Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher:

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	x
	Email	F.a.w.j.vanesch@uu.nl	Telephone number	+31302538101	
	Department	Utrecht School of Governance			

2. Student Details if applicable

	Degree programme:			
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract

(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)

TRANSCRISIS- WP3: This project investigates the nexus of political leadership and legitimacy in the European Union with a specific focus on political leaders during the financial crisis. It will provide empirically grounded insights in the interaction between their policy ideas, dominant discourses and citizen's perceptions of Europe. As such, this study will contribute to a better understanding of how political leaders may initiate sensible crisis measures while remaining responsive to dominant public discourses. We will make use of the method of Cognitive Mapping, survey research and special software tools that will enable us to study leaders, citizens and discourses from a distance. This will clarify where, when and how leaders may help resolve the inherent tension between democratic legitimacy, political leadership and expertise that characterises much EU decision-making.

4. Funding

Is it proposed that the research will be funded? If so by whom? EU Horizon2020

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
i	Will the study require Health Research Authority approval? *(See Note 1)*		x	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		x	
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		x	
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		x	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)		x	
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		x	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		x	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		x	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		x	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		x	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		x	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		x	
10. Confidentiality				

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		X	
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods		X	
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	
11. Legal requirements				
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		x	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		X	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		x	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

***Select A, B or C** (delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research

Please sign the relevant section below

Academic Research Staff

Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):

Citizens will be asked for their consent in taking part in the study before being enlisted, the anonymity of their answers to the survey and content of their cognitive map will be guaranteed.

I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:

Researcher signature:		Date:	29 April 2015

Undergraduate/Taught Postgraduate Student/PhD Student

Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):

I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.

Student's signature:		Date:	
Supervisor's signature:		Date:	

By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

Please provide brief (no more than 500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.

2. Informed consent

i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not?

	Please attach a draft information sheet and/or consent form if this has been prepared
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the research ethics policy for links to guidance on informed consent).
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?

iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.

6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?
7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.
8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: o research involving vulnerable groups o research involving personally intrusive or ethically sensitive topics o research involving groups where permission of a gatekeeper is normally required for initial access to members o research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	

NOTES

1. If your research involves NHS patients, staff or premises then it will most likely fall under the remit of the NHS Research Ethics Committees; similarly, social care research involving adults, intergenerational social care studies involving adults and children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. For further guidance see:

http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

2. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be 'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/

3. As general guidance, research participants under the age of 18 may be vulnerable. Also, see Note 2 above re the Mental Capacity Act.

4. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified.

5. Please refer to the School's guidance on handling the Data Protection aspects of research data: http://www.lse.ac.uk/intranet/LSEServices/legalAndCompliance/dataProtection/researchData.asp. Further information about the Data Protection Act 1998 can be found in Annex A of the research ethics policy

CEU CENTRAL EUROPEAN UNIVERSITY

Prof. Nick Sitter

30/06/2015

Dear Nick,

I write as the Chair of Central European University's Ethical Research Committee to confirm that there are no ethical issues that require reviewing or monitoring for your project *'Enhancing the EU's Transboundary Crisis Management Capacities: Strategies for Multi-Level Leadership'*.

Best wishes,

Prem Kumar Rajaram

Ethics & Data Management Statement
TransCrisis

The members of the TransCrisis consortium are committed to upholding the highest standards of academic integrity and research ethics that apply to social science research.

1. The TransCrisis management committee will take lead responsibility to ensure that the ongoing research is conducted at the highest level of integrity, quality and transparency. Each work package is embedded within institutional research ethics frameworks and committees. Where these bodies do not exist, the research ethics framework that applies to the co-ordinator, the London School of Economics, will apply. All partners are expected to conduct their research in keeping with the principles of the European Code of Conduct for Research Integrity.[1]

2. The primary responsibility for the conduct of the research lies with the individual leader of a research package (sub-package). Each package is required to identify risks to researchers and research participants and identify ways of mitigating these risks. The co-ordinator will ensure that TransCrisis-related research follows ethical guidelines and is approved by the appropriate institutional oversight and ethics committees. The initial ethics reports regarding each package (sub-package) will be collated.

3. Concerns regarding the ethical conduct of research conducted under the TransCrisis project should be raised, in the first instance, with the TransCrisis Project Manager. Contact information will be provided on the project website.

4. The biannual consortium meetings will devote time for the consideration of emerging research ethics issues that may not have been foreseen at the outset of the research.

5. Unethical research behaviour will not be tolerated and will be raised as part of consortium meetings. Depending on severity, failure to comply may lead to the exclusion from the consortium, after consultation with the funder. The process of such investigation will be guided by the principles of integrity, fairness, uniformity, confidentiality and no detriment. All members of the TransCrisis consortium are committed to co-operate and support such investigations. They are also committed to consent to the conclusions of such processes and to take appropriate actions (subject to appropriate appeal processes).

6. Research staff will seek opportunities to train in research ethics as part of their activities in the TransCrisis consortium. Such opportunities will be encouraged as part of career development opportunities.

The following principles guide the TransCrisis project:[2]

7. All research is designed, undertaken and reviewed as part of the consortium to ensure integrity, quality and transparency.

[1] http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf
[2] The provisions follow the UK ESRC Framework for Research Ethics 2015, http://www.esrc.ac.uk/_images/framework-for-research-ethics_tcm8-33470.pdf

8. Researchers and research participants will be fully informed about the purpose, method and intended usage of the research, what their contribution to the research is and what risks, if any, may arise from participation.

9. Confidentiality of information supplied by research participants and the anonymity of respondents must be respected. The dignity and autonomy of research participants will be respected at all times.

10. Research participants must participate voluntarily, without any form of coercion.

11. Harm to researchers and research participants must be avoided at all times.

12. The independence of the research must be transparent and any potential conflict of interest must be declared.

13. Risks must be minimised.

Across the diverse work packages, TransCrisis research shares the following characteristics:

14. All primary research will be conducted under the principle of informed consent; participants will not contribute without their knowledge and consent. Participants will have the right to withdraw at any time. (These principles will be set out in the project information sheet and (where applicable) consent form for participants.)

14. It generally does not involve vulnerable individuals who are not in a position to give informed consent.

16. The research methods across the different packages vary. They rely on the analysis of documentation of different kinds (for example, statutory provisions, budget data, voting records, public speeches). Other research will involve elite interviews, surveys and secondary survey data.

17. The research may, at times, involve sensitive topics. This research, especially in the case of elite interviews, will be conducted under the principle of 'informed consent' and under conditions of non-attributability of information so as to protect the anonymity of the participant. The conditions will be explicitly set out in the information sheet and letter requesting the meeting with a research participant and the conditions will be reiterated at the outset of the conversation. The letter will also illustrate why the individual's participation is being sought. As most of the research will involve elite interviews, participants should be aware of the nature of academic research and the conventions and rules that govern social science research. Participants will be granted the opportunity to comment on transcripts and draft papers in order to correct factual information. The right to comment does not affect researchers' rights to interpret and analyse. The principle of critical social science research shall not, however, deflect from the commitment to treat all participants respectfully.

18. Research involving survey methods will be governed by the academic conventions governing this methodology. Individual level data will be anonymised so as to protect participants, participation will be voluntarily and the purpose of the research will be made transparent to participants so as to enable fully informed voluntary choice as to whether to participate.

19. No financial inducements will be offered for research participation.

20. The research is not expected to expose researchers to any particular risks. However, leaders of individual work packages (sub-packages) and the overall consortium will continuously monitor potential emerging risks.

21. Research may establish incidental findings. The likelihood of such findings is low as TransCrisis does not directly cover areas where incidental findings have caused primary concern, namely medical ethics. Such unlikely incidents (unlikely given the nature of research) will not be used for the purposes of the research. Data will be anonymised where appropriate. The primary research across all TransCrisis research activities is to trace data and processes that are 'open', namely it is about investigating phenomena that are in the public domain. In the unlikely event of incidental findings, such a finding may also lead to issues regarding limits to confidentiality (i.e. evidence of severe risk to the participant or (planned/committed) criminal behaviour, corruption). In these cases, national legislation and professional guidelines will determine when confidentiality has to be breached. The participants will, where possible, be informed about the steps undertaken, without placing researchers at risk of harm.

22. Data for the individual project will be stored at host organisations. The data of relevance for the wider TransCrisis project will be stored on a secure internal project platform, managed by the co-ordinator. The primary responsibility for the security of data storage therefore lies with the leaders of the work packages (sub-packages). Therefore

i) All participants are bound by their institutional policies towards data management and secure data storage, including back-up facilities. All partner organisations have frameworks in place that provide for back-up facilities and wider system robustness. and The broader approach towards intellectual property rights is set out in the consortium agreement.

ii) The different data collected in the context of the TransCrisis project will be securely stored. Data that is relevant for the whole consortium will be securely stored on the internal consortium website. Data includes anonymised interview transcripts and notes, survey information, institutional analysis, computer-coded analysis of speeches, and bibliographic research. The consortium management committee will decided on a harmonised approach towards data storage in order to facilitate joint working.

iii) The co-ordinator and the individual work package leaders are responsible versioning of the data.

iv) Work-package leaders are responsible for decisions regarding data retention, the co-ordinator is responsible, in co-operation with the management committee, for questions about the retention of data beyond the life-time of the project and the transfer of the data to a data archive.

v) Data will be made available for wider dissemination at the conclusion of the project, or as soon as feasible thereafter. Data will be anonymised to protect the identity of participants.

23. The TransCrisis will explore data archives for the long-term storage of research materials and ensure that the external project website will be archived. In line with the principle of Open Access to research data, the management team will consider depositing any data arising from the project – in anonymised form - in a suitable repository such as the UK Data Service[3] - at the end of the project. (Participants in the research will be informed of this).

24. Data collection will be conducted in compliance with Article 8 of the Charter of Fundamental Rights in the European Union, specifically the provisions concerning the protection of personal data. In addition, the collection of data will be conducted in compliance with data protection acts, legislation, and directives, both at the European and national level (for example, Directive 95/46/EC of the European Parliament and the Council of 24 October 1995 on the protection of

[3] http://ukdataservice.ac.uk/

individuals with regard to the processing of personal data and on the free movement of such data). Data will be secured safely throughout the duration of the project and beyond.

23. To ensure ethical rigour and that the ethical requirements of each country is met respective work-package leaders will be responsible for obtaining the appropriate institutional ethics approval for any collection of personal data.

April 2015

See Word version at: http://www.lse.ac.uk/intranet/researchAndDevelopment/researchDivision/policyAndEthics/ethicsAnnexB2014.docx

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher	prof. Dr. Arjen Boin, Crisisplan BV				
	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	X
	Email		Telephone number		
	Department				
2. Student Details if applicable					
	Degree programme:	N/A			
	Supervisor's name:		Supervisor's email:		
	Supervisor's department:				
3. Title of the proposal and brief abstract					
(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)					
Horizon 20/20: TransCrisis Project Number: 649484 Start date: 1 April, 2015					
4. Funding					
Is it proposed that the research will be funded? If so by whom? European Commission, Horizon 20/20					

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 1)*		X	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		X	
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		X	
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		X	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)		X	
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		X	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		X	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		X	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		X	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		X	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		X	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		X	
10. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		X	
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods		X	
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	
11. Legal requirements				

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		X	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		X	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		X	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

***Select A, B or C** (delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

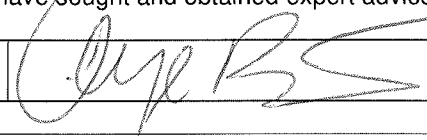
A that no significant ethical issues are raised by the research, or

B that adequate safeguards in relation to such issues can and will be put in place, or

C that the research will be subject to an external ethics review

Please sign the relevant section below

Academic Research Staff
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):
I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:

Researcher signature:		Date:	12-5-2015

Undergraduate/Taught Postgraduate Student/PhD Student			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.			
Student's signature:		Date:	
Supervisor's signature:		Date:	
By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

Please provide brief (no more than 500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.

2. Informed consent

i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared*
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the

	research ethics policy for links to guidance on informed consent).
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.
6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?

7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.
8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: o research involving vulnerable groups o research involving personally intrusive or ethically sensitive topics o research involving groups where permission of a gatekeeper is normally required for initial access to members o research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	

NOTES

1. If your research involves NHS patients, staff or premises then it will most likely fall under the remit of the NHS Research Ethics Committees; similarly, social care research involving adults, intergenerational social care studies involving adults and children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. For further guidance see: http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

2. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be 'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/

3. As general guidance, research participants under the age of 18 may be vulnerable. Also, see Note 2 above re the Mental Capacity Act.

4. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified.

5. Please refer to the School's guidance on handling the Data Protection aspects of research data: http://www.lse.ac.uk/intranet/LSEServices/legalAndCompliance/dataProtection/researchData.asp. Further information about the Data Protection Act 1998 can be found in Annex A of the research ethics policy

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher: Jacint Jordana

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	
	Email jjordanaibei.org		Telephone number		
	Department	Institut Barcelona d'Estudis Internacionals			

2. Student Details if applicable

	Degree programme:			
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract

(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)

4. Funding

Is it proposed that the research will be funded? Yes If so by whom? European Union

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 1)*		X	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		X	
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		X	
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		X	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)			X
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		X	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		X	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		X	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		X	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		X	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		X	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		X	
10. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?			X
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods	X		
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
11. Legal requirements				
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		X	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		X	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		X	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

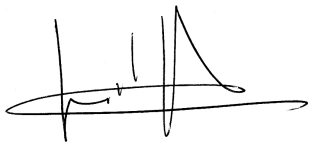
If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

***Select A, B or C** (delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research, or

Please sign the relevant section below			
Academic Research Staff			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:			
Researcher signature:		Date:	6 May 2015

Undergraduate/Taught Postgraduate Student/PhD Student			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.			
Student's signature:		Date:	
Supervisor's signature:		Date:	
By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

Please provide brief (no more than 500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.

2. Informed consent

i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared*

ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the research ethics policy for links to guidance on informed consent).
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.

6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?
7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.
8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: ○ research involving vulnerable groups ○ research involving personally intrusive or ethically sensitive topics ○ research involving groups where permission of a gatekeeper is normally required for initial access to members ○ research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	

NOTES

1. If your research involves NHS patients, staff or premises then it will most likely fall under the remit of the NHS Research Ethics Committees; similarly, social care research involving adults, intergenerational social care studies involving adults and children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. For further guidance see: http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

2. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be 'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/

3. As general guidance, research participants under the age of 18 may be vulnerable. Also, see Note 2 above re the Mental Capacity Act.

4. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified.

5. Please refer to the School's guidance on handling the Data Protection aspects of research data: http://www.lse.ac.uk/intranet/LSEServices/legalAndCompliance/dataProtection/researchData.asp. Further information about the Data Protection Act 1998 can be found in Annex A of the research ethics policy

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher: Maja Kluger Rasmussen

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	
	Email	mkr@thinkeuropa.dk	Telephone number	+45 30 59 55 87	
	Department				

2. Student Details if applicable

	Degree programme:			
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract

My research is part of the LSE's Horizon2020 project on political leadership in crisis management. My research is about the European Parliament's role during the EU's economic and financial crisis management and the accountability structures it has secured. Please contact Professor Martin Lodge, Department of Government at the LSE for more information about the overall project.

4. Funding Horizon 2020

Is it proposed that the research will be funded? If so by whom? Yes, European Commission, Horizon2020

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 1)*		X	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		X	
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		X	

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		X	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)		X	
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		X	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		X	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		X	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		X	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		X	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		X	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		X	
10. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		X	
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods		X	
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
11. Legal requirements				
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		X	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		X	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		X	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

***Select A, B or C** (delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research, or

Please sign the relevant section below

Academic Research Staff			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:			
Researcher signature:	Maja K. Rasmussen	Date:	7 May 2015

Undergraduate/Taught Postgraduate Student/PhD Student			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.			
Student's signature:		Date:	
Supervisor's signature:		Date:	
By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

The research method relies on process-tracing of publicly available policy documents and interviews with decision-makers (officials and politicians) in the EU-institutions. The interviews will be anonymous.

2.	**Informed consent**	
i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared*	
	No, the information is not controversial	
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?	
	I will write them an email with a detailed description of my project upon setting up interview meetings & interviewees will remain anonymous	
iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the	

	research ethics policy for links to guidance on informed consent). Not yet, but I will do once I contact my interviewees
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
	If they do not want to participate, they will not be included in the research.
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
	I will respond to it if it arises, my research is uncontroversial
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
	Not relevant for my research
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
	Not relevant for my research
iii	How will data be collected and analysed during the project?
	Process-tracing of policy documents and anonymous interviews
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
	I only rely on publicly available material
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
	N/A to my study
vi	Have you been able to devise a timetable of research?
	Yes
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
	No
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
	EU bureaucrats
ii	What are the specific risks to research participants or third parties?
	None
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.
6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially

	affected, and compliance with data protection law?
	Anonymous interviews
7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.
	Yes, I will send the interviewees my academic papers and articles on the topic
8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.
	No

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: ○ research involving vulnerable groups ○ research involving personally intrusive or ethically sensitive topics ○ research involving groups where permission of a gatekeeper is normally required for initial access to members ○ research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	

NOTES

1. If your research involves NHS patients, staff or premises then it will most likely fall under the remit of the NHS Research Ethics Committees; similarly, social care research involving adults, intergenerational social care studies involving adults and children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. For further guidance see: http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

2. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be 'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/

3. As general guidance, research participants under the age of 18 may be vulnerable. Also, see Note 2 above re the Mental Capacity Act.

4. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified.

5. Please refer to the School's guidance on handling the Data Protection aspects of research data: http://www.lse.ac.uk/intranet/LSEServices/legalAndCompliance/dataProtection/researchData.asp. Further information about the Data Protection Act 1998 can be found in Annex A of the research ethics policy

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher:

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	X
	Email	Mark.rhinard@ekohist.su.se	Telephone number	+46 76 208 1395	
	Department	Economic History, Stockholm University			

2. Student Details if applicable

	Degree programme:			
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract

(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)

To advance our understanding of the capacities and limits affecting crisis management and leadership in the European Union and to develop high-impact policy recommendations, this project focuses on a number of distinct components, ranging from (i) the role of European political leaders, their capacities and their responsiveness to public opinion, (ii) the crisis management capacities of EU institutions, and (iii) the interaction between the EU and national political-administrative systems in managing crises. Data collection methods will be mainly from secondary sources (government documents, academic literature) and some primary sources (personal interviews).

4. Funding

Is it proposed that the research will be funded? If so by whom? EU Horizon 2020

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 1)*		X	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		X	

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		X	
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		X	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)		X	
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		X	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		X	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		X	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		X	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		X	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		X	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		X	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		X	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		X	
10. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		X	
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods		X	

	Please mark an X in the appropriate right-hand column/box	Yes	No	Not certain
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		X	
11. Legal requirements				
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		X	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		X	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		X	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

Select A, B or C *(delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research, or

~~**B** that adequate safeguards in relation to such issues can and will be put in place, or~~

~~C that the research will be subject to an external ethics review~~
Please sign the relevant section below

Academic Research Staff			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:			
Researcher signature:		Date:	06.05.2015

Undergraduate/Taught Postgraduate Student/PhD Student			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.			
Student's signature:		Date:	
Supervisor's signature:		Date:	
By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

Please provide brief (no more than 500 words) details in non-technical language of the research aims, the scientific background of the research and the methods that will be used. This summary should contain sufficient information to acquaint the Committee with the principal features of the proposal. A copy of the full proposal should nonetheless be attached to this document in case it is required for further information.

2. Informed consent

i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared*
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?

iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the research ethics policy for links to guidance on informed consent).
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?
3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?
4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?
5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.

6. Confidentiality	
i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?

7. Dissemination	
i	Will the results of the study be offered to those participants or other affected parties who wish to receive them? If so, what steps have been taken to minimize any discomfort or misrepresentation that may result at the dissemination stage.

8. Risk to researchers	
i	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: o research involving vulnerable groups o research involving personally intrusive or ethically sensitive topics o research involving groups where permission of a gatekeeper is normally required for initial access to members o research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
d.	Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.	

NOTES

1. If your research involves NHS patients, staff or premises then it will most likely fall under the remit of the NHS Research Ethics Committees; similarly, social care research involving adults, intergenerational social care studies involving adults and children or families and some proposals for social science studies situated in the NHS will fall under the remit of the Social Care Research Ethics Committee. For further guidance see: http://www.hra.nhs.uk/research-community/before-you-apply/determine-which-review-body-approvals-are-required/

2. Under the Mental Capacity Act 2005, research involving adults aged 16 or over with learning difficulties or who otherwise 'lack capacity' will be subject to approval by an NHS REC if that research is deemed to be

'intrusive'. For guidance see: http://www.hra.nhs.uk/resources/research-legislation-and-governance/questions-and-answers-mental-capacity-act-2005/
3. As general guidance, research participants under the age of 18 may be vulnerable. Also, see Note 2 above re the Mental Capacity Act.

4. Deception can occur at a variety of levels: for example, at one level, experimental methods may depend on participants being deliberately misled as to the true nature or purpose of the research in which they are taking part; at another, covert participant observation may entail an implicit deception as to the true identity and role of the researcher. Deception may be a legitimate and necessary feature of social scientific research, but its use must always be properly justified.

5. Please refer to the School's guidance on handling the Data Protection aspects of research data: http://www.lse.ac.uk/intranet/LSEServices/legalAndCompliance/dataProtection/researchData.asp. Further information about the Data Protection Act 1998 can be found in Annex A of the research ethics policy

Annex B: Research Ethics Review

This form should be completed for every research project that involves human participants or the use of information relating to directly identifiable individuals.

PART I - CHECKLIST

The Checklist is designed to identify the nature of any ethical issues raised by the research.

This checklist must be completed before potential participants are approached to take part in any research.

1. Name of Researcher: Fulvio ATTINA'

	Status *(mark with an 'X' as appropriate)*	Undergraduate student		Masters student	
		Research degree student		Staff	X (Transcrisis)
	Email	attinaf@unict.it	Telephone number	+39 3386495435	
	Department				

2. Student Details if applicable

	Degree programme:			
	Supervisor's name:		Supervisor's email:	
	Supervisor's department:			

3. Title of the proposal and brief abstract

(150-200 words – your abstract should outline in non-technical language the purpose of the research and the methods that will be used.)

Transcrisis (H2020)

4. Funding

Is it proposed that the research will be funded? If so by whom?

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
5. Research that *may* need to be reviewed by an external Ethics Committee				
i	Will the study require Health Research Authority approval? *(See Note 1)*		x	
ii	Does the study involve participants lacking capacity to give informed consent? *(See Note 2)*		x	
iii	Is there any other reason why the study may need to be reviewed by another external Ethics Committee?		x	
	If you have answered Yes to any of the questions in section 5, go to Part II, C (there is no need to complete the rest of the Checklist)			

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
6. Consent				
i	Does the study involve participants who are potentially or in any way vulnerable or who may have any difficulty giving meaningful consent to their participation or the use of their information? *(See Note 3)*		x	
ii	Are participants to be enlisted in the study without their knowledge and consent? (e.g. via covert observation of people in public places)		x	
iii	Will the study require the co-operation of a gatekeeper for initial access to the groups or individuals to be recruited?		x	
7. Research Design / Methodology				
i	Does the research methodology involve the use of deception? *(See Note 4)*		x	
ii	Are there any significant concerns regarding the design of the research project? For example: • where research intrudes into the private sphere or delves into some deeply personal experience; • where the study is concerned with deviance or social control; • where the study impinges on the vested interests of powerful persons or the exercise of coercion or domination; or • where the research deals with things that are sacred to those being studied that they do not wish profaned.		x	
iii	If the proposed research relates to the provision of social or human services is it feasible and/or appropriate that service users or service user representatives should be in some way involved in or consulted upon the development of the project?		x	
8. Financial Incentives				
i	Are there payments to researchers/participants that may have an impact on the objectivity of the research?		x	
ii	Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		x	
9. Research Subjects				
i	Could the study induce unacceptable psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? Will the study involve prolonged or repetitive testing?		x	
ii	Will the study involve discussion of sensitive topics? For example (but not limited to): sexual activity, illegal behaviour, experience of violence or abuse, drug use, etc.). (Please refer to the Research Ethics Policy, § 13).		x	
iii	Are drugs, placebos or other substances to be administered to the study participants or will the study involve invasive, intrusive or potentially harmful procedures of any kind?		x	
10. Confidentiality				
i	Will research involve the sharing of data or confidential information beyond the initial consent given?		x	
ii	Will the research involve respondents to the internet, e.g. social media, or other visual/vocal methods		x	
iii	Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		x	

	Please mark an X in the appropriate right-hand column/box	**Yes**	**No**	**Not certain**
11. Legal requirements				
	The Data Protection Act 1998 will apply to any data-processing activities entailed by this research. Is there any cause for uncertainty as to whether the research will fully comply with the requirements of the Act? *(See Note 5)*		x	
12. Dissemination				
	Are there any particular groups who are likely to be harmed by dissemination of the results of this project?		x	
13. Risk to researchers				
	Do you have any doubts or concerns regarding your (or your colleagues) physical or psychological wellbeing during the research period?		x	

PART II: SELF CERTIFICATION AND/OR NEXT STEPS

A If, after careful consideration, you have answered **No** to all the questions (whether you are a member of the academic staff or a student), you do not need to complete the questionnaire in Part III, unless you are subject to some external requirement that requires you to seek formal approval from the School's Research Ethics Committee. You should tick Box **A** in the **Self-Certification Section** below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

B If you have answered **Yes** or **Not certain** to any of the questions in sections 6-13 of the checklist you will need to consider more fully how you plan to deal with the ethical issues raised by your research. Answering the relevant questions in the Questionnaire in Part III below may assist you. Alternatively, your own department or institute may have alternative forms or procedures to assist you. If having done so you are wholly assured that adequate safeguards in relation to the ethical issues raised can and will be put in place, you may tick **Box B** in the Self-certification Section below, sign as appropriate and submit the form to your Head of Department, Research Centre Director, or their administrations as appropriate. Occasional audits of such forms may be undertaken by the School.

C If you have answered Yes in section 5 that your research will be subject to an external ethics committee, please tick **Box C** below and send the completed Checklist (questions 1-5) to research.ethics@lse.ac.uk. You should submit your research for ethics approval to the appropriate body. Once approval is granted please send a copy of the letter of approval to research.ethics@lse.ac.uk.

Students who self-certify their research proposals should do so in consultation with their supervisors.

If you are unable to self-certify your proposed research you should in any event complete the questionnaire in Part III below and complete the **Refer to Research Ethics Committee Section** at the end of the form.

SELF-CERTIFICATION

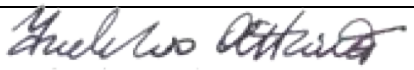
***Select A, B or C** (delete as appropriate):*

I have read and understood the LSE Research Ethics Policy and the questions contained in the Checklist above and confirm:

A that no significant ethical issues are raised by the research, or

B that adequate safeguards in relation to such issues can and will be put in place, or

C that the research will be subject to an external ethics review

Please sign the relevant section below			
Academic Research Staff			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training and/or have had significant experience in research ethics in the course of my career and/or have sought and obtained expert advice in connection with the ethical aspects of the proposed research:			
Researcher signature:		Date:	30 April 2015

Undergraduate/Taught Postgraduate Student/PhD Student			
Summary of any ethical issues identified and safeguards to be taken (expand box as necessary):			
I hereby confirm that I have undertaken training in research ethics in the course of my studies and/or that I have consulted and been advised by my supervisor or other expert with regard the ethical implications of my proposed research.			
Student's signature:		Date:	
Supervisor's signature:		Date:	
By signing here the supervisor confirms that the student has been advised in relation to any ethical issues raised by her/his research; these have to the best of the supervisor's understanding been adequately addressed in the research design; and the student has been made aware of her/his responsibilities for the ethical conduct of her/his research.			

Part III - QUESTIONNAIRE

The questionnaire enables you to explain how the ethical issues relating to your research will be addressed. If you are intending to submit your proposal to the Research Ethics Committee it needs to be completed in full.

1. Research aims

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2. Informed consent

i	Will potential participants be asked to give informed consent in writing and will they be asked to confirm that they have received and read the information about the study? If not, why not? *Please attach a draft information sheet and/or consent form if this has been prepared*
ii	How has the study been discussed or are there plans to discuss the study with those likely to be involved, including potential participants or those who may represent their views?

iii	Has information (written and oral) about the study been prepared in an appropriate form and language for potential participants? At what point in the study will this information be offered? (see Annex A of the research ethics policy for links to guidance on informed consent).
iv	How will potential participants be informed of whether there will be adverse consequences of a decision not to participate? Or of a decision to withdraw during the course of the study?
v	What provision has been made to respond to queries and problems raised by participants during the course of the study?

3. Research design and methodology	
i	Where relevant, how does the research methodology justify the use of deception?
ii	If the proposed research involves the deception of persons in vulnerable groups, can the information sought be obtained by other means?
iii	How will data be collected and analysed during the project?
iv	How have the ethical and legal dimensions of the process of collecting, analyzing and storing the data been addressed?
v	What concerns have been taken into account with regard to the preparation and design of the research project? If agencies, communities or individuals are to be directly affected by the research (e.g. participants, service users, vulnerable communities or relations), what means have you devised to ensure that any harm or distress is minimized and/or that the research is sensitive to the particular needs and perspectives of those so affected?
vi	Have you been able to devise a timetable of research?

4. Ethical questions arising from the provision of incentives	
i	Are any incentives being offered to participants?

5. Research participants	
i	Who do you identify as the participants in the project? Are other people who are not participants likely to be directly impacted by the project?
ii	What are the specific risks to research participants or third parties?
iii	If the research involves pain, stress, physical or emotional risk, please detail the steps taken to minimize such effects.

6. Confidentiality

i	What arrangements have been made to preserve confidentiality for the participants or those potentially affected, and compliance with data protection law?
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i	Are there any risks to researchers? If so, please provide details.

REFER TO RESEARCH ETHICS COMMITTEE

Approval is required by the Research Ethics Committee on one or more of the following grounds (please mark with an 'X' in the appropriate place in the right-hand column):

a.	Significant ethical issues are raised by the research, including research characterised by one or more of the following features: (i) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information. (ii) Research involving more than minimal risk of harm to participants, such as: ○ research involving vulnerable groups ○ research involving personally intrusive or ethically sensitive topics ○ research involving groups where permission of a gatekeeper is normally required for initial access to members ○ research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain	
b.	The researcher wants to seek the advice of the Research Ethics Committee	
c.	External obligations (for instance, funder requirements, data access requirements) require it	
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