be examined by a member of the committee with expertise in your discipline, and they may wish to have a meeting with you to discuss the ethics of your project in more depth. The Committee meets four times per year, so you are advised to submit this in good time.

Please attach the final version of the ethical approval authorisation provided to you by your research organisation or university.

The declaration form includes a section for the researcher's reflections on the ethics of their own research activities. It is crucial that this section demonstrates that the

researcher has given time and energy to reflecting on the ethical considerations and understands how they relate to CBRL's guidelines and principles.

Research involving people must additionally demonstrate that informed consent will be obtained, and appropriate records kept. Please refer to the appendix for a blank Participant Consent form that can be used as a template.

4.3.3 Conflicts of Interest

In line with CBRL values, researchers should consider how their relationships and interests may lead to bias in their work. Conflicts of interest may be financial, reputational, interpersonal or political, and the relationship or interest may be with individuals, groups of people, communities, organisations or companies. Conflicts of interest may also arise in the relationships and interests of close personal relations of the researcher.

Where conflicts of interest are identified, you must be able to justify these on the basis that any potential benefit to you or your close personal relation are incidental, and not by design. For the avoidance of doubt and in the spirit of transparency, you are encouraged to declare any conflicts of interest that you think have the potential to cause bias or be perceived to cause bias.

Researchers should also consider where potential conflicts of interest might arise over time. CBRL recognises that researcher's relationships and interests will develop as they spend time in the region. If a conflict of interest arises that may affect the independence or perceived independence of the research activities, the researcher is expected to declare this to their lead contact at CBRL or the Research Committee.

CBRL does not permit researchers to conduct research activities which may lead to personal financial gain.

4.3.4 Working with subjects

Researchers working with subjects, defined as all living peoples, animals, and deceased peoples with traceable living relations, must seek informed consent to collect data. Informed consent is defined as consent given verbally or in writing after having been made aware of what participation involves, and possible risks and benefits. The subjects must be allowed to withdraw their consent at any time up to a mutually agreed date after which withdrawal would not be practical. Subjects' contributions should be anonymised, unless justification and evidence of consent can be provided. Unless it is not possible, the subjects must be offered a means to contact the researcher after participation.

The researcher must understand the difference between research data and personal data. Further information can be found within the Data Management Policy, which researchers must comply with.

Researchers must not carry on any kind of invasive procedure on subjects' bodies.

In the case of children, animals, and deceased peoples with traceable living relations, informed consent can be given by a parent/guardian, owner, and relation respectively.

Informed consent should be recorded in writing whenever practical, or verbally as an audio recording. Please refer to the appendix for a Participant Consent Form template.

4.3.5 Working with objects

Researchers working with objects, defined as any non-living material things, non-material things and living plants, including but not limited to: artefacts; plant samples; written documents; digital objects and human remains (no traceable living relations), must seek relevant permissions. Relevant permissions may relate to structures of local or national governance, access and copyright issues, property rights, cultural heritage, and provenance. It is the responsibility of the researcher to understand and navigate these claims and relationships.

Researchers must never steal or take objects. Researchers must not buy objects or borrow objects without relevant permissions. CBRL funds must not be used for the purchase of research objects, books or computing equipment. If you have a query about this please write to your lead contact.

Researchers may not work with or analyse any materials that were excavated illicitly, or in occupied territories.

4.3.6 International legal frameworks and concordats

CBRL acknowledges and endorses the following international legal frameworks and concordats. Researchers should familiarise themselves with these, and where relevant reference them in their ethical declaration.

- [ICOMOS Charter for the Protection and Management of the Archaeological Heritage](#)
- [The Universal Declaration of Human Rights](#)
- [The United Nations 1951 Refugee Convention](#)
- [The Paris Agreement/United Nations Framework Convention on Climate Change \(UNFCCC\)](#)
- [The United Nations Rio Declaration on the Environment and Development](#)
- [UNESCO International Code of Ethics for Dealers in Cultural Property](#)
- [United Nations Declaration on the Rights of Indigenous Peoples](#)
- [1970 UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property](#)
- [1995 UNIDROIT Convention on Stolen and Illegally Exported Cultural Objects](#)
- [2001 UNESCO Convention on the Protection of Underwater Cultural Heritage](#)

- [1954 Hague Convention \(UNESCO Convention for the Protection of Cultural Property in the Event of Armed Conflict\)](#)
- [NAGOYA protocol](#) - The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS) to the Convention on Biological Diversity
- [1967 Protocol Relating to the Status of Refugees](#)
- [UK Data Protection Act](#)

4.3.7 Disciplinary guidelines

CBRL funds research across the humanities, social sciences, and related disciplines and recognises that it is not always best-placed to provide specific disciplinary expertise. As such, CBRL strongly suggests that researchers familiarise themselves with the ethical code of conduct of relevant research organisations, funders or learned societies with a disciplinary focus, *in addition to* the commitments they make to CBRL, and to seek appropriate training.

The following is a list of some professional bodies, research organisations, funders and learned societies:

- [Association of Internet Researchers](#)
- [The British Association for Applied Linguistics](#)
- [British Association for Biological Anthropology and Osteoarchaeology](#) (BABAO)
- [British Educational Research Association](#)
- [British International Studies Association](#) (BISA)
- [British Society for Middle Eastern Studies](#) (BRISMES)
- [British Sociological Association](#) (BSA)
- [Chartered Institute for Archaeologists \(CIfA\)](#)
- [International Council on Monuments and Sites \(ICOMOS\)](#)
- [International Association for the Study of Arabia \(IASA\)](#)
- [RESPECT Code of Practice for socio-economic research](#)
- [Royal Anthropological Institute](#) (RAI)
- [Royal Geographical Society](#) (RGS)
- [Royal Historical Society](#) (RHS)

5. Risk Management

5.1 Background

CBRL exists in a fluid and potentially volatile geo-political context and CBRL-supported and/or sponsored researchers (hereafter 'CBRL researchers') need to be sensitive to circumstances that may change and be ready with contingency plans. CBRL staff are, by necessity, highly aware and adaptive to rapid changes in the local situation and should be able to offer up-to-date advice, but CBRL researchers planning to visit the region should carry out their own risk assessments in addition to seeking CBRL guidance and are required to sign-up for [FCDO travel advice](#) alerts for the Levantine region and other relevant countries. Also, CBRL researchers need to be aware that they carry the word 'British' with them whatever their nationality and that given the UK's complex historical involvement in the region, CBRL as an organisation and as individual researchers, like other Western actors, may be liable to feelings of suspicion or distrust despite our commitment to research of the highest ethical and academic standards.

5.2 Overview and purpose

All research activities involve a level of risk. Risk management as a policy and risk assessment as a process are not intended to remove risk, but to encourage stakeholders in that research activity to consider risk, mitigate, and determine what level of risk is acceptable.

The purpose of this section is to provide policy guidance and support to its staff and funded researchers before, during, and after their research activities in the Levant. This document is not intended to provide a comprehensive guide to all of the potential risks researchers may face during their research activities but outlines the processes and principles that researchers should consider when completing their own risk assessment. CBRL encourages researchers to draw on external expertise – including that of CBRL's staff and networks, as well as other professional bodies – and seek help and advice as part of the risk mitigation process. For specific advice on safety issues surrounding travelling and working in the region, see sections 6. Health and Safety; and 7. Travel, subsistence and expenses.

The purpose of carrying out a risk assessment is to best prepare the researcher for potential problems they may encounter during their research activities. The risk assessment template (appended) is designed to act as a lasting written record of the risk assessment, while the assessment itself is the process of considering and planning for risk.

5.3 Responsibilities

CRBL assumes no liability for your health, safety, security or travel arrangements, and it is important that you acknowledge that whilst CRBL is able to act as a resource, it is not intended that you (or your home institution where relevant) should rely on CRBL to provide advice or guidance in relation to the nature or likelihood of any risks that may or may not be foreseeable in connection with your research (including transportation, travel documentation, health, insurance, safety and security, evacuation or repatriation or the legality of research in the proposed location).

You are responsible for identifying and mitigating any risks associated with the your research and must undertake a comprehensive and detailed risk assessment covering relevant areas.

You should also complete and sign a Risk Assessment Form, acknowledging the existence of risks identified and the steps that ought reasonably to be taken in order to eliminate or reduce those risks to an acceptable level; and you should agree to fully assume all of the risks that will or may be associated with the research activities and fully release CBRL from any and all liability in connection with them, to the extent that you are lawfully able to do so. If you have already completed a Risk Assessment and had it approved by your home institution, you should send this to CBRL. Please note that CBRL will not hold responsibility for approving your risk assessment unless you are an employee of CBRL.

5.4 Policy details

This section outlines CBRL's policy on how risk should be considered, mitigated and recorded before research activity begins.

5.4.1 Documentation

Please refer to Appendix 1 for the Risk Assessment template. The Risk Assessment should be recorded and submitted to your lead contact after the award is made and before research commences.

5.4.2 Objectives

The researcher should identify, assess and mitigate risks they may encounter during their research activities. The researcher should bear in mind:

- Transparency
- Safety and security
- Preparedness

5.4.3 Identifying risks

Researchers are responsible for preparing a comprehensive and detailed risk assessment and for identifying those risks that may be associated with their research

activities. CBRL cannot provide a full list of potential risks across its geographic and disciplinary research activities but researchers are encouraged to engage with CBRL staff and networks to draw on their expertise in the region. Researchers should also consult with other stakeholders to understand their perspectives on potential risks. The researcher should bear in mind the different types of risk may include but are not limited to:

- Physical
- Reputational
- Psychological
- Financial
- Legal
- Political
- Social

5.4.4 Assessing Risks

For each potential risk, the researcher should consider the possible outcomes and decide how likely each of these is to occur:

- Highly likely/ probable
- Somewhat likely
- Somewhat unlikely
- Highly unlikely/ improbable

The researcher should also consider the severity of each outcome:

- Severe risk
- High risk
- Medium risk
- Low risk

5.4.5 Mitigating Risks

For each potential risk, the researcher should consider what factors are within their control. There are four main ways to mitigate risk:

- Avoid
- Reduce
- Monitor
- Accept

The researcher should consider how strategies to mitigate risk can lower risk in terms of likelihood and severity to an 'acceptable' level.

While CBRL is able to act as a resource for researchers, it is not intended that researchers should rely on CBRL to provide advice or guidance in relation to the nature or likelihood of any risks that may or may not be foreseeable in connection with the fellowship or research design or in relation to steps that might reasonably be taken to remove, reduce or otherwise mitigate them: researchers alone are responsible for identifying and mitigating said risks.

5.4.6 Declaring Risks

It is important for the researcher to be transparent, and not to see the risk assessment as a “box-tick” exercise, but rather a supportive and enabling process. Declaring the risks inherent in the research activity will allow the researcher to start a discussion with CBRL staff and advisors about which risks are acceptable, which are not, and how risk might be better mitigated in specific contexts.

Your risk assessment should be completed in discussion with your lead contact and sent to them before commencement of any research activities. A template is included in the appendices of this document. Unless you are a CBRL employee you will already have completed a risk assessment for your project for another institution or organisation. You should send this and proof of approval to CBRL. Please note that CBRL will not hold responsibility for approving your risk assessment unless you are an employee of CBRL.

5.4.7 Example Scenarios

Researchers may find the following example scenarios useful to think about risk, and how to identify, assess and mitigate it.

Researcher A has travelled to a small remote village X, after her departure is delayed due to finalising some papers. It is late evening when she arrives. She has been given the address of village X's only homestay accommodation, but when she arrives, she discovers the family are not there due to a sudden tragic death of a relation and the homestay has been locked up. Both she and her driver now have nowhere to stay for the night. She has previously agreed with her lead contact that in an emergency, she should travel back to the nearest town where there are suitable hotels. She knows that she will be allowed to use her grant to cover the additional fees and accommodation costs for her and her driver.

Researcher B has been living and working in Z city for ten months, when rules around curfew and travel are suddenly changed because of the sudden implementation of restrictions to reduce the spread of a highly contagious virus. There are two months left on the project, but the new restrictions mean that Researcher B's participants' daily routines are sufficiently altered that they no longer have time to engage in the project within curfew hours and commercial flights out of the country may be

suspended in a few days. Researcher B has stable accommodation for the next two months, so after consulting their lead contact, decides to stay put and await further advice from the Foreign, Commonwealth and Development Office.

Researcher C is volunteering for an organisation while conducting research. The partner organisation has international recognition, is aware of the activities of the researcher and there is a mutual agreement between the parties on ethics and use of data, but the research topic is highly sensitive involving minority human rights. A neighbour close to where the researcher is living becomes suspicious and informs the secret police. Researcher C is called in for questioning but has prepared for this eventuality by making sure they have an in depth understanding of the government's position on the topic, and access to the partner organisation's legal team. The police issue a caution and demand certain phrases are removed from the interview questions.

Researcher D is studying Arabic and conducting research on art and resilience in the occupied Palestinian territories and must pass through border checks frequently. The researcher has a planned travel break but has been aware that the political situation is growing increasingly tense and that it may not be possible to return. He is considering whether to leave the field entirely and the impact this will have on his original research plans. In consultation with his lead contact, Researcher D decides to move his project timeline forward and complete his research activities, and they agree that if the political tensions escalate any further, he will have to leave the area immediately. He makes sure he has a travel plan to get back to the Institute in East Jerusalem at short notice.

6. Health and Safety

6.1 Overview and purpose

Researchers must consider health and safety questions ahead of their research activities, and CBRL itself has a responsibility not to provide awards to researchers who have not done so, as this could risk CBRL's awards being used for dangerous or harmful activities. CBRL recognises that health and safety are relative concepts, mediated by illness, disability, gender, age, race, class, nationality, sexuality and other intersecting categories.

CBRL can only provide guidance, and the researcher must take responsibility for their health and safety, and not compromise on these for the benefit of their research.

6.2 Policy details

This policy is intended to complement and not supersede any other health and safety policy that you are already covered by; as an employee, student or representative of another institution, and therefore to the extent there is any conflict between those policies and this policy those policies shall prevail. Researchers participating in activities within or in collaboration with an organisation, centre or research project must additionally make sure they understand the specific health and safety policies and procedures in that context.

6.2.1 Legal framework

CBRL staff are covered by the UK Health and Safety at Work Act 1974, details of which can be found in the Staff Handbook.

Each Institute has its own health and safety processes and visitors are required to familiarise themselves with these, especially the fire safety and natural disaster guidance.

Researchers must carry out a risk assessment before embarking on any research activities, as outlined in the Risk Management Policy.

6.2.2 Health

Researchers should discuss existing mental or physical health conditions with their medical practitioners or carers before committing to research activities. They should also consider these from the perspective of risk, ethics, and safeguarding, and raise any concerns with their lead contact and relevant documentation.

Since March 2020, the Coronavirus pandemic has significantly affected worldwide travel and possibilities for fieldwork. This is an on-going, fluid situation and

researchers are advised to check Covid-19 guidance with the UK FCDO, local advice, their lead contact, and if relevant their home institution, before arranging research activities.

In the event that your mental or physical health is harmed or deteriorates during the research activities, you should make immediate arrangements to access the most appropriate medical care. It is CBRL's position that you are best placed to judge your own needs, but you should not hesitate to ask for advice and support from CBRL staff if you feel this would be beneficial.

You should take reasonable steps to mitigate risks to your own health. Examples of best health practice for researchers include:

- Carrying spare prescription medicine on a trip;
- Checking all relevant vaccinations are up to date;
- Carrying basic medical and first aid supplies;
- Understanding which viruses, illnesses and pandemics are present in the region;
- Following local healthcare advice;
- Researching the local healthcare system and identifying nearby healthcare centres;
- Holding an up-to-date 'First Aid' qualification.

6.2.3 Safety

During your research activities, safety should be thought of in terms of potential hazards posing potential risks to the safety of you, your contacts and participants. These should be carefully considered as part of the risk assessment procedure. Some common examples of best safety practice for researchers include:

- Consulting the UK Foreign, Commonwealth and Development Office advice and local guidelines and/or the equivalent from the countries where you hold citizenship;
- Carrying the contact details of your embassy or consulate;
- Understanding local laws and how they differ to the UK, for example with regards to political activism, sedition, alcohol and drug use, harassment, and sexuality;
- Meeting subjects in public spaces;
- Travelling with a trusted chaperone, who may also act as a gatekeeper, driver, assistant or translator;
- Making sure a trusted contact is aware of your location;
- Considering self-presentation according to local conventions;
- Making sure your language skills are adequate;
- Using recommended travel and accommodation options.

Please note that all CBRL researchers are required to sign up to receive FCDO travel advice alerts by email for the relevant national context(s).

6.2.4 Contexts of conflict

Structures of conflict and occupation are prevalent, to varying degrees, throughout the region. This is the case in many parts of the world, and CBRL does not intend to perpetuate the narrative that the Middle East is especially or uniquely ‘dangerous’. However, there are particular, and fluctuating, circumstances that any researcher will need to be aware of when considering their health and safety.

In CBRL’s experience, researchers can generally work in the Levant in a safe manner by paying very careful attention to the contemporary geopolitical circumstances. However, it is recommended that researchers pay close attention to current affairs, regardless of your discipline, and develop an in depth understanding of the political history of the region. It is also recommended that any trip away from the Institutes is discussed with your lead contact.

Researchers should consider how your identity can and will affect your experience. Your nationality in particular, but also your religion, race, gender, age, sexuality and other characteristics will impact your interactions with other individuals, but also the authorities. For example, if you have concerns about how your national identity might affect your safety, you should discuss your research with your embassy or home institution. CBRL may be able to put you in touch with an academic who shares your nationality to discuss experiences.

6.2.5 Insurance

All researchers are required to take out their own health and travel insurance, either personally or via their employing institution, except in the case of CBRL staff where individuals will be added to CBRL’s existing organisational policy, subject to confirmation of the insurers. It is your responsibility to make sure you understand your insurance arrangements and always carry relevant documentation with you.

CBRL also has public liability insurance at its Institutes, but this does not impact the requirement on researchers to take out their own insurance where relevant.

6.2.6 Reporting

Unforeseen health and safety concerns may arise during your research activities. You are not required to disclose health and safety issues unless they significantly impact your ability to carry out your research activities as planned. However, we encourage you to keep in touch with your lead contact at CBRL as they may be able to provide support. Your experiences may also be of use to others within the CBRL network, and so any information you are willing to share would be appreciated.

7. Travel, subsistence and expenses

7.1 Overview and purpose

The purpose of this section is to outline CBRL's general policy on travel and subsistence, including guidance around planning and paying for the trip. CBRL stresses that the health and safety of its researchers must always come first, and that accessibility is key. CBRL wants to empower researchers to carry out the best possible research, and as such the policies on travel and subsistence are permissive, so long as researchers record and justify their spending at every stage.

CBRL cannot anticipate every possible difficulty or cost that researchers might encounter and researchers are therefore encouraged to both consult with CBRL advisors and to use their own judgement.

7.2 Policy details

This is the general policy for CBRL researchers on travel and subsistence. Each type of award may have additional limitations on spending, which are outlined in the terms and conditions. CBRL staff may have additional guidelines to consider which are outlined in the staff handbook.

7.2.1 Spending

CBRL retains the right to ask for details of researchers' spending at any time. Costings should be recorded and where spending is above relative value for money, justification should be given.

Funds cannot be spent on travel and subsistence for another person except where there are care requirements. This should be raised with your lead contact.

Funds can be 'topped up' with the researcher's own money if the use of CBRL funds is carefully recorded and justified. The funded research project must be the primary reason for the travel except in the case of emergencies.

The researcher should consider their position as a consumer or temporary employer in the local economy.

If you are unsure about how you may use your CBRL funding, or a situation arises that is not covered by this document, please consult your lead contact before spending.

7.2.2 Accommodation

CBRL does not place any limit on the accommodation choices of its researchers in acknowledgement of varied access needs. However, researchers should be able to

explain and justify their accommodation choices on grounds of need or necessity. Researchers should spend as little of their grant as possible to be comfortable and safe.

The Kenyon Institute offers short- and medium- stay accommodation, availability dependent. Researchers should consider this when travelling to East Jerusalem. Both institutes have considerable local expertise and maintain a list of recommended accommodation options in Jerusalem and Amman, though it is not a requirement for researchers to stay at recommended accommodation. Although researchers should not **rely on the Institutes' recommendations and remain responsible for identifying and mitigating risks** that may arise during their research, including in connection with accommodation, researchers are encouraged to plan their trips in conversation with their network at CBRL.

AirBnb and other similar rental marketplaces are permitted but researchers are encouraged to research all options.

7.2.3 Subsistence

CBRL funds can be used for any reasonable subsistence needs including meals, new medical or health costs, parking and toll costs, and insurance (individual insurance for the researcher should be covered by the employing institution). Researchers should be able to justify relative value for money. CBRL does not offer a flat per diem rate as living costs vary greatly across the region, and records of spending must be itemised.

7.2.4 Public transport

Public transport (including some private bus services) in the Levant is generally considered to be safe and an appropriate option for researchers where it is available. Researchers are encouraged to consider public transport in the first instance. Researchers are expected to travel in the standard or economy class where possible. CBRL staff will be able to provide advice on local timetables and routes.

7.2.5 Private transport

CBRL recognises that private transport is often the only way for researchers to travel for a variety of reasons, and as such does not prohibit the use of CBRL funds to arrange private hire transport.

The researcher should consider their position as a creator of employment when hiring a private driver. Uber and other similar ride hailing systems are permitted but researchers are encouraged to research all options.

It is not permitted to use CBRL funds to purchase a vehicle.

7.2.6 International borders

Researchers should book economy class flights unless there are exceptional circumstances, such as access needs or better value for money.

CBRL cannot sponsor visa applications, but CBRL funds can be used to pay for visa services.

Where it is expected that foreigners or researchers pay a premium for visa processing or border crossing service, this is acceptable.

In certain circumstances, researchers may wish to secure letters of invitation prior to travel / commencing research. Please consult your institution and/or CBRL lead contact prior to crossing an international border.

7.2.7 Research Assistance

Unless prohibited in your terms and conditions, funds can be spent on research assistance. This may take many forms, including:

- Data gathering
- Translation services
- Transcription services
- Driving

Research assistants cannot help with analysis or writing without being brought onto the project as a co-investigator. All assistants should be acknowledged in any publication that results from their work. If you are unsure what you can ask an assistant to do, please check with your lead contact.

It is CBRL's view that many researcher – research assistant relationships in the region are too informal and, at times, exploitative. The researcher should seek to employ an assistant through a recognised agency or institution, pay the standard local rate for the service, make the duties and responsibilities explicit before commencement of the work, and secure any necessary insurance cover for their employee. Researchers must consider their position as a temporary employer and how the assistant might view the role as a potential for future opportunities and working relationships. It is acceptable, and encouraged, that the researcher provides mentorship and advice within this working relationship, but the researcher is responsible for making sure the assistant is not working under false pretences.

7.2.8 Example scenarios

Researcher E is travelling from Jordan to visit the Kenyon Institute in Jerusalem. She has a Lebanese entry visa in her passport. Her CBRL lead contact advises her that this may attract additional questioning at the King Hussein / Allenby Bridge so to be

prepared to answer questions on this at the border, and that this may cause a delay to her journey. She is informed that she may wish to consider the VIP service to cross as she is travelling alone, and that the extra cost may be justified in this case.

Researcher F is renting separate accommodation with a family during his fieldwork, and is accepted as a 'brother' to the family's grown-up and unmarried sons. One son is unemployed and enjoys discussing with him with his research, which he finds interesting. Researcher F is doing his own transcriptions of interviews, but is getting behind and the son offers to help. Researcher F politely declines and decides he will get professional assistance for transcription.

8. Safeguarding

8.1 Overview and purpose

Everyone involved in research has an ethical responsibility to prevent abuse and exploitation from taking place. CBRL recognises that abuse and exploitation can take place in any situation of power imbalance, not just where ‘vulnerable’ individuals are present, and that such power imbalances are often present in researcher-participant relationships. With that in mind, CBRL takes seriously its responsibility to ensure safeguarding is embedded in all research that it facilitates and funds. As such, CBRL expects its researchers to centre safeguarding and ethical practice in their projects.

The purpose of safeguarding is to prevent harm. The purpose of this section is to help researchers understand how, where, when and why abuse might take place, how to prevent it happening, and what to do if it does happen.

8.2 Policy details

Researchers should carefully consider the relationships that they have with their participants and contacts from a safeguarding perspective.

8.2.1 Relationships

Researchers should consider the relationships between everyone who will be involved in the research activity, who will have contact with whom, and how those relationships might have power imbalances that could create safeguarding concerns. This includes:

- Researcher (self)
- CBRL supervisor/ project contact
- Other CBRL colleagues
- Co-investigators on the project
- Project facilitators (including contractors, assistants)
- Participants/ subjects (individual and group)
- Cultural and material heritage

8.2.2 Types of abuse

There are many types of abuse and exploitation that researchers should be aware of:

- Rape and sexualised abuse
- Bullying and harassment
- Financial exploitation
- Criminal exploitation
- Physical violence
- Destruction or damage of property

- Psychological or emotional abuse
- Modern slavery and trafficking
- Kidnapping and unlawful detention
- Discrimination
- Disrespect
- Neglect

The researcher has a responsibility to ensure that their participants do not experience any of these as a result of their research, whether from themselves or from others.

8.2.3 Contexts of abuse

Apart from a general commitment to conducting ethical, safe research, CBRL asks that researchers pay special attention to the following concerns that may arise in their research. These should all be considered in terms of ethics and risk management.

- Researcher-participant relationships: are inherently structured by a power imbalance;
- Sensitive or emotive topics: may come up in interviews;
- Professional-personal relationships: can become blurred over time;
- Working alone: can more easily lead to situations where there is limited accountability or answerability.

8.2.4 Safeguarding measures

There is considerable overlap between planning ethical research, risk mitigation and safeguarding techniques. Some general principles apply here:

- Ensure participation is on the basis on informed consent;
- Maintain confidentiality and anonymity;
- Meet in public or semi-public places;
- Treat people with dignity and respect.

8.2.5 Equality, diversity and inclusion

CBRL believes centring the principles of equality, diversity and inclusion in research practice produces more ethical, more rigorous research and expects its researchers to ensure that their participants and contacts feel they are respected regardless of their identity or characteristics. Researchers are asked to carefully consider whether their research design or personal implicit biases might lead to discrimination on the basis of:

- Religion or belief
- Age
- Gender
- Sexuality or orientation
- Marriage or relationship status

- (Dis)ability
- Pregnancy or maternity
- Race
- Nationality
- Class
- Caste
- Wealth

Please note that this does not prevent research from having a focus on a specific group or community, where the reason for the inclusion or exclusion on the basis of identity or characteristics is clear in the research design.

8.2.6 Young people and adults at risk of harm

When working with young people or adults at risk of harm, all of the same safeguarding principles apply, but the potential for abuse is far greater as the power imbalance increases. CBRL does not recommend and will not fund research activities that focus on young or at risk participants, as the risk of safeguarding violations is too high. There are very few exceptions to this rule, but researchers should contact the Research Committee if they think they can conduct safe, ethical research with young or at-risk participants, for example in collaboration with a local partner organisation. The Committee may conduct its own ethical review, and may ask for proof of ethical approval from another recognised research organisation or university.

Adults at risk of harm can be identified as people who require care or have previously suffered abuse. This might include:

- People at risk of harming themselves or others
- People with disabilities
- People with learning disabilities
- People with mental health conditions
- Older people
- People who have experienced physical or sexual violence

CBRL researchers should never offer or agree to provide care to children or adults at risk of harm.

8.2.7 Refugees

Researchers working in the Levant are likely to encounter people who are classified as refugees, as most of the world's refugees are in the Middle East. Refugees might refer to people who have been displaced from their home nation or region for many reasons including conflict, hunger, poverty, persecution, drought, and climate change. They may also be identified as asylum seekers, detainees in migrant camps, internally displaced persons or stateless persons.

Working with refugees has particular ethical and safeguarding concerns. These will inevitably vary depending on the research design, but will likely include careful consideration of their legal and economic precarity, marginalisation and disenfranchisement, and emotional, physical and psychological trauma. According to the principle that wherever there are power imbalances there is the potential for exploitation and abuse, refugees are extremely vulnerable in this regard. For such projects, researchers are advised to consult the code of ethics adopted by the International Association for the Study of Forced Migration (IASFM).

CBRL recognises that the ethics and safeguarding of working with refugees is a rapidly developing field of research in its own right, and any project proposing to work with refugees will be subject to particular scrutiny by the Research Committee. Except in specific circumstances, CBRL will only fund work with refugees that has the oversight of a research institution or university, has local partners advising or gatekeeping on the project, and researchers have had specific training and relevant criminal record checks.

8.2.8 Reporting

If you discover or are made aware of an incident of exploitation or abuse, you must report it. In the event that you have a reasonable concern that the law has been broken or there is immediate danger to an individual or structure, you must contact the local authorities or emergency services. In the event of actual, attempted or threatened abuse by CBRL staff or representatives, towards you or someone else, you are advised to contact the local authorities and the UK authorities. You must also contact the CBRL Safeguarding Lead who will be able to advise you on next steps.

Committing, attempting to commit or threatening to commit any type of exploitation or abuse is additionally considered to be scientific misconduct and should be reported to the Research Committee. For more information on the reporting procedure please refer to section 11.2b Reporting Misconduct and 3.2g Complaints.

9. Data Management

9.1 Overview and purpose

Data management refers to the gathering, handling, storage and use of data. Data is defined as any recorded piece of information or evidence. Data might be central to the research, or personal to the participants. Researchers must carefully consider what data they are collecting and storing and be able to justify this, in line with CBRL's ethical guidelines.

Good data management protects the researcher, the institution and the research participants from accidental malpractice or misuse by third parties. This section provides a guide for researchers on how to treat data in terms of collection, storage, use, access and dissemination. In the digital age, data protection and information security are central concerns.

9.2 Policy details

This policy outlines the different types of data that researchers will encounter, and outlines CBRL's requirements for researchers regarding the collection, storage and dissemination of data.

9.2.1 Research data

Research data refers to any information that may inform analysis and research output. This may include, but is not limited to, fieldwork observations, transcripts, video and audio recordings, images, statistics and survey responses, texts, and objects.

As well as gaining informed consent from participants before they can contribute to your research (see 'Working with Subjects' in the Ethical Code of Conduct), you must seek consent from your participants regarding how you can use their data (see 4.3.4). This includes to what extent the data must be anonymised, how long you can store it, and how you can share it.

You should be aware that the gathering of research data usually includes having access to people's personal data.

9.2.2 Personal data

Personal data is different to research data. Even though CBRL's researchers are likely to be working outside of the UK and European Union, researchers are still bound by the General Data Protection Regulation (GDPR) (2016). Under GDPR, personal data is any information that relates to an identified or identifiable living individual.

Some types of personal data include but are not limited to:

- Name
- Contact details (email, address, phone number)
- Place of work or study
- Membership of organisation or group
- ID number or code
- Description of appearance or characteristics
- Identifiable images
- Specific location information (eg. GPS)
- Genetic or biometric information
- Recording of voice
- Personal characteristics including race, age, sexuality
- IP address

Researchers with access to personal data should familiarise themselves with the [CBRL GDPR Policy](#) which is reviewed annually. Researchers employed or funded by CBRL are bound by this policy. Some key considerations for researchers include:

- The gathering and storage of data must be transparent;
- Data should only be kept as long as it is relevant;
- Data must not be used for purposes that were not agreed with the participant;
- Participants must have the right to withdraw their consent at any time;
- Data must be accurate;
- Data must be stored in a secure manner.

9.2.3 Storage

In the short term, researchers are responsible for the storage of their data on their personal devices and accounts. CBRL recommends that digital data is stored in more than one secure location at all times. This is the researcher's responsibility.

In the longer term, data must be stored in a suitable repository – either with CBRL (where CBRL offers such facility) or another research institution or organisation. Data should be anonymised and not contain any identifying or personal information. The repository may stipulate the length of time that data is kept, but CBRL recommends 10 years.

In the case that the data is not digital, objects are likely to be held by an organisation, institution or project, and you should understand their terms of use. In rare circumstances, researchers may find themselves in possession of material (non-digital) data. If this is the case, storage arrangements should be discussed with your lead contact at CBRL. Every effort should be made to ensure that data is properly indexed and secured.

Researchers should be aware that surveillance by authorities is common practice in the region, as it is in most of the world. Beyond interactions at state borders and

checkpoints, researchers should be aware that their activities may be monitored including their movements, and correspondence by post, phone, and online.

9.2.4 Security

Digital security is a serious concern in the modern age. Researchers are expected to take reasonable steps to ensure that their research data is secure while it is in their possession.

Researchers are expected to ensure they have an adequate standard of digital literacy required to protect the data they are collecting. CBRL recommends that you consider the following measures across devices:

- Encryption and password protection on all files
- Password manager
- Firewall and anti-virus software
- Understanding common signs of phishing attacks
- Regular back-ups in at least one cloud location and one physical location
- Enable multi-factor identification
- Using trusted WiFi networks
- Ad-blocking software
- VPN software
- Avoiding portable memory devices such as memory sticks

By protecting yourself and your devices online in general, you will prevent accidental breaches to any research or personal data in your possession.

Where you have reason to believe that the security of your data may be a particular concern, this should be treated as a risk and flagged to their lead contact and the Research Committee through the Risk Management Policy. CBRL does not consider it to be ethical to gather and store data that you cannot adequately protect.

In the case of a breach of personal data, the researcher must immediately contact at dpo@cbri.ac.uk (Data Protection Officer). The Data Protection Officer will advise on next steps.

9.2.5 Sharing and social media

Researchers are asked to remember that during your time as a CBRL researcher, you are acting as a representative of CBRL, and this includes on public online platforms. As such, it is important to be mindful of what you are revealing about yourself, your research, and CBRL online. Sensible social media usage is also a security matter. When sharing images and information online, researchers should consider:

- Is it a public or private forum? Who will see this?
- What data and/or metadata are you sharing?

- Do you have permission to share the content, and are there copyright or access concerns to consider?
- Are you revealing your location or the location of others?
- Are you revealing the identity of your participants or contacts?
- Are you expressing controversial or political views that might put others in a difficult position (including CBRL as an organisation)?
- How might this content be perceived by stakeholders in my project, including my participants, CBRL, CBRL funders, and governments?

9.2.6 Open Access

CBRL considers open access to be an ethical approach to research, as outlined in the UK [Concordat on Open Research Data](#). CBRL is a UK charity and as such is committed to research providing a public good. Unless there is a clear reason not to do so, research data should be made available as widely and freely as possible.

Staff and researchers are required to submit any significant electronic resources or datasets created as a result of research available in an accessible and appropriate depository. The choice of depository should be appropriate to the nature of the project and accessible to the targeted audiences for the material produced. There is no time limit on this, but it should normally be at the point of any publication based on the data, within three months. It is CBRL's intention to provide a repository in future.

In the case that CBRL is the majority funder of the research, for example in the case that the researcher is employed by CBRL, your award terms and conditions will provide that you must acknowledge CBRL's support on publication, and may set out terms on the ownership or use of intellectual property including research data in your employment contract. In the case that external funders also make claim to intellectual property, this must be clarified in writing before the commencement of the research activities. It is the responsibility of the researcher to understand and meet their obligations in this regard. CBRL requests that all funded researchers acknowledge CBRL support in any publications that result from CBRL-funded research.

There are many cases where data should not be openly accessible. The ethical commitments of the researcher to their participants should supersede commitments to open access and data should not be made available if it:

- Puts participants at risk;
- Poses a security risk to anyone else;
- Contradicts confidentiality or consent agreements;
- Would be unreasonably expensive to translate or transcribe into a digital format.

10. Bribery, fraud and corruption

10.1 CBRL statement on bribery, fraud and corruption

CBRL has a zero tolerance approach to fraud, corruption or bribery.

CBRL is committed to acting professionally, fairly and with integrity in all of their business dealings and relationships and to implementing and enforcing effective systems to counter fraud, bribery and corruption, and requires its researchers to act with professionalism, honesty, integrity, and in accordance with the law (including the Bribery Act 2010).

10.2 Overview and purpose

Interactions between individuals and organisations can be complex, especially where there are hierarchies of power. However, the trustees of CBRL have ultimate responsibility for ensuring that CBRL's assets are securely held and are not misappropriated; the trustees also seek to conduct the business of CBRL in an honest and ethical manner.

Fraud, bribery and corruption refer to the abuse of power, or misuse of resources, for personal gain. CBRL is committed to promoting ethical research, including safeguarding its researchers and their participants, and as such considers fraud, corruption and bribery to be misconduct.

CBRL staff and researchers are experts on the regions in which they work. Consequently, CBRL has in depth and embedded knowledge about local power structures and hierarchies. Fraud, corruption and bribery should be understood in local contexts. CBRL may therefore be able to offer up-to-date advice to researchers visiting the region less frequently, or for the first time, although researchers must still ultimately be responsible for their own actions and compliance.

The purpose of this section is to make CBRL's staff and funded researchers aware of what is meant by fraud, corruption and bribery, and to understand what their responsibilities are in this regard.

10.3 Policy details

10.3.1 Role of the trustees:

The trustees of CBRL are responsible for:

- i. developing and implementing effective controls to help prevent and detect fraud, bribery and corruption;
- ii. carrying out thorough and prompt investigations if any incidents of actual or attempted fraud, bribery or corruption occur;

- iii. taking appropriate action against perpetrators of actual or attempted fraud, bribery or corruption;
- iv. reporting any incidents of actual or attempted fraud, bribery or corruption at the next trustees' meeting;
- v. complying with the Action and Response Plan;
- vi. reporting any incidents of actual or attempted fraud, bribery or corruption to the police if necessary and appropriate;
- vii. reporting any incidents of actual or attempted fraud, bribery or corruption to the CBRL's insurers if necessary; and
- viii. submitting a serious incident report to the Charity Commission in relation to any incident of actual or attempted fraud, bribery or corruption if necessary in accordance the Charity Commission guidance.

10.3.2 Framework

CBRL researchers are expected to act in accordance with the law of England and Wales. Researchers must also act in accordance with relevant laws in the national context in which they work, bearing in mind how this can be complicated in situations of conflict or occupation. It is the responsibility of the researcher to understand the governance structures and rule of law in the contexts in which they are working.

Researchers must comply with this Bribery, corruption and fraud policy, and must notify CBRL as soon as possible of any breach or suspected breach of the policy, so that CBRL can take appropriate steps. Researchers must cooperate with CBRL's reasonable requests in taking such appropriating steps, including any steps required in accordance with the CBRL Bribery, Corruption and Fraud Action and Response Plan.

CBRL recognises that researcher-subject relationships often have or develop a personal dimension, and that the UK legal definitions of bribery, fraud and corruption may be difficult to apply in some circumstances. CBRL emphasises that neither researchers nor their participants should be exploited or coerced, and would be happy to discuss particular concerns with researchers (although researchers must remain responsible for their own actions and compliance).

10.3.2 Fraud

Researchers must not carry out fraudulent activities.

For CBRL's purposes, fraud is a form of dishonesty with the intention of deceiving or cheating someone in order to make a gain or cause loss. As defined defined in accordance with the [UK Fraud Act 2006](#), this could involve:

- fraud by false representation (e.g. pretending to hold a position which you do not hold, or misleading someone);
- fraud by failing to disclose information (e.g. failing to disclose the purpose or context of your research); and

- fraud by abuse of position (e.g. using your position to exploit others).

The deception or cheating may or may not necessarily involve or result in the direct loss of funds or other assets belonging to CBRL. For example, a person falsely purporting to be an employee or volunteer of CBRL would be considered a fraudulent act.

Other examples of fraud include:

- i. theft or manipulation of assets including databases and confidential information;
- ii. falsification or alteration of cheques, other payment means, accounting or other documents;
- iii. inappropriate authorisation of purchases in exchange for bribes, kickbacks or other payoffs from suppliers;
- iv. suppression or omission of the effect of transactions from records;
- v. attempts to launder money through CBRL's accounts;
- vi. attempts to use CBRL as a means of improperly obtaining tax advantages (e.g. through certain gifts of shares);
- vii. claiming expenses not actually or properly incurred.

It should be noted that the fraudulent act can be merely the attempt to deceive, and attempted fraud is therefore to be treated as seriously as accomplished fraud.

10.3.3 Bribery

Bribery is defined as the offering, promising or giving of a reward or incentive, financial or otherwise, encourage them to perform their functions or activities improperly. This might include:

- i. offering an incentive to induce a person to perform a certain activity; and
- ii. giving a reward to someone in return for their failure to carry out their proper function .

Researchers must not offer, give, solicit or accept bribes, from any person or organisation. This includes but is not limited to unreasonable incentives to participate in research activities. Small expenses or refreshments are acceptable – see below on gifts and hospitality.

Researchers must not accept any material corporate hospitality or other benefit or advantage (which could influence the decision to use a service provider) when considering service providers.

Researchers must also act in accordance with relevant laws in the national context in which they work, and England and Wales' Bribery Act 2010. It is the responsibility of the researcher to understand the law.

10.3.4 Corruption

Corruption refers to any abuse of position or power for gain that is not defined as fraud or bribery.

Researchers are expected to represent CBRL in accordance with CBRL's principles and values and must not misuse their position as an associate of CBRL.

Researchers must also act in accordance with relevant laws in the national context in which they work. It is the responsibility of the researcher to understand the law.

10.3.5 Gifts and hospitality

In principle, the giving or receipt of gifts is not prohibited, if the following requirements are met in relation to the gift or hospitality:

- i. it is not made with the intention of influencing anyone to obtain or retain business or a business advantage (including any investment or financial support), or in explicit or implicit exchange for favours or benefits;
- ii. it does not breach any other law;
- iii. it does not include cash or a cash equivalent (such as gift certificates or vouchers);
- iv. taking into account the reason for the gift, it is of an appropriate type and value and given at an appropriate time (for example, a small gift in keeping with relevant cultural traditions to mark a particular holiday or festival);
- v. it is given openly, not secretly; and
- vi. it is not offered to, or accepted from, government officials or representatives, or politicians or political parties, without the prior approval of the trustees.

However, researchers must also act in accordance with relevant laws in the national context in which they work. It is the responsibility of the researcher to understand the law.

10.3.5 Example scenarios

Researcher A has travelled to a small remote village X, arriving in the middle of the night due to delay transport connections. They have not booked accommodation for the night, and are told that the only free room in the hotel has been booked by Researcher B, from another university. Researcher A thinks it is unlikely that Researcher B will arrive that night, and is tempted to simply pretend to be from their institution in their place, in order to get access to the room and get some sleep. However, Researcher A should be honest and explain their situation, rather than being dishonest.

Researcher C has been asked by CBRL to suggest a translator for Researcher D, who is soon arriving in a city where Researcher C has lived for three years. A translator with whom Researcher C is friends offer Researcher C a small sum, in the hope that

Researcher C will suggest their name. Researcher C should turn down the cash, and explain that this is not appropriate (but may suggest that translator's services, if they are appropriately qualified).

Researcher D is carrying out a project looking at the impact of a large factory, run by a European company, on the life of working people in the suburbs of a large city; generally, Researcher D's interviews with workers suggest that the factory has a negative impact for a number of reasons. As part of the project, Researcher D interviews a senior executive of the company, who suggests to Researcher D that, if Researcher D's publications are positive about the impact of the factory, Researcher D would be a good fit for a lucrative consultancy position with the company. Researcher D should ensure that their publications retain academic integrity and independence, and not be swayed by this offer.

11. Scientific Misconduct

11.1 Overview and purpose

CBRL funds and oversees many different types of research and misconduct can occur at any stage, from application to publication. Scientific misconduct broadly refers to any action that allows the researcher to personally or professionally gain from unfair, unethical, or unauthorised behaviour. It can be thought of as cheating within academia. Misconduct can happen through intentional bad practice, or through negligence. CBRL considers good scientific conduct to be ethical conduct.

The scientific misconduct policy exists to ensure that research carried out in CBRL's name, with CBRL's resources, is produced and published through rigorous and fair research processes. This section will define what scientific or research practices are unacceptable, and allow researchers to understand what will happen when misconduct is identified.

11.2 Policy details

This section will help the researcher to understand what constitutes misconduct, what to do if they detect it, and what will happen if they are found to have committed misconduct.

11.2.1 Identifying misconduct

Scientific misconduct is also known as academic malpractice. It can happen deliberately or through negligence. There are several types of misconduct:

- Fabrication – the creation of false data, information, results or materials;
- Falsification – the manipulation of materials, resources, equipment without methodological basis and recording;
- Plagiarism – the appropriation or copying of existing ideas, results, or writings without appropriate reference;
- Misrepresentation – the presentation of data, process, interests, qualifications or authorship in a manner that is misleading or false;
- Breach of duty of care – the breach of consent, anonymity or rights of the subjects or objects of the research;
- Attempted misconduct – the plan or conspiracy to commit any of the above.

Staff should also be aware that failing to deal with reported misconduct appropriately could be treated as misconduct.

CBRL acknowledges that many of these could occur accidentally or through negligence. CBRL aims to create a culture of partnership and complementarity, as per the CBRL values and ethical principles, and as such researchers are encouraged to

discuss their work with each other and raise concerns directly in the spirit of collaboration, and to prevent misconduct from taking place.

Difference of opinion on what constitutes good scientific method and analysis do not constitute misconduct.

11.2.2 Reporting misconduct and whistleblowing

If the researcher identifies an incident of misconduct or dangerous, unethical behaviour by any CBRL staff member, volunteer, associate, partner or funding recipient, according to the above definitions, they should report it.

Researchers employed by CBRL should refer to the CBRL Whistleblowing Policy [[Policies - CBRL](#)].

Unlike staff, funded researchers (i.e. those other than staff) funded by CBRL are not protected by the UK Employment Rights Act 1996 Part IVA Protected disclosures. Nonetheless, CBRL takes seriously its responsibility to empower researchers to report misconduct without fear of detriment, and encourages a free and open culture. In the first instance, researchers should report the incident to the Research Committee (see c. Researchers may also report the incident to anyone within the organisation with whom they feel comfortable, in order to seek support or advice. This should be treated as confidential by both parties. The matter will then be escalated to the Research Committee.

CBRL is a UK registered charity number 1073015, and researchers may want to consider reporting the incident to the Charity Commission. Incidents that the Charity Commission may investigate include breaches of safeguarding considerations, criminal activity, the platforming of extremist views, organisational mismanagement, or the significant misuse of funds. More information can be found [here](#).

The independent UK whistleblowing charity Protect provides free and independent advice on [their website](#).

Please note that any illegal activity should first be reported to the relevant local police or governance body.

11.2.3 Responding to misconduct

If an allegation of misconduct is made against you, members of the Research Committee will convene at the earliest possible opportunity to decide on the best course of action. Depending on the nature of the allegation, you may not be made aware of investigation procedure, or you may be asked to immediately cease your research pending the investigation.

CBRL is committed to fair process and you will be given a chance to respond to the allegations. You may be asked to provide information or evidence about your research activities and to attend a meeting with representatives the Research Committee. The process of investigation will be confidential and you may request that the committee consults additional evidence, including contacting other organisations or individuals involved with your project. However, you may not break confidentiality agreements with your subjects for this purpose.

The committee may choose to drop the investigation if they are satisfied with your response. They may ask you to make significant changes to the project. They may choose to cease your employment contract or revoke your award. In the case of funded researchers, this may mean you are asked to return funds that you have already received, if the committee believes that you have been intentionally deceptive in your application. For further information on the termination of contracts, see the Staff Handbook.

12. Useful contacts

CBRL Director and British Institute in Amman Director – Dr Carol Palmer, cpalmer@cbri.ac.uk

CBRL Deputy Director and Kenyon Institute Director – Dr Toufic Haddad, thaddad@cbri.ac.uk

CBRL Libraries – library@cbri.ac.uk

CBRL Research Committee Chair – Professor Graeme Barker, gb314@cam.ac.uk

CBRL Chair of the Board of Trustees (Council) – Dr Robert Bewley, rbewley@cbri.ac.uk

Council and Committees Secretary – Claire Halliday, CBRL Executive Officer, challiday@cbri.ac.uk.

Data Protection Officer – dpo@cbri.ac.uk

Safeguarding Lead – safeguarding@cbri.ac.uk

London Office (general) – info@cbri.ac.uk

CBRL Communications – comms@cbri.ac.uk

CBRL Events – events@cbri.ac.uk

Levant Editor in Chief and Monographs Editor – Dr Caroline Middleton, cmiddleton@cbri.ac.uk

Contemporary Levant Editor in Chief – Dr Sarah Irving, sarahirvingwork@gmail.com

Please also refer to the CBRL website in case of updates.

13. Review status

For questions related to these policies, please contact the CBRL Director.

Creation date: January 2022

Review period: 2 years (links and contact details to be reviewed annually)

Next review date: January 2024

14. Appendices

14.1 Declaration of Ethics Form

Please attach/send the final version of your completed research ethics application at your research organisation or university with proof of approval to accompany this declaration form.

An editable Word document of the form is available from the CBRL website or please request one from info@cbrl.ac.uk.

Name	
CBRL Award or Fellowship	
CBRL Institute	
CBRL lead contact	
Project title	
Brief description of research activities	
Dates of research activities	
Please give details of any learned society, research organisation or higher education institution whose ethical framework you are working within	
Please give details of your ethics training to date	
Please give details of any conflicts of interest	

With reference to CBRL's Statement of Principles and Ethical Research Policy (see *Research Manual Section 4 – Research Ethics*), please reflect on the ethical considerations of your research activities. Use as much space as you need.

I have read and understood CBRL's Statement of Principles and Ethical Research Policy. I understand that I am expected to act in accordance with CBRL's values and ethical principles as defined within those documents. I understand that if at any point during my research I do not conduct myself in line with CBRL's expectations, CBRL may take disciplinary action against me including but not limited to the withdrawal of financial support for my research activities.

Signed,

[Sign and Print Name]

[Date]

14.2 Participant Consent Template

Researchers will need to produce two documents for their participant consent process: a participant information sheet and a consent form. It is recommended that you have several printed copies of these with you at all times during your research activities. Participants must be given a copy of both forms, and you must keep a signed copy of the consent form. These should be digitised and the hard copy destroyed.

Researchers are invited to use the template below but should also consider:

- Disciplinary guidelines: different information may be standard or advised in your field;
- Language: you may need to have your form available in languages other than English;
- Literacy: can a representative sign on behalf of your participant?;
- Viability: it may be too difficult to seek written consent, and other means of recording consent should be considered.

It is your responsibility as a researcher to make sure that your participants are making an informed decision about taking part. The form below is a template, if it does not suit your research project, please edit and seek relevant advice.

[Title of Project] Participant Information Sheet

You have been asked to participate in the [Project Title] that will be held [Location], [Inclusive dates]. This document provides information about the project. It should help you to make an informed decision about agreeing to take part. Please take as long as you need to read this document and make your decision.

About the project

[Summary of project and its aims should be in clear, non-academic language.]

About your participation

[Why have they been approached?]

[What do you need them to do? A clear list of expected activities should be included.]

[Where might this be shared? A clear list of ways in which you will use the research data.]

[How will data be stored and for how long?]

[What are the potential benefits and risks of taking part?]

Your explicit consent and permission are required, and your wishes will be respected.

Your participation is voluntary – it is up to you whether or not you take part. You may choose to withdraw from the event and its activities whenever you like, without any negative sanctions or consequences for you.

Your personal information will be protected

We will handle your personal data (e.g. your name and contact details) sensitively and in accordance with the law. Amongst other things, this means: only obtaining data necessary for the purposes of the project; not using personal data for any other purpose; not keeping the data for longer than is necessary; and storing the data securely. Your data will be recorded and stored as follows:

1. [List specifics here around data gathering, storage and access – be careful include details of the types of data]

If you have any particular concerns or requests regarding your data and how we will use them, please let us know. We will discuss any requests with you. Where we can meet them, we will. Where we cannot, you have the right to withdraw your consent to take part in the project or in a particular activity.

If you have any questions now or at a later time, you can contact [researcher name] at [phone number] or [email]; [CBRL lead contact] at [phone number] or [email]; or [supervisor, institutional contact or Research Committee member] at [phone] or [email].

If you need to make a complaint about the handling of your data, please contact the CBRL Data Protection Officer at dpo@cbrl.ac.uk.

[Title of Project] Participant Consent Form

Please complete this form after you have read the Participant Information Sheet and/or listened to an explanation of the project and your involvement.

[Title of Project]

[Name and contact details of researcher]

This project has the approval of [your institution or CBRL]. Thank you for considering taking part in this research. The person organising the research must explain the project to you before you agree to take part, and answer any questions that you might have. You will be given a copy of the Participant Information Sheet and this Consent Form to keep.

Consent recorded at

[Date]

[Place]

[Time]

I understand that [researcher name] will be conducting [key activities]. **I give my consent to take part in the [Project name] project, and to be [means of data gathering eg. 'photographed', 'recorded']. I also give my consent for the data from them to be used for the purposes described in the Participant Information Sheet.**

YES NO

I give my consent for my personal data to be stored and handled by the researcher .

YES NO

I understand that my data gathered in this study will be stored anonymously [edit as appropriate] and securely in [list any locations]. My data will be used to produce [list outcomes]. It will not be possible to identify me in any publications. **I give my consent for the researcher to use my data in this way.**

YES NO

I understand the potential benefits and risks of my participation. **I understand there will be no financial remuneration.**

YES NO

I understand that I am free to withdraw at any time until [date] without giving a reason, and that my data will then be deleted.

YES NO

Signed by the participant (or their representative / parent / guardian):

Date:

Where signed by a representative / parent / guardian, please state the relationship to the participant:

14.3 Risk Assessment Template

When you have completed a risk assessment at a research organisation or university, please attach the final version of this to this form, with proof of approval.

An editable Word document of the form is available from the CBRL website or please request one from info@cbri.ac.uk.

Name	
CBRL Award or Fellowship	
CBRL Institute	
CBRL lead contact	
Dates of research activities (inclusive)	
Project title	

With reference to CBRL's Risk Management Policy, please reflect on the risk of your research activities. You should describe potential risks in detail, and refer to the likelihood, severity and mitigation strategies for each risk. Use as much space as you need.

I agree to fully assume all of the risks that will or may be associated with my research activities and fully release CBRL from any and all liability in connection with them, to the extent that I am lawfully able to do so.

Signed,

[Sign and Print Name]

[Date]

Please email the completed form and attach your approved ethics to: Claire Halliday, CBRL Executive Officer using: challiday@cbri.ac.uk.