

KEY to Ethics GRID

Information and Consent Forms

Each project will need to tailor participant information sheets for their needs and obtain and keep records of participant consent. Lead researchers are requested to select from the list below the most appropriate template(s) for their project.

The forms may be adapted as required, or a partner's own institution's forms may be used. Once finalised, and translated into the required language(s) they need to be reviewed and approved. If appropriate this can be by the lead researcher's relevant institution, or by Exeter Research Ethics Committee (REC) if needed. The IF project needs to share the ethics documentation with Exeter REC for information, if already approved elsewhere, or for approval in cases where a) there is no relevant institution review process to follow, and/or b) where there are material changes to what is outlined in the main IF Project Approved Ethics Application.

The IF Project Management team are happy to provide advice and/or support to any partners in adapting the forms as necessary.

There may be reasons why a project would need or prefer to conduct their Informed Consent Process orally, for example:

- where participants may have poor literacy;
- to fit in with cultural norms and make the process less formal and onerous for participants;
- to be especially cautious in the light of the sensitivity of what may be discussed, or a fragile geopolitical situation, where there may be a desire not to add any degree of risk to participants by leaving a local paper trail.

If this is the case, the 'Guidance for Oral Informed Consent Process' should be used. It is still required to make and have approved a written version of the Information and Consent Forms, which should serve as a rough script, to enable review of the process and ensure participants do not miss out on any important information or the chance to make choices regarding their participation and the storage and use of their data and contribution.

Form Types – Extended names

Information Forms:

Info 0 TR	=	Information Sheet for Teacher or Community Representative / Lead
Info 1 Par	=	Information Sheet for Participant, General
Info 2 YP	=	Information Sheet for Participant, Young Person
Info 3 Int	=	Information Sheet for Interviewees / Recordings
Info 4 Res	=	Information Sheet for Researcher / Collaborator (& Young Researcher)
Info 5 PG	=	Information Sheet for Parent or Guardian of Participant Child / Minor
Info 6 Arc	=	Information Sheet for person sharing their private archive

Consent Forms:

Cons 1 Par	=	Consent form for Participant, General
Cons 2 YP	=	Consent form for Participant, Young Person
Cons 3 Int	=	Consent form for Interviewees / Recordings
Cons 3b Int (Oral)	=	Consent form for Interviewees / Recordings with High sensitivity, done orally
Cons 4 RY	=	Consent form for Young Person Researcher / Interviewer
Cons 5 PG	=	Consent form for Parent or Guardian of Participant Child / Minor
Cons 6 Arc	=	Consent form for person sharing their private archive

NOTES ON ACTIVITIES

The following gives a brief description of the kinds of activities that may be involved in projects. Sample text may be used in the information sheets and/or sub-project ethics proposals as appropriate. Where specific locations, events or activities are referenced these are intended as illustrative examples only.

Activities - Definition and Examples

Workshop / Gathering - Examples include:

There will be various forms of gathering, some of which may include just discussion and/or other creative activities, that could involve participant initiated activities, such as performances, or story-telling, journeys etc. It is at the core of the Project to ensure that there is not only proper consent to take part in these activities, but also co-authorship, as along the principles of egalitarian partnerships.

A training workshop might be, for example, where people come to share ideas about why Egalitarian Archival practices are important, or perhaps around the meaning of a specific monument, for example the Maji Maji War memorial in Lindi Region, Tanzania, or at one of the Trading posts in Ghana to discuss its archaeology, or to hear stories from people who lived through the Apartheid.

School Workshop - Examples include:

Discussion of what a particular site, for example that of the disused prison in Lindi, South Tanzania, means to the school children who live around it. Or by children in Baddawi Camp, in Lebanon to discuss their views on the dis-used bomb shelters which they pass every day in their streets, or that are part of their schools.

Film/Audio Recording - Examples include:

Filming / Audio / Photographic recording may include:

- 1) a focus on a particular individual or group of individuals talking about their stories – as for example those listed in the Interviewees – Oral History section.
- 2) a recording of an event, as for example a workshop, or a gathering, a journey, or excavation and field work.
- 3) a creative practice that brings together a variety of recordings from multiple contexts

Interviews as e.g. Oral History - Examples include:

We expect there to be 1:1 interviews and group interviews with some of them recorded. Likely interview questions will be related to the individual or groups customs, practices and lived experience.

Any student or Young People Interviewers will be supervised, and have opportunities for feedback and to be trained by the most appropriate individuals of the IF team, or someone a team-member identifies as appropriate.

Interviews and discussions may be about family connections to the MajiMaji War, of one hundred years ago. Or interviews of individuals who are in Refugee camps, as Baddawi Camp, to talk about what things they have kept from their families, over the generations, and in what way is it an archive. Or discussing with people who lost their homes in the Syrian War, or the Explosion in Beirut, and talk about the effect of losing documents, in reclaiming property, and what other methods they have used for doing so. Or getting young people to interview older ones about the stories that get passed down through the generations of the Colonial period.

Field – Work - Examples include:

Survey and excavations at the port site in East Tanzania. Survey of important coastal trade sites in Ghana. A compilation of stories about materials considered archives in the Refugee Camp, such as Baddawi, in North Lebanon. A collection of approaches to time, with people who live in the Refugee Camp Bourj el-Barajneh, near Beirut. A survey of NGOs forms of explosion damage survey in the port of Beirut.

Archive Sharing / Access - Examples include:

This Category for the purposes of Ethics includes Archives – objects, stories, photographs, documents, dances, songs, journeys, recipes in the landscape etc. – that are private, and have not previously been made public in part or in whole. It does not address those archives which are already in the public sphere, or are officially held by another organisation / institution.

Archive / Repository Creation - Examples include:

Some of our activities will include the creation of archives and repositories. All the activities that result in such archival practice, are already covered by other categories listed in this ethics Grid, and hence, depending on the activity are covered by the necessary action and forms listed under each one. There will be separate detailed ethics and other Data Protection and Sharing approval necessary, should any of the repositories be held by Exeter, as distinct from being held by the local organisations, institutions and the people who had created the archive in the first place.

CONFIDENTIALITY NEED LEVELS KEY (See with notes on **Anonymity** and **Pseudonymity** below)

It may be appropriate in the Informed Consent process to express the need or option for confidentiality or include statements as noted below. It should also refer to **data management**, i.e. how data will be captured, stored and shared – see below.

HIGH – Sample text to explain options

This category includes those that require complete anonymity, or pseudonymity, i.e. certain levels less than complete anonymity. Note, depending on the means of data collection, some methods (like video recordings) may make it impossible to achieve complete anonymity as per the definition below. If this is the case and the level of risk is high you may want to consider alternative forms of recording activities.

Some of the following text may be appropriate:

We will make sure that your/his/her face and other identifiable features are not visible, and we will never publish your/his/her name together with the photograph or in relation to the workshop activities as a whole. There is still a small risk that you/he/she may be recognisable in photographs, [and/or recordings] but we won't take any without your consent.

OR

[Especially easier in cases where there is no audio/visual recording of people]: You will not be identifiable. We will acknowledge your input as a group, but we will not reveal your name or any other personal information. You will remain anonymous, and no one will be able to identify you.

OR

We will not associate your name with your creative outputs, and we will try to remove all information that could reveal your identity to people (e.g. if you wrote your name on a drawing, we would remove the name).

OR

The activities involve the collection of basic personal data, such as your name and contact details. If you allow us to keep your contact details, we can contact you to let you know about future developments related to this project or to contact you about future activities that you may be of interest to you. This personal data will be stored securely and will only be shared with the people named above. It will be destroyed in 5 years. If you want to withdraw your personal data before this point, you can contact us at any time. All other data we collect from you to evaluate the project will be [pseudonymised or anonymised].

MEDIUM - expressed in, or to include, statements as follows:

Our outputs do not have to reveal your identity or personal information. However, your more direct role in the production of these outputs will be credited as your work, as appropriate, according to your wishes.

OR

You may possibly be identifiable. If you allow us to share your creative works, we will do everything we can to remove personal information that might reveal your identity to other people. There is still a small chance that some people might be able to identify you and tell that you created these outputs, for example if they know you very well, or you have told them about your contribution.

OR

We will never put your name next to your image, but your face may be visible.

LOW - expressed in, or to include, statements as follows:

We would like to use your contributions and creative outputs and photographs in publications and presentations (print and online) aimed at academic and general audiences. We might also share them with other researchers and audiences and to develop future research or engagement projects. Creative outputs and photographs will be stored securely in perpetuity. You can contact us and ask us to withdraw creative outputs and photographs in which you are identifiable. Please note that we will not be able to withdraw these materials once they have been published or shared in other ways. However, we promise not to use them again in future outputs if you choose to withdraw.

If you wish, (some of) the information we collect can be pseudonymised or anonymised. Once collected it is hard to anonymise it fully, but you can contact us at any time to let us know if you would like us to pseudonymise it or withdraw it.

Fully anonymised data will be kept in perpetuity. We would like to use the anonymised data in publications and presentations (print and online) aimed at academic and general audiences. We would also like to share it with other researchers and audiences and use it to develop future research or engagement projects.

OR

In circumstances where reports, publications and presentations draw upon your expertise and direct contribution, we will acknowledge your role by name. If we do so, we will share material prior to publication, with editorial rights, and consider co-authorship where appropriate.

OR

You will be identifiable. We do not have to put your name next to your image, but to acknowledge your expert role in the project this may be appropriate. In any case, your face may be visible and you may be recognisable.

DATA MANAGEMENT GUIDANCE FOR INFORMATION & CONSENT SHEETS

For High and Medium Confidentiality Data, the following text may be used:

“Any interview audio / video files or photographs will be transferred from the audio-recorder etc. to a secure drive within 24-72 hours. They will then be deleted from the recorder. Files will be password-protected and accessed on password-protected computers. If you are asking for pseudonymity, the non-pseudonymised audio/video files (i.e. the files with your real name and the real names of third parties) will be stored securely. If any transcripts are made they will be pseudonymised as requested, meaning we will change your name and the name of third parties. When sharing the pseudonymised transcripts or audio-visual files with other people, we will do so electronically by using Sharepoint or by printing a limited amount of copies that can be destroyed safely. If you agree to archive your story for future researchers, the video/audio-recordings will be kept in accordance with the conditions of use that you set. The original audio-files will be safely destroyed after a period of 5 years unless you request to withdraw earlier, or you do not consent to your story being stored. The pseudonymised files will be kept for a period of 10 years. The sections of the pseudonymised interviews etc. that are used in the film, dance, performance, exhibition and any other published outputs will exist in perpetuity.”

Nature of Data	Proposed guideline for how long this can be stored (To be included in Info/Consent Forms, incl. who can access)	Option offered for participant to withdraw consent?
Participants' personal data – e.g. names, contact details etc.	5 years (Password-protected &/or restricted access SharePoint etc.)	Yes, any time
Other sensitive data – e.g. audio/visual material etc.	5 years	Yes But only until [specify date, e.g. 30 days after recording]
Non-sensitive / pseudonymised – e.g.	10 years	when material will be

recordings with names / faces removed		published or will have been so far involved in creative process it cannot be removed from 1 st published output
Anonymous	In perpetuity	Not envisaged to be needed
Published	In perpetuity	No – only from future published outputs

NOTES ON ANONYMITY AND PSEUDONYMITY:

It is expected that much of the material (interviews, workshop discussions etc.) generated from the IF sub-projects will NOT need to be anonymised or pseudonymised, but will be Open where possible. The project is keen to work with groups and individuals to enable local communities to co-produce, control and maintain ownership of their creative outputs and published materials for general audiences, in order to share stories, experiences and culture as widely as possible.

However, some information that may be shared under the auspices of the project may be confidential and the forms should refer to options for participants who may not wish to be directly identified in those viewing the research material and published outputs.

Open definition

All material that is produced, including recordings, will be openly shared. Although even in Open agreements personal data will remain available only to the smallest groups of the IF team.

Anonymity definition

Anonymity means that all identifiable features are removed to the point where even the researchers are no longer able to re-identify participants.

In the majority of cases, full anonymity would be difficult to achieve, and so only pseudonymity can practically be managed.

Pseudonymity definition

Pseudonymity has different levels or degrees, e.g. you can remove/alter personal names and other identifiable features (e.g. location, job description, age). The more changes you make, the harder it is to re-identify people.

It is important to be transparent about the ways in which you will process data to pseudonymise it and to give people a clear sense of how easy it would be to re-identify them. If you just change someone's name, for instance, but keep all other identifiable information and there is enough in the data to re-identify someone easily, that would be quite a weak form of pseudonymity.

The Ethics Committee will want to know about risks to participants, and if there are significant risks associated with people being re-identified, then it will be important to offer robust pseudonymity by removing as much identifiable information as possible.

Any third parties referred to must be at least strongly pseudonymised in shared research materials or any published outputs, unless their consent is sought to be identified.