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*You are Ian Ruthven (Professor)*

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**Application ID:** 2730

**Title of research:**

Stakeholder Research regarding the use of Generative AI in Cultural Heritage as a part of the Participatory Harm Auditing Workbenches and Methodologies (PHAWM) Project

**Summary of research (short overview of the background and aims of this study):**

The PHAWM project aims to establish novel auditing methodologies and tools to give a diverse set of stakeholders the power to assess potential harms that AI may cause within their respective sectors. This part of the study involves consulting with Cultural Heritage (CH) professionals about their uses of GEN-AI in undertaking sector-specific tasks and identify harms that may lie in the way of completing these. Harms here include issues of bias, hallucinations, and misrepresentations.  
  
The people involved in the design of the research and its execution are:  
University of Glasgow: Simone Stumpf, Yunhyong Kim, Zoe Bartliff, Iman Naja, Jennifer Webster  
University of Stirling: Alexander Brownlee, Penny Johnston, Leonardo Bezerra  
University of York: Siamak Shahandashti  
King’s College London: Daniele Quercia, Dan Hunter  
University of Edinburgh: Vyron Christodoulou  
University of Sheffield: Kathryn Simpson  
University of Strathclyde: Yashar Moshfeghi, Ian Ruthven, Ayah Soufan, Leif Azzopardi  
  
All are academic or post-doctoral researchers.  
  
The University of Strathclyde team will be leading the data collection workshops which are hosted at Strathclyde.

**How will participants be recruited?**

Participants will be sourced through project partner organisations and professional mailing lists, and will be cultural heritage professionals such as archivists, curators, or librarians. All emails will be sent to groups rather than individuals and from official university email accounts. All participants will be research informants, providing professional opinions and experiences on the potential use of GEN-AI within their organisation and perceptions of potential harms, rather than research subjects providing personal data. No participants will be asked to share personal data or to describe experiences outwith their professional roles.

**What will the participants be told about the proposed research study? Either upload or include a copy of the briefing notes issued to participants. In particular this should include details of yourself, the context of the study and an overview of the data that you plan to collect, your supervisor, and contact details for the Departmental Ethics Committee.**

**PDF File:** [View document](https://local.cis.strath.ac.uk/wp/extras/ethics/?pdffile=2730&question=question_information_0)

see attached

**How will consent be demonstrated? Either upload or include here a copy of the consent form/instructions issued to participants. It is particularly important that you make the rights of the participants to freely withdraw from the study at any point (if they begin to feel stressed for example), nor feel under any pressure or obligation to complete the study, answer any particular question, or undertake any particular task. Their rights regarding associated data collected should also be made explicit.**

**PDF File:** [View document](https://local.cis.strath.ac.uk/wp/extras/ethics/?pdffile=2730&question=question_consent_0)

See attached consent form. This will be issued to participants at registration time and its main points reiterated at the start of the workshop. The sessions will not be recorded.  
  
We do not see any issues of safety for either investigators or subjects. All research activities shall be low risk and will take place in an accessible and warm location at the University of Strathclyde. Refreshments shall be made available, and there will also be accessible toilets nearby. Fire safety information shall be provided at the beginning, and staff that have undertaken relevant health and safety training shall be present.  
  
Financial inducements shall not be offered to participants.

**What will participants be expected to do? Either upload or include a copy of the instructions issued to participants along with a copy of or link to the survey, interview script or task description you intend to carry out.**

**PDF File:** [View document](https://local.cis.strath.ac.uk/wp/extras/ethics/?pdffile=2730&question=question_expected_0)

**PDF File:**  None.

see attached

**What data will be collected and how will it be captured and stored? In particular indicate how adherence to the Data Protection Act and the General Data Protection Regulation (GDPR) will be guaranteed and how participant confidentiality will be handled.**

Personal data that may be present throughout the duration of the research activities (such as names and professional titles) shall not be recorded or kept, and participants will be asked not to include identifiable details in the research data. The research data gathered from group activities (e.g., drawings, terminology/semantic maps, notes from discussions) will have the information gathered aggregated by design as the focus of the activities is to achieve consensus and, where this is not possible, identify points of friction. This will protect individual identities and experiences.  
  
The only data that will be preserved after the workshop is the artefacts gathered such as diagrams, post-it notes, whiteboard lists, and notes taken by the organisers. We will photo-record these on mobile phones and then transfer them to University of Glasgow’s SharePoint site for the project on the day of the workshop and then remove them from the phones. None of this data will personal data nor data that identifies the organisation to which it pertains.

**How will the data be processed? (e.g. analysed, reported, visualised, integrated with other data, etc.) Please pay particular attention to descibing how personal or sensitive data will be handled and how GDPR regulations will be met.**

Some data will be aggregated on the day through group discussion into themes, other data will be subject to qualitative thematic analysis.

**How and when will data be disposed of? Either upload a copy of your data management plan or describe how data will be disposed.**

**PDF File:** [View document](https://local.cis.strath.ac.uk/wp/extras/ethics/?pdffile=2730&question=question_datadisposed_0)

See attached data management plan.

**I confirm that my supervisor has seen and approved both my planned study and this associated ethics application.**