Ref (for office use only)

COLLEGE OF SOCIAL SCIENCES AND INTERNATIONAL STUDIES

All staff and students within SSIS should use this form; those in Egenis, the Institute for Arab and Islamic Studies, Law, Politics, the Strategy & Security Institute, and Sociology, Philosophy, Anthropology should return it to ssis-ethics@exeter.ac.uk. Staff and students in the **Graduate School of Education** should use ssis-gseethics@exeter.ac.uk.

Before completing this form please read the Guidance document
which can be found at http://intranet.exeter.ac.uk/socialsciences/ethics/

Applicant details	
Name	Click here to add text
Department	Click here to add text
UoE email address	Click here to add text

Duration for which permission is required

Please check the meeting dates and decision information online before completing this form; your start date should be at least one month after the Committee meeting date at which your application will be considered. You should request approval for the entire period of your research activity. Students should use the anticipated date of completion of their course as the end date of their work. Please note that retrospective ethical approval will never be given.

Start date: Click here to enter a date	**End date:**Click here to enter a date	**Date submitted:**Click here to enter a date

Students only

All students must discuss (face to face or via email) their research intentions with their supervisor/tutor prior to submitting an application for ethical approval. **Your application must be approved by your first or second supervisor (or dissertation supervisor/tutor) prior to submission and you MUST submit evidence of their approval with your application, e.g. a copy of an email stating their approval.**

Student number	Click here to enter student number
Programme of study	Select programme from dropdown list If you selected 'other' from the list above please name your programme here
Name of Supervisor(s) or Dissertation Tutor	Click here to enter text
Have you attended any ethics training that is available to students?	Select from this dropdown list EG the Research Integrity Ethics and Governance: http://as.exeter.ac.uk/rdp/postgraduateresearchers OR Ethics training received on Masters courses. If yes, please specify and give the date of the training: Click here to specify training Click here to enter a date.

Certification for all submissions

I hereby certify that I will abide by the details given in this application and that I undertake in my research to respect the dignity and privacy of those participating in this research.
I confirm that if my research should change significantly I will seek advice, request approval of an amendment or complete a new ethics proposal. Any document translations used have been provided by a competent person with no significant changes to the original meaning.

Click here to enter your name

Double click this box to confirm certification ☐

☐**I confirm that if I travel outside the UK to conduct research I will:**

(a) Obtain International Travel Insurance from the University of Exeter. (b) Monitor Travel Advice from Worldaware and the Foreign & Commonwealth Office (FCO) and (c) Complete an International Travel Risk Assessment

Submission of this ethics proposal form confirms your acceptance of the above.

TITLE OF YOUR PROJECT

Click on this guidance information to replace it with your own text.

Ensure that your title has meaning to both yourself and the participants of your research. The title will appear on your certificate of approval and should match the title shown on your associated files such as the information sheet and consent form.

ETHICAL REVIEW BY AN EXTERNAL COMMITTEE

Select from this dropdown list

If you selected yes from the list above you should apply for ethics approval from the appropriate organisation (the NHS Health Research Authority or the Ministry of Defence Research Ethics Committee). You do not need to complete this form, but you must inform the Ethics Secretary of your project and your submission to an external committee.

MENTAL CAPACITY ACT 2005

Select from this dropdown list

If you selected yes from the list above you should apply for ethics approval from the NHS Health Research Authority. You do not need to complete this form, but you must inform the Ethics Secretary of your project and your submission to an external committee.

SYNOPSIS OF THE RESEARCH PROJECT

Maximum of 750 words.

Click on this guidance information to replace it with your own text.

This should contain a brief description of the project including background and main research questions and where (which country) the research will take place. A maximum of 750 words is permitted.

INTERNATIONAL RESEARCH

Click on this guidance information to replace it with your own text.

If your research will take place within the UK you may skip this question UNLESS your participants are in another country (even if you will not travel there). This includes EG Skype, email or telephone contact with participants.

If your research will take place in a country other than the UK you should give details of the ethical practices followed in the country/countries you will be working in. It is your responsibility to ensure that you work within the ethical requirements of that country and you should confirm if you have applied to a research ethics committee within the country/countries you will be working in. If this has not been done you should explain why.

You should provide details of any locally employed research assistants or other staff who you will employ to carry out the research in the country/countries. Consideration of the safety issues of these staff should be provided later in this form; see assessment of possible harm.

The following sections require an assessment of possible ethical consideration in your research project. If particular sections do not seem relevant to your project please indicate this and clarify why.

RESEARCH METHODS

Click on this guidance information to replace it with your own text.

Provide details of data collection, forms the data will take and analysis.You should include a detailed description of the methods (design, sampling, procedure). You should list any expected project outputs (in addition to the dissertation) including academic (conference presentations, seminars, journal articles) and profession outputs (reports).

In particular you should note if the study involves discussion of sensitive topics (e.g. sexual activity, drug use)? Is pain or more than mild discomfort likely to result from the study? Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?

PARTICIPANTS

Click on this guidance information to replace it with your own text.

Provide a list of participants and the expected numbers of each type of participant. If applicable provide ages of any children and/or young people involved, and if the project involves one-to-one or other unsupervised research.

If applicable provide details of any special needs that the participants are expected to have; including communication difficulties, learning difficulties, learning disabilities or other reasons to be considered vulnerable.
If applicable provide details of any financial inducements that will be offered.

THE VOLUNTARY NATURE OF PARTICIPATION

Click on this guidance information to replace it with your own text.

You should include a brief outline on how participants will be recruited (advert, online, through contacts) and whether written consent is obtained.

***Working with children** - You must satisfy yourself that there is a real need to involve children in the research and be able to justify this. You must check and comply with any legal requirements, such as vetting procedures for working with children, before you proceed with such work. The responsibility for checking and complying with such legal requirements is yours.*

Informed consent is required for activity which goes beyond normal classroom teaching:

- *if what you are doing is in line with normal teaching and aligned to the National Curriculum or GCSE syllabuses, you do not need students to give consent to being taught. They need to give consent to their data being used in your research;*
- *if you are trying out some intervention which is not usual in normal teaching: eg. having a dog working with a group for reading aloud, then you do need consent;*
- *if you are extracting a group of children just for your research, then you do need informed consent. However, if this group would be normally extracted for intensive work, then you do not need informed consent.*

Research studies may involve some form of testing to establish a baseline or to determine the characteristics of a group. There is a fine line between research testing and normal assessment:

- *if your test is an assessment of their achievements against curriculum expectations, and will be used to inform your future teaching, this does not require consent. If the results will be used as data for your research, this does require consent.*

- *if you are administering a test that is distinct from the curriculum eg a self-efficacy test; a resilience test; a writing process test etc then this is beyond what you would normally do and does require consent.*

Where children in schools are involved the consent should be sought from both headteachers and parents. Where consent is given by parents, it is still important to try and obtain real consent from the child; assuming the child is old enough to understand this principle. For older children, they would normally be expected to give their signed agreement to take part in the same way as adults. Even where children are younger, where the child is capable of understanding, the researcher should explain to the child that what they are doing is entirely voluntary and that they can refuse to take part if they wish.

***Working with potentially vulnerable adults** - You must satisfy yourself that there is a real need to involve potentially vulnerable adults, for example those with severe learning disabilities, and be able to justify this to the Committee. You should ensure that you have familiarised yourself with the relevant legal position, where it is intended to conduct research with adults who may not be able to give a legally valid consent to take part in research.*

Where the proposed research participant is in a dependent relationship to the researcher (for example, where the research participant is a student) the researcher must make it clear that a decision to take part or not to take part in the project will in no way affect the individual's relationship with the researcher and the researcher must ensure that this is the case.

Where the proposed research participant is in custody the researcher must make it clear that a decision to take part or not to take part in the project will in no way affect the individual's situation and the researcher must ensure that no informal coercion takes place.

***Researching persons engaged in potentially illegal activities** - Before starting a project that will involve research with persons engaged in potentially illegal activities you need to consider under what circumstances you might be legally required to divulge information about your research participants. You need specifically to consider when to anonymise your research data.*

You also need to consider under what circumstances you might become implicated in the illegal activities and how you will ensure that this does not happen.

***Recruiting participants** - The doctrine of valid consent operates here. That is, participants should enter into the research freely and willingly and know and understand what they are agreeing to when they take part. They should be told they have the right to withdraw from the research at any time. Wherever possible, anonymity and confidentiality should be maintained. If the experimental design necessitates some deliberate deception then, after the experiment is finished, participants should be told the purpose of the experiment and why information was withheld or why they were misled.*

If people are being observed as part of a participant observation, or online, you must consider: a) accessibility: to what extent they would reasonably expect to be observed (is it a public space, or a private chatroom?) and b) how private they perceive the event/place (do they expect their discussions to be repeated outside?).

It is usual when observing conferences, for example, to obtain the permission of the organiser but not individual participants. Pretending to be someone else in cyberspace is usually considered unethical; however, deception can sometimes be justified if participants are informed later on, and given the opportunity to withdraw (King, 1996).

***Consent form** - Consent should cover: a) confidentiality; b) anonymity; c) information about the project and d) the right to withdraw at any time without disadvantage to the participant. An example of your personalised consent form should be submitted with this proposal.*

Find template information and consent forms here:
http://www.exeter.ac.uk/cgr/researchethics/secure/templates/
If written consent is not obtained (e.g. it is deemed to be very culturally insensitive), this must be justified and a script for oral consent should be included.

SPECIAL ARRANGEMENTS

Click on this guidance information to replace it with your own text

Provide details of special arrangements that will be made for participants with special needs such as providing documents in large font, or providing extra time etc.

THE INFORMED NATURE OF PARTICIPATION

Click on this guidance information to replace it with your own text.

Give a description of how participants will be informed of the nature of the project and whether they will be given an information sheet. Any information sheet should clearly state any possible disadvantages participating in the study may have. An example of your information sheet should be attached when you submit this application. Find template information and consent forms here:
http://www.exeter.ac.uk/cgr/researchethics/secure/templates/ If you do not intend to provide an information sheet to the participants you should justify this.

ASSESSMENT OF POSSIBLE HARM

Click on this guidance information to replace it with your own text.

Assessment of possible harm covers both harm to participants, and harm to you and any other researchers employed on the project.

Participants could potentially be harmed: a) psychologically, for example, if they get distressed or an interview provokes earlier trauma; b) legally, politically or economically, for example, if confidential information from the interview was shared or if their anonymity were compromised without consent, or their employer felt it didn't represent their organisation, or the police felt the material to be criminal; and c) physically, for example, interviewing where there is a power differential (e.g. women in domestic violence situations, political prisoners, in regimes with punitive measures for talking to researchers, taking part in new clinical drugs testing).

You do not need to exaggerate the potential harm to participants. You just need to think through how you will ensure that your project adheres to the principle of 'do no harm'.Any information sheet should clearly state any possible disadvantages participating in the study may have.

Researcher safety is also important to consider, particularly where the researcher is researching alone (e.g. interviewing in people's homes), with groups which may pose difficulties (prisoners, mentally ill, in situations of conflict, women researchers in cultures which have traditional roles for women) or in countries with known risks (e.g. war zones, terrorism). You need to create a plan of how to manage these risks and tell us about it. For example, a PhD researcher researching alone might provide their supervisor with an email before a home visit with details of where they are going and arrange to call them within a specified time frame following the visit; it should be made clear what will happen if the call is not made as planned.

A researcher visiting a country with known risks must state how such risks will be avoided or minimised, confirming they will keep up to date and comply with Foreign and Commonwealth Office (FCO) travel advice and take UoE travel insurance. Researchers in countries which may be dangerous need to gain local knowledge (e.g. from other researchers in the same area) and visit governmental updated websites

when in situ to assess risk (as well as using their common sense). Where FCO advises against 'all but essential' travel it should be noted that research is not sufficient justification and is not 'essential'.

You should also consider your own safety. University of Exeter staff and students will be insured to travel and carry out fieldwork but for the insurance to be activated a fieldwork risk assessment form and international travel form (if the fieldwork is outside the UK) must be completed in advance of the activity.

DATA PROTECTION AND STORAGE

Click on this guidance information to replace it with your own text

Describe how and where you will collect and store your data and for how long. In general you should only ever use password encrypted devices and upload to the University U drive at the earliest possible opportunity. You may use One Drive or Sharepoint. University of Exeter IT do not support and recommend against the use of other file sharing software such as Dropbox. If using unsupported software you must ensure the version you use is GDPR compliant (usually this means using a paid rather than free version) and you are should seek advice from Exeter IT before doing so.

GDPR
Before submitting your application you should check UoE guidance which can be found here:
http://www.exeter.ac.uk/cgr/researchethics/secure/gdprforresearchers/

Specifically you should review the section 'Conditions for processing personal data in research and consent' which includes links to GDPR compliant Information and consent sheets and ***data privacy notice*** *for research.*

The Committee generally prefers anonymity by default IE participants should only be potentially identifiable if there is compelling justification.

You need to state how long your data will be kept and whether you will anonymise it (there is no possible way any participant can be identified even by compiling a range of information) or pseudonymise it (participants will be given a pseudonym or number which could be linked back to their identity using a key). Personal data include any identifying characteristics such as names, photograph or video images, or information relating to someone's occupation or location from which their identity could be inferred. Sensitive personal data (gender, ethnicity, medical information etc) is subject to particular legal safeguards. The key principle you should apply is that you will only collect the minimum of personal or sensitive data absolutely necessary to your research (if age is not relevant to your study do not ask participants to say how old they are).

You should include details of if and how participants' identities will be protected and how the security of the data will be guaranteed, including where and how it will be stored, and how long it will be held for. You must include this on the information sheet.

Extensive information about data management including UoE policies can be found at http://www.exeter.ac.uk/research/toolkit/managing/data/storage/ For further information please also visit the Information Governance pages at http://www.exeter.ac.uk/ig/

Students need to choose a suitable level of storage security for the level of risk involved; the following lists storage methods in order of declining security:
- *encrypted data (highest security)*
- *password protected files stored on University U- Drive*
- *University U drive: this should be regarded as the default option*
- *Where it is necessary to store data on EG a password protected PC or laptop this should be for the shortest possible length of time with an explanation included here as to why it is necessary.*

DECLARATION OF INTERESTS

Click on this guidance information to replace it with your own text

A conflict of interests does not only arise if you have a commercial motive for research, it can also arise if your job title, position in life or source of funding might affect your impartiality in relation to participants (e.g. if you are a Christian minister researching non-Christian faiths, you are funded by a charity with a particular aid agenda). The solution is to inform participants if this is the case, let them know who your funders are, how and what the research will be used for, and how and where the results may be published.

You should include:
i) an indication of how the participants are informed of any commercial or other interests involved in the project;
ii) who funds the research (please ensure to specify the organisation);
iii) how and for what purposes the results will be used;
iv) how and where the results will be published.

USER ENGAGEMENT AND FEEDBACK

Click on this guidance information to replace it with your own text

It is becoming more usual to include participants in the design, executing and reporting of their own study. Some researchers engage in highly reflective processes with participants reviewing their own transcripts and feeding back their thoughts on published work. However, be realistic: it can be time-consuming to go back to every participant and let them review their work and not all projects require this. Also, if you have used oral consent, consider how your participants can find out about the outcomes of the study.

INFORMATION SHEET

Click on this guidance information to replace it with your own 'information sheet' text.

Your information sheet(s) must be written in a way to be accessible to a wide audience. Ensure that your information sheet contains the same research project title as used in this application form. Find template information and consent forms here:
http://www.exeter.ac.uk/cgr/researchethics/secure/templates/
The Committee will wish to review your information sheet alongside your application so please include all documentation within this application form.

CONSENT FORM

Click on this guidance information to replace it with your own 'consent form' text.

If written consent is not obtained (e.g. it is deemed to be very culturally insensitive), this should be justified here. Your consent form should cover: a) confidentiality; b) anonymity; c) information about the project and d) the right to withdraw at any time without disadvantage to the participant.

Your consent form(s) must be written in a way to be accessible to a wide audience.

Ensure that your consent form contains the same research project title as used in this application form. Find template information and consent forms here:
http://www.exeter.ac.uk/cgr/researchethics/secure/templates/ The SSIS Ethics Committee will wish to review your consent form alongside your application so please include all documentation within this application form.

SUBMISSION PROCEDURE

Staff and students should follow the procedure below.

Post Graduate Taught Students (Graduate School of Education): Please submit your completed application to your first supervisor.

All other students should discuss their application with their supervisor(s) / dissertation tutor / tutor and gain their approval prior to submission. Students should submit evidence of approval with their application, e.g. a copy of the supervisors email approval.

All staff should submit their application to the appropriate email address below.

This application form and examples of your consent form, information sheet and translations of any documents which are not written in English should be submitted by email to the SSIS Ethics Secretary via one of the following email addresses:

ssis-ethics@exeter.ac.uk This email should be used by staff and students in Egenis, the Institute for Arab and Islamic Studies, Law, Politics, the Strategy & Security Institute, and Sociology, Philosophy, Anthropology.

ssis-gseethics@exeter.ac.uk This email should be used by staff and students in the Graduate School of Education.

Please note that applicants will be required to submit a new application if ethics approval has not been granted within 1 year of first submission.