

INSTITUTE FOR ADVANCED TEACHING AND LEARNING (IATL)

APPLICATION FOR RESEARCH ETHICAL APPROVAL (for IATL Module Assessment Projects Only)

GUIDANCE DOCUMENT

INSTRUCTIONS FOR RESEARCHERS:

After you have had an initial meeting with your IATL Module Convenor about your project plans, AND you have gone through the IATL Ethics webpage and guidance video, you can start the application process.

Please use this Guidance Document to complete your Ethics Review Application. This process will ensure your project is ethically sound and safe to carry out. Note that this process is also beneficial to shaping your project's methodology. If you run into any difficulties or have any questions about this process, please contact your IATL Module Convenor.

Name of Researcher(s)	
IATL Module (code and name)	
Module Convenor(s)	
Date Range of the Research Study	From: To:
Date of Assessment Deadline	

A. YOUR RESEARCH PROJECT

A.1 What is the (working) title of the project?

It is ok for this to slightly change later.

A.2 What is the project about (in simple terms)? Why is collecting data from participants important for this project?

Consider:

- We are asking for the 'Who, What, When, Where, How and Why'
- Why is collecting data from participants *essential* to this research project?

A.3 What data will be collected from the participants?

Consider:

- Broadly, what information will you be asking participants to share with you?
- What themes will you be exploring in the data collection process involving participants?

A. 4 What methods will be used to collect data from participants (e.g., interview, survey, etc.)?

Examples of data collection methods:

- **Qualitative methods:**
 - Interviews (structured, semi-structured, open-ended)
 - Written testimonies / narratives from participants
 - Focus groups
 - Ethnography (e.g. participant-observation)

- **Quantitative methods:**
 - Surveys
 - Questionnaires

- **Mixed-Methods:**
 - Questionnaires involving both numerical and written responses

A.5 Will participants be audio or video recorded? **Yes / No**

If yes, explain how:

Consider:

- **What will the setting/environment be?**
- **What tools will you use to record?**

A.6 Are there any foreseen ethical issues and/or sensitive topics in the research project? **Yes / No**

If yes, how will this be handled?

Do consider that most research involving human participants has some degree of ethical considerations one must make.

A.7 Will the research be conducted outside of the UK? **Yes / No**

If yes, please give details:

****Note this will require HSSREC approval.***

This means that it will take even longer to process the application. Please do keep this in mind when considering your research design.

A.8 What possible risks are there for the researcher?

For example, consider your research environment, etc. If there are no foreseeable risks for the researcher, please indicate this as well.

Consider:

- **The environment you choose to collect data from your participant.**
 - **Will you be conducting research at night?**
 - **Will you be safe?**

- Your health and wellbeing.
- Is there any possibility that the topics discussed/raised will impact your mental and/or physical wellbeing?

B. PARTICIPANTS IN YOUR RESEARCH PROJECT

B.1 Who will participate in the research?

Consider:

- This might be individual(s) you know (e.g. family members, friends, fellow students).
- This might be individuals you recruit based on a particular demographic or lived experience you'd like to research.

Who are you looking for?

B.1.1 Please confirm the following:

- I confirm I will not be recruiting any NHS patients; children under 18 years old; and/or vulnerable adults.
- I confirm that I will not be required to obtain criminal record clearance to come into contact with my participants.

B.2 How many participants will be recruited? Why?

This can be an estimate at this stage.

Indicate why this number is relevant to the research questions/topics you'd like to explore in your project.

B.3 How will participants be recruited?

Consider:

- How you intend on contacting your participants.
- How you will provide them with the Participant Information Leaflet and Consent Form that they will need to sign

B.3.1 Please explain what steps will be taken to ensure children (individuals under 18 years old) and vulnerable adults are not being recruited:

Consider:

Is there any risk of vulnerable or dependent individuals being (inadvertently) recruited?

B.3.2 Please confirm the following:

- I confirm I will not be paying anyone to take part in this study.
- I confirm that I will not be providing anyone any incentives (material or otherwise) to take part in this study.

I confirm that this project will not involve any form of deception in the recruitment or data collection / storage / usage process.

B.3 What possible risks are there for participants with this research project? How will these possible risks be managed?

Note: There is usually some kind of 'risk' involved for participants.

Consider:

- Any topics that will be raised that might impact the physical and/or mental wellbeing of your participant(s).
- The environment in which you carry out your data collection.
 - Is it safe for both you and the participants?
 - Can it be easily accessed by everyone?
 - Could it potentially make the participant feel uncomfortable or vulnerable?
- Could answering your questions put participants at risk in any way?

B.4 What options will be given to participants if they want to withdraw from the research?

All participants must be permitted to withdraw from your study at any time.

Consider:

- How would they inform you that they wish to withdraw?
- Note that withdrawing their DATA is different to withdrawing from the STUDY, so responses in section C.2. will be slightly different.

Withdrawing from the study means that the researcher will, for example:

- No longer contact the withdrawn participant in relation to the study
- No longer collect, use or store data which can be tracked back to the withdrawn participant
- Remove data from the participant in the assignment itself, where reasonably possible.

B.5 How will the researcher obtain informed consent from participants?

All researchers on IATL modules will provide their participants with a Participant Information Leaflet, and are required to collect a signed Consent Form for all participants involved in the study.

I confirm I will give all of my participants a Participant Information Leaflet, which provides details on this research project, prior to collecting data from them.

I confirm I will give all of my participants a Consent Form to sign, prior to collecting data from them.

C. MANAGING YOUR DATA

C.1 Consider whether the following is appropriate for this project (delete as applicable)

- No identifiable data will be collected from participants.
Please note: email addresses/contact details for the purpose of setting up interviews and IP addresses (online questionnaires) are identifiable so if these are being collected such identifiability needs to be clear. Similarly, consider whether you have given the option for participants to provide their contact details for a copy of the study results.
- Research data will be anonymised as quickly as possible after data collection.
- Research data will be pseudonymised as quickly as possible after data collection. This means all direct and indirect identifiers will be removed from the research data and will be replaced with a participant number. The key to identification will be stored separately and securely from the research data in order to safeguard participants' identity.

C.1.1 Please detail any personally identifiable data that will be collected (explicitly or implicitly) in the research, especially any special category data (i.e. racial or ethnic origin, sexual orientation, religious beliefs, etc).

If you are planning on collecting information that could allow participants to be identified (e.g. names, student numbers, addresses or emails, name of employer) please state here.

For example, if you are exploring the theme of gender with your participant, this will need to be stated here.

C.1.2 Why is collecting this data relevant to the research?

Is collecting this personally-identifiable data absolutely essential for purposes of your study? If so, please state here why.

I confirm participants will be informed about, and consent to, the personally identifiable data that will be collected and used in the research.

C.2 Please specify whether it will be possible for participants to withdraw data, and up to what point it will not be possible to do so (delete as applicable).

- It will not be possible to withdraw data from specific participants because individual responses cannot be identified.
- It will not be possible to withdraw data after a certain point (e.g. anonymisation).
- It will be possible to withdraw data prior to research submission to IATL.

C.2 Please specify:

Consider:

Withdrawing Data and Withdrawing from the Study are two different things.

- a) **Withdrawing data:** there may be deadlines for this that participants should be aware of. For example, if the participant would like their data withdrawn from the study AFTER the assignment has been submitted on Tabula, it will no longer be possible to do so (for the IATL assignment piece).
- b) **Withdrawing from the study (as seen in section B.4.):** should be permitted at any time. This means that participants will no longer be contacted about the research project, and removed (if identifiable) from any database the researcher holds.

C.3 Will anyone, aside from the researcher, have access to the original (raw) data? **Yes / No**

If yes, please give details here.

Consider:

- **'Raw data' can include:**
 - **Interview recordings and transcripts created (nothing redacted)**
 - **Original questionnaire responses**
 - **Correspondence with participants**
 - **Signed consent forms collected from participants**

C.4 Data collection and storage method.

In compliance with the Data Protection Act (DPA) and the General Data Protection Regulation (GDPR), the data you collect from the human participants in your research project should be securely stored in myfiles.warwick or files.warwick.

You may temporarily use external platforms or external repositories as per the University's approved software list, or use encrypted audio / video recording equipment to collect, host and store your participants' data. However, this data should be transferred from the external platform/repository to the University's shared network drive myfiles.warwick or files.warwick within 24 hours or less and subsequently securely deleted from the external platform/repository.

Please confirm:

- The collected data will be stored (and deleted) in compliance with the Data Protection Act (DPA) and the General Data Protection Regulation (GDPR), as summarised above.
- The data collected from participants will be transferred to the University server (myfiles.warwick or files.warwick), and deleted from external platform/repository/device within 24 hours.
- All data will be processed, transferred, and stored within the UK.
*If you have obtained prior approval from the IATL Ethics Committee for alternate arrangements involving data processing outside the United Kingdom, please specify the details here and include supporting documentation (i.e. collection/transfer/storage agreements). **NOTE: This would relate to question in section A.7.***
 - **If you intend on conducting research abroad, and that the data you collect will be processed, transferred and/or stored outside of the U.K., you may be asked to seek HSSREC approval.**

C.5 Will the research or any data collected for this project be shared in contexts other than that of assessment in IATL? This may include but is not limited to: conference presentations, academic publications, creative projects, future research, etc. **YES / NO**

The default data storage arrangements for student projects in IATL are that data will be securely stored on Warwick servers ([myfiles.warwick](https://myfiles.warwick.ac.uk/) or [files.warwick](https://files.warwick.ac.uk/)) for the duration of the student's time at the university and will subsequently be securely deleted upon completion of or withdrawal from the degree.

If yes, please make sure you clearly state this in the participant information leaflet and in the consent form.

D. SIGNATURES AND CHECK LIST

Researcher:

Date:

Signature: [e-signature ok.](#)

Module Convenor / Supervisor:

Date:

Signature:

CHECKLIST:

- I confirm that I have watched [IATL's Research Ethics Guidance Video](#).
- I am submitting a completed and signed **Ethics Approval Application Form**
- I am submitting an edited version of the **Participant Information Leaflet**
- I am submitting **an** edited version of the **Consent Form**
- I confirm that I have cross-checked the consistency of the information provided on the documents I am submitting.

Please send all the completed documents (Ethics Approval Application Form, Participant Information Leaflet, Consent Form) and any other supporting evidence related to this application to iatl.modules@warwick.ac.uk copying in your IATL Module Convenor/Supervisor for this research project.