Biomedical and Scientific Research Ethics Committee (BSREC):

WMG Supervisor Delegated Ethical Approval (WMG-SDA)

Students and supervisors can only make effective judgements about research ethics once the formal methods have been defined. The student should work with support from the supervisor to define a detailed methodology and once this is drafted they can complete an ethical application. This SDA form must be submitted to your approved project supervisor in conjunction with a draft of your Research Methodology chapter before any interaction with humans as research participants can take place. The supervisor must then submit this for processing by the relevant admin team and wait until final approval has been given (by the course management team) BEFORE data collection can take place. Please be aware that a supervisor sign-off does not always guarantee approval will be given.

Full instructions for ethical approval can be found on the project ethics website for your course; see links at bottom of page below.

Instructions for submission of this form:

This is a Word form; so please just click on the square tick boxes for the correct answer and they will automatically change to a 'tick'. To un-tick the box just click it a second time. There are some mandatory rectangular boxes that are highlighted in blue, with the optional boxes in grey. These should be double-clicked and the 'default text' box completed with relevant text, when required.

Once the form is complete, students should append it to a draft of their methodology/ proposal information for supervisors and the department to review. FTMSc and UG students should submit the required document via the relevant Tabula methodology/ proposal submission. All other students (overseas/ part-time PG) should email their completed form directly to their supervisor along with the relevant supporting documentation for approval. Hard copies will not be accepted and electronic copies of all documents should be kept by both the student and the supervisor. Data collection ***must not*** take place until ethical approval has been confirmed (or waived) by email. You must therefore wait until you receive an email from the relevant admin office (see below) to ensure your ethical approval has been fully processed before starting any formal data collection. You will then either receive either an ethical approval reference number, or an ethical approval waiver email, either of which must be kept and produced at the time of dissertation submission. Any dissertation found to contain data that has been collected without gaining appropriate ethical approval may be subject to penalties, usually including failure of that dissertation.

Students should not send ethical approval forms directly to the admin team, as this must come via your research supervisor (or Tabula for FTMSc and UG students). Admin teams will only process forms that have already been signed by your research supervisor, or uploaded to an intranet-based web-form (which takes the place of on e-signature). Instructions for project supervisors about where to submit forms can be found here: **https://warwick.ac.uk/fac/sci/wmg/intranet/student/deptguidelines/academic/ethics/**

For further guidance about the ethics approval process, please refer to your specific ethics pages on the student intranet by following the links below. Admin office contact details for support are also given below.

- **Full-time Masters students**: **wmg-FTMasters@warwick.ac.uk**
- **Part-time Masters students**: **WMGPTProgrammesTeam@warwick.ac.uk**
- **Undergraduate students**: **wmgUGoffice@warwick.ac.uk**

- **Overseas students (any centre): wmg-overseas@warwick.ac.uk**

SECTION 1. APPLICANT AND COLLABORATION DETAILS

1.1 RESEARCHER

Researcher's Title (optional): Mr **Researcher's Forename:** Oscar
Researcher's Surname: Cornish **Researcher's Student ID number:** u2053390
Warwick e-mail address: u2053390@live.warwick.ac.uk

Researcher's Status:

Undergraduate Student ☒ **Name of course/qualification:** Cyber Security
Taught Postgraduate Student ☐

Research Training

Has the researcher has completed the compulsory Information Security Smart training course (OR completed both the GDPR AND the Information Security Essentials courses which were running up until Feb 2022)? Please append evidence of course completion to this application.

Yes ☒ **No** ☐ **If yes, insert date of completion: 23/11/2022**

Has the researcher has completed the Epigeum online research integrity training course? The short course is compulsory for all researchers, and the full course is strongly recommended for any researchers collecting data from or about human participants. The 'export control' additional module is also strongly recommended.

Yes ☒ **No** ☐ **If yes, insert date of completion: 23/11/2022**

1.2 SUPERVISOR – MUST BE COMPLETED FOR ALL STUDENT PROJECTS

Supervisor's Forename: Peter **Supervisor's Surname:** Norris
Supervisor's Post: Associate Professor
Supervisor's Faculty/School and Department: WMG Cyber Security
Supervisor's Warwick e-mail address: pn@warwick.ac.uk

1.3 OTHER INVESTIGATORS/COLLABORATORS (INTERNAL & EXTERNAL)

Please list all other known collaborators, internal and external to Warwick, including the name of the company/organisation or Investigator's Warwick department/school and their role in the project. If none, please write 'none': none

1.4 RESEARCH CONDUCTED OUTSIDE OF THE UK (or student's main study location).

When collecting data in countries other than the student's main study location, there is added risk that the researcher may overlook research-related laws in that local country (or state) which govern the collection of research data in that country. The responsibility for finding, understanding and adhering to these local laws and research governance regulations (in addition to the usual UK and University policies on conducting research) lies on the researcher and their supervisor. Please see the overseas research webpage for more information: https://warwick.ac.uk/fac/sci/wmg/ftmsc/project/ethics/overseas/

Will this project…	Yes	No
1.4a ... involve the researcher collecting any primary/ new data from participants located overseas from the student's main study location (whether they travel there in person or not)? **If YES, insert countries where data will be collected:** **If YES, please confirm here that the researcher has read, understood and will adhere to ALL local research laws/ policies**	☐ ☐	☒
1.4b ... Will this project involve the researcher (or any collaborators) travelling overseas from the student's main study location (i.e. outside of the UK for UK-based students, or your country of study for overseas students)? Please be aware that the University currently advises against this. **If YES to 1.4b, continue to Section 1.5; if NO then please proceed to Section 2.**	☐	☒

1.5 OVERSEAS TRAVEL DECLARATIONS

The University currently does not advise that taught students travel overseas from their main study location to collect research data, as there are now many virtual/ online ways to achieve this. In exceptional circumstances this MAY be allowed, but various conditions must first be met.

Before you go any further with this form please email a detailed rationale for needing to travel overseas, signed off by the project supervisor, to wmg-ft-projects@warwick.ac.uk and ensure that this has been approved before going any further with this ethical approval application.

Insert countries to be visited:

When travelling overseas to conduct research ALL travellers MUST adhere to the **Travel Risk Management** policy carry out a risk assessment and have this signed off by their supervisor prior to booking any travel. It is the traveller's responsibility to ensure that this form is completed, that they are covered by appropriate insurance, and MUST submit the evidence that they have approval to conduct overseas research as part of this ethical approval application. This is likely to delay your ethical approval whilst the forms are being checked. Please append to this application your full rationale and completed risk assessment for needing to travel overseas.

Please confirm here that the researcher has read, understood and will adhere to the University Travel Risk Management policy Yes ☐

Please confirm here that you have read and comply with the Export Controls Policy Yes ☐

Please confirm here that you have travel and/ or research-related insurance to cover your research activities, approved by your project supervisor Yes ☐

SECTION 2. PROJECT SUMMARY

2.1 Proposed Project Title:	Exploring adaptive covert communication channels
2.2 Suggested Data Collection Start Date for Project (insert N/A if not collecting any new data):	23/12/2022
2.3 Likely Project Completion Date:	1/06/2023

2.4 Type of project (see more info here):

Audit/ Clinical Audit	☐
Service evaluation or development in health or social care	☐
Literature review only	☐
Primary data collection (*including the use of social media*)	☒
Secondary analysis of previously anonymised data	☐
Secondary analysis of publicly available data	☐
Other (please specify):	

2.5 If primary data collection was ticked above, what is the proposed methodology (tick all relevant methods):

Interview	☐
Qualtrics Online Survey	☐
Paper-based survey	☐
Focus group	☐
Action research/ an intervention	☐
Experiment (*with participants*)	☐
Experiment (*no participants*)	☒
Use of social media	☐
Software evaluation/ software testing (NB: *if only using software to analyse data collected in other ways, do not tick here*)	☒
Other (please specify):	

SECTION 3. IS ETHICAL APPROVAL NECESSARY?

Does this project…	Yes	No
3.1 … involve collecting any new/ primary data, from or about living participants (including yourself), i.e. data other than that which is already available in the public domain? *NB: This will include all projects using interview or survey data, or any other data containing personally identifiable information*	☐	☒
3.2 … involve analysing primary or unpublished data from, or about, living human beings?	☐	☒
3.3 … involve collecting or analysing primary or unpublished data about people who have recently died *(NB: most projects would not normally do this*)?	☐	☒
3.4 … involve collecting or analysing primary or potentially sensitive unpublished	☐	☒

data about or from companies, organisations or agencies (*e.g. company strategies/ policies/ finance/ marketing/ other data*) other than data that is already available in the public domain (*i.e. if the data is available on a company website then tick 'no'*)?		
3.5 … involve analysing secondary data (data you haven't collected yourself) from, or about, living participants that could include personally identifiable information/ data unless other than data that is already available in the public domain?	☐	☒
3.6 … involve using or accessing data from social media (*e.g. to recruit participants, as a data source, as a data collection tool, for communication into focus groups, chat rooms, or interviews)?*	☐	☒

If you have answered YES to ANY of these questions in Section 3, please proceed to Section 5.

If you have answered NO to ALL of these questions:

- **Please complete Section 4 by signing on p4 and then send Sections 1- 4 only to your supervisor for counter-signing**
- **Keep a copy of pages 1- 4 of this form for your records, but once your supervisor has sent this form to the course office, you will both receive an email confirming that ethical approval is not needed. This email can later be used as proof that you have completed this process (and must be included as an appendix in the dissertation).**
- **You do NOT need to complete the rest of this document**

SECTION 4. DECLARATION FOR PROJECTS BASED ON NON-HUMAN RESEARCH OR SECONDARY DATA ONLY

4.1 RESEARCHER/APPLICANT DECLARATION (for projects based on secondary data only)

I undertake to abide by the University of Warwick's Research Code of Practice and other relevant professional and University policies, regulations, procedures and guidelines in undertaking this study; and I understand that to not adhere to such codes may be grounds for disciplinary action.

I respect the University's ethical requirement for students to abide by the General Data Protection Regulation (GDPR) for the storage of data.

I confirm that in carrying out this project no primary data will be collected about or from human participants.

I will immediately suspend research and request a new ethical approval if the project subsequently changes from the information I have declared in this form.

I understand that the BSREC review system grants ethical approval for projects, and that the seeking and obtaining of all other necessary approvals (e.g. any health and safety requirements, travel risk assessments) and permissions prior to starting the project is my responsibility.

Name of Researcher: Oscar Cornish

Signature: Oscar Cornish **Date: 23/11/2022**

4.2 SUPERVISOR DECLARATION FOR NON-HUMAN OR SECONDARY RESEARCH PROJECTS

I confirm that the project does not require ethical review as it does not involve human participants, their data or tissue.

I confirm that the research project is viable and the student should have appropriate skills to undertake the project.

I understand that the BSREC review system grants ethical approval for projects, and that the seeking and obtaining of all other necessary approvals (e.g. any health and safety requirements, travel risk assessments, overseas approvals, etc.) and permissions prior to the starting of a project is the responsibility of the student and their supervisor.

Name of Supervisor: Peter Norris

Signature: (*if not submitting on webform*) …… **Date:**

Research Training Declaration

I confirm that I have undertaken any mandatory ethics training as provided by WMG for Project Supervisors and I understand that Epigeum Research Integrity online training is also strongly recommended for completion by all research supervisors.

WMG Supervisor Ethics Training (*where available*)– Date of completion:

University GDPR/Information Security training – Date of completion:

Have you completed the strongly recommended Epigeum online research integrity training course? Yes ☐ No ☐ If yes, insert date of completion:

SECTION 5. EXTERNAL ETHICAL REVIEW

NB: Most projects should acquire University approval and should not attempt external review as an alternate route of approval	Yes	No
5.1 Has the collection of data for this research project already been given ethical approval by any other (internal or external) research ethics committee (e.g. social care, NHS, other University, company ethical process)?	☐	☐
5.2 Are you intending to submit this project for ethical approval to another external research ethics committee?	☐	☐

If you have answered NO to BOTH of these questions, please proceed to Section 6.

If you have answered YES to either of these questions:

- **Please attach any prior ethical approval documentation to these application forms before submitting the forms to your supervisor**
- **Please give full details about which ethics committee is involved in approving this research and the date of the committee approval (or future meeting) here:**
- **Ensure you have notified your supervisor of seeking/ gaining this alternative ethical approval and then contact the relevant course office for further advice (see p1)**

…. then proceed to Section 6

SECTION 6. RESEARCH PARTICIPANTS

6.1 NUMBER OF PARTICIPANTS

Please state the estimated number of research participants:

(i.e. people you are collecting data on, e.g. 1-10, 20-30, 40-60, 100+ etc.

If using company data, give the persons providing that data as the participants. If no participants write 'none')

BREAKDOWN OF PARTICIPANTS

Where applicable, state the breakdown of participants by type and give estimated numbers of each type, e.g. participant type (lecturer, student, company staff, etc.), job title/ course/ level (manager, director, MSc PPM, etc.):

Participant Type:	Job Title/ Course/ Level	Number of participants of this type:

6.2 RECRUITMENT STRATEGY AND PROJECT CONTENT

Please explain here, in brief, how you intend to find and recruit the participants to the research study (*e.g. using a webgroup, website, forum, social media, email list, family contacts, etc.*): **Please explain here** the nature of the contact required (i.e. what contact, how regular, what format) with the participants (or other people) before, during and after the research project:		
Could the nature of this project recruit (or could the project involve direct contact with) …	**Yes**	**No**
6.3 …. children or young people under 18 years of age?	☐	☐
6.4 …. adults who have learning difficulties?	☐	☐
6.5 …. adults who are significantly disadvantaged by an infirmity or disability?	☐	☐
6.6 …. adults who have mental health problems or other medical problems that may impair their cognitive abilities or ability to consent to taking part?	☐	☐
6.7 …. adults who are resident in social care or any medical establishment, or who could reasonably be classed as vulnerable?	☐	☐
6.8 …. adults who are in the custody of the criminal justice system?	☐	☐
6.9 …. any participants with communication difficulties (including difficulties arising from limited facility with the language you will use to ask the questions to the participant)?	☐	☐
6.10 Could this project involve NHS service users, NHS professionals or volunteers, medical data/ tissue, NHS facilities, any medical facility with NHS contracts, or access to past/ present medical records?	☐	☐
6.11 Could this project involve ethnography, observation of participants, or use of video or photos containing identifiable participants, or making any kind of video or photographic recording of participants (for audio recording only, select 'No' and complete Section 7.4)?	☐	☐
6.12 Could this project involve any kind of deception or covert operations by the researchers (i.e. data is collected without the participant's knowledge)?	☐	☐
6.13 Could this project involve data collection/ questions about physical or mental health/ wellbeing/ medical data or other sensitive topics (e.g. criminality, political opinions, religious beliefs, racial origins, sexual life, professional or academic misconduct, trade union membership, etc.)?	☐	☐
6.14 Could this project involve putting participants through any kind of research activity other than a survey, interview, focus group or software evaluation (e.g. an experiment/ intervention, analysis of their movements, gait, an AV/VR experience, measurement of daily activity, taking part in a simulation, etc.)?	☐	☐
6.15 Could this project potentially place participants or the researchers in a dangerous environment, or at risk of physical, psychological or emotional distress or lead to any negative consequences beyond the risks of normal life?	☐	☐
6.16 Could this project involve the researcher or participants breaching any data protection, contractual arrangements (*e.g. terms and conditions for use of software, website, etc*.) or other relevant law (*within the UK or country which data is being collected*) or breach any other terms the researcher or participant has agreed to?	☐	☐
6.17 Could the nature of this project potentially place the participant / researchers in a situation where they are at risk of investigation by the police or security services; or cause them to be subject to any other legal investigation/ obligation?	☐	☐
6.18 Is your research funded by or are you collaborating with a non-UK military organisation?	☐	☐
6.19 Are you transferring (physically, electronically or verbally) any technologies, material, equipment or know-how, to any non-UK organisation, that could be used to	☐	☐

support the design, development, production, stockpiling or use of nuclear, chemical or biological weapons?		
6.20 Are you using a third party (e.g. a friend, family member, company, etc.) to collect or analyse the data on your behalf?	☐	☐

If you have answered NO to ALL of these questions, please proceed to Section 7.

If you have answered YES to ANY of these questions, please do NOT go any further with this ethical form as you may need to go through FULL ethical approval via the University Research Ethics Committee (BSREC), rather than using this student Supervisor Delegated Approval form. Please contact someone senior on your course for further advice to determine who can review your project and which ethical approvals route you will need. If you are a FT PGT student, or you are unsure who to contact, then please email the FT MSc projects team at: wmg-ft-projects@warwick.ac.uk.

SECTION 7. INFORMED CONSENT

NB: Please see full guidance explaining informed consent and your project ethics webpages (see p1 for details) about participant information leaflets and consent forms before completing this section	**Yes**	**No**
7.1 Will evidencable informed consent (written or verbal agreement) be given by participants/ companies before the project data collection begins?	☐	☐
7.2 Will participants/ companies be given a participant information leaflet (PIL) to inform them about the type of data being collected and what will happen to this data during and after the project?	☐	☐
7.3 Does the PIL explain that participants/ companies have the right not to take part, and/ or may withdraw themselves and their data from the study, and at which point that withdrawing data from the study might not be possible, e.g. once the data has already been analysed/ anonymised?	☐	☐
7.4 Will informed consent be obtained for any recording of participants (e.g. audio recording of interviews). NB: Studies involving video or photographic recording cannot be approved under CDA and prior approval must given by BSREC (see section 6).	☐	☐
7.5 Are you able to give the participants/ companies at least 24 hrs notice after provision of a PIL to them giving consent to participate in this research?	☐	☐

If you have answered YES to ALL of these questions, please briefly explain here how you will implement the informed consent procedure for your project:

Now ensure you have included copies of both your Consent Form and Participant Information Leaflet/ PIL (or debriefing leaflet) along with this form and your methodology/ proposal document.

…. then proceed to Section 8.

If you have answered NO to ANY of these questions, please explain here:

- **Why it is essential for the project to be conducted in this way such that is may not follow usual procedures for obtaining participant consent (e.g. this could be an online survey where consent is given at the same time as survey completion)?**
- **How you propose to address any ethical issues arising from any absence of transparency in your data collection method?**

Include copies of any Consent Form, Participant Information Leaflet (PIL), etc. to your methodology/ proposal document, AND

….. then proceed to Section 8.

SECTION 8. RISK OF HARM		
Is there a risk that…	**Yes**	**No**
8.1 … your project may lead to physical harm to any participants or researchers?	☐	☐
8.2 … your project may lead to psychological, emotional distress or embarrassment to any participants or researchers (however minor)?	☐	☐
8.3 … your project may place any participants or researchers in potentially dangerous situations or environments?	☐	☐
8.4 … your project may result in harm to the reputation or future employability of any participants, researchers, their employers, or other persons or organisations?	☐	☐

If you have answered NO to ALL of these questions, please proceed to Section 9.

If you have answered YES to ANY of these questions, please explain here:

- **The nature of the risks involved and why these are necessary**
- **How you propose to assess, manage and mitigate any risks**
- **The procedures for arranging that participants understand and consent to the risks and the sources of help they may refer to if they are seriously distressed or harmed as a result of taking part in this project**
- **The arrangements for recording and reporting any adverse consequences of the research**
- **Which country/countries, and locations where the project will be undertaken, e.g. public place, school, company, hospital, University, researcher's office, etc.**

….. then proceed to Section 9

SECTION 9. RISK OF DISCLOSURE		
Is there a risk that…	**Yes**	**No**
9.1 … your project may lead participants to disclose evidence of previous criminal convictions or a potential to commit criminal offences?	☐	☐
9.2 … your project may collect information that is likely to be useful to a person committing or preparing an act of terrorism?	☐	☐
9.3 … your project may lead participants to disclose evidence that children or vulnerable adults have or are being harmed or at risk of harm?	☐	☐
9.4 … your project may lead participants to disclose facts about themselves or others that may later lead to distress or harm?	☐	☐
9.5 … your participant(s) may disclose material that could put the researcher at risk of committing an offence with regard to failing to report a suspected crime; such that anonymity of the participants cannot be guaranteed?	☐	☐
9.6 Have you been asked to sign any non-disclosure agreements (NDAs) to conduct this research? NB: please contact the relevant admin team immediately in this case (see p1 for contact details)?	☐	☐

If you have answered NO to ALL of these questions, please proceed to Section 10.

If you have answered YES to ANY of these questions, please explain here:

- **Why it is necessary to take risks of potential or actual disclosure**
- **What actions you would take if such disclosures were to occur**
- **What advice you will take and from whom before taking these actions**
- **What specific information is likely to be collected**
- **What information you will give participants about the possible consequences of disclosing information about information that may lead to risk of harm**

……then proceed to Section 10

SECTION 10. PAYMENT OF PARTICIPANTS		
	Yes	**No**
10.1 Do you intend to offer participants cash payments or any other kind of incentive or compensation for taking part in your project?	☐	☐
10.2 Is there any possibility that such inducements may cause participants to consent to risks that they might not otherwise find acceptable?	☐	☐
10.3 Is there a possibility that payment or incentive of any kind may skew or bias the data provided by participants?	☐	☐
10.4 Will you inform participants that accepting compensation or incentives does not invalidate their right to withdraw from the project?	☐	☐

If you have answered NO to ALL of these questions, please proceed to Section 11.

If you have answered YES to ANY of these questions, please explain here:

- **The nature of the incentives or amount of payment that will be offered**
- **The reasons why it is necessary to offer such incentives**
- **Why you consider it ethically and methodologically acceptable to offer incentives**

….. then proceed to Section 11

SECTION 11. INTERNET OR SOCIAL MEDIA RESEARCH		
	Yes	**No**
11.1 Will you use the internet or social media (e.g. WeChat, WhatsApp, Facebook, LinkedIn or similar) to share the link to your Qualtrics survey?	☐	☐
11.2 Will any part of your project involve collecting personal information using the internet, social media (or similar), whether on a public forum or within an application/ app' or social media site?	☐	☐
11.3 Is any of the data you propose to use in this research from within a 'closed group', password protected website/ forum, or other non-public area of the internet?	☐	☐
11.4 Is there a possibility that any information collected using websites/ social media may be from or about '*vulnerable*' participants (see section 6)?	☐	☐
11.5 Is there a possibility that any information collected using websites/ social media may be from or about children (people aged under 18)?	☐	☐
11.6 Is there a possibility that any of the information collected using websites/ social media might be deemed as personally 'sensitive'?	☐	☐
11.7 Could your data collection method involve breaching any application's (or app's) terms and conditions or breach a participant's confidentiality or anonymity arising from the use of electronic media?	☐	☐

If you have answered NO to ALL of these questions, please proceed to Section 12.

If you have answered YES to ANY of these questions, please explain here:

- **How you propose to collect this data on the internet**
- **How you propose to get 'consent' from participants for use of their data, or from internet companies to use such data in a research study?**
- **How do you propose to ensure that you do not collect data from any participants under 18 years of age accidentally?**
- **The terms and conditions of the software/ platform you are using and how you meet those terms (NB: please append the terms and conditions of the software tool/ company to this application after going through them with your supervisor to ensure compliance)**
- **Any significant statements within the terms of conditions of the browser/ application/ site you are using to collate your data**
- **How you propose to address the risks associated with internet/ social media research, e.g. data is not collected from unintended participants (*please first review your answers to Section 6.1*)**

….. then proceed to Section 12

SECTION 12. PROTECTED CHARACTERISTICS

	Yes	No
12.1 Will your project involve collecting information from participants regarding ANY of the nine 'protected characteristics', covered by the UK Equality Act 2010, i.e. age, sex/gender, sexual orientation, gender reassignment, disability, marriage and civil partnership, pregnancy and maternity, race, religion or belief?	☐	☐
Have you appended your intended participant-facing questions to this approval form?	☐	☐

If you have answered NO to this question, please proceed to Section 13.

If you have answered YES to this question, please refer to the ethics website about protected characteristics (that includes best practice for asking these types of questions)**, append ALL questions asked to participants to this application form** and then explain here:

- **Why it is necessary to collect information on one of more of these protected characteristics**
- **Why it is not possible to avoid asking these questions of your participants**
- **How you intend to analyse the data collected using these characteristics (as it is not ethical to collect information like this if you do not need it)**

….. then proceed to Section 13

SECTION 13. DATA COLLECTION, USE, STORAGE, CONFIDENTIALITY, SECURITY AND RETENTION

Please explain whether you intend to fully anonymise (or pseudonymise) participant/ company data and how you expect to secure the confidentiality of the research data collected:

Please give brief details here about data security; before, during and after the data collection (e.g. what security arrangements will be used e.g. passwords on computer files or locked paper cabinets to ensure that data cannot be accessed by any parties other than members of the research team):

Please give brief details here about your retention of any data (how long will data be retained, in what format, where will it physically be stored, when will it be deleted. Also consider signed consent forms here, they should be kept separately from research data):

Will any individuals other than the researcher and supervisor be given access to any raw or non-anonymised data? Yes ☐ No ☐

If YES give the names* and reasons* why these people will need access to this data:

***Please note that you will need to hold a University approved data sharing/ processing agreement with each party that is external to the University whom data will be shared**

	Yes	No
13.1 Are there any reasons why you cannot make reasonable steps to ensure the full security and confidentiality of any personal, sensitive or confidential data collected for the project?	☐	☐
13.2 Are you intending to directly or indirectly identify any of your participants (or their associated companies/ organisations) within the dissertation (or any other outputs from this project)?	☐	☐
13.3 Is there possibility that confidential information could be traced back to any specific organisation as a result of the way you present your results from this	☐	☐

research?		
13.4 Will any members of the research team retain any personal, sensitive or confidential data after the end of the project, other than fully anonymised data?	☐	☐
13.5 Do you (or any other member of the research team) intend to make use of any confidential information, knowledge, or trade secrets for purposes other than described in this document (i.e. for company reporting, publication, conferences, etc.) as this must be very clear on the PIL and consent forms?	☐	☐
13.6 During the project will any research data be stored or hosted on any non-approved University platforms, for example apps/tools other than Qualtrics, OneDrive, Outlook, Teams, Files.Warwick (this could include Apps, other online survey tools, recruitment tools, cloud hosting tools, etc.)?	☐	☐
13.7 Will data be shared with any person or organisation outside of WMG/ University for processing, e.g. external transcription services, external statistics support, publishing, etc.?	☐	☐

If you have answered NO to all of these questions, <u>proceed to the declaration in Section 14</u>

If you have answered YES to ANY questions from 13.1 to 13.5, please explain the reasons why it is essential to breach normal protocol regarding data integrity, confidentiality, security and retention of research data:

If you have answered YES to 13.6, please provide details of the systems and how they operate:

NB: If you are not using a University approved tool/ software then you may need to contact the **Information Security** team (informationsecurity@warwick.ac.uk) regarding this technology as it may need to go through the Information Assurance workbook approved approval process, see: https://warwick.ac.uk/services/its/servicessupport/software/purchasing

If you have answered YES to 13.7, please give details of sharing arrangements clarifying whether the data will be identifiable, the external organisation to which it will be sent, and what contracts/ arrangements are in place to safeguard the data and ensure the data processors/ controllers will comply with data protection requirements (see the GDPR training module for more information in unsure):

….. then proceed to Section 14

SECTION 14. SIGNATURES AND AUTHORISATION FOR ETHICAL APPROVAL

14.1 RESEARCHER/APPLICANT DECLARATION

I undertake to abide by the University of Warwick's Research Code of Practice and other relevant professional and University policies, regulations, procedures and guidelines in undertaking this study; and I understand that to not adhere to such codes may be grounds for disciplinary action;

I respect the University's ethical requirement "to cause no harm to the participants by collecting or publishing data";

I respect the University's ethical requirement for students "to abide by the UK General Data Protection Regulation (GDPR) for the collection and storage of any personal data";

I confirm that I will carry out the project in the ways described in this form (and associated research methodology submission). I will immediately suspend research and request a new ethical approval if the project subsequently changes from the information I have declared in this form;

I understand that the BSREC review system grants ethical approval for projects, and that the seeking and obtaining of all other necessary approvals and permissions approvals (e.g. any health and safety requirements, travel risk assessments) prior to starting the project is my responsibility.

Name of Researcher:

Signature: ……

Date:

NB: Some of kind of Research Methodology or protocol document explaining this research study must be submitted with this form. In addition all participant facing documentation/ information/ questions must be included with this application (see below for examples). There may be more than one type of document for each study, e.g. there may be multiple PIL's for different groups of participants/ types of research.

Please specify below which documents have been submitted with this application:

☐ **Research Methods/ Protocol** (this is now mandatory to include for all student projects)
☐ **GDPR/ Information Security Smart course completion evidence** (mandatory)

☐ Consent form(s)
☐ Participant Information Leaflet(s)
☐ Participant invitation email(s)
☐ Questionnaire/ survey question(s)
☐ Interview schedule/ topic guide (for unstructured interviews)
☐ Poster/ advertisement for study
☐ Data flow map
☐ Data collection form
☐ Risk assessment(s) (Travel/ Health and Safety)
☐ Data management plan
☐ Other, please specify:

14.2 SUPERVISOR DECLARATION AND AUTHORISATION FOR STUDENT PROJECTS

I confirm that I have read this application and will be acting as the ethical reviewer for this project.

I confirm that the project meets the BSREC Criteria for Supervisor Delegated Ethical Approval, in that the project will be undertaken by an undergraduate, or taught postgraduate, student, AND:

- ***the research project involves human participants only via their participation in an interview, focus group, questionnaire, audit/ clinical audit, service evaluation/ development, or the evaluation of software and e-Learning materials***
- ***participants could not be classified as vulnerable or dependent (e.g. they are not receiving health or social care, primary or secondary education, or criminal justice services, etc.),***
- ***the research does not investigate sensitive or intrusive matters (e.g. health status, wellbeing, criminal activity, sexual history, criminality, political opinions, religious beliefs, racial origins, sexual life, trade union membership, etc.);***

I confirm that the project is viable and the student has the appropriate skills to undertake the research. Participant recruitment procedures, including the Participant Information Leaflet(s) (appended to this form) and the process for obtaining informed consent, are appropriate, and the ethical issues arising from the project have been sufficiently addressed in this form (or associated research methodology submission).

I understand that the BSREC review system grants ethical approval for projects, and that the seeking and obtaining of all other necessary approvals and permissions approvals (e.g. any health and safety requirements, travel risk assessments) prior to the starting of a project is the responsibility of the student and their supervisor.

Name of Supervisor:

Signature: (*if not submitting on webform*) …… Date:

Research Training Declaration

I confirm that I have undertaken any mandatory ethics training as provided by WMG for Project Supervisors and I understand that the concise Epigeum Research Integrity online training is also mandatory for all research supervisors. The 'Export Control' additional module may also be required.

Epigeum online research integrity training course – Date of completion:

WMG Supervisor Ethics Training (*where available*) – Date of completion:

University GDPR/Information Security training – Date of completion: