



# **The International Development Ethics Handbook**

Last updated in September 2016

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## **1. Introduction from Head of School, Dr John Mcdonagh**

All research, consultancy and work placement activities undertaken within the School of International Development and International Development must conform to our ethics policy. The purpose of this handbook is to explain what 'ethics' and 'ethical clearance' are and help you manage the process of applying for ethical clearance.

It is very important to remember that 'ethics' is not about form filling. Ensuring that we conduct ourselves in an ethical manner is important in all our work. This is to ensure the protection of all participants in the process, and also for the quality of the work achieved. In undertaking research and consultancy we are often working in environments where both formal and informal institutional arrangements may make participants particularly vulnerable. This means that it may be difficult for people to say no, or they may be pressurised by others to participate in the research. We need to be particularly alert to these vulnerabilities. It is equally important to pay attention to the wellbeing of the research team we may work with, as well as our own security.

The University of East Anglia takes the ethical conduct of research, consultancy and work placements very seriously, and we in DEV share this concern and expect everyone who is associated with us to do the same, whether you are a student, a faculty member or a DEVCo associate. We believe this handbook will help to dispel some of the uncertainty that surrounds 'ethical clearance' and also put us all on the road to good ethical practice in all our activities.

## 2. Key Points

All research which involves the collection of primary data (for example, notes of conversations, photographs, emailed responses to questions) or the use of secondary data that contains personal or confidential/restricted information (for example, records of participants in a particular programme) requires ethical clearance.

Please apply for ethical clearance and submit your risk assessment form at least two months before you plan to start fieldwork, even if you have not finalised your research instruments (it is possible to make minor changes to your research design once clearance has been granted by emailing a detailed description of the changes to the Chair of the International Development Ethics Committee responsible for either undergraduates, postgraduates or postgraduate researchers/ faculty, with any accompanying documents, eg questionnaires, revised consent forms). Please note that almost everyone is required to revise and resubmit – there will always be something that you have forgotten to address or which requires further explanation. You can minimise the likelihood of this happening by asking your supervisor to make detailed comments on the form and accompanying materials before submission. If you are required to resubmit, the resubmission is often only reviewed by one of the Chairs and so the procedure is usually very quick (typically within one week of receipt).

***Please note that failure to obtain ethical approval before starting data collection will mean it is highly likely that the data collected cannot be used for the dissertation, PhD or other project. See section 5.3.***

Research that involves reviewing previous studies or analysing archived data such as nationally representative surveys does not usually require ethical clearance or risk assessment, but it is always best to check.

The safety and wellbeing of participants must be assured by paying attention to:

**Confidentiality** - Respecting their confidentiality and taking appropriate steps to preserve their anonymity<sup>1</sup> and keep their data secure

**Participation** - Explaining that participation is entirely voluntary and that they can refuse to take part and withdraw their participation and/ or data at any stage prior to the finalisation of the research. Understanding that in some settings it may be difficult for people to say no, or they may be pressurised by others to participate in the research.

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<sup>1</sup> Preserving anonymity may not be necessary if a respondent, for example, a representative of an organisation, asks to have their name attached to their statement. However, it is important to discuss the potential implications of this with the respondent and make a note of their request, eg by including this option within your consent form.

**Consent** - Recognising that all consent should be informed, i.e. efforts have been made to ensure that participants understand the objectives of the research, the procedures to be followed, and the anticipated outcomes (eg forms of dissemination). However, consent does not need to be written - if participants are reluctant to sign anything it can be audio-recorded and/ or the time and place it was given noted by the researcher who would sign the form in front of the respondent so they can see their consent being recorded.

**Children** - Working with children presents particular issues and requires assent from children and where possible consent from guardians. The researcher should always try to inform the parents about the research, but it may not be necessary to obtain consent in every case, for example, in relation to sensitive topics such as child work or violence where asking consent from the parents could put the child at risk. If research is being conducted in a school consent should also be obtained from a person such as a teacher who is *in loco parentis* (acting in the place of a parent). Researchers can work with groups of children, but should avoid being alone with a child. They should also be aware of the forms of physical contact that are considered appropriate, both in international guidelines and locally.

***The School of International Development's approach to ethical clearance for research with children (under 18 years).***

See also the ESRC Research Framework for Ethics

<http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/>

1. Children are defined as individuals under 18 years of age. If the official age of adulthood is different in a particular country, then that country's definition should be used.
2. Regarding informed consent, it is important to ensure that children (and other vulnerable groups) have the time and opportunity to access support in their decision-making, for example by discussing their choice with a trusted adult. Where consent is sought from children it is normally good practice to secure permission from a responsible adult in addition to child consent.
3. In DEV ethical clearance is rarely given to undergraduate students who wish to conduct research with children. This is because UG students are unlikely to have relevant experience of working with children, and are unlikely to have reviewed or be proposing required special methods for doing research with children.
4. There are situations, however, when UG students can get ethical approval to work with children and applications are welcomed. All of the below must be checked and apply.
  - The research questions require that research with children is undertaken
  - Ensuring both a) parental/guardian consent, and b) child assent.
  - The age range of the children who are to be participants in the research is 13-17, as opposed to 5-12: this older age range is more likely to get ethical approval.

- The children do not have one or more additional forms of vulnerability, for example they have not experienced conflict and trauma, sexual abuse, other forms of violence, or have learning disabilities. This would mean research could not be done with children who are in refugee camps, or beneficiaries of an NGO which is clearly targeting its interventions towards vulnerable children.
- The type of topic and questions to be covered are not sensitive, for example questions about their schooling, friends, daily routines, their hopes and priorities, would be considered less sensitive.
- The supervisor is confident that the student has the experience, skills and sensitivity to work with children, and appreciates the context in which he or she is working.
- The research will happen so it fits into safe guarding practices. So for example we would encourage group interviews rather than individual ones, and in 'line of sight' of a teacher or other. However, the research applicant must also demonstrate how they will minimise the risk to children of adults finding out about what they are saying when this might have subsequent repercussions for the child. For example a child might criticise a parent or teacher or their school, which might mean they are at risk of discrimination, punishment or sanction after the interview because of the things they have said.
- Appropriate research methods for a given age group are adopted: in particular, what level of engagement with the children will be developed, how will the sessions be run?
- The immediate organisational environment where the research will take place is well regulated / structured.

**Feeding back** - Appropriate means should be found for explaining how the findings will be used, and, in many (but not all) instances, sharing the findings with the participants (for example, by drafting a summary of the findings in the local language/s). However, participants should understand at the outset that they are unlikely to benefit directly from the research. Do bear in mind that it can be very easy to promise extensive feedback, or raise expectations of benefits of the research whilst in the field with participants, but find later that you do not have time or agency to deliver.

Finally, it may be impossible to control the impact of your research as whenever we interact with people we affect their perceptions, experiences and use up their time. In your ethics form you should not be trying to justify how your research will definitely have no risks or impacts, but make the case that you understand the full range of risks and inconveniences, that you have taken appropriate steps to mitigate these and that remaining risks and inconveniences are justifiable in the light of the research. A good rule of thumb is to think whether after your research, your participants would be happy for you or another researcher to conduct research with them again.

### **3. Definition of Important Concepts**

#### **3.1 Data**

Data is a broad term which can refer to notes of conversations, emails, transcripts of interviews, diaries, photographs/ other visual materials, etc., as well as responses to questionnaires. Primary data is collected by the researcher and/ or their assistants; secondary data refers to data collected by other researchers, or for other purposes such as censuses or organisational records (this is sometimes called 'administrative data').

#### **3.2 Informed Consent**

Agreement to participation given in full knowledge of the possible consequences. For example, what the researcher will ask the participant to do, how the information they give them will be used, whether their participation involves any risk to themselves or others.

#### **3.3 Vulnerable Participants**

Respondents / participants from the following groups may be vulnerable participants:

- i) children under the age of 18 (even when 18 is higher than the legally-defined 'age of majority' or adulthood in the country you are working);
- ii) people with mental health conditions or intellectual disabilities
- iii) clients or beneficiaries of organisations who are funding/ facilitating the research
- iv) participants who may be instructed to participate by a person in authority in their home or community (for example, a community leader or a father), or
- v) participants who are likely to feel that they should participate due to substantial power imbalances between themselves and the researcher/ research assistant.

#### **3.4 Dependent Relationships**

Dependent relationships are any relationship that could affect a respondents' ability to decline to participate. For example, their relationship with i) the researcher, ii) an authority figure who is acting as a 'gatekeeper' for the researcher (a teacher, employer, or for some women in some settings, a husband, father, brother), or iii) an organisation who is funding or conducting the research (eg an NGO or environmental group).

### **3.5 The UK Data Protection Act 1998**

The UK Data Protection Act governs the collection, storage, disclosure and use of research data, even if this is collected outside the UK. The implications of the act are that researchers must make arrangements to protect the confidentiality of participants and their right to privacy. Before consent is obtained, researchers should inform prospective participants of:

- Any potential risks that might mean that confidentiality or anonymity of their personal information cannot be guaranteed
- Who will have access to their information and under what circumstances (eg a supervisor checking data quality or other members of a research team)
- How the personal information they provide will be used
- A researcher may not disclose the identity of a person or any information that might identify them without their consent, which needs to be documented. Researchers should make adequate provisions for data security, both during and after the research, to avoid this happening inadvertently.

### **3.6 Criminal Records Bureau (CRB) Checks**

Criminal Records Bureau (CRB) checks are checks of the record of convictions held on the UK Police National Computer for individuals convicted of crimes. These are required for all people working with children or vulnerable adults in the UK; see <http://www.homeoffice.gov.uk/agencies-public-bodies/crb/> for further details. These checks can take from six to eight weeks to process, particularly if the researcher has lived outside the UK, so please bear this in mind in planning fieldwork. Similar checks may required in other settings outside the UK, and it is the responsibility of the researcher to check for such conditions in their country of study.

## 4. Who Needs to Fill in an Ethics Form?

Anyone who plans to work with human beings, even if this is only a telephone conversation or email exchanges to collect information to present alongside a literature review.

- 4.1. Undergraduate students.** If you are collecting data for your dissertation, even if this is to be collected during your Development Work Experience (DWE) module, you will need to submit an ethics application for your dissertation research. Ethics applications need to be submitted by **May 10<sup>th</sup>** of your second year or by **April 10<sup>th</sup>** if you plan to start collecting data for your dissertation before July. There is a separate procedure for obtaining ethical clearance for your DWE project and assignment which is outlined in the DWE module outline.
- 4.2. Postgraduates (taught and research).** If you are collecting data for your dissertation or thesis, another assignment, or consultancy.
- 4.3. Faculty, DEVCo Research Associates and Research Fellows** – if you are planning a research project, a research-related activity as part of teaching, or consultancy you will need to submit an ethics application. If your activity is part of teaching, please complete the DEV Ethical Clearance Form for Module-Based Research Exercises.

**Note on Scoping Visits:** PGR students and staff going to do a preliminary or scoping visit to their field site need to obtain ethical clearance for this visit. The application might be short and concise, stating the thesis aim and objectives and the purpose of the visit, such as meeting some organisations and key informants at the location, or seeking secondary data from local organisations. Obtaining clearance can be beneficial because if you unexpectedly discover that you can or are collecting useful data, these data can then be used in your thesis.

## 5. Submitting An Application

### 5.1 How to Submit?

Most of the relevant information is included on the **front of the Ethics Application Form**. Please read this carefully and complete as requested.

- All sections of the form must be completed – including the Part B section at the end.
- Word files only are accepted. PDF documents will not be accepted.
- The name of the document must include ‘ethics application’ and your surname, for example John Smith Ethics Application.
- An information and consent form (which you would present to a respondent) is also necessary.

For students, the two forms (application for + consent form) **must be approved by your supervisor**. Instructions on how this can be done are included on the front of the application form.

The two forms must then be sent to [dev.ethics@uea.ac.uk](mailto:dev.ethics@uea.ac.uk).

The deadline for completed, supervisor-approved applications is midnight on the **10<sup>th</sup> of each month**.

If applications are received after the 10<sup>th</sup> of each month the DEV Ethics Committee reserves the right to hold the application over to the next month for review.

Please note that applications that do not comply with the instructions on the front of the ethics form will be rejected.

### 5.2 Resubmissions

If you are asked to resubmit your application following review by the committee, please resubmit a new electronic form, **PLUS include an email / letter detailing** how you have incorporated the committee’s comments in your revised application. It may be helpful to also track your changes in the revised form. The email / covering letter should be submitted as a separate file, not included within the ethics form.

### 5.3 What Are The Consequences of Not Applying for Ethical Approval?

The School of International Development, and the University of East Anglia, requires that all students who are undertaking fieldwork or work experience placements conform to our ethics policy.

Ensuring that we conduct ourselves in an ethical manner is important in all our work. This is to ensure the protection of all participants in the process, and also for the quality of the work achieved. In undertaking research and consultancy we are often working in environments where both formal and informal institutional arrangements may make participants particularly vulnerable. This means that it may be difficult for people to say no, or they may be pressurised by others to participate in the research. We need to be particularly alert to these vulnerabilities. It is equally important to pay attention to the wellbeing of the research team we may work with, as well as our own security.

All research which involves the collection of primary data (for example, conducting interviews, taking notes of conversations, taking photographs, receiving emailed responses to questions) or the use of secondary data that contains personal or confidential/restricted information (for example, records of participants in a particular programme) requires ethical clearance.

The purpose of this brief statement is to outline the consequences *if ethical approval is NOT obtained* before collecting data.

Failure to obtain the necessary ethical clearance before collecting data **OR** collecting data before approval is granted, or using confidential/restricted secondary data, will mean that **ANY data collected cannot be used in the dissertation or work placement report.** In this situation, the dissertation or report may have to be re-written, perhaps completely.

### 5.4 Frequently Asked Questions

- ***But can't I apply for retrospective approval?*** **IT IS NOT POSSIBLE TO SUBMIT AN APPLICATION FOR ETHICAL APPROVAL RETROSPECTIVELY**, in other words after the data has been collected, **EXCEPT** in specific or exceptional circumstances, for example: if the student can demonstrate that they had been told by their supervisor that they did not need to obtain ethical clearance for their dissertation research, and they can prove this in writing.
- ***I have submitted an application – surely I can start collecting data now?*** The act of submitting an application form to the Ethics Committee does **NOT** confer ethical approval. All applicants must wait to receive from the Committee a PART B form confirming that their application is approved.

## 6.0 What You Need to Address Within Your Application, Section by Section

Key questions to address are given for each section of the form.

### 1. OVERVIEW OF THE STUDY:

- Describe the objectives of the research/project proposed.
- Outline each research method you plan to use
- If you are planning to do interviews / questionnaires, provide examples of the sorts of questions you will be asking, especially if they are to be sensitive questions. If possible, include draft question lists or questionnaires in the appendix to the form.
- Indicate the scale of the research project and who you will be sampling (sampling is addressed in more detail in section 4).
- If an UG student, state whether your research is being conducted while you are on DWE, and whether the organisation is enabling you to do the research.

### 2. SOURCES OF FUNDING:

- Who is providing finance for the study/project? (eg ESRC, Self, SSF, etc.)

### 3. RISKS TO PARTICIPANTS:

- What are the risks to participants if they take part in the research/project?
- Are there any potential physical, psychological or 'disclosure' dangers? (eg where an employee discloses confidential information about their employer)
- What procedures have been established for the care and protection of participants? (eg informing local leaders/others in authority about the research project and how participants were selected – without revealing the names of participants; ensuring confidentiality, including, if appropriate, privacy during interviews/conversations)
- Have you realistically assessed risk for all participants – not just in terms of physical harm, emotional distress, or disclosure dangers, but also longer term repercussions? (eg suspicion from others in the community). n.b. While you will aim to build a rapport with your participants, personal relationships should probably be avoided as these may raise participants' expectations or invite envy from others.

### 4. RECRUITMENT/SELECTION PROCEDURES:

- How will study/project participants be selected? If the sample is stratified or purposive, what characteristics will you use to select respondents?
- Is their participation voluntary, and if so, do they know that they can withdraw their consent and withdraw from the study at any point, even mid-way through an interview? Do they also know when their ability to withdraw consent lapses? (eg after the data has been finalised)

- How will you explain the project to participants and the reason why they have been selected so that they are fully informed? (procedures for obtaining consent are addressed in section 8)
5. PARTICIPANTS IN DEPENDENT RELATIONSHIPS:
- Will participants include students or others in a dependent relationship, which could affect their ability to decline to participate? For example, will they feel obliged to participate because of their relationship with i) the researcher, ii) an authority figure who is acting as a gatekeeper (for example, this could be a husband, father, brother for some women in some settings), or iii) an organisation who is funding or conducting the research?
  - If this is the case, what will you do to ensure that their participation is voluntary?
6. VULNERABLE INDIVIDUALS:
- Will the research include children or people with mental illness/ intellectual disability? If so, please explain the necessity of involving these individuals as research participants and what will be done to facilitate their participation.
  - There are other sorts of vulnerability, for example, female gender, being in a minority ethnic, religious, or caste group, sexual orientation, some forms of disability, extreme poverty, etc. that should be addressed here, if relevant to the study.
  - Being in a dependent relationship, for example, being a student in a school where research is being conducted, or a client of an NGO whose work is being evaluated, is covered in section 5.
7. PAYMENTS AND INCENTIVES:
- Will payment or any other incentive, such as a gift or free services, be made to any participant? If so, please specify and state the level of payment to be made and/or the source of the funds/gift/free service to be used.
  - Please explain the justification for offering payment or other incentive and demonstrate knowledge of the local expectations for compensation and/ or the norms set by other researchers/ programmes.
  - Please note that lunch, refreshments, small gifts, eg of biscuits or flowers, are fine, as are travel expenses. Local norms should be established in order to inform what may be appropriate to offer.

## 8. CONSENT:

- Please give details of how consent is to be obtained and attach a consent form which sets out a description of the research for the participant, and what will be required from the participant in simple, non-technical language.
- Have you thought through the need for verbal or written consent?
- How will you inform participants about the research, especially where these participants are not able to read?
- Is it clear what the participant will be required to do, why they are being asked to do this, and what will be done with their data? Inform participants that the data collected will be kept confidential and their anonymity is assured (as a default: if a participant asks for their identity to be revealed, this can be considered).
- Have you included a country contact person on the consent form, in addition to your own details?

## 9. CULTURAL, SOCIAL, GENDER-BASED CHARACTERISTICS:

- Comment on any cultural, social or gender-based characteristics of the participants which have affected the design of the project or which may affect its conduct, for example:
  - Have you considered their own positionality, for example, how a young man will interview young women? How a young researcher will show respect for older respondent while still engaging critically with their responses? How respondents might feel discussing their poverty with someone visibly wealthier than themselves?
  - How will you work with respondents speaking other language/s?
  - How might the selection of your research assistant affect the types of interactions you have? (eg the importance of caste in South Asia or religion in some settings).

## 10. CONFIDENTIALITY:

- Who will have access to the data and what measures will be adopted to maintain the confidentiality of the participants and to comply with data protection requirements? (e.g. anonymisation).
- What are the practical measures for keeping data confidential and secure? eg use of codes rather than names, storing paper data in locked bags or cabinets and electronic data on a password protected computer or external hard drive.
- Will pseudonyms be used in all outputs, for both individuals and communities?
- How will you handle situations where the person's identity cannot easily be concealed, eg the head teacher of the only school in the village?
- How will you ensure that research assistants, interpreters and/ or translators also preserve the confidentiality of the participants?

#### 11. THIRD PARTY DATA:

- Will you require access to data on participants held by a third party? (eg student records, lists of people who have received an intervention, internal project reports).
- Please describe how the confidentiality of this data set will be preserved (see question 10).

#### 12. PROTECTION OF RESEARCHER (APPLICANT)

- Please state briefly any precautions being taken to protect your health and safety.
- Do you have a realistic understanding of the conditions you will be working in?
- Have you taken out travel and health insurance?
- Have you read and acted upon Foreign and Commonwealth Office (FCO) travel advice and restrictions? (see Appendix 8.2, and in particular, Appendix 8.3, which describes the special measures you will need to take if applying to travel to a location where FCO advice warns against such travel).
- This information will also be requested in your risk assessment form (Appendix 8.2), which should be completed at the same time as your ethics form, checked and signed by your supervisor, and sent to the Learning & Teaching Hub.

#### 13. PROTECTION OF OTHER RESEARCHERS:

- Please state briefly any precautions being taken to protect the health and safety of other researchers. This also applies to interpreters and research assistants; safety of respondents is addressed in section 3.

#### 14. RESEARCH PERMISSIONS (INCLUDING ETHICAL CLEARANCE) IN HOST COUNTRY AND/OR ORGANISATION

- If this research project is being undertaken outside the UK, has formal permission/a research permit been sought to conduct this research?
- If formal permission has not been sought, or will be sought while in the field, please explain why.

#### 15. MONITORING OF RESEARCH:

- What procedures are in place for monitoring the research/project?  
 For students this is likely to be their supervisor; for faculty it might be the project funder and/ or advisory committee

#### 16. ANTICIPATED USE OF RESEARCH DATA ETC

- What is the anticipated use of the data, forms of publication and dissemination of findings etc.? (dissemination to participants is covered in section 17)  
 For students this might be a dissertation. For faculty and research students this might include written outputs such as reports or papers, presentations, and possibly also the archiving of the dataset for future researchers to use.

#### 17. FEEDBACK TO PARTICIPANTS

- Will data or findings be shared with participants? (eg verification of data and findings with participants, a translated summary of the findings, access to the dissertation/report, an event before the researcher leaves the field)
- If so, how will this be shared and when will this happen?

#### 18. DURATION OF PROJECT

- Please state the duration of fieldwork, including any piloting, eg 'Two months'.

#### 19. PROJECT LOCATION(S)

- Please list the project locations and indicate the approximate amount of time you will spend in each one, eg 'Addis Ababa – one week, Shashemene, Oromia region – 8 weeks'.

*If you have queries concerning research and ethics that your supervisor cannot resolve, please contact:-*

**UNDERGRADUATES:** Dr Steve Russell ([s.russell@uea.ac.uk](mailto:s.russell@uea.ac.uk) Rm A2.68)

**POSTGRADUATES:** Dr Sheila Aikman ([sheila.aikman@uea.ac.uk](mailto:sheila.aikman@uea.ac.uk) Rm A1.77)

**PGR STUDENTS / STAFF:** Dr Steve Russell (until December 2016), then Prof Laura Camfield ([l.camfield@uea.ac.uk](mailto:l.camfield@uea.ac.uk), Rm A1.60)

## 7.0 Additional Resources

- British Sociological Association -- <http://www.britsoc.co.uk/NR/rdonlyres/801B9A62-5CD3-4BC2-93E1-FF470FF10256/0/StatementofEthicalPractice.pdf>
- Association of Social Anthropologists of the Commonwealth -- [http://www.theasa.org/ethics/Ethical\\_guidelines.pdf](http://www.theasa.org/ethics/Ethical_guidelines.pdf)
- Social Research Association -- [www.the-sra.org.uk/ethics03.pdf](http://www.the-sra.org.uk/ethics03.pdf)
- The Research Ethics Guidebook, an ESRC-funded resource for social scientists <http://www.ethicsguidebook.ac.uk/>
- ESRC Research Ethics Framework 2006 [http://www.esrc.ac.uk/ESRCInfoCentre/Images/ESRC\\_Re\\_Ethics\\_Frame\\_tcm6-11291.pdf](http://www.esrc.ac.uk/ESRCInfoCentre/Images/ESRC_Re_Ethics_Frame_tcm6-11291.pdf)
- ESRC Research Ethics Framework <http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/>
- The National Committee for Research Ethics in the Social Sciences and the Humanities. 2001. Guidelines for research ethics in the social sciences, law and the humanities. <http://www.etikkom.no/In-English/Committee-for-Research-Ethics-in-the-Social-Sciences-and-the-Humanities/>
- 'As well as the subject: additional dimensions in development research ethics', UEA research network [www.uea.ac.uk/dev/ethicalanalysis](http://www.uea.ac.uk/dev/ethicalanalysis)

## **8.0 Appendices**

1. Blank Ethics Form
2. DEV Risk Assessment Form
3. Fieldwork Travel – Rules and requirements for places where FCO advises against travel
4. Fieldwork Absence Form (for MPhil/PhD students)
5. Example Ethics Form (dissertation)
6. Example Consent Forms (dissertation)
7. Ethics Policy of the School of International Development and International Development  
UEA, University of East Anglia

**Guidance** on ethics is available in the International Development Ethics Handbook and on the UEA website <http://www.uea.ac.uk/dev/ethics> Please consult these sources of information before filling this form.

### HOW TO COMPLETE THIS FORM

- Your application **MUST** include a **separate** Consent Form
- **COMPLETE** all sections of the form (including the top section of PART B)
- Submit the documents as **WORD** files (PDFs are NOT accepted)
- You **MUST** have your **SURNAME** in the electronic name of any documents you submit
- Your **supervisor must have approved** your two forms (ethical clearance application + consent form)
- **BEFORE** submitting your ethics form you must have submitted a Risk Assessment form, signed off by you and your Supervisor, to the Learning and Teaching Hub in Arts 1.

### SUPERVISOR APPROVAL

Your ethics application **MUST** be reviewed, commented on and **APPROVED** by your Supervisor **BEFORE** submitting. How to confirm approval?

- The Supervisor attaches an electronic signature to your ethics form
- OR
- The Supervisor emails [dev.ethics@uea.ac.uk](mailto:dev.ethics@uea.ac.uk) to confirm approval of your application
- OR
- Your Supervisor confirms approval to you (via email) you include it in the application materials emailed to [dev.ethics@uea.ac.uk](mailto:dev.ethics@uea.ac.uk)

### WHEN TO SUBMIT?

**Deadline:** for each month is **10<sup>th</sup>**.  
Please be aware that it usually takes 1 to 2 months to be granted ethical approval.

### WHO TO SUBMIT TO?

Email: [dev.ethics@uea.ac.uk](mailto:dev.ethics@uea.ac.uk)

**PLEASE BE AWARE THAT FORMS THAT ARE NOT COMPLETED CORRECTLY OR ARRIVE WITHOUT AUTHORISATION FROM YOUR SUPERVISOR WILL BE REJECTED.**

If you are asked to **resubmit your application** follow the guidance in Part B

Official use only		

## PERSON(S) SUBMITTING RESEARCH PROPOSAL

Name(s) of all person(s) submitting research proposal. <u>Including main applicant</u>	Status (BA/BSc/MA/MSc/MRes/ MPhil/PhD/research associate/faculty) <u>Students: specify your course</u>	Department/Group/ Institute/Centre

## APPLICANT INFORMATION

Forename	
Surname	
Gender	
Student ID number <i>(if applicable)</i>	
Contact email address	
Date application form submitted	
1st application or resubmission?	

## PROJECT INFORMATION

Project or Dissertation Title	
-------------------------------	--

*\* DEV/DEVco faculty or DEVco research associate applications only:*

* Project Funder	
* Submitted by SSF or DEVco?	
If yes – Project Code:	

*Postgraduate research students only:*

Date of your PP presentation	
------------------------------	--

### 1. OVERVIEW OF THE STUDY

Describe the purposes of the research/project proposed. Detail the methods to be used and the research questions. Provide any other relevant background which will allow the reviewers to contextualise your research or project activities. **Include questionnaires/checklists as attachments, if appropriate.**

### 2. SOURCES OF FUNDING

The organisation, individual or group providing finance for the study/project. If you do not require funding or are self-funded, please put 'not applicable'

### 3. RISKS OR COSTS TO PARTICIPANTS

What risks or costs to the participants are entailed in involvement in the study/project? Are there any potential physical, psychological or disclosure dangers that can be anticipated? What is the possible benefit or harm to the subject or society from their participation or from the study/project as a whole? What procedures have been established for the care and protection of participants (eg insurance, medical cover) and the control of any information gained from them or about them?

*(Please note this box will expand as much as you need to complete this section).*

### 4. RECRUITMENT/SELECTION PROCEDURES

How will study/project participants be selected? For example will participants be selected randomly, deliberately/purposively, or using lists of people provided by other organisations (see section 11 on Third Party Data)?

### 5. PARTICIPANTS IN DEPENDENT RELATIONSHIPS

Is there any sense in which participants might be 'obliged', to participate – for example in the case of project beneficiaries, students, prisoners or patients – or are volunteers being recruited? If participants in dependent relationships will be included, what will you do to ensure that their participation is voluntary?

*(Please note this box will expand as much as you need to complete this section).*

Official use only		

### 6. VULNERABLE INDIVIDUALS

Specify whether the research will include children, people with mental illness or other potentially vulnerable groups. If so, please explain the necessity of involving these individuals as research participants and what will be done to facilitate their participation.

*(Please note this box will expand as much as you need to complete this section).*

### 7. PAYMENTS AND INCENTIVES

Will payment or any other incentive, such as a gift or free services, be made to any participant? If so, please specify and state the level of payment to be made and/or the source of the funds/gift/free service to be used. Please explain the justification for offering payment or other incentives.

### 8. CONSENT

Please give details of how consent is to be obtained. Participants must be aware of their entitlement to withdraw consent and at what point in the study/project that entitlement lapses. A copy of the proposed consent form, along with a separate information sheet, written in simple, non-technical language **MUST** accompany this proposal form as an **ATTACHMENT**.

### 9. CULTURAL, SOCIAL, GENDER-BASED CHARACTERISTICS

What consideration have you given to the cultural context and sensitivities? How have cultural, social and/or gender-based characteristics influenced the research design, and how might these influence the way you carry out the research and how the research is experienced by participants? For example, might your gender affect your ability to do interviews with or ask certain questions from a person of a different gender; might it affect the responses you get or compromise an interviewee? How might your position /status as a UK university based researcher affect such interactions?

Official use only		

**10. CONFIDENTIALITY**

Please state who will have access to the data and what measures which will be adopted to maintain the confidentiality of the research subject and to comply with data protection requirements eg will the data be anonymised?

**11. THIRD PARTY DATA**

Will you require access to data on participants held by a third party? In cases where participants will be identified from information held by another party (for example, a doctor or school) describe the arrangements you intend to make to gain access to this information.

**12. PROTECTION OF RESEARCHER (THE APPLICANT)**

Please state briefly any precautions being taken to protect your health and safety. Have you taken out travel and health insurance for the full period of the research? If not, why not. Have you read and acted upon FCO travel advice (website)? If acted upon, how?

**13. PROTECTION OF OTHER RESEARCHERS**

Please state briefly any precautions being taken to protect the health and safety of other researchers and others associated with the project (as distinct from the participants or the applicant). If there are no other researchers, please put 'not applicable'

**14. RESEARCH PERMISSIONS (INCLUDING ETHICAL CLEARANCE) IN HOST COUNTRY AND/OR ORGANISATION**

The UEA's staff and students will seek to comply with travel and research guidance provided by the British Government and the Governments (and Embassies) of host countries. This pertains to research permission, in-country ethical clearance, visas, health and safety information, and other travel advisory notices where applicable. If this research project is being undertaken outside the UK, has formal permission/a research permit been sought to conduct this research? Please describe the action you have taken and if a formal permit has not been sought please explain why this is not necessary/appropriate (for example, for very short studies it is not always appropriate to apply for formal clearance).

Official use only		

### 15. MONITORING OF RESEARCH

What procedures are in place for monitoring the research/project (by funding agency, supervisor, community, self, etc.).

--

### 16. ANTICIPATED USE OF RESEARCH DATA ETC

What is the anticipated use of the data, forms of publication and dissemination of findings etc.?

--

### 17. FEEDBACK TO PARTICIPANTS

Will the data or findings of this research/project be made available to participants? If so, specify the form and timescale for feedback. What commitments will be made to participants regarding feedback? How will these obligations be verified?

--

### 18. DURATION OF PROJECT

*The start date should not be within the 2 months after the submission of this application, to allow for clearance to be processed.*

Start date	End date

### 19. PROJECT LOCATION(S)

Please state location(s) where the research will be carried out.

--

**APPLICANT INFORMATION**

*To be completed by the applicant*

Forename	
Surname	
Student ID number (if applicable)	
UG, PGT or PGR (if applicable)	
Supervisor (if applicable)	
Project Title	

**RESUBMISSIONS** – IF YOU ARE ASKED TO RESUBMIT YOUR APPLICATION FOLLOWING REVIEW BY THE COMMITTEE PLEASE ALSO ATTACH **A LETTER** WITH YOUR REVISED APPLICATION DETAILING HOW YOU HAVE RESPONDED TO THE COMMITTEE'S COMMENTS. **Students please ensure your supervisor has approved your revisions before resubmission.**

**REVIEWERS' RECOMMENDATION (✓)**

*To be completed by the Ethics Committee*

Accept	
Request modifications	
Reject	

**REVIEWERS' CHECKLIST**

*Delete as appropriate*

Risks and inconvenience to participants are minimised and not unreasonable given the research question/ project purpose.	✓	x
All relevant ethical issues are acknowledged and understood by the researcher.	✓	x
Procedures for informed consent are sufficient and appropriate	✓	x

**REVIEWERS' COMMENTS**

--

**COMMITTEE'S RECOMMENDATION**

--

**SIGNATURE (CHAIR OF THE INTERNATIONAL DEVELOPMENT ETHICS COMMITTEE)**

Signature	Date

Official use only		

**APPENDIX 2: DEV Risk Assessment Form**

**UNIVERSITY OF EAST ANGLIA**

***School of International Development***

**RISK ASSESSMENT FORM**

Student Name			
Email Address			
Status	BA/BSc	MA/MSc	MPhil/PhD
Type of Work	Dissertation	DWE/OSU PhD	Research Project Other
Supervisor (if applicable)			
Location ( <i>Fieldwork site</i> )			
Dates			
Detailed description of intended activities ( <i>attach separate sheet(s) if necessary</i> ):			
Supervisory arrangements (communication, local supervision) :			
Has a reporting procedure been set up? Yes/No?			
Is special training required.....Yes/No? If 'Yes', give details:			
Describe medical arrangements (vaccinations, access to health care in field):			
Is Medical Insurance arranged? Yes/No			
Are there any pre-existing medical conditions that require special attention during field work? Yes/No If yes, please confirm that your doctor has agreed required actions:			
Foreign and Commonwealth Office travel advice consulted? (Specify any locations you will need to avoid)			

***please FILL IN RISK ASSESSMENT OVERLEAF***

**RISK ASSESSMENT GRID**

The form below is intended as a summary of a discussion between you and your supervisor. The general process for this is to identify hazards and identify ways of reducing the risk as much as possible (at least to an acceptable level). **Your assessment must, as a minimum, cover the following hazards: road accidents, illness, crime.**

Hazard Identified	Actions Required to Reduce Risk to an Acceptable Level	Person(s) responsible for actions

**Supervisor's Comments About Risks**

Participant's Signature:

Date:

-----

-----

Supervisor's Signature:

Date:

-----

-----

**Students:** This form should be completed and signed by you. Once complete you will need to meet with your Supervisor to discuss the contents and obtain the Supervisor's signature confirming that this RA is acceptable and complete. Once you have obtained your Supervisor's signature, you **MUST** return the original form to the Learning & Teaching Hub or the PGR office.

**Supervisors:** Please review the contents of this form and then if agreed, sign and return the completed form to the Student. Note that this form will not be subject to further review after you.

**IMPORTANT:** If the location the applicant plans to travel to is flagged under FCO guidance as 'advised against all travel' DEV will NOT PERMIT the applicant to go into that area. If it is flagged as 'advised against all but essential travel' the applicant must submit their risk assessment form for approval to the DEV's Health and Safety panel before sending it to the Learning & Teaching Hub or the PGR office (additional information will be required, please see the guidelines in the document 'Fieldwork Travel Safety Guidelines' on BB: School of International Development / Documents / Risk, Health & Safety). In cases of 'all but essential travel', the risk assessment form and additional information needs to be emailed to the School Manager, g.neff@uea.ac.uk.

## APPENDIX 3: Fieldwork Travel - Safety Guidelines

This page must be read and digested before travelling on any fieldwork in Norfolk, UK, Europe or elsewhere in the World. Information for different components of health and safety both at UEA and further afield is provided.

Please note, in all cases staff and students must travel with an appropriate level of insurance (see <https://intranet.uea.ac.uk/fin/insurance>).

### Guiding Principles

- The School of International Development (DEV) takes a responsible approach to health and safety associated with primary data collection in the field, and has implemented procedures to reduce risks and protect staff and students;

The School employs ethical clearance procedures, risk assessment forms and dissertation research approval forms to ensure staff and students engage with the ethical challenges and health and safety risks of travel; and

- The School follows guidance from, firstly, the Foreign and Commonwealth Office (FCO) travel advice website, and secondly, the security assessments of reputable organisations active in the region to where travel is intended.

### Procedures

All staff and students must complete a risk assessment form before travelling – see above.

All staff and students must refer to Foreign and Commonwealth Office (FCO) travel advice before travelling. The relevant section on the risk assessment form about FCO consultation must be completed. Information on both the country and also the **regions and towns** should be referred to. <http://www.fco.gov.uk/en/travel-and-living-abroad/>

Depending on the FCO advice given, the following steps must be taken by all students and staff travelling to research or consultancy work.

#### 1. Where FCO advice indicates the destination is considered relatively safe

The staff or student member can proceed with the standard procedures of completing a risk assessment form and applying for ethical clearance where relevant. UG and PGT students travelling away from UEA must also complete a dissertation approval form.

#### 2. Where FCO Advises Against All But *Essential* Travel

Where FCO advises against all but essential travel, the student or staff member must complete the standard forms above and also write an additional application for approval that demonstrates to a School Health and Safety Panel that:

- Travel to the area is *essential for the research questions to be answered*: in other words the research questions could not be answered in an alternative setting;

- b) The research will be *feasible in the setting*: the research topic and questions will not be a cause of suspicion or generate tensions and danger to researchers or participants; that local people with whom you stay or work will not be placed under suspicion and subject to danger for similar reasons; local transport to research sites is possible
- c) The research *funder approves* that the research be undertaken in that setting;
- d) That *additional information* about security and safety protocols has been found to show it is feasible to work in the area with minimal risk. This information should be sought from consultation with a recognised or approved organisation in the region, such as local UN agencies or international NGOs active in the region, and that the organisation(s) have provided assurance that risk can be mitigated to acceptable levels if researchers follow local security procedures as followed by such organisations;
- e) That the researcher has an *affiliation with an organisation/partner* in the region, that this organisation has its own safety policy and security procedures and emergency evacuation plans in place to safeguard its staff. The researcher must demonstrate that the organisation will check regularly on the researcher's safety when travelling in the area, and will evacuate the researcher if necessary (financed by the researcher's insurance).

The researcher must complete a written statement that contains (a)–(e) above: justifying the essential nature of the work in that setting, its feasibility, and attaching relevant documentation from the organisation in the region. This document must be submitted to the School's Health and Safety Panel with the normal risk assessment and ethical clearance forms. Matters taken into account by the panel will include:

- The nature and importance of the research / work: Is it essential that it be conducted in that setting? Will it be feasible in that setting?
- The statement from the organisation in the region that was consulted about levels of risk and the security procedures in place in the setting
- The experience and security procedures and capabilities of local research partners;
- The previous experience of the person proposing to travel eg has she or he worked in the country before/recently?
- The urgency of the work - could this wait for a few months or years?

### 3. Where FCO Advises *Against All* Travel To The Region

Where the FCO advises against all travel, the School of International Development will NOT PERMIT a student or staff member to go into that area for their research or consultancy work. An exception may be made for staff members who demonstrate to the Health and Safety Panel that the requirements of 2a-2e are met and fully justified.

#### **4. Further Notes**

- a. If a student or staff member is already working in a place, and then FCO advice changes to warn against essential travel, a similar justification to the above under 2 will be required. The case of the applicant is likely to be stronger because of the factors listed above: if work has started, it will be more essential that it continues there; it will be easier to demonstrate feasibility; the experience and local networks and knowledge of the applicant will be greater etc.
- b. If the FCO does not provide information about the specific locality or district to where travel is intended, but areas close to that locality are deemed unsafe, the same advice will apply.
- c. In all cases staff and students must travel with an appropriate level of insurance. In recent years we have allowed UEA insurance to satisfy this criteria.
- d. Should travel to a country be undertaken, all individuals are strongly urged to take all measures to regularly update their knowledge of circumstances that may change on a daily basis.
- e. All advisers and supervisors meeting students prior to travel should keep written minutes of meetings and advice.
- f. Determine how you will remain in touch with friends and family at home, and how they may get in touch with you.
- g. Provide emergency contact details and notification of next of kin to the School before you travel.

#### **5. Special Note On International Students Returning Home To Conduct Fieldwork**

It is possible that a student or staff member might be returning to a location advised against, yet which is their home-region. While such a person remains a student or employed by DEV they are subject to the same procedures. As mentioned in 4a) the case of the applicant is likely to be stronger because of the factors taken into consideration by the School Health and Safety Panel.

**APPENDIX 4: Fieldwork Absence Form (for MPhil/PhD students)**

**RESEARCH STUDENTS FIELDWORK - ABSENCE NOTIFICATION**

As part of a student's research plan they may agreed with their supervisors a programme of absence from the UEA for fieldwork data collection.

**N.B. It is a requirement that before any fieldwork data research is undertaken students must obtain ethical approval from their School Ethics Committee and also complete a risk analysis assessment which must be approved by the School Health & Safety officer.**

**Students will not be allowed to commence fieldwork research until both have been approved.**

Once the above approval has been obtained, it is essential that details of the fieldwork absence period are recorded on your student record – both to confirm the absence is approved by the supervisors and to apply for a reduction in tuition fees, if appropriate.. A reduction in tuition fees (to 1/3 of the normal fee) is applied where the fieldwork period is for longer than 3 months – please note, the reduction in fees is for the actual period of fieldwork only, not the full academic year.

Please complete this form and **return it to the SSF PGR Office prior to starting your fieldwork.** Students should note that completion and submission of this form does not represent official approval for the fieldwork period.

NAME: .....REGISTRATION NO:.....

SCHOOL: .....

I SHALL BE AWAY ON FIELDWORK FROM: .....

TO: .....,

MY CONTACT ADDRESS FOR CORRESPONDENCE DURING THIS TIME WILL BE:

.....

.....

EMAIL (UEA plus alternative if appropriate): .....

TELEPHONE: (landline and mobile if possible):.....

INSTITUTION NAME (if applicable) OR LOCATION OF FIELDWORK:

.....

I SHALL CONTINUE TO BE SUPERVISED BY MY UEA SUPERVISORS

or

I SHALL BE SUPERVISED BY A LOCALLY APPOINTED SUPERVISOR

(\* please tick as appropriate)

IMPORTANT: IF YOU ARE LIVING IN UNIVERSITY ACCOMMODATION, PLEASE ADVISE THE ACCOMMODATION CENTRE AS SOON AS YOU CAN OF YOUR EXPECTED DATE OF DEPARTURE AND RETURN IF YOU WISH TO BE CONSIDERED FOR ACCOMMODATION WHEN YOU RETURN TO CAMPUS.

**IT IS IMPORTANT THAT YOU CONTACT THE SSF PGR OFFICE ON YOUR RETURN FROM FIELDWORK SO THAT YOUR RECORDS CAN BE UPDATED.**

SIGNED: .....(STUDENT) Date.....

.....(1st SUPERVISOR) Date.....

.....(2nd SUPERVISOR) Date.....

## APPENDIX 5: Example Ethics Form – PhD or Dissertation

*n.b. This form is slightly different in format from the revised version of the form provided earlier in the handbook; however, it covers the same content*

COMPLETE ALL SECTIONS IN **PART A** AND APPLICANT INFORMATION IN **PART B**

### APPLICANT INFORMATION

Forename	Anne
Surname	Other
Gender	Female
Student ID number (if applicable)	12345678
Contact email address	a.n.other@uea.ac.uk
Date application form submitted	January 2012
1st application or resubmission?	1st

### PROJECT INFORMATION

Project Title	Exploring migration and climate change in Anhui Province and Shanghai, China
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*\* DEV/DEVco faculty or DEVco research associate applications only:*

* Project Funder	
* Submitted by SSF or DEVco?	

### PERSON(S) SUBMITTING RESEARCH PROPOSAL

Name(s) of all person(s) submitting research proposal. <u>Including main applicant</u>	Status (BA/BSc/MA/MSc/MRes/ MPhil/PhD/research associate/faculty etc.) <u>Students: specify your course</u>	Department/Group/ Institute/Centre
Anne Other	PhD	DEV

### SUPERVISOR AUTHORISATION

*In the case of undergraduate and postgraduate research, please give details of supervisor(s). The Supervisor is asked to certify the accuracy of the following account. If the supervisor is out of the country at the time of submission they should send an email to the Chair of the ethics committee ([j.seeley@uea.ac.uk](mailto:j.seeley@uea.ac.uk)), copied to dev.ethics ([dev.ethics@uea.ac.uk](mailto:dev.ethics@uea.ac.uk)) stating that they have seen and approved the application.*

Name of supervisor(s)	Position held
Frederick Bloggs	Professor
Signature (supervisor of student)	Date
	1 <sup>st</sup> January 2012

## APPLICANT SIGNATURE

Signature ( <i>proposer of research</i> )	Date
	1 <sup>st</sup> January 2012

### 1. OVERVIEW OF THE STUDY

Describe the purposes of the research/project proposed. [Detail the methods to be used and the research questions.](#) Provide any other relevant background which will allow the reviewers to contextualise your research or project activities. Include questionnaires/checklists as attachments, if appropriate.

This research investigates how and why some people use mobility as a response to climatic perturbations (such as droughts and floods) whilst others do not. The research is located in China where formal institutions (such as Hukou) exert an incredibly powerful influence over the lives of citizens and is a significant factor in determining the mobility of the population (Cai, 2003; Zhang, 2008; Chan and Zhang, 1999). In acknowledging the importance of these issues, the research uses an adapted version of Leach et al's (1999) 'Environment Entitlements Framework' to understand the processes, characteristics and outputs that contribute to resilience (Nelson et al., 2007). Specifically it examines how social actors gain mobility endowments and deploy mobility entitlements (in the form of migration) to alter capabilities and improve wellbeing in the context of climatically driven environmental change.

The main research question is:

- To what extent is the endowment of and entitlement to mobility a significant determinant of resilience in the face of environmental change driven by climatic variability? A multilevel, event history analysis of environmental shocks in Anhui Province, China

Sub-questions are:

- What are the mechanisms by which drought / flood affects the endowment and entitlement to mobility at an individual, household and community level?
- Are those with a greater endowment and entitlement to mobility more resilient to environmental shocks?
- Under what conditions is the endowment to mobility enacted and how does this impact on resilience?
- What impact do area level environmental shocks have on mobility endowments and mobility entitlements when compared to household level ones and do responses to these shocks interact across levels?
- How does the temporal and spatial clustering of environmental shocks impact on mobility endowments and mobility entitlements when compared to isolated environmental shocks?

I will use an event history analysis to understand the impact of environmental change driven by two different types of climatic variability: drought and flood. I will use a mixture of quantitative and qualitative methods. This mixed approach will enable me to examine the dynamic process by which mobility endowments are gained, converted to mobility entitlements and the impact this has on the capacity of social actors and the overall resilience of the system. I will undertake research in three rural locations in Anhui Province and also with migrants in Shanghai over a nine-month period from October 2012 to June 2013. The methods that I will use to collect the data and the analysis approach are detailed in Appendix 1. This includes:

## 1. OVERVIEW OF THE STUDY

- an overview of the key variables, the indicator clusters associated with each variable and the methods of data collection; and
- a summary of the analysis approach, the relationships of interest and the anticipated outputs.

The research will be split into three phases. During phase one I will identify suitable rural locations for my field research through expert interviews and visits to potential sites. Once located I will carry out participatory rural appraisal to understand the context within which I am working in and to help build rapport between the community and myself. These visits will also provide confirmation that the site is suitable; if it isn't then further sites will be located. Additionally, I will undertake initial scoping work in Shanghai to identify migrant communities and local leaders. Finally I will liaise with relevant academic experts and policy makers / government officials to gain an understanding of migration and the wider context political, social, economic, environmental and demographic context. In phase two I will perform the survey work that will provide the data for the event history analysis in the rural locations. Through this work it is anticipated that I will be able to make links with migrants in Shanghai who originated in my survey areas. Through these links I will interview and number of migrants in Shanghai to gain their perspective on their migration experience. The final phase consists of follow up interviews to address emerging issues from the research analysis and initial dissemination of results. The links between data collection and analysis will be on going and iterative.

The research will be undertaken in collaboration with Fudan University in Shanghai. Fudan University have been selected as the partner organisation due to the existing partnership arrangement that exists between them and the Tyndall Centre (of which I am an affiliate). A member of the faculty in Fudan (Prof. Peng Xizhe) has been asked to act as my local supervisor during my fieldwork. I do not speak the local Chinese dialects (Wu, Gàn or Huīzhōu) and will be heavily reliant on research assistants (between one to three) to assist me to carry out my research. Ideally the team will contain both genders and all research assistants will be fluent in a local dialect and English and be suitably qualified to carry out the research (educated to a minimum of a masters level but preferably a doctoral student or post-doc).

### References:

- Cai, Q. 2003. Migrant Remittances and Family Ties: A Case Study in China. *International Journal of Population Geography*, 9, 471-483.
- Chan, K. W. & Zhang, L. 1999. The Hukou System and Rural-Urban Migration in China: Processes and Changes. *China Quarterly*, 818-855.
- Leach, M., Mearns, R. & Scoones, I. 1999. Environmental Entitlements: Dynamics and Institutions in Community-Based Natural Resource Management. *World Development*, 27, 225-247.
- Nelson, D. R., Adger, W. N. & Brown, K. 2007. Adaptation to Environmental Change: Contributions of a Resilience Framework. *Annual Review of Environment and Resources*.
- Zhang, L. 2008. Conceptualizing China's Urbanization under Reforms. *Habitat International*, 32, 452-470.

## 2. SOURCES OF FUNDING

The organisation, individual or group providing finance for the study/project.

NERC studentship and a funding bid has been submitted to Fudan University (through the Tyndall Partnership) to cover the in country costs of the research.

## 3. RISKS TO PARTICIPANTS

What risks to the participants are entailed in involvement in the research/project? Are there any potential physical, psychological or disclosure dangers that can be anticipated? What is the possible benefit or harm to the subject or society from their participation or from the project as a whole? What procedures have been established for the care and protection of participants (eg insurance, medical cover) and the control of any information gained from them or about them?

I anticipate collecting information from the following groups of people:

- Both genders
- Predominantly poorer and less advantaged sections of society
- Rural peasants
- Different generations within a family unit (for example the eldest generation might be the de facto household head if the middle generation have left to seek work)
- Urban non-Hukou migrants
- Community gatekeepers

These will be the main participants in my research and have informed the identification of risks and mitigation measures set out subsequently.

Coercion:

- The nature of Chinese society (through the powerful role of the state for example) may mean people feel psychologically coerced into responding or providing responses to questions that they do not wish to give. Although efforts will be made to minimize the risks of this occurring (through the informed consent process for example) it will not be eradicated and it is important to acknowledge this. I will make notes after each interview recording my observations and those of the research assistant through which I will make an assessment of the validity of the response.
- Efforts will be made to undertake the survey and any interviews in private (where possible and if culturally acceptable) to provide a space where views can be expressed freely with out others listening in. This will help to reduce the issue of coercion although will not eradicate it. For example in households where the wife is the head of the family as the husband is working away the father-in-law may have assumed the role of de facto head. In this circumstance it may not be possible to interview the wife in isolation without first going through the father-in-law. Furthermore it may be inappropriate for a white, western male and a male (for example) to interview a married woman alone.
- For group activities (such as PRA) the risk issue of coercion is also present. Good facilitation and preparation (emphasizing that individuals should feel free to voice their own opinions even if these differ from others) should help to reduce the likelihood of this occurring to some extent. However these actions won't completely control or negate the issue of coercion and it is important that the research design is flexible enough to work around this. To this end keen observation (and post activity debriefs) by the research team will be vital to understand the dynamics within group activities. This will help to reveal who has and is exerting power and who isn't or is unable to thus affecting their ability to actively participate. In such instances actions such as follow-up interviews with

### 3. RISKS TO PARTICIPANTS

groups or individuals who did not / were not able to participate fully to gain their perspective will be implemented. The observations and debriefs will also help to inform how much I read into the data during analysis.

#### Lack of consent:

- Identifying the case study sites will be achieved via interviews with experts and government officials. Having identified suitable locations every effort will be made to obtain genuine consent at a communal and individual level to carry out research in those sites. If I feel that consent is not forthcoming then alternative sites will be sought or individuals will not be surveyed / interviewed.
- The survey will be implemented at the level of the household. All participants will be made aware that they are under no obligation to talk to me, that their anonymity will be protected and that the information they provide will remain confidential as far as is practicable. Furthermore they will be made aware that they are free to pull out of the study up to a certain date (the end of the fieldwork stage for example) even after their survey has been completed.
- There is a strong possibility that participants will feel uncomfortable providing written formal consent (for example the document could be perceived as a quasi-legal commitment). If this is the case verbal informed consent will be sought.
- In all cases it is not possible to eradicate the risk that consent will be 'given' but not actually 'meant' and there is only so much I can do to minimize the risk of this occurring (short of not actually doing the research). For example I will ensure that respondents have a number of opportunities during their participation as well as at the beginning or end to exit or to stop participating.
- It is the intention of the researcher to record the interviews with a Dictaphone to enable transcription of data. Consent for using this equipment will be sought prior to commencing the interview. If consent is not forthcoming the interview will still proceed and notes will be taken during the interview and written up subsequently.

#### Psychological dangers:

- The issues of migration, especially that caused by an environmental perturbation such as a flood or drought may result in the recollection of unpleasant memories. The survey and interviews will be designed to be sensitive to these issues. Furthermore the researcher is aware that this may be an issue and will ensure that the Research Assistants are appropriately trained and behave in a suitable manner.
- During the interview when painful memories are being discussed the onus will be placed more on the respondent to lead rather than the interviewer. The respondent will be reminded that they can stop (the recollection) at any point and they are under no obligation to go on although they can if they wish.

#### Other issues:

- The presence of the researcher within the study area may raise expectations about possible interventions. From the outset the research team will be clear about the nature of the research and its impact.

#### 4. RECRUITMENT/SELECTION PROCEDURES

How will study/project participants be selected? Is there any sense in which participants might be 'obliged' to participate – as in the case of students, prisoners or patients – or are volunteers being recruited? If participation is compulsory, the potential consequences of non-compliance must be indicated to participants; if voluntary, entitlement to withdraw consent must be indicated and when that entitlement lapses.

Study participants will be selected in a range of ways: purposive sampling of key informants, snowball sampling of migrants in Shanghai and for semi-structured interviews and village level random surveys. The selection of the sample sites (part of phase one activities) will include the identification of suitable access / entry points (this will be one of the key criteria). A suitable means of entry into a community will be assessed on the person's or organisation's ability to provide an appropriate level of access without damaging the integrity of the study. Potentially these two issues could pull in opposite directions suggesting that some level of compromise will be required.

Participation will not be mandatory in any of the sample methods and additional participants will be sought if people refuse to take part. For example if a household was to refuse to take part in a random village survey that samples every tenth household, then the eleventh household would be surveyed (to make up the numbers) before resuming on the previous one in ten basis. As outlined above informed consent (notwithstanding the issues outlined above) will be sought from all participants and they have the right to withdraw at any point or not participate.

#### 5. PARTICIPANTS IN DEPENDENT RELATIONSHIPS

Specify whether participants will include students or others in a dependent relationship (this could affect their ability to decline to participate). If such participants will be included what will you do to ensure that their participation is voluntary etc.?

The research will, in all likelihood, involve those in dependent relationships. For example household survey respondents and interview participants may be in a dependent or unequal relationship (such as female headed households where the father in law is present). As a result measures will be put in place to help ensure that, as far as is practicable, their participation is voluntary and they do not feel obliged to respond in a way that could result in possible negative consequences (see also mitigation measures in section 3). Participation in the research will be voluntary and participants will be given the opportunity to refuse to participate and opportunities will be provided throughout any interaction for the respondents to withdraw if they wish. Furthermore the researcher will emphasize that respondents do not need to answer specific questions if they appear uncomfortable or unwilling to do so. The researcher and assistants will be led by the participants in identifying suitable times and locations for the interactions and whether third parties are present.

However the nature of the dependent relationship may mean that participants are obliged to take part even if it is against their wishes. In these circumstances the research team will have to decide on whether to proceed weighing up the implications of this decision for the participant. The researcher acknowledges that it may not be possible to identify those in a dependent relationship and some people may be 'forced' to participate. Unfortunately this risk is unavoidable but awareness of this issue and sensitivity to the lives of the respondents will help to reduce possible adverse impacts of participation.

## 5. PARTICIPANTS IN DEPENDENT RELATIONSHIPS

In all cases notes will be taken during the interaction (that will record how the respondent appeared, their manner, the presence of other people, the location etc.) and the researcher and assistants will discuss their observations afterwards to help understand the validity of the response. This will be used to assess the data during analysis.

## 6. VULNERABLE INDIVIDUALS

Specify whether the research will include children or people with mental illness. If so, please explain the necessity of involving these individuals as research participants and what will be done to facilitate their participation.

The research will not involve children under the age of 18 and people with mental illness (where possible through prior identification). However the nature of the research (with a focus on migrants and rural communities) means that it will be necessary to involve groups of people (rural poor, non-Hukou urban migrants and the elderly for example) who are vulnerable and likely to be at risk of exploitation. The research will deal with these individuals from these groups sensitively, respecting their wishes and accommodating their needs as far as is practicable (for example payment for their time in participating).

## 7. PAYMENTS AND INCENTIVES

Will payment or any other incentive, such as a gift or free services, be made to any participant? If so, please specify and state the level of payment to be made and/or the source of the funds/gift/free service to be used. Please explain the justification for offering payment or other incentive.

Received advice has indicated that small gifts would be appropriate for participants as recompense for the time taken or as a gesture of respect. The value and nature of the gift will be decided upon after discussions with faculty at Fudan University and local experts. The budget for these gifts will not be large and has been included in the bid to Fudan University.

## 8. CONSENT

Please give details of how consent is to be obtained. A copy of the proposed consent form, along with a separate information sheet, written in simple, non-technical language MUST accompany this proposal form (do not include the text of the form in this space, attach with your submission as a separate document).

The purpose of the research will be discussed at the outset of any data collection activity and follow the headings set down in the Standard Protocols of the Social Research Association's Ethical Guidelines (see Appendix 2). Having discussed the project informed consent will be sought (see Appendix 3). Two versions of the informed consent form are included in Appendix 3. The final version will be decided upon after consultation with faculty at Fudan University in Shanghai.. All of this information will be translated into the appropriate local dialect and back translated to ensure accuracy.

## 9. CULTURAL, SOCIAL, GENDER-BASED CHARACTERISTICS

Comment on any cultural, social or gender-based characteristics of the participants which have affected the design of the project or which may affect its conduct.

This is the first time that I will be conducting research in Southeast Asia; it is why I am particularly keen to have local support through Fudan University and to other local individuals / organisations if appropriate. Guidance will be sought for all stages of the primary research to ensure that it is sensitive to cultural, social and gender issues.

The research will be focusing on the migration experience of rural households in Anhui and migrants in Shanghai. I am particularly interested in how socially differentiated groups and individuals within these groups convert their rights to be mobile into mobility in the face of environmental perturbations. As such I am interested in age, gender and cultural and social characteristics of the participants.

In looking at mobility through a lens that addresses issues of social differentiation and power it is important to recognize the role and perception of the researcher and research team. I am from a privileged background and will be perceived in a certain way; it is likely that my research assistants will also be University educated and from a different but also privileged background. It will be vital to ensure that respectful and appropriate relations between the research team and respondents are maintained at all times. Furthermore I am aware that my position and the perception of my position may influence the responses received; steps will be taken to minimize this issue.

Sensitivity to cultural norms and values must be maintained throughout the research to ensure that participants are treated with dignity and respect. To that end I will consult extensively on the research material used and relevant norms and acceptable behavior. Furthermore I will ensure that the research team is trained appropriately to undertake the research in a sensitive and appropriate manner.

Underpinning the relationship between the researcher, the research assistants and the participants is one of trust. In employing a research assistant I will be making a judgement on whether I can trust that individual to do a good job (to the best of their ability) and respond to sensitive issues appropriately for example. Similarly, I (and the research team) will need to build a good rapport with the participants to help to engender a feeling of trust in the team and the research. This will be a key component in generating quality data.

## 10. ENVIRONMENTAL IMPACT

Identify any environmental impacts arising from your research/project and the measures you will take to minimise risk of impact.

The environmental impact of my research is very low and restricted to personal emissions associated with travel (where possible these will be offset). I am limiting the number of flights I am taking and have elected to move my family to Shanghai for the duration of my research. This means that I will be able to undertake the research in one visit rather than a series of shorter trips thus reducing my emissions associated with flying.

I will endeavour to live in a way to accords with my own principles of sustainable development. To this end I will try to minimise waste and energy and water consumption for example.

## 11. CONFIDENTIALITY

Please state who will have access to the data and what measures which will be adopted to maintain the confidentiality of the research subject and to comply with data protection requirements eg will the data be anonymised?

I will be the only person with access to the non-anonymised records. Research assistants will be required to submit the data to me on a regular basis and will also sign a contract that includes a confidentiality clause. More fundamentally I will have to trust that they will handle the data in accordance with my wishes and those of the participants (this point comes back to the issue of trust outlined in section 9). The anonymised records will need to be translated or transcribed from the local language into English. I will ensure that the company / individuals I engage to do this sign a confidentiality clause and are aware of the implications of this clause.

All data (digital files, documents in Chinese and translated / transcribed versions) will be entered on to a password protected computer and the master document that cross-references respondent names with entries will have additional protection and encryption. Original paper-based records (on a questionnaire survey for example) will be retained for the duration of the research for audit purposes. All personal identifiers on these records will be redacted once the data has been entered and checked for accuracy.

## 12. THIRD PARTY DATA

Will you require access to data on participants held by a third party? In cases where participants will be identified from information held by another party (for example, a doctor or school) describe the arrangements you intend to make to gain access to this information.

It is anticipated that no third party data will be required although this position may change as the study evolves. If this does occur similar standards of anonymity and confidentiality will be applied.

## 13. PROTECTION OF RESEARCHER (APPLICANT)

Please state briefly any precautions being taken to protect your health and safety. Have you taken out travel and health insurance for the full period of the research? If not, why not. Have you read and acted upon FCO travel advice (website)? If acted upon, how?

The issues identified are drawn from personal experience, the FCO travel advice website for China and the National Travel Health Network Centre.

Measures to secure the wellbeing of the researcher and family have been carried out in a number of ways (see Appendix 4: the Risk Assessment). All family members (includes researcher, wife and two children) will have been advised by the local health surgery about health risks and will have taken all relevant vaccinations. This will be evidenced through a 'fitness to travel' certificate. Both the researcher (Anne) and his partner (James) are experienced travellers and have lived and worked in a number of developing countries. The family will be based in Shanghai and the following risks have been identified:

- Health: Some risks associated with food and water-borne diseases; malaria (low risk) and general insect bites and levels of air pollution. Efforts will be made to minimize these risks through the use of insect repellent, appropriate clothing and mosquito nets. The duration of the stay means that the risk of permanent ill health due to air pollution is low.
- Climate: The climate in Shanghai is similar to the UK although the summer months are hotter (the research will not take place during the hottest time of the year). There is very

### 13. PROTECTION OF RESEARCHER (APPLICANT)

low risk of climate-related hazards. The monsoon season runs from May to November; the research will occur predominantly outside these times.

- Transportation: Congested but similar to other large cities. Transportation will be predominantly on foot (good segregation with motorized vehicles), on the metro (modern and very safe) or in taxis (seatbelts will be worn where applicable).
- Crime/Security: Major risks are associated with pickpockets, petty thefts and counterfeit currency. However crime rates in Shanghai are low and the city is considered very safe
- Driving: I will not be driving whilst in China
- Cultural awareness & dress codes: No issues identified
- Drugs & medication, and alcohol: Prescription drugs will have a supporting letter from GP

University accredited health and travel insurance will be taken out and local health care facilities will be identified on arrival. Contact forms will be completed prior to departure so that the appropriate people can be informed if an accident occurs

Anne's research will be based in Shanghai (see above) and also Anhui. The research presents its own set of risks and a number of steps have been taken to minimise these (in addition to those above):

- Health: Risks of working in a more remote location. The researcher will not travel or work alone whilst on research and if he feels or his or assistants feel in danger at any point the research will be aborted. Whilst working away a basic travel first aid kit will be taken to cover common travel ailments. Contact details and proposed itinerary will be left with local and UK contacts.
- Climate: The research will be carried out during the winter and spring where there is a small risk of heavy rains and associated impacts of flooding and landslides (monsoon season is from May to November). Information on local weather conditions will be ascertained before departing and the itinerary will flexible so it can be altered or cancelled if necessary.
- Crime / security: As above. Open display of expensive equipment will be minimised or kept hidden where possible and only a necessary amount of cash will be carried.
- Transportation: Will be predominantly in cars (where seatbelts will be worn if available) or on motorbike (helmets will be worn where available).

Anne will keep in regular contact with his local and UK-based supervisors for the duration of the trip to report on progress and trouble shoot.

### 14. PROTECTION OF OTHER RESEARCHERS

Please state briefly any precautions being taken to protect the health and safety of other researchers and others associated with the project (as distinct from the participants or the applicant).

Research assistants will be required to have appropriate vaccinations for the research locations and comprehensive medical and travel insurance. Additional measures will be taken to minimise risks from mosquitos (see above). The Researcher will pay an appropriate daily rate for the researchers time in addition to the subsistence and travel costs associated with the research.

## 14. PROTECTION OF OTHER RESEARCHERS

The research assistants may be required to work alone at points during the research. If this is necessary the researcher will keep in regular contact with the research assistant; this will be achieved through prearranged contact times and itineraries. Furthermore the sites where the research assistant will operate will have been jointly scoped previously and assessed for health and safety risks.

## 15. RESEARCH PERMISSIONS (INCLUDING ETHICAL CLEARANCE) IN HOST COUNTRY AND/OR ORGANISATION

The UEA's staff and students will seek to comply with travel and research guidance provided by the British Government and the Governments (and Embassies) of host countries. This pertains to research permission, in-country ethical clearance, visas, health and safety information, and other travel advisory notices where applicable. If this research project is being undertaken outside the UK, has formal permission/a research permit been sought to conduct this research? Please describe the action you have taken and if a formal permit has not been sought please explain why this is not necessary/appropriate (for very short studies it is not always appropriate to apply for formal clearance, for example).

Formal permission for the research has not yet been sought although it is a priority. The researcher will take advice from Fudan University and Declan Conway (supervisor) about appropriate visa requirements and follow local guidelines regarding ethics.

## 16. MONITORING OF RESEARCH

What procedures are in place for monitoring the research/project (by funding agency, supervisor, community, self etc).

I will have a local supervisor at Fudan University and be in regular contact with my UK-based supervisory team. In addition I will draft a research plan with key milestones to ensure that the research remains on track and keep daily diary of my research experiences.

## 17. ANTICIPATED USE OF RESEARCH DATA ETC

What is the anticipated use of the data, forms of publication and dissemination of findings etc.?

The data will contribute to the production of a PhD thesis. In addition it is anticipated that the data will also be used to generate up to three journal articles in the UK and possibly jointly authored articles in Chinese for the Chinese audience.

## 18. FEEDBACK TO PARTICIPANTS

Will the data or findings of this research/project be made available to participants? If so, specify the form and timescale for feedback. What commitments will be made to participants regarding feedback? How will these obligations be verified?

The data gathered will be available to the participants to view should they wish to check that their views have been appropriately represented.

## 18. FEEDBACK TO PARTICIPANTS

The researcher aims to provide an initial summary of the data analysis to the participants before the end of the fieldwork phase. This will serve three purposes:

1. Provide some feedback for participants;
2. To allow for the cogency of the initial findings to be tested with those responsible for generating the data; and
3. To permit further investigation of specific issues (phase three of the data collection).

Any published material will be made available to participants should they wish to access it (particularly relevant for government officer participants). Furthermore I will produce a short non-technical summary of my research at the end of the project that I intend to translate and provide to the research participants.

## 19. DURATION OF PROJECT

*The start date should not be within the 2 months after the submission of this application, to allow for clearance to be processed.*

Start date	End date
Field work: 1 <sup>st</sup> April 2012	31 <sup>st</sup> January 2013

## 20. PROJECT LOCATION(S)

Please state location(s) where the research will be carried out.

Anhui Province, China (exact locations TBC)  
Shanghai, China

## APPENDIX 6A : Example Consent Form - Dissertation

### *Exploring migration and climate change in Anhui Province and Shanghai, China*

You are being invited to take part in a research project that explores links between migration and changing environmental conditions. Before you decide whether or not to take part, it is important for you to understand why the research is being done and what it will involve. Please take time to read / listen to the following information carefully.

#### **What is the research about?**

The research is interested in exploring and understanding the links between changes in the environment and migration. This research will explore how and if people use migration respond to events such as droughts and floods. This information will be used to study the possible impacts of climate change in the future. The research will last for about 9 months and will take place in different locations in Anhui and Shanghai. The research will talk to and survey different members of the community.

#### **Who is doing the research and how are they being paid?**

The research will be undertaken by Anne Other who works for the University of East Anglia in the UK and Fudan University in Shanghai. Anne is being assisted by XXX, who will act as an interpreter. The research is being paid for by the Natural Environment Research Council in the UK and Fudan University in Shanghai

#### **Do I have to take part?**

It is up to you to decide whether or not to take part. If you do decide to take part you will be given this information sheet to keep and be asked to sign a consent form / verbally give consent. You will still be free to withdraw at any time and without giving a reason, and this will affect you in no way.

#### **What will happen if I take part?**

You will be asked questions about life in the village, you and your family and migration. These questions will be in a questionnaire survey or a one-on-one interview. Times may vary but it should take no longer than one hour. You are under no obligation to answer any of these questions and you can stop at any point without giving a reason. You are completely free to express your opinion and you will not be judged on what you say, there are no right or wrong answers. If you decide that you want to withdraw the information you have given after the survey is finished, you can up to XX date.

#### **Will the information I give be confidential?**

All the information you give is confidential and anonymous as far as possible. All distinguishing personal information will be removed from the paper record once the data has been entered on to a computer. Recordings of interviews and the records on the computer will be anonymised where possible and only the researcher will have access to the full non-anonymous data. The information will be securely stored in paper or electronic form for a period of XX years after the research has been completed.

#### **What will happen to the results of the research?**

Near the end of the 9 months the researcher will return and present some initial findings. Sometime later (up to two years) a short summary of the final research project will be available

for you if requested. The results of the research will also be used for the doctoral thesis of the researcher and to publish in academic journals.

**Who has reviewed the study?**

The Research Ethics Committee at the School of International Development, University of East Anglia in the UK has approved this research.

Who do I contact for further information?

Should you have any questions now or at any other time about this research, and your participation please feel free to ask. I can be contacted at XXX. You are also welcome to call my sponsor at Fudan University Prof. Peng Xizhe who can verify who I am and the nature of my work here. He may be contacted on XXX.

**AGREEMENT TO PARTICIPATE AND HAVE MEETINGS DIGITALLY RECORDED**

*Respondent's Copy*

The research information was presented in written form and read by/to me. Anything I did not understand was explained and all my questions were answered. I understand I can withdraw my participation at any time and any or all of the information which I give before [DATE]

I, ..... agree/disagree to participate in the study and agree/disagree to have the meetings digitally recorded.

Signature/Mark of Respondent:

Date:

Signature of Researcher/Research Assistant:

Date:

.....

**AGREEMENT TO PARTICIPATE AND HAVE MEETINGS DIGITALLY RECORDED**

*Researcher's Copy*

The research information was presented in written form and read by/to me. Anything I did not understand was explained and all my questions were answered. I understand I can withdraw my participation at any time and any or all of the information which I give before [DATE]

I, ..... agree/disagree to participate in the study and agree/disagree to have the meetings digitally recorded.

Signature/Mark of Respondent:

Date:

Signature of Researcher/Research assistant:

Date:

## APPENDIX 6B: Example Consent Form – Dissertation (simple)

Information Sheet and Consent form for: Title of project  
 Name of the researcher

(for prospective participants over the age of 17 years)

My name is xxx and I am working for a research project that is looking at xxxxx. I want to give you a bit more information about the project, give you a chance to ask any questions you have and then ask you whether you are happy to take part. Participation is completely voluntary and you are free to say that you do not wish to participate – either now or after I have given you further information.

*[Interviewer – check respondent is happy to proceed at this point]*

The research project involves collecting information about xxxx. I am interested in particular to know *[explain in simple terms the focus of the data collection]*. I am also interested to know more about xxxx and in particular xxxxx *[explain clearly your focus]*. I am inviting you to take part because *[explain why the person has been chosen. If you did a random selection then you can explain this in terms of a lottery {if they exist in the place you are working} or graphically by explaining put everyone's name into a big bowl or bucket and then getting someone who cannot see in the bowl/bucket to do the selection]*.

I cannot promise any direct benefits from taking part in this research but I will give you a soda and a snack while we talk *[or some other token of appreciation]*.

I am a student at a UK university – the University of East Anglia – and here in xxxx I am working in partnership with *[insert local partner]*. I will use the results from this study for my xxx dissertation/thesis. I do hope that I will be able to provide a short general account of my findings to xxxx and xxxx which may be useful because of xxxx, but this is a small study so I cannot expect to be able to influence local policy or practice, for example.

The information from your interview will be used with all the other information I collect. You will not be named. All information will be treated confidentially and anything made public will always be anonymous. For example, if I wanted to repeat something that you say, I would refer to you using a code, such as 'Interviewee 34 told us ...'.

If you are willing to participate, you will initially be agreeing to an interview that will last *[enter how long you expect the interview to last]*. *[Explain if there will be further interviews or other data collection that they will be asked to take part in]*.

If you decided that you do not wish to take part you can stop the interview at any point and I will not use the information you have given me. If after the interview you decide

that you do not want me to use your information you can contact me up until xxxx to ask for the information to be withdrawn, and I will withdraw it and destroy it.

If you want to ask someone other than me about my project please contact xxxxx [address and phone number of a local person who has agreed to act in this capacity – this should be someone who really does know what you are doing and can be contacted cheaply]

My contact details are: [local address and local phone number – not a personal mobile number unless that really is the only contact number you have]

**AGREEMENT TO PARTICIPATE AND HAVE MEETINGS DIGITALLY RECORDED**

I confirm that the research information was presented in written form and read to me. Anything I did not understand was explained and all my questions were answered. I understand I can withdraw my participation at any time and any or all of the information which I give before [DATE]

I, ..... agree/do not agree to participate in the study

I, ..... agree/do not agree to have the meetings digitally recorded.

Signature or mark of interviewee:

Date:

Signature of witness (if required):

Date:

Signature of Researcher/Research Assistant

Date:

## APPENDX 7: Ethics Policy of the School of International Development, UEA

### **Who Does This Apply to?**

This policy applies to all staff, students and DEVCo associates whether the work is funded or unfunded, if the research is being carried out in their capacity as members of DEV/DEVCo or using University facilities.

Faculty, DEVCo Research Associates and Research Fellows – if you are planning a research project, a research-related activity as part of teaching, or consultancy you will need to submit an ethics application. If your activity is part of teaching, please complete the DEV Ethical Clearance Form for Module-Based Research Exercises.

Undergraduates – if you are collecting data for your dissertation, even if this was originally collected during your Development Work Experience (DWE) module, you will need to submit an ethics application. Ethics applications need to be submitted by May of your second year or by April if you plan to start collecting data for your dissertation before July. There is a separate procedure for obtaining ethical clearance for DWE which is outlined in the DWE module outline.

Postgraduates (taught and research) - if you are collecting data for your dissertation or thesis, another assignment, or consultancy.

### **Does Your Research Require Ethical Approval?**

All research which involves the collection of primary data (for example, notes of conversations, photographs, emailed responses to questions) or the use of secondary data that contains personal or confidential/restricted information (for example, records of participants in a particular programme) requires ethical clearance.

Please apply for ethical clearance and submit your risk assessment form at least two months before you plan to start fieldwork, even if you have not finalised your research instruments. It is possible to make minor changes to your research design once clearance has been granted by emailing a description of the changes to the Chair of the International Development Ethics Committee responsible for your particular area (undergraduate, postgraduate taught or postgraduate research/ faculty).

Research that involves reviewing previous studies or analysing archived data such as nationally representative surveys does not usually require ethical clearance or risk assessment, but it is always best to check.

**Some issues to bear in mind when designing a research project which involves research with people**

The safety and wellbeing of participants must be assured by paying attention to:

Confidentiality - Respecting their confidentiality and taking appropriate steps to preserve their anonymity and keep their data secure

Participation - Explaining that participation is entirely voluntary and that they can refuse to take part and withdraw their participation and/ or data at any stage prior to the finalisation of the research. Understanding that in some settings it may be difficult for people to say no, or they may be pressurised by others to participate in the research.

Consent - Recognising that all consent should be informed, i.e. efforts have been made to ensure that participants understand the objectives of the research, the procedures to be followed, and the anticipated outcomes (eg forms of dissemination). However, consent does not need to be written - if participants are reluctant to sign anything it can be audio-recorded, or the time and place it was given noted by the researcher.

Children - Working with children presents particular issues and requires assent from children and where possible consent from guardians. The researcher should always try to inform the parents about the research, but it may not be necessary to obtain consent in every case, for example, in relation to sensitive topics such as child work or violence where asking consent from the parents could put the child at risk. If research is being conducted in a school consent should also be obtained from a person such as a teacher who is in loco parentis (acting in the place of a parent). Researchers can work with groups of children, but should avoid being alone with a child. They should also be aware of the forms of physical contact that are considered appropriate, both in international guidelines and locally.

Feeding back - Appropriate means should be found for explaining how the findings will be used, and, in many (but not all) instances, sharing the findings with the participants (for example, by drafting a summary of the findings in the local language/s). However, participants should understand at the outset that they are unlikely to benefit directly from the research. Do bear in mind that it can be very easy to promise extensive feedback, or raise expectations of benefits of the research whilst in the field with participants, but find later that you do not have time or agency to deliver.

Finally, it may be impossible to control the impact of your research as whenever we interact with people we affect their perceptions, experiences and use up their time. In your ethics form you should not be trying to justify how your research will definitely have no risks or impacts, but make the case that you understand the full range of risks and inconveniences, that you have taken appropriate steps to mitigate these and that remaining risks and inconveniences are justifiable in the light of the research. A good rule of thumb is to think whether after your research, your participants would be happy for you or another researcher to conduct research with them again.

### **The Obligations of a Researcher**

The researchers should not

- Convey personally identifiable information obtained in the course of research work to others except where the participants have given permission for this to be done or where you are subject to a legal obligation to disclose information
- Give unrealistic guarantees of anonymity or confidentiality
- Make unrealistic promises about the impact of the research on the community or individuals involved (raising expectations of development aid, legal help or other interventions which are beyond your influence or control)

The researcher should

- Store all data in a secure manner and taking into account the obligations under relevant Data Protection Act or other legislation.
- Take care to prevent data being published or released which would allow the identification of participants to be traced
- Take care to ensure that the research does not put you in any danger and
- Take all possible measures to ensure your own safety and security.

### **Payment to Research Subjects**

If people taking part in your research are to be offered any payment or incentive over and above appropriate expenses you should explain this in your research proposal and seek guidance from the Committee. Small tokens of appreciation for taking part in a study may be given provided they are not seen as an inappropriate inducement to take part.

### **Informing Participants About the Results of Research**

You should where possible inform participants of the results of the research, explaining where necessary that they may not be able to obtain their individual results. Given that participation in your project is voluntary it is appropriate to provide feedback on the results and explain how the information is being used.

Full details of DEV ethics policy, guidelines and forms can be found at:

<https://www.uea.ac.uk/international-development/ethics> and on the School of International Development Blackboard site