SUBMISSION DETAILS

Before starting your submission please confirm that you have reviewed the **DEMONSTRATION VIDEO** and **GUIDANCE NOTES** which are available on the LEON website.

- [x] I confirm that I have watched the demonstration video and reviewed the guidance documents before starting to complete the Ethics Review Form

Information that is classified and requires security clearance from the government to access should not be entered on LEON.

- [x] Please tick to confirm.

SELECT OPTION THAT APPLIES TO THIS SUBMISSION:

There is a separate ethics process for research with Military Applications or Dual Use Technologies. Details are available on our website.

- [x] Study involving HUMAN PARTICIPANTS (or Human Data/Cells/Tissues)

  Please refer to the Code of Practice on Investigations Involving Human Participants.

- [ ] Study involving ANIMALS or Animal Cells/Tissues

  Please refer to the guidance on Animals, Animal Cells and Tissues

- [ ] Study involving SECURITY SENSITIVE or EXTREMISM-RELATED Research

  Please refer to the guidance on Security-sensitive or Extremism-related Research

- [ ] New GENERIC PROTOCOL Proposal - not to be used for one-off studies
- [ ] Study with Existing EXTERNAL Ethical Approval

IF NONE OF THESE OPTIONS APPLY YOU SHOULD NOT SUBMIT THROUGH LEON. Please review the guidance on Does My Project Need Ethical Review.

SELECT TYPE OF HUMAN PARTICIPANT SUBMISSION:

- [x] New Study involving Human Participants (or Human Cells/Tissues)
- [ ] Study covered by existing Generic Protocol

  Details of Generic Protocols are available on our website.

- [ ] Secondary data analysis of pre-existing human data only

  Please refer to the guidance note on Studies Using Secondary Data or Pre-Existing Data to determine whether a submission is required. Publicly available data does not require review.

- [ ] Taught Module Submission (Staff Only).

  Taught Module submissions can be made when students taking the module will all be conducting the same type of activity and using the same broad methods and procedures. This will usually apply to part A and B modules, e.g. research methods modules. It does not apply to distinct dissertations/final year projects.

NHS RESEARCH

Does your study:

- involve direct recruitment of NHS patients or staff or the use of NHS data, premises or equipment.
- involve recruitment of patients from the National Centre for Sport and Exercise Medicine (NCSEM).
- require review by an NHS Research Ethics Committee.

- ( ) Yes
- (•) No

PLEASE SELECT ALL OPTIONS THAT APPLY TO THIS SUBMISSION:

- [x] Staff project (or undergraduate or postgraduate taught student submission completed by the supervisor)
- [ ] Doctoral Research Student project
- [ ] Postgraduate Taught project
- [ ] Undergraduate project

PROJECT DETAILS

PROJECT TITLE

This is the title that will appear in official documents. This should be a descriptive title. Do not use titles such as 'my dissertation' or 'final year project'.

Open Repository for Conversation Analysis (ORCA)

SHORT TITLE

Does the Project have a Short Title that will be used in study documents e.g. to obscure the purpose of the study (deception) or to simplify the study title for participants?

- (•) Yes
- ( ) No

Project Short Title or Non-specialist Title

This is the title that will appear in all participant documents

Open Repository for CA

BRIEF SUMMARY OF PROJECT (100 words maximum)

In everyday language please provide a brief description of the study. This should focus on the activity that requires ethical review and the methods that will be used.

This project collects naturalistic video recordings of talk and social interaction across as wide a range of settings as possible (e.g., gallery visits, sporting activities, and in domestic settings) and uses conversation analysis to understand fundamental structures of human action between these settings. Transcripts will be pseudonymized and audiovisual data will be obscured to protect data privacy. Participants will give informed consent for these data to be shared openly in perpetuity. Follow-up semi-structured interviews and qualitative online surveys will be analysed using thematic discourse analysis to explore some participants' introspective understandings of their activities and to triangulate between methods.

PROJECT METHODS

ONLINE QUESTIONNAIRES

Does your study involve online questionnaires?

- (•) Yes
- ( ) No

Please refer to our guidance on Online Questionnaires.

Which online survey tool are you using?

onlinesurveys.ac.uk

INTERVIEWS/FOCUS GROUPS

Does your study involve interviews or focus groups?

- (•) Yes
- ( ) No

LOCATION

INVESTIGATORS LOCATION

Will Loughborough University investigators be located solely in the UK while conducting the study?

- (•) Yes
- ( ) No

PARTICIPANTS LOCATION

Will participants be located solely in the UK?

- (•) Yes
- ( ) No

Project Location

Please give details of location of study, *e.g. location on campus, name of external educational establishment, name of sports club, online*

Domestic environments, public spaces, recreation areas, and sports and exercise venues where all relevant permission has been granted.

School*

Email*

EXTERNAL INVESTIGATORS

Are there any investigators from external organisations/institutions *e.g. other universities, sporting bodies, charities, companies*?

- ○ Yes
- ◉ No

CHECKLIST A: please tick all that apply

Participants

- ☑ A1 - Does the study involve participants who are knowingly recruited from vulnerable groups? For example, but not limited to:
  - Children under 18 years of age
  - Participants over the age of 16 years old who are not able to make an informed decision for themselves (Mental Capacity Act - may require approval through the Health Research Authority)
  - Pregnant women
  - Prisoners/detained persons
  - Adults in care homes
  - Adults who are vulnerable because of their social, psychological or medical circumstances
  - Other vulnerable group

Location

- ☐ A2 - Is the study being carried out overseas by investigators travelling to (or being present in) a country or area deemed to be high or very high risk by the insurers or the Foreign and Commonwealth Office?

  Does the Foreign and Commonwealth Office Travel Advice advise against all travel or all but essential travel or the University insurers class this area as high risk?

- ☐ A3 - Does the study involve participants who are outside of the UK that will be exposed to increased physical, emotional or cultural risk because of taking part in your study?

Informed Consent

- ☐ A4 - Does the study involve participants taking part without their documented informed consent (e.g. written, audio recorded, witnessed verbal consent) or without parental consent for under 18 year olds?
- ☐ A5 - Does the study involve intentional deception of participants?
- ☐ A6 - Does the study include the observation or recording of participants without their knowledge?
- ☐ A7 - Will it be necessary for participants to take part without their knowledge and consent at the time or without being informed of objectives of the study or the use of the data collected?

Study Methods

- ☐ A8 - Does the study involve the administration of over-the-counter or prescription medicines or drugs, placebos or other substances (e.g. food substances, vitamins) to the research participants?
- ☐ A9 - Does the study involve the testing of non-CE marked medical equipment/devices or a medical device which has been modified or is being used outside of its CE marked intended purpose?
- ☐ A10 - Does the study involve intake of compounds additional to daily diet, or other dietary manipulation/supplementation or

topical application (e.g. to the skin) of substances that could be irritants?

- ☐ A11 - Does the study involve the collection of bodily samples from participants?
- ☐ A12 - Does the study involve procedures which are physically invasive, e.g. the collection of bodily secretions by physically invasive methods?
- ☐ A13 - Is the study designed to be challenging physically or psychologically in any way (includes any study involving challenging physical exercise/activity)?

  Refer to the Guidance Note on Defining Physical Activity.

- ☐ A14 - Does the study expose INVESTIGATORS to risks or distress greater than those encountered in their normal lifestyle?
- ☐ A15 - Does the study:
  - expose PARTICIPANTS to risks or distress greater than those encountered in their normal lifestyle
  - involve discussion of sensitive topics (e.g. sexual activity, drug use, illegal activities, bereavement)
  - involve the recall of distressing experiences
  - involve procedures which could cause physical, psychological, social or emotional risk or distress to participants
- ☐ A16 - Does the study involve any process that would:
  - involve an **MRI scan**
  - affect **contraception** or assist/alter the process of **conception**?
  - involve the use of **radiation**? (Please refer to H&S Radiation website and published guidelines. Contact the University's Radiological Protection Officer before beginning any study which exposes participants to ionising radiation).
  - involve the use of **hazardous materials**? (Please refer to guidelines published on using hazardous materials)
  - involve **genetic engineering**?
  - involve analysis of DNA from bodily material or acellular material without consent?

Data

- ☐ A17 - Does the study involve the collection of sensitive personal data, or combination of data, that could cause additional risk to the participant (or others) should it be unintentionally shared (data breach) e.g. could lead to persecution of the participant.
- ☐ A18 - Does the study involve sharing participant's IDENTIFIABLE personal information (such as contact details or identifiable results etc.) beyond the initial consent given or with third parties e.g individuals or organisations who are not investigators on the study e.g. coaches of athletes or commercial funder?

- ☐ NONE OF THE ABOVE

CHECKLIST B: please tick all that apply

Checklist B

- [ ] B1 - Does your study involve participants who are under the direct authority of investigators (e.g. academic staff directly recruiting their students as participants, investigators who are also sports coaches recruiting his/her athletes in training, investigators who are also school teachers recruiting their pupils)?
- [ ] B2 - Does your study involve any incentives, reimbursements or payments being offered to the PARTICIPANTS, above the equivalent UK value of £5 in total per participant?

Please refer to our guidance on Incentives.

- [ ] B3 - Does your study involve any incentives, reimbursements or payments (additional to salary) being offered to the INVESTIGATOR(S) to conduct the study? Do investigators stand to gain from particular conclusions of the study?
- [ ] B4 - Does your study involve testing of new non-medical equipment/product/prototype? (excluding non-mechanical/non-electrical prototypes made from paper, cardboard, modelling clay or blue foam.)
- [ ] B5 - If your study involves working alone with participants or visiting them at home, will any of your procedures conflict with the guidance and recommendations given in the Guidance on Conducting Research Activities and Interviews Off-Campus?

Refer to our guidance note on Conducting Research Activities and Interviews Off-Campus.

- [ ] B6 - Will your study involve administrative or secure data that requires permission from the appropriate authorities before use?
- [ ] B7 - Will your study involve collecting personal information or sensitive personal information using assumed or opt-out consent (e.g. not using explicit written informed consent or parental consent for under 18 year olds)?
- [ ] B8 - Will storage of data and personal information conflict with Data Protection legislation or the Guidance Note on Data Collection and Storage?

Refer to our guidance notes on Data Protection Requirements and Data Storage.

- [ ] B9 - Does your study involve the use of bodily samples previously collected with consent for further research?
- [x] B10 - Will your study involve participants being identifiable in the resulting outputs e.g. name included in published material or identifiable features recognisable in videos or pictures?
- [ ] NONE OF THE ABOVE

B1: ADDITIONAL INFORMATION

Please explain why identifiable data/results are not being anonymised/de-identified and give details of how participant's consent is being obtained for use of their personal information in outputs.

All transcripts will be pseudonymized, and any identifying information (e.g., person and place names) will be filtered out of audiovisual data, however, for video data of interaction there are no measures that will fully guarantee anonymity. For this reason, participants be informed on the participant information sheet and consent forms that despite pseudonyms and audiovisual filters, they may be re-identifiable in the recorded audiovisual data. Participants will also be informed that if they wish to withdraw consent for the data to be used, they have a two-month window to request deletion, but that after it has been shared for research purposes online, it will not be possible to guarantee that the data have been deleted due to the nature of open data, though we can still delete their recordings from University-run repositories. In the event of a participant's incidental involvement in a recording (e.g., someone joining a sports training activity while recording is already underway), they will be made aware that they are being filmed and why, then given the participant information sheet and asked to give consent if the recording is used. If consent is not given, video recording will be stopped and the person will be edited out of recordings captured so far. NB: These proposed arrangements and mitigations have been checked (with Research Data Manager) for compliance with relevant data privacy legislation, GDPR provisions and University policy, and all data protection procedures will be overseen by the supervisor, . Please see attached explanation (additional documents) about pseudonymization and anonymization procedures for Conversation Analytic research. For children involved in the study age may range from 0-18 years. For young children under 10, a simplified information sheet is provided, and consent will be requested by drawing a happy face on the consent form to confirm willingness to take part. For very young children under 5, the researcher/parents/guardians, will be asked to obtain verbal assent from the child to ensure they are happy to take part. The researcher/parents/guardians will continuously monitor the very young child's behaviour and will check at the end of the recording whether the very young child is still happy to take part in the recording.

C1(a): Aims and Objectives

Aims and Objectives of the study (200 words maximum)

This project aims to describe and understand fundamental structures of social interaction in everyday and institutional settings including face-to-face talk and embodied/multimodal behaviours as well as mediated interactions e.g., during video/audio calls, and when using other interactional technologies. The project's objectives are to record audiovisual data in naturalistic settings, then to transcribe, clip, and collate these data into a larger audiovisual open data corpus. This open data corpus will provide the basis for larger-scale analyses using inductive detailed conversation analytic methods. Another key objective for these studies is to enable cumulative, multi-context, cross-situational comparisons which will allow analysts to identify fundamental and transferable practices and interactional structures between situations, languages, and contexts. To achieve this objective, with the fully informed consent of participants, audiovisual data will be deitendified/anonymized before being made available as open data for publication, and will be retained in perpetuity for future research. Another objective is to provide additional support for observational/interactional findings using semi-structured interviews and qualitative online surveys, where investigators can ask participants to introspect about and give accounts of their experiences and perceptions during the recorded activities.

Reflecting on your responses in Section A of the form, what are the main ethics issues arising from the study? (250 words maximum).

This should not be a description of the study design or methods.

(A1) Some studies may recruit under-18 participants (from 0-18), though always with the informed consent and active participation of their parents or guardians (for studies of parent-child interactions e.g., at family mealtimes). For young children under 10, a simplified information sheet is provided, and consent will be requested by drawing a happy face on the consent form to confirm willingness to take part. For very young children under 5, the researcher/parents/guardians, will be asked to obtain verbal assent from the child to ensure they are happy to take part. The researcher/parents/guardians will continuously monitor the very young child's behaviour and will check at the end of the recording whether the very young child is still happy to take part in the recording.

Some studies might take place in public spaces where there is no reasonable expectation of privacy, and where video recording is a normal and unproblematic activity, such as at sports events. In these environments it may not be practical to gain informed consent prior to recording taking place. Where interactions are recorded prior to informed consent being granted, or where new participants join an activity that is already being recorded, consent will be sought after the fact by approaching new participants. Recordings will be discarded and/or the participants in question will be edited out of the raw footage if they are not willing or able to grant informed consent to participate in the study.

(B10) It is not possible to fully and reliably de-identify video recordings of people interacting. For this reason, we will explain in the participant information sheet and consent forms that although we will obscure faces/identifiable details in video data, and will use pseudonyms in transcripts, participants may still be re-identified and recognizable. Participants will have the opportunity to give or withhold informed consent for the use and publication of their recordings as open data in the full knowledge that re-identification may be possible.

C2(a): Study Method

Description of Study Design and Methodology

In **everyday language**, please provide an outline of the study in a clear step by step chronological order. It should be clear what each participant will have to do, how many times, and in what order. All of this information should also be included on the Participant Information Sheet.

Overview:

This project aims to study fundamental and universal structures of talk and social interaction. The project's key objective is to collate an open data corpus of naturalistic audiovisual recordings of talk and social interaction across a wide range of everyday situations, along with semi-structured follow-up interviews and qualitative online surveys. It will use conversation analysis, discursive psychology, and thematic/discourse analysis to examine these data.

Methodology

Conversation analysis aims to understand the mechanics of talk and social interaction. To do so it relies on rich, detailed data, such

as audiovisual recordings, to understand how social order and social norms are constructed in everyday social action. Conversation analysis also includes the analysis of multimodal interactional resources such as gaze, gesture and object use, so it is important that audiovisual data can be retained, re-viewed, and re-analysed by researchers.

This study involves recording naturally occurring interaction where participants are going about their business in everyday and institutional settings such as classrooms, sports training centres, in public spaces, on video calls, or while at home. Participants will be asked to carry on with their normal activities while being recorded to ensure the data is as naturalistic as possible. Follow-up semi-structured interviews or qualitative online surveys with some participants will also be conducted.

Recruitment:

Participants will be recruited through convenience and/or snowball sampling. For example, a sportsperson might be invited to participate by a researcher at the sports centre, or might be invited by proxy by someone else involved in the sport.

Consent procedures:

Data will be collected in a range of settings e.g., classrooms, homes, sports centres, public spaces etc. with the informed consent of all parties appearing on camera. Researchers will ask participants to give their informed consent for recordings to be used for research purposes either before the recording takes place, or, where prior consent may be impractical or due to the nature of the activity and situation (e.g., when someone joins a sporting activity when a recording is already in progress), consent will be sought after the activity is complete.

Participants will be informed that after the recording, if they wish delete certain footage they can do so immediately after the recording, or can request to review and (if they choose) to delete some or all of the footage within two months of the recording.

For young children under 10, a simplified information sheet is provided, and consent will be requested by drawing a happy face on the consent form to confirm willingness to take part. For very young children under 5, the researcher/parents/guardians will obtain verbal assent from the child to ensure they are happy to take part. The researcher/parents/guardians will continuously monitor the very young child's behaviour and will check at the end of the recording whether the very young child is still happy to take part in the recording.

Audiovisual Recording process:

Setting up recordings as unobtrusively as possible, researchers will use multiple cameras, usually in fixed positions, but if necessary, and if it can be set up without disruption, a roving camera may also be used, along with a combination of small body-worn radio microphones to capture participants' talk, and a fixed-position audio recorder to capture ambient sounds.

Where participants are also focusing on a screen together (e.g., a train departures board or computer game screen), screen video captures may also be recorded, again with their informed consent.

In some cases, researchers will give cameras to participants to e.g., do recordings themselves in their homes, and training will be provided on camera use, e.g., how to start recording, how to stop recording and how to delete data.

Recordings will usually be between 30 minutes and 2 hours in length, but may be longer depending on the activity and interactions underway. Some recordings may be repeated over a series of sessions (e.g., recording a series of seminars in a university classroom setting).

Video analysis:

Video recordings will be transcribed, with pseudonymous person/place names, and reviewed for analysis. Researchers will examine participants actions and behaviours in detail to understand how everyday and institutional activities, practices, and situations are constituted and managed interactionally. Participants may also be invited to participate in collaborative 'data sessions' where they may be invited to view their own recordings and contribute to the analysis.

Follow-up interview procedures:

Some participants may be invited to participate in semi-structured interviews or online surveys inviting them to share their own perspective on their interactions. Semi-structured interviews will be either recorded online via the University's MS Teams platform, or in-person (either in-situ at the recording site, or in a suitable space such as a pre-booked seminar room or office at Loughborough University), to be captured using an audio recorder. Each interview will last around 30 minutes. Qualitative surveys will be conducted via onlinesurveys.ac.uk.

Interview analysis:

Interviews will also be transcribed and pseudonymized. Interviews will be analysed to examine how participants discursively construct their internal understanding of their interactions, goals, contexts, and activities.

Data management:

Audiovisual data will be anonymized (i.e., names and other identifiable details will be obscured/filtered) and transcripts will be

pseudonymized prior to publication.

Open data consent withdrawal procedures:

Participants will be informed that if they wish to withdraw consent for data to be used, they have a two-month window to request deletion, but that after it has been deposited in the University's repository as open data, or published for research purposes, it will not be possible to guarantee that the data have been deleted due to the nature of data published online, although we can still delete their recordings from University-run repositories.

Details of Measurements to be Taken

All measurements and samples to be taken from participants should be included here. Measurements can include interviews, questionnaires, observations and photographic data.

Measurements include audio-video recordings of people's everyday interactions and, separately, recordings of semi-structured interviews and qualitative online surveys.

C3(a): Investigator Details

Investigators Experience

Please provide details of each investigators experience in the methods to be used in this study. For student projects this must include details of the project supervisor's relevant experience.

A short paragraph should be included for each investigator listed.

Conflict of Interest

Do any of the investigators stand to gain from a particular conclusion of the study or have a conflict of interest in relation to the study?

- ○ Yes
- ◉ No

Risk to Investigators

Are there any potential risks to the investigators in this study?

- ◉ Yes
- ○ No

What are the potential risks to the investigators?

Risks include standard risks associated with any activity that involves being outside with the general public. as detailed on the separate risk assessment sheet.

The following numbered risks are also detailed here, with corresponding measures outlined below.

1. Activity that involves being outside with the general public.
1a. Hazards:
   i. Slips, trips and falls;
   ii. Risk of theft of equipment/ injury to the staff/students by a member of the general public;
   iii. Exposure to changeable weather conditions, i.e. the wet and cold;
   iv. Risk of negative response / attack/ unpredictable behaviour from the general public;
   v. Illness/accidents during event
1b. Who might be harmed and how: Staff and Students and Visitors

2. There are also potential risks to investigators setting up equipment in the homes of participants (as in Generic protocol G13-P6)

What measures have been put in place to address these risks?

1c. Existing measures to control risk:
i. Do not carry/ handle equipment / boxes of questionnaires beyond your ability to comfortably and safely carry them;
Loughborough University provide training on manual handling;
Report any facility problems to facility manager.

ii. Staff/students are trained to avoid any situation that may seem compromising;
Staff/students are instructed that if they are confronted for their equipment, then their personal safety is much more important and they should hand it over;
Loughborough University has incident reporting procedures.

iii Staff/students are provided training and advise so they can dress appropriately for the weather conditions they may encounter;
If staff/students are going to be outdoors for a prolonged period of time they are encouraged to take water/ drinks to keep them hydrated.
Where appropriate, staff/students are instructed to check all banner/equipment/etc are securely fitted and to remove anything that is/becomes loose.

iv. Staff/students are trained to avoid any situation that may seem compromising.
Staff/students are also trained not to respond to verbal threats/ engage in behaviour that could be interpreted as confrontational.
Students are to inform their supervisor where they are going.
Students are also to talk through any concerns about the activity to their supervisor.
In the instance of an adverse event, Loughborough University has incident reporting procedures which MUST be followed.

v. At least one first aider is usually present during event.
Mobile phone available for calling for help.
Mobile phones will have security and emergency numbers in.
Two staff member/students will always be present.
Awareness of any medical condition e.g. diabetes and necessary medication/care

2. The researcher will inform their supervisor or colleague of the days and times that they will be entering the homes of participants, and the address of these homes. Before and after entering the home, they will report to a supervisor or colleague (as in Generic protocol G13-P6).

C4(a): Participant Details

Participants

Number of Participants to be Recruited per Participant Group and reason for selecting this number

Each data collection process will involve between 2-30 participants, but possibly more in the case of studies of large team sports (e.g., group martial arts training). The total number of participants will be between 24 and 100, depending on the interactional context explored in each project.

Please give details of Participants.

For instance, what is the age of participants, what is their sex/gender, any special interests etc. If there is more than one participant group please give details of each group.

Demographic of participants may include any gender, and age will vary depending on the interactional situation being studied, but either will involve people over 18 and able to give fully informed consent on their own behalf, or (in studies of parent-child interaction), where the parent(s)/guardian(s) are present during recordings and are able to give informed consent on the child's behalf. In such studies of e.g., family mealtimes, parents/guardians would be involved in the data collection process and would be able to give fully informed consent for the participation of children.

How will Participants be selected?

Include the inclusion/exclusion criteria to be used. If individuals are excluded based on gender, sex or race please clarify why this is justified.

People who do not have capacity to give informed consent on their own behalf, or children whose parent(s)/guardian(s) are not able to be present during recordings and able to give informed consent on behalf of their child will be excluded.

How will Participants be recruited?

If an advertisement or forum post is to be used, please attach this in the documents section under 'other'.

Participants will be recruited through opportunity/convenience and snowball sampling. Typically, participants will be recruited through word-of-mouth. Other methods of recruitment will include posters around the university and public noticeboards, and emails to appropriate groups. Interested participants will be invited to contact the researcher and will then be sent the participant information sheets and informed consent forms.

Please state the demand on a Participant's time *including a breakdown of how long each part of the study will take, as well as the total time demand.*

Video recording component:

- The video recording component of the research will not require any additional time of the participants as they will be recorded doing activities they would be doing anyway. However, there are some administrative and equipment set-up processes that might take some time:
- The initial contact and consent procedures will take around 5-10 minutes for each participant.
- The recording set-up phase will take the researcher around 1 hour to set up the recording devices, though participants would not need to be involved.
- In the case that participants are involved in the recordings themselves, training on how to use simple camera equipment including turning the cameras on and off, reviewing footage and deleting footage should take around 30 minutes.
- Once recording equipment is set-up, activities would progress as normal without placing additional time demand on participants.
- Removing camera equipment will also take around 10-15 minutes, though participants would not be involved

Semi-structured interview component:

- Semi-structured interviews (in-person or online) will take 30 minutes-1 hour of each interviewee's time.

Online qualitative survey component:

- The online qualitative survey would take between 10-15 minutes of the each interviewee's time.

Time available for reviewing/deleting data:

- Participants will be informed that they are able to stop recording at any time (where consent procedures are conducted prior to the recording), or (where consent is, by necessity of the situation, post-hoc), to request that anything unexpected that is recorded accidentally can be deleted immediately after the recording takes place.
- For up to two months after the recording takes place, participants will be informed that they can contact the principal investigator if they change their mind about something being recorded, and can request to review the footage (which might take up to 30 minutes to find/review, either online or in-person at the University), and it can be deleted before being published and archived in the University data repository.

Risk to Participants

What are the potential risks to the Participants? These could be ethical, physical, psychological or cultural risks.

Standard risks associated with any research involving setting up recording equipment including in a participant's home are detailed separately in the (attached) risk assessment.
To summarize, they include:

1. Activity: setting up a camera in participants' home,
1a. hazard: fire
1b. who might be harmed and how: anybody within the vicinity
2. Activity: transport of consent forms
2a. hazard: data protection issues
2b. who might be harmed and now: anybody with personal information on the questionnaire
3. Activity: Activity that involves processing personal information
3a. hazard: Breach of data protection; loss of data, dissemination of personal information
3b. who might be harmed and how: Participants, reputation of University
4. Activity: Activity that requires entry into participant's home.
4a. hazard: Risk of tripping on object
4b. who might be harmed and how: Researchers and participants

What measures have been put in place to address these risks?

Measures to deal with standard risks associated with any research involving fieldwork recording in a participant's home are detailed in the (attached) risk assessment. To summarize, they include:

1. Activity: setting up a camera in participants' home,
1c. Existing measures to control risk: Ensure that you are aware of the organisations fire procedures/ know where the building exits are/ ensure building exits are clear before starting work.
2. Activity: transport of consent forms
2c. Existing measures to control risk: Researchers are instructed to observe data protection guidelines. Consent forms with personal information are NOT to be left unattended and out where they can be interfered with. Information is anonymised/ coded where possible.
3. Activity: Activity that involves processing personal information
3c. Existing measures to control risk: Ensuring personal data is not shared beyond the investigators where possible. Anonymising data following collection where possible. Locked storage of personal data, electronic copies protected.
4. Activity: Activity that requires entry into participant's home.
4c. Existing measures to control risk: Ensure that all main pathways in the home are clear. Electric cables are hidden. Any rubbish is disposed of. Entrance and exist to property are clear.

Please provide details of procedures for chaperoning and supervision of Participants during the study.

Participants will not require chaperoning or supervision during the study as they will be going about their everyday activities. As mentioned earlier, children will only be recorded while under the supervision of their parents/guardians.

C4(b): Control Participants

Control Participants

Will control participants be used in the study?

- ○ Yes
- ◉ No

C5(a): Vulnerable Participants

Which vulnerable groups are involved? Select those that apply

- [x] Children under 18 years of age
- [ ] Participants over the age of 16 years old who are not able to make an informed decision for themselves (Mental Capacity Act - may require approval through the Health Research Authority)
- [ ] Pregnant Women
- [ ] Prisoners/other detained persons
- [ ] Adults in care homes
- [ ] Adults who are vulnerable because of their social, psychological or medical circumstances
- [ ] Other vulnerable groups

Please explain the process for obtaining parental consent.

Consent will be sought from the parents/guardians of any children involved in the filming following recruitment. Assent will also be sought from children - either verbal or written (see attached child information and assent sheets). No filming would be undertaken until informed consent for the child to participate - and the child's own assent has been received. Age of children will range from infants to 18 years old. Children over 16 must be able to give consent on their own behalf, but parental consent will still be required before filming takes place.

What special arrangements have been made to deal with the issues of consent?

Participation of children would only be through the active participation of their parent/guardian. In cases where recordings will take place at family mealtimes/in the family home, parents/guardians will also be actively involved in setting up/using the cameras to do the recording themselves, so will have a high degree of control over what is recorded.

Parents and children both have special informed consent forms and participant information sheets - including an easy-read consent form for children.

DISCLOSURE AND BARRING SERVICES (DBS)

Is clearance from the Disclosure and Barring Service (DBS) required for the investigators undertaking the study?

- ( ) Yes
- (•) No

Data Storage and Security

Please refer to the guidance on Data Collection and Storage and guidance on Data Protection Requirements.

Will all electronic data (or personal information) collected during the study be held on the University's OneDrive?

- (•) Yes
- ( ) No

Will the study involve collecting or processing any **Identifiable** 'Personal Information' or 'Sensitive Personal Information' as defined under the General Data Protection Regulations.

- *'Personal information' is data relating to living people from which they can be identified (directly or indirectly). This includes but is not limited to names, contact details, photos/videos, email addresses, social networking posts, unique identifiers.*
- *'Sensitive personal information' includes but is not limited to identifiable data about health, political opinions, religious beliefs, sexual orientation, or genetic or biometric data that is uniquely identifying.*
- *This would also include identifiable videos/photographs and audio recordings.*
- *For further details see Data Protection Requirements.*

(•) Yes, the study involves the collection or processing of identifiable information

( ) No, the study does not involve collection or processing of identifiable information

Please give details of the identifiable Personal Information or Sensitive Personal Information that you are collecting or processing and why it is necessary to collect this information *e.g. names for consent, contact details to arrange sessions, health information for screening.*

Names will be collected for consent.

Contact details will be collected to arrange follow-up interviews.

Audio-visual recordings of people interacting will be collected. Although every effort will be made to pseudonymize transcripts and obscure/filter faces and other visually identifiable details in publication arising from this research, re-identification is always possible with interactional data. Participants will give informed consent for their data to be used in the knowledge that it is potentially re-identifiable. The methods used in this study depend on being able to analyse e.g., facial expression, alongside talk and other actions, so there is an inherent tension between protecting participant privacy, and ensuring that the data remains useful and analysable.

Please give details of how long personal information will be retained. *It must not be retained longer than necessary for the study unless explicit consent is given.*

Personal information on consent forms will be retained in perpetuity, to ensure ethical compliance for the analysis and ongoing use of corpora of naturalistic video data that is intended to be re-used for future research projects.

Will the study include the use of any of the following? Select those that apply

- [x] Audio recording
- [x] Video recording
- [x] Photographs of participants (or other identifiable individuals)
- [ ] None of the above

How will recordings or photographs be used in the study and how long will they be retained.

The methodology of conversation analysis depends, centrally, on transcribing, clipping, and studying the detail of audiovisual recordings of people interacting. This study protocol is designed to contribute to a cross-context, multi-activity corpus of video data that will be useful for understanding fundamental principles and practices of social interaction. For this reason, the recordings will be retained in perpetuity, since they will require re-analysis of the original data for all future/comparative analyses.

How long will study data/results be retained?

Study data and results will be retained in perpetuity, eventually to be fully transcribed and archived as open field recording data on the University data repository and (in the shorter term, as clips held on the University IT infrastructure (OneDrive).

Where will original hard copies of study documents (interview notes/transcripts/questionnaires/consent forms) be stored and how long will they be retained?

Original hard copies of interview notes, transcripts and consent forms will also be retained - when created in hard copy - in a lockable filing cabinet in the office of the principal investigator. When materials are created as digital copies, they will be stored securely in a University-provided OneDrive foder owned by the PI, shared via OneDrive with students and other co-investigators.

Will any data (or personal information) be shared with external partners?

- (•) Yes
- ( ) No

How will data (or personal information) be securely shared with external partners?

Pseudonymized transcripts and de-identified audiovisual recordings will be shared as open data (CC-BY licensed) on the University data repository. Interim de-identified transcripts and video data will also be shared with external partners via OneDrive and on Teams research calls for live data sessions (see https://darg.lboro.ac.uk/darg-ca-workshops/darg-sessions/).

Archiving of Data

Archiving of Data

Many funders (including the UKRI Research Councils) and publishers expect data with an acknowledged long-term value to be preserved and remain accessible and useable for future research. Data which supports and validates published research should also be preserved and, where possible, should be openly accessible to other interested researchers. See further details on archiving of data to the **University's Research Repository**.

Will the study data/results be permanently archived to the University's Research Repository or another repository?

- (•) Yes
- ( ) No

Data from undergraduate or taught postgraduate projects is not usually added to the Repository. Please check with your project supervisor if you are unsure.

Will the deposit to the Repository be open or confidential?

- (•) Open
- ( ) Confidential

F1: Funding/Sponsorship

Is the study being externally sponsored/funded?

- ○ Yes
- ◉ No

F2: Insurance

Will any part of the study result in unavoidable injury or damage to participants or property?

- ○ Yes
- ◉ No

Is the study classed as normal activity?
The University's liability insurance relates to claims arising out of all normal activities of the University. Insurers should be notified of anything that falls outside the scope of the policy or is taking place outside of the UK or the investigator's home country. See the information button (i) for further details.

- ◉ Yes
- ○ No

Supporting Documents

Supporting Documents

Please use the latest Templates which are available in the **Help Tab** at the top of the screen, under 'templates'. Only include the latest version, previous versions should be deleted.

Templates for Anonymous Online Questionnaires are now available for the information section and consent section.

Participant Information Sheet (Information Section for Questionnaire)

Please upload **Participant Information Sheet(s)** or **Information Section** for Questionnaire

Only include the latest version, previous versions should be deleted.

Documents

Type	Document Name	File Name	Version Date	Version	Size
Participant Information Sheet	Participant_Information_Sheet - Parents - ORCA	Participant_Information_Sheet - Parents - ORCA.docx	04/11/2024	1	38.5 KB
Participant Information Sheet	Participant_Information_Sheet - ORCA	Participant_Information_Sheet - ORCA.docx	04/11/2024	1	37.9 KB
Participant Information Sheet	Participant_information_Sheet - easy-read - modified - ORCA	Participant_information_Sheet - easy-read - modified - ORCA.docx	06/01/2025	3	2.1 MB
Participant Information Sheet	Participant_information_Sheet - easy-read - very-young-children-2-pager - ORCA	Participant_information_Sheet - easy-read - very-young-children-2-pager - ORCA.docx	06/01/2025	1	296.0 KB

Informed Consent Form (Consent Section for Questionnaire)

Please upload **Informed Consent/Assent Form(s)** or **Consent Section for Questionnaire** (or justification of why this is not possible)

DO NOT ATTACH FORMS THAT HAVE BEEN COMPLETED BY PARTICIPANTS. YOU SHOULD NOT RECRUIT UNTIL THE ETHICAL REVIEW IS COMPLETED AND A FAVOURABLE DECISION HAS BEEN ISSUED.

Only include the latest version, previous versions should be deleted.

Documents

Type	Document Name	File Name	Version Date	Version	Size
Informed Consent Form	Child Assent Form-ORCA	Child Assent Form-ORCA.docx	03/12/2024	1	21.4 KB
Informed Consent Form	Informed_Consent_Form - ORCA	Informed_Consent_Form - ORCA.docx	06/01/2025	3	31.5 KB
Informed Consent Form	Informed_Consent_Form - Parents - ORCA	Informed_Consent_Form - Parents - ORCA.docx	06/01/2025	3	32.1 KB
Informed Consent Form	Very Young Child Assent Form-ORCA	Very Young Child Assent Form-ORCA.docx	06/01/2025	1	25.5 KB

Questionnaire

Please upload a copy of the Questionnaire (a final formatted version is not required)

Please include details of any demographic questions that will be included. Please note the guidance on gathering data on sex and gender.

Documents

Type	Document Name	File Name	Version Date	Version	Size
Questionnaire	DRAFT online qualitative survey guide - ORCA copy	DRAFT online qualitative survey guide - ORCA copy.docx	04/11/2024	1	15.1 KB

Interview/Focus Group Questions

Please upload a copy of the Interview/Focus Group questions (final versions are not required)

Documents

Type	Document Name	File Name	Version Date	Version	Size
Other Document	DRAFT interview guide - ORCA	DRAFT interview guide - ORCA.docx	04/11/2024	1	15.7 KB

Risk Assessment

Please upload **Risk Assessment**

You must use the relevant Risk Assessment for your School. Please ensure that you are following the appropriate School process.

Only include the latest version, previous versions should be deleted.

Documents

Type	Document Name	File Name	Version Date	Version	Size
Risk Assessment	Risk Assessment - ORCA	Risk Assessment - ORCA.docx	04/11/2024	1	109.4 KB

Other Documents

Are there any other study documents?

This might include Repeat Visit Forms, Health Screen Questionnaires, Debriefing documents, Interview Questions, Questionnaires (including demographic questions), Posters etc.

You may also wish to attach Data Management Plans, Data Protection Impact Assessments or Study Protocols. However, please note that these will not be reviewed by the Ethics Review Sub-Committee.

- (•) Yes
- ( ) No

Please upload all other documents

Please DO NOT upload sensitive personal documents such as DBS checks or occupational health records. You will be asked to remove them.

Documents

Type	Document Name	File Name	Version Date	Version	Size
Other Document	EMCA-video-gathering-checklist	EMCA-video-gathering-checklist.pdf	04/11/2024	1	52.4 KB
Other Document	Draft Email advertisement - ORCA	Draft Email advertisement - ORCA.docx	04/11/2024	1	13.7 KB
Other Document	Methods and Considerations for Pseudonymization and Anonymization for Conversation Analytic Research	Methods and Considerations for Pseudonymization and Anonymization for Conversation Analytic Research.docx	06/01/2025	1	545.0 KB
Other Document	9. Hofstetter & Albert - Working with Data II	9. Hofstetter & Albert - Working with Data II.pdf	06/01/2025	1	1.1 MB

Information

Once you have signed the submission you should request **all** of the signatures listed below. These can all be requested consecutively (at the same time) or one at a time.

Auto-submission

Once signed the form should start the automatic submission process, However, some forms are **not** automatically submitting once fully signed. Please check the field **'action required on form'**. If this says '**yes**' after the form has been fully signed, click on 'yes'. The form will then submit. Running the 'completeness check' should also start the submission process. The status should say '(re)submitted by applicant' or 'submission in progress'**.**

You will receive an email confirming (re)submission.

➔ If you receive a message that your supervisor does not exist in the system please ask them to log in to LEON to open their account. Once they have activated their account you will be able to send requests to them.

Auto-submission

☑ I understand that I must check the 'action required on form' field once the form has been fully signed to ensure the form has submitted.

This study is classed as requiring **Enhanced** review (due to responses in Section A) and will be considered at the Ethics Review Sub-Committee meeting. Details of submission deadlines are available on the Sub-Committee website. **Proposals must be fully signed and submitted to the Sub-Committee before the submission deadline.** You will receive an email confirming submission.

Please note that your School may also have internal submission deadlines which you should note. We recommend requesting signatures by the 1st of the month to allow time to meet the Sub-Committee deadline.

Please tick to confirm:

☑ I understand that this submission will follow the ENHANCED submission route.

Please indicate whether this is a NEW submission or a RESPONSE to feedback from the Sub-Committee?

You must select 'new submission' unless you are specifically instructed to select that the submission is a response to a Conditional notification from the University's Ethics Review Sub-Committee (NOT your School). Substantial Amendment should only be selected if instructed by the Sub-Committee.

- ○ This is a NEW submission (or response to School/supervisor feedback).
- ◉ This is a RESPONSE to a Conditional decision from the Ethics Review Sub-Committee.
- ○ Substantial Amendment (admin use only)

Please tick to confirm:

- ☑ I understand that this submission will be discussed by the Ethics Review Sub-Committee meeting.

Applicant Signature

Applicant's Signature

Applicants should sign the form once it is ready for submission.

Open Repository for Conversation Analysis

INFORMED CONSENT FORM
(to be completed after Participant Information Sheet has been read)

Taking Part	**Please initial to confirm agreement**
The purpose and details of this study have been explained to me. I understand that this study is designed to further scientific knowledge and that all procedures have been approved by the Loughborough University Ethics Approvals (Human Participants) Sub-Committee.	----------
I have read and understood the information sheet and this consent form.	----------
I have had an opportunity to ask questions about my participation.	----------
I understand that taking part in the project will involve being audio/video recorded.	----------
I understand that taking part in the project may involve taking part in an interview or questionnaire.	----------
I understand that I am under no obligation to take part in the study, have the right to withdraw from this study at any stage for any reason, and will not be required to explain my reasons for withdrawing.	----------
Use of Information	
I understand that all the personal information I provide will be processed in accordance with data protection legislation on the public task basis and will be treated in strict confidence unless (under the statutory obligations of the agencies which the researchers are working with), it is judged that confidentiality will have to be breached for the safety of the participant or others or for audit by regulatory authorities.	----------
I understand that information I provide will be used for research and publication	----------
I understand that personal information collected about me that can identify me, such as my name or where I live, will not be shared beyond the study team.	----------
I understand that I may be recognizable in video and audio recordings, and I consent to sharing these recordings online, in open data repositories, in perpetuity.	----------

Consent to Participate

I voluntarily agree to take part in this study. ----------

I voluntarily agree to share audio-visual research recordings in which I may be recognizable. ----------

_____	_____	_____
Name of participant [printed]	Signature	Date
_____	_____	_____
Researcher [printed]	Signature	Date

Date

Open Repository for Conversation Analysis

PARENT/LEGAL GUARDIAN INFORMED CONSENT FORM
(to be completed after Participant Information Sheet has been read)

Taking Part	**Please initial to confirm agreement**
The purpose and details of this study have been explained to me. I understand that this study is designed to further scientific knowledge and that all procedures have been approved by the Loughborough University Ethics Approvals (Human Participants) Sub-Committee.	----------
I have read and understood the information sheet and this consent form.	----------
I have had an opportunity to ask questions about my child's participation.	----------
I understand that taking part in the project will involve being audio/video recorded.	----------
I understand that the personal information collected from my child will be name, contact details.	----------
I understand that taking part in the project may involve taking part in an interview or questionnaire.	----------
I understand that I am under no obligation to agree for my child to take part in the study, have the right to withdraw my child from this study at any stage for any reason, and will not be required to explain my reasons for withdrawing my child from the study.	----------
Use of Information	
I understand that all the personal information my child or I provide will be processed in accordance with data protection legislation on the public task basis and will be treated in strict confidence unless (under the statutory obligations of the agencies which the researchers are working with), it is judged that confidentiality will have to be breached for the safety of the participant or others or for audit by regulatory authorities.	----------
I understand that information my child provides will be used for research and publication	----------
I understand that personal information collected about me or my child that can identify us, such as mine or my name child's name or where we live, will not be shared beyond the study team.	----------
I understand that my child may be recognizable in video and audio recordings, and I consent to sharing these recordings online, in open data repositories, in perpetuity.	

HPSC Ref No: [to be added once study approval confirmed]

Consent to Participate	
I voluntarily agree for my child to take part in this study.	----------
I voluntarily agree to share audio-visual research recordings in which my child may be recognizable.	----------

_____
Name of child [printed]

_____ _____ _____
Name of participant [printed] Signature Date

_____ _____ _____
Researcher [printed] Signature Date
Date

Open Repository for Conversation Analysis

Child and young person's assent form

My name is _____. [Child's name]

I know what the '**Open Repository for Conversation Analysis**' study is about.

I understand what taking part involves.

I understand that I will be video recorded in everyday situations.

I understand that you might ask me to answer questions by speaking or writing.

I know that everything I tell you is private.

I know that if you think I or others might not be safe, you will have to tell somebody.

I am happy for you to write down/record what I say to you.

I know that you will write a report that will include the things I tell you.

I know that I do not have to answer all of the questions.

I know that I can stop talking to you at any time.

I know that no one will mind if I want to stop talking to you.

I am happy to take part in the 'Open Repository for Conversation Analysis' research

_____[child's name]

I [researcher name] confirm that I have told [child's name] about the research project and given them the information leaflet. To the best of my knowledge they have understood what I have told them and they are giving free consent.

_____[researcher's name]

Loughborough University

Open Repository for Conversation Analysis
Child Information Sheet

Introduction

Loughborough University would like to invite you to take part in our research study.

Understand

Before you decide we would like you to understand why the research is being done and what it would mean for you.

Your parent or guardian will go through this information sheet with you and answer any questions you have.

HPSC Ref No. LD1:

You can also choose to talk to others about the study before deciding if you want to take part if you wish.

Loughborough University

This study is a project supported by Loughborough University

What is the study about?

We want to understand how people talk to each other and interact in all kinds of everyday situations – at home or at work, or while playing games and sports.

We want to understand how people work together in everyday situations so we can do all kinds of things better: cooking, eating, playing, teaching, and learning.

Who can be included in the study?

Anyone can be included – children or adults.

Anyone as long as they can give consent, or their parent or guardian can give consent for them.

What will I be asked to do?

You will be asked to do whatever you would ordinarily do – playing games, eating with your family, or doing other everyday activities.

Agree that you will be video recorded, so that the researchers at Loughborough University can watch the recording back and see and hear what has happened.

Understand

This will help us to understand how people interact and behave in all kinds of ordinary situations.

Interview

You might also be asked some questions in an interview when the researcher comes to visit.

You can agree what video clips can or cannot be included in the study with us, it is your choice.

If you agree you will be asked to sign a consent form.

If you have any questions, you can ask your parent or guardian, or the researchers from Loughborough University.

Can I change my mind about taking part?

Yes.

You can change your mind at any time and up to two months after the study finishes. You do not have to explain why.

If you tell the researchers from Loughborough University, the information they have collected on you will be destroyed.

You have two months to ask for any recording to be deleted. After this time, it will be difficult to promise that all information can be destroyed.

After the study finishes, we will publish and share the results online (publish means to make the information available to others).

Because the videos mean that people can see and hear you it may not be possible remove your face or information from the research once the study has been shared, but we can delete Loughborough University systems.

Remember, you say what video content you are happy with the researchers to use. You can ask the researcher to delete any part of the recording you are not happy to share. It is your choice.

We will make sure you are able to turn off the camera at any time. It is your choice.

How long will the video record for?

Your video will be recorded all the time that you agree to.

The video will record for as long as the activity takes – but not usually much more than one or two hours.

How long will the interviews take?

The interview will last approximately 15-20 minutes.

How long will the study take?

The study will be a year long so will finish by the end of 2025.

Are there any risks in participating?

There is a small risk that when the study is published, because this is on-line people may use your image in other ways. You can ask that the researchers blur your image (like the picture).

Data Protection Privacy Notice

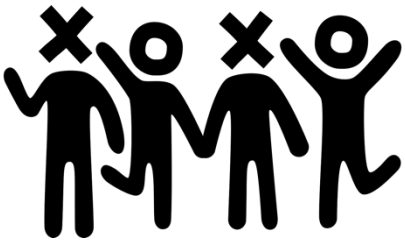
There a rules about how organisations keep people's personal information

The rules are called the General Data Protection Regulations or GDPR

The rules give you rights about how organisations keep your personal information.

The research project needs some information about you and as you will be video recorded you will be seen and heard by others. The research cannot be done without your data.

What personal information will be collected from me?



The project will need to know your name, where you live, your contact number. This will not be shared with anyone who is not involved in the project.

Because the project needs to video record you, we will have information about how you do things in everyday life, like how you eat meals with your family, or play games or sports.

As the project video records you, we can blur your image, but it may still be possible to identify you.

Remember, you say what video content you are happy with the researchers to use. You can ask the researcher to delete any part of the recording you are not happy to share. **It is your choice**.

The recordings that you agree to will be kept forever, for the purposes of ongoing research.

Your personal information will not be shared, and anything that identifies you will be removed before it is stored.

It will not be stored in the same place as the video recordings. **Your personal information is confidential**

We will not share where you live with anyone other than people who are doing the research.

We will not share how old you are with anyone other than people who are doing the research.

We will not share your name with anyone other than people who are doing the research.

If you are not happy with how the research was conducted, please speak to your parent or a trusted adult.

You can give them the contact details below.

Researchers Details:
add here

If you have any questions regarding Data Protection at the University, then please do contact:

the Data Protection Officer
add details here

The University also has policies on Research Misconduct and Whistle Blowing which are available online at:

http://www.lboro.ac.uk/committees/ethics-approvals-human-participants/additionalinformation/codesofpractice/ .

If you are still unhappy with how your complaint has been handled then you can contact the Information Commissioner's Office or ico. The ico can be contacted at:

Wycliffe House, Water Lane,
Wilmslow,
SK9 5AF

You will find more information at https://ico.org.uk.

Open Repository for Conversation Analysis
Very Young Child Information Sheet

Loughborough University would like to invite you to take part in our research study.

Your parent or guardian will go through this information sheet with you and answer any questions you have.

What is the study about?

We want to understand how people talk to each other and interact in all kinds of everyday situations – at home or at work, or while playing games and sports.

Who can be included in the study?

Anyone as long as they can give consent, or their parent or guardian can give consent for them.

What will I be asked to do?

You will be asked to do whatever you would ordinarily do – playing games, eating with your family, or doing other everyday activities.

Agree that you will be video recorded, so that the researchers at Loughborough University can watch the recording back and see and hear what has happened.

You might also be asked some questions in an interview when the researcher comes to visit.

You can agree what video clips can or cannot be included in the study with us, it is your choice.

If you agree you will be asked to sign a consent form.

If you have any questions, you can ask your parent or guardian, or the researchers from Loughborough University.

Open Repository of Conversation Analysis
Participant Information Sheet

Investigators Details:
add details here

Section A

We would like to invite you to take part in our study. Before you decide we would like you to understand why the research is being done and what it would involve for you. One of our team will go through the information sheet with you and answer any questions you have. Talk to others about the study before making a decision if you wish.

What is the purpose of the study?

The purpose of the study is to video record people participating in everyday social activities (e.g., visiting art galleries, participating in sport activities, during family mealtimes) to better understand basic structures of natural human interaction in these settings.

Who is doing this research and why?

This study is part of a staff-led student research project supported by Loughborough University.

Are there any exclusion criteria?

You must be over the age of 18 and have the capacity to fully understand and consent to this research, or, if under 18, you must have a parent or guardian able to give informed consent on your behalf.

What will I be asked to do?

You are being asked to go about your everyday social interactions while being video/audio recorded, and possibly also to participate in a follow-up either in the form of a recorded interview (online or in-person) with a researcher, or an online survey.

Once I take part, can I change my mind?

HPSC Ref No:

Yes. After you have read this information and asked any questions you may have if you are happy to participate, we will ask you to complete an Informed Consent Form, however if at any time, before, during or up to two months after the sessions you wish to withdraw from the study, please contact the main investigator and your data will be withdrawn and destroyed. You can withdraw at any time up to two months after the recording has taken place, for any reason and you will not be asked to explain your reasons for withdrawing.

However, note that this study involves audio-visual recordings in which you may be visually/audibly identifiable. Once the results of the study have been published and shared online (by July 2025), it may not be possible to withdraw your individual data and likeness from the research, although every effort will be made to withdraw it from University-run repositories.

How long will it take?

Each video recording will last approximately 45 minutes, or as long as the interaction being recorded normally lasts. We will ensure you are able to turn off the camera at any time, or to request that anything unexpected that is recorded accidentally can be deleted from the camera, or (if you later change your mind about something being recorded) up two months after the recording. The interview will last between 30 and 45 minutes, the online survey would take between 10-15 minutes.

Are there any disadvantages or risks in participating?

There are no risks or disadvantages to participating in this research project. However, you should be aware that you may remain visually/audibly identifiable in the recorded audio-visual data. Video recordings will be edited with a visual filter however you may still be recognisable audibly and visually. If you wish to withdraw your consent for the data to be used after it has been shared for research purposes online, it will not be possible to guarantee that the data have been deleted due to the nature of data online. However, if you wish, we can delete your recordings from University-run repositories.

Data Protection Privacy Notice

Loughborough University will be using information/data from you in order to undertake this study and will act as the data controller for this study. This means that the University is responsible for looking after your information and using it properly. Loughborough University will keep identifiable information about you in perpetuity, as the data is expected to be used as open research data. The University's Data Protection Officer can be contacted at: dp@lboro.ac.uk.

What personal information will be collected from me?

No personal demographic information will be collected other than anything you discuss or mention in the video/audio recordings. However, even though a visual filter edit will be applied to audio-visual recording, your likeness and voice will be visible and audible in the

recordings. See below for some examples of how filters will be applied to your video before publication.

Why is this personal information being collected?

These data are being collected to help understand the fundamental structures of human social interaction. No personal demographic data e.g., age, location, ethnicity etc. is being collected. However, it is unavoidable that you will be visually identifiable in video recordings, so it is important that you understand that these data will be used and shared as an open data resource online.

How long will my personal data be retained?

Audio-visual data will be retained in perpetuity, for the purposes of ongoing research.

Will my taking part in this study be kept confidential?

Note that all transcripts will be pseudonymized, and any identifying information (e.g., person and place names) will be edited out. Identifying information such as contact details from your consent form will be stored separately from the potentially identifiable video data. All records will be stored in a lockable filing cabinet in the supervisor's secure office in the Brockington Building at Loughborough University. However, please note that there are limits to confidentiality since you may still be visually/audibly recognizable in audio-visual recordings, even when a visual filter edit is applied.

How will the data collected from me be used?

Recordings will be transcribed and analysed using observational methods such as Conversation Analysis, Ethnomethodology, and Discursive Psychology. These data will be de-identified (i.e., identifiable names and place references will be removed), then they will be uploaded to a research repository (e.g., https://osf.io) for ongoing open data research.

What is the legal basis for processing the data?

Personal data will be processed on the public task basis. Individuals' rights to erasure and data portability do not apply if you are processing on the basis of public task. However, individuals do have a right to object.

Under the General Data Protection Regulation (GDPR), some of the personal data which will be collected from you is categorised as "sensitive data". The processing of this data is necessary for scientific research in accordance with safeguards. This means that study has gone through an ethical committee to ensure that the appropriate safeguards are put in place with respect to the use of your personal data.

Will my data be shared with others?
Your private, identifiable informational data will not be shared. Pseudonymized audio-visual data (in which you may be recognizable) will be shared for the purposes of ongoing research and publication.

How long will the anonymised data/samples be retained?

Pseudonymized data and samples submitted for coursework will be retained in perpetuity on an encrypted hard drive and backed up securely to Loughborough University's IT cloud-based storage, in line with Loughborough University's information governance guidance.

I have some more questions; who should I contact?

Please contact Investigator Name using the details above if you have any further questions

If you have any questions more generally regarding Data Protection at the University, then please do contact the Data Protection Officer on ...

What if I am not happy with how the research was conducted?

If you are not happy with how the research was conducted, please contact the Secretary of the Ethics Review Sub-Committee...

The University also has policies relating to Research Misconduct and Whistle Blowing which are available online at https://www.lboro.ac.uk/internal/research-ethics-integrity/research-integrity/

If you require any further information regarding the General Data Protection Regulations, please see: https://www.lboro.ac.uk/privacy/research-privacy

Open Repository of Conversation Analysis
Participant Information Sheet

Investigators Details:
Investigator Name

Section A

We would like to invite you and your children to take part in our study. Before you decide we would like you to understand why the research is being done and what it would involve for you. One of our team will go through the information sheet with you and answer any questions you have. Talk to others about the study before making a decision if you wish.

What is the purpose of the study?

The purpose of the study is to video record people participating in everyday social activities (e.g., visiting art galleries, participating in sport activities, during family mealtimes) to better understand basic structures of natural human interaction in these settings.

Who is doing this research and why?

This study is part of a staff-led student research project supported by Loughborough University.

Are there any exclusion criteria?

You must be over the age of 18 and have the capacity to fully understand and consent to this research, and must be able to give informed consent on behalf of your children.

What will I be asked to do?

You are being asked to go about your everyday social interactions while being video/audio recorded, and possibly also to participate in a follow-up either in the form of a recorded interview (online or in-person) with a researcher, or an online survey.

Once I take part, can I change my mind?

HPSC Ref No:

Yes. After you have read this information and asked any questions you may have if you are happy to participate, we will ask you to complete an Informed Consent Form on your own behalf, and another on behalf of each of your children, however if at any time, before, during or up to two months after the sessions you or your children wish to withdraw from the study, please contact the main investigator and your data will be withdrawn and destroyed. You can withdraw at any time up to two months after the recording has taken place, for any reason and you will not be asked to explain your reasons for withdrawing.

However, note that this study involves audio-visual recordings in which you and your children may be visually/audibly identifiable. Once the results of the study have been published and shared online (by July 2025), it may not be possible to withdraw your individual data and likeness from the research, although every effort will be made to withdraw it from University-run repositories.

How long will it take?

Each video recording will last approximately 45 minutes, or as long as the interaction being recorded normally lasts. We will ensure you are able to turn off the camera at any time, or to request that anything unexpected that is recorded accidentally can be deleted from the camera, or (if you later change your mind about something being recorded) up two months after the recording. The interview will last between 30 and 45 minutes, the online survey would take between 10-15 minutes.

Are there any disadvantages or risks in participating?

There are no risks or disadvantages to participating in this research project. However, you should be aware that you and your children may remain visually/audibly identifiable in the recorded audio-visual data. Video recordings will be edited with a visual filter however you may still be recognisable audibly and visually. If you wish to withdraw your consent for the data to be used after it has been shared for research purposes online, it will not be possible to guarantee that the data have been deleted due to the nature of data online. However, if you wish, we can delete your recordings from University-run repositories.

Data Protection Privacy Notice

Loughborough University will be using information/data from you in order to undertake this study and will act as the data controller for this study. This means that the University is responsible for looking after your information and using it properly. Loughborough University will keep identifiable information about you in perpetuity, as the data is expected to be used as open research data. The University's Data Protection Officer can be contacted at: dp@lboro.ac.uk.

What personal information will be collected from me?

No personal demographic information will be collected other than anything you discuss or mention in the video/audio recordings. However, even though a visual filter edit will be applied to audio-visual recording, yours and your children's likenesses and voices will be

visible and audible in the recordings. See below for some examples of how filters will be applied to your video before publication.

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Why is this personal information being collected?

These data are being collected to help understand the fundamental structures of human social interaction. No personal demographic data e.g., age, location, ethnicity etc. is being collected. However, it is unavoidable that you will be visually identifiable in video recordings, so it is important that you understand that these data will be used and shared as an open data resource online.

How long will my personal data be retained?

Audio-visual data will be retained in perpetuity, for the purposes of ongoing research.

Will my taking part in this study be kept confidential?

Note that all transcripts will be pseudonymized, and any identifying information (e.g., person and place names) will be edited out. Identifying information such as contact details from yours and your children's consent forms will be stored separately from the potentially identifiable video data. All records will be stored in a lockable filing cabinet in the supervisor's secure office in the Brockington Building at Loughborough University. However, please note that there are limits to confidentiality since you and your children may still be visually/audibly recognizable in audio-visual recordings, even when a visual filter edit is applied.

How will the data collected from me be used?

Recordings will be transcribed and analysed using observational methods such as Conversation Analysis, Ethnomethodology, and Discursive Psychology. These data will be

de-identified (i.e., identifiable names and place references will be removed), then they will be uploaded to a research repository (e.g., https://osf.io) for ongoing open data research.

What is the legal basis for processing the data?

Personal data will be processed on the public task basis. Individuals' rights to erasure and data portability do not apply if you are processing on the basis of public task. However, individuals do have a right to object.

Under the General Data Protection Regulation (GDPR), some of the personal data which will be collected from you is categorised as "sensitive data". The processing of this data is necessary for scientific research in accordance with safeguards. This means that study has gone through an ethical committee to ensure that the appropriate safeguards are put in place with respect to the use of your personal data.

Will my data be shared with others?
Your private, identifiable informational data will not be shared. Pseudonymized audio-visual data (in which you and your children may be recognizable) will be shared for the purposes of ongoing research and publication.

How long will the anonymised data/samples be retained?

Pseudonymized data and samples submitted for coursework will be retained in perpetuity on an encrypted hard drive and backed up securely to Loughborough University's IT cloud-based storage, in line with Loughborough University's information governance guidance.

I have some more questions; who should I contact?

Please contact Investigator Name using the details above if you have any further questions

If you have any questions more generally regarding Data Protection at the University, then please do contact the Data Protection Officer on dp@lboro.ac.uk or write to The Data Protection Officer at Academic Registry, Loughborough University, Loughborough, Leics, UK LE11 3TU.

What if I am not happy with how the research was conducted?

If you are not happy with how the research was conducted, please contact the Secretary of the Ethics Review Sub-Committee, Research & Enterprise Office, Hazlerigg Building, Loughborough University, Epinal Way, Loughborough, LE11 3TU. Tel: 01509 222423. Email: researchpolicy@lboro.ac.uk

The University also has policies relating to Research Misconduct and Whistle Blowing which are available online at https://www.lboro.ac.uk/internal/research-ethics-integrity/research-integrity/

If you require any further information regarding the General Data Protection Regulations, please see: https://www.lboro.ac.uk/privacy/research-privacy

Open Repository for Conversation Analysis

Very Young (under 10) Child's assent form

My name is _____. [Child's name]

I know what the '**Open Repository for Conversation Analysis**' study is about.

I understand what taking part involves.

I understand that I will be video recorded in everyday situations.

I understand that you might ask me to answer questions by speaking or writing.

I know that everything I tell you is private.

I know that if you think I or others might not be safe, you will have to tell somebody.

I am happy for you to write down/record what I say to you.

I know that you will write a report that will include the things I tell you.

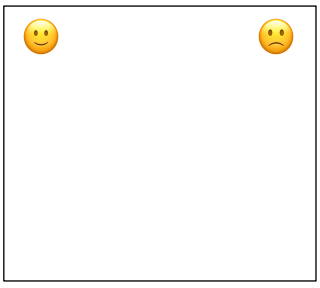
I know that I do not have to answer all of the questions.

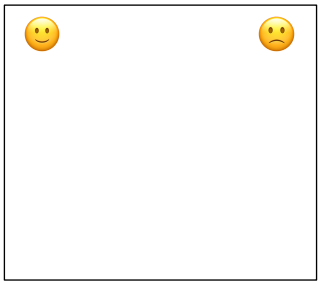
I know that I can stop talking to you at any time.

I know that no one will mind if I want to stop talking to you.

If you are happy to participate in the research, please draw a smiley face.

If you are not happy to participate in the research, please draw a sad face.

Before recording: 

After recording: 

I [researcher name] confirm that I have told [child's name] about the research project and given them the information leaflet. To the best of my knowledge they have understood what I have told them and they are giving free consent.

_____[researcher's name]

Draft Email/Forum Advertisement (for posting on forums/noticeboards/email lists)

Open Repository for Conversation Analysis: Help us understand human interaction!

We are looking for people willing to help us understand the structure of human social interaction by recording people talking and interacting at home, with friends or family, at mealtimes, while playing games, sports, or while engaged in other everyday situations.

We will either set up cameras that will not get in your way, or will show you how to use our cameras and microphones to record yourself and your family/friends for sessions of 45 minutes or more.

If you would be willing to help with this project, please get in touch with Investigator Name:

email:

Open Repository for Conversation Analysis

Semi-structured Interview schedule

The questions for this interview have not been finalized, below find an interview schedule guide.

1.Interview Opening/Introduction

- Brief overview of the objectives of the research and how participant involvement will help understand fundamental structures of social interaction.
- Overview of the context of the interview: current research on social interaction.
- Topics to be covered within the interview include:
    - Participants involvement in the specific activity (e.g., gallery visiting; archery class).
    - Their interpretation of the activity and how it is organised as an interaction.
    - Any relevant intentions or goals they have in engaging with the activity.
    - Thoughts about possible methods for improvement/further engagement.
- The interview should last around 30-45 minutes, there are no right or wrong answers, participants do not have to answer a question if they do not wish to and reiterate participant's right to withdraw at any stage.
- Any questions before beginning?

2.Body of Interview

- Questions and probe questions will be on the topics listed in the interview introduction.
- After the questions have been asked, participants will be asked if they have any questions or any further information they want to provide.

3.Closing of the Interview

- Summarise the main points discussed in the interview.
- Next steps after the interview – transcription and analysis of results.
- Any final questions?

Open Repository for Conversation Analysis

Qualitative online survey schedule

Below, find a draft of the qualitative survey questions.

1.Information/introduction

- Brief overview of the objectives of the research and how participant involvement will help understand fundamental structures of social interaction.
- Overview of the context of the interview: current research on social interaction.

2.Questions

- What was your involvement in the activity recorded in your own words?
- What is your understanding of the activity, and how it works as an interaction?
- What intentions or goals did you have when engaging in the activity?
- What thoughts do you have about possible methods for improving the interaction?
- Do you have any further information you would like to provide to help us understand the interaction or the activity?

EM/CA Public Video Data Capture checklist

Use this checklist before you start recording in a (permitted) public space.
NB: this checklist assumes you have functional, fully charged equipment!

Camera angles

- ❒ Do you have the participants' whole bodies in the frame?
- ❒ Are you capturing bodies/faces of all parties to the interaction?
- ❒ Is your camera stable? If not - find something to lean it on!

Your position

- ❒ Are you safe? Travel with a partner and continually re-evaluate.
- ❒ Are you in the way? Is your position altering others' behaviors?
- ❒ Are you attracting attention? Don't record secretly but do be subtle.

Impact on others

- ❒ Do people here have a reasonable expectation of privacy? If so, stop!
- ❒ Unsure of privacy issues in this case? Politely ask your subjects' permission.
- ❒ Do you know what you're going to say if you are asked what you're doing?

Interactional relevance

- ❒ Can you see material resources/objects/tools your participants are using?
- ❒ Are they attending to other things in the setting e.g. signage/sound sources?
- ❒ Are you capturing angles of approach/exit for people joining/leaving?

A/V Quality

- ❒ Is your overall recording long enough? Aim for at least 10-15 minutes.
- ❒ Is the video quality high enough? Avoid super-wide angles, use HD if you can.
- ❒ Do you have transcription-quality audio? If not, record audio separately.

When to use a formal informed consent procedure

If you are likely to capture identifying information (names, other details) or close-up video of people who are not your identified, consenting subjects, make sure your group asks permission and seek formal consent using the informed consent and debriefing forms and procedures.

Rule of thumb: when people behave in a public-oriented way, e.g. performing, giving a speech, applauding, cheering etc., no consent procedure is necessary. If they are behaving in privately-oriented way, e.g. speaking quietly in a small group, *informed consent is required for filming*.

Methods and Considerations for Pseudonymization and Anonymization for Conversation Analytic Research

Extract from: Hofstetter, E., & Albert, S. (2024). Working with data II: Clips and collections. In J. D. Robinson, R. Clift, K. H. Kendrick, & C. W. Raymond (Eds.). The Cambridge handbook of methods in conversation analysis (pp. 217-233). Cambridge University Press.

(see full chapter also attached)

Where possible, conversation analysts usually work with raw audiovisual data until a project is ready for publication. Unredacted data is particularly useful for 'unmotivated' analysis (Sacks, 1984, p. 27), where the researcher may not yet know what they are focusing on. In ideal circumstances, participants provide consent for the recordings to be used without filtering or disguising, though it is still typical to use pseudonyms in transcripts (e.g., Albert & vom Lehn, frth; Raymond et al. 2020). When recordings are made in public spaces and where people give informed consent to be recorded, participants become active agents in data creation and can use endogenous interactional methods for withholding and managing sensitive information (see Mondada, 2014; Speer & Stokoe, 2014). However, unless researchers are working with clearly non-sensitive or publicly available data such as broadcast interviews (e.g. Clayman, 2010), it is usually necessary to take some steps to protect participant privacy before sharing interactional data. One analyst described this rule of thumb: if it is not possible to control precisely who sees the data (e.g., at conference or data session presentations), it would be necessary to create a privacy-enhanced version for sharing in more public contexts

Since talk is usually recipient designed by participants to enable mutual identification, interactional data is inherently full of identifying details (place and person references, membership categories etc.). So while CA data, like many other human subject data types, is never fully anonymizable (Parry et al., 2016; Rocher et al., 2019), there are many techniques for reducing the identifiability of participants while preserving the usefulness of the data. It is especially important to consider this balance between privacy and analyzability carefully since anonymization can mask certain types of interactional phenomena. For example, when studying facial expressions (e.g. Ruusuvuori & Peräkylä, 2009) or variations in the production of person or place names (Stivers et al., 2007), standard approaches to filtering and obscuring these highly identifiable features can make it difficult to publish sufficient evidence. Below, we describe some of the ways analysts deal with this trade-off between privacy and analyzability.

Pseudonymization and voice filtering

When creating clips and collections for collaboration and/or publication, conversation analysts often mitigate against the risk of participant identification by disguising place and person names, dates, and other identifiable details. These details can be changed to pseudonyms or blanked out in textual transcripts, edited or bleeped out in audio recordings, and obscured or filtered out in video data.

Replacing person and place names with pseudonyms is one of the most simple and common techniques of protecting participant privacy. Using culturally and phonetically proximate pseudonyms

in transcripts can help to preserve potentially relevant categories and relations, but researchers can also invite participants to propose their own pseudonyms during the consent process (see Parry et al., 2016), ensuring that pseudonyms respects participants' identity preferences. Some participants even prefer to have their contributions and identities preserved in the research process (see e.g. Ashdown et al., 2018; Scarth, 2016).

CA researchers can also mask identifying details in audio data, usually by adding silence, white noise, or generated 'beep' tones using standard audio editing tools. Such software usually includes options to mute a selected stretch of audio or to generate various tones while preserving the overall timing, but this can limit the analyzability of certain phenomena. A common technique for providing at least minimal safeguards against participant reidentification while preserving aspects of the original audio, therefore, is to disguise participants' voices with filters. Most standard audio editors include effects such as 'pitch-shift' or 'vocoder' that can be applied to a selected stretch of the waveform to render participant voices harder to recognize. Voice filtering can also introduce other problems, such as an inability to present audio evidence from a detailed phonetic analysis (see Steensig & Larsen, 2008 p. 121 fn. 7). Furthermore, techniques like linear pitch shifting can be reversed by simply playing with the pitch levels.[1]

Disguising participants' faces with video filters

When making still images or graphic transcripts (Laurier, 2014), a common practice for protecting participant privacy is to disguise data with visual filters. Filters can remove facial details and obscure surroundings to varying degrees. There are a range of techniques CA researchers use to protect participant privacy in graphic transcripts, with different analytic limitations. Stronger filters disguise identities more effectively, though they also interfere more with the kinds of analytic observations that can be made available when sharing the clips, e.g., in data sessions or presentations. Facial expressions and gaze shifts are key resources for face-to-face interaction, so stronger anonymization techniques such as black 'censor bars', 'blur' or 'mosaic' filters[2] can obscure faces. An effective and widely used approach is to use 'sketch' or 'edge detection' video filters (Olinger, 2020) that outline effects to minimize the recognizability of participants (see Figure 9.5 for a visual comparison of techniques), while still retaining key interactional details. Some analysts achieve an even more abstracted, cartoon-like effect by tracing over video stills (e.g., Smith, 2018).

Figure 9.5 demonstrates four common techniques for disguising participants in video, as well as some data-specific considerations. The data is from rock climbing, and one participant sits in the foreground, about to turn off the camera, while the other (censored in the unfiltered images) is in the background, closer to a cliff on the left side of the image. Top left, censor bars provide a minimal disguise of the participant's face. Top right, a blur filter is applied to the face with similar effect, though a small part of the background is also blurred. Bottom left, a sketch filter is applied to the entire still image. The participant in the foreground is still easily distinguishable, and their features and position available for analysis. However, the background participant is much harder to see. Furthermore, the cliff face in the background has become difficult to make sense of: the sunlight is treated by the computer-applied filter as a separate item, and makes it look almost as though the

[1] Also note that vocoding and pitch-shifting makes it harder to identify who is speaking in the resulting clips (Pätzold, 2005).
[2] These techniques are increasingly available as automatic face and logo-blurring filters in video editing software. Note that where cloud-based services are used for such edits, it is important to check that this does not contravene ethics requirements.

background is hollow, or that an extra tree exists where there is none (compare to the other images). The features of the rock face are not distinguishable, which is problematic when analyzing how the climbers discuss and make use of the rock formations, so Hofstetter et al. (2021) applied the sketch filter selectively to the climber's body alone (the bottom right panel). Similarly, Due and Trærup (2018), in a study about passing glasses at opticians, use a related technique by variably blurring the faces of the opticians and their clients across given video clips to balance the constraints of consent against the needs of the analysis to describe gaze monitoring, head orientation, and interpersonal touch. Marian and Doehler (2022) also use a combination of sketch video filters and mosaic face-blurring in their transcripts to preserve the interactionally relevant features of their analysis of gesture, gaze, and bodily orientation in multimodal word searches. These different approaches blend key evidential details of the original images and video with less revealing sketches or image masks to avoid showing too much.

Figure 9.5: Top left: censor bars, top right: blurred, bottom left: sketch filter, bottom right: selective (background participant blocked out)

Whichever data protection techniques are used, it is standard practice whenever possible to keep a log of data management processes and details such as pseudonym substitutions[3] alongside original, unedited copies of the data.

[3] See e.g., the Schegloff Course Data pseudonym mapping document published by the International Society for Conversation Analysis (ISCA): https://bit.ly/schegloff-pseudonym-map.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Date	Assessed by (name and signature required)	Checked / Validated (delete as appropriate) by (name and signature required)	Location	Version no.	Review date
4/11/2024			Public spaces University premises/sports facilities Participants' homes	1	

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Setting up cameras participant's home	Fire	Anybody within the vicinity	Ensure that you are aware of the organisations fire procedures/ know where the building exits are/ ensure building exits are clear before starting work.	1	5	5	A	Risk adequately controlled
	Researchers' safety in field work	The researcher	A 'buddy' system for check-in and check-out of field work location. Once arrive at location, ring 'buddy' (my supervisor) so that participants can hear, and make aware that researcher has arrived, and research will begin and give an estimated time for leaving. Do the same when leaving. This ensures someone not in that environment is keeping track of when the researcher arrives and leaves and if they do not hear from the researcher in the pre-arranged time frame, they can take further action e.g. call the police.	2	5	5	A	Risk adequately controlled

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Recording an observation / gathering informed consent	Organisational hazard, loss of reputation for Loughborough University.	Loughborough University- Poor conduct of students/ researchers can damage the integrity of work at LU/ lead to complaints/ disciplinary actions.	Researcher is trained how to behave when conducting interviews. Researcher is trained to respect cultural sensitivities. LU Ethics CoP is followed and checklists, risk assessments, generic protocols etc. are followed. Any and all adverse events must be reported. LU procedures must be followed.	2	4	8	A	Risk adequately controlled
Any activity that involves being outside	Exposure to changeable weather conditions, i.e. the wet and cold.	The researcher may get ill following exposure to cold/ wet weather. Conversely the researcher may also suffer sunburn/ heat stroke following exposure to hot weather conditions.	Researchers are provided training and advise so they can dress appropriately for the weather conditions they may encounter. If researchers are going to be outdoors for a prolonged period of time they are encouraged to take water/ drinks to keep them hydrated.	3	3	9	A	Risk adequately controlled.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Any research activity that involved being out and about with the general public.	Risk of negative response / attack/ unpredictable behaviour from the general public.	The researcher may be subject to attack or verbal abuse.	Researchers are trained to avoid any situation that may seem compromising. Researchers are also trained not to respond to verbal threats/ engage in behaviour that could be interpreted as confrontational. Researchers are to inform their supervisor where they are going. Researchers are also to talk through any concerns about the activity to their supervisor. In the instance of an adverse event, Loughborough University has incident reporting procedures which MUST be followed.	2	3	6	A	Risk adequately controlled.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Transport of consent forms	Manual Handling	The student/ researcher.	Researchers are instructed not to carry more than they can carry. LU provides trolleys etc. for the movement of large volumes of documentation.	2	4	8	A	Risk adequately controlled.
	Data protection issues	Anybody with personal information on the questionnaire	Researchers are instructed to observe data protection guidelines. Consent forms with personal information are NOT to be left unattended and out where they can be interfered with. Information is anonymised/ coded where possible.					
	Transport Accident.	Drivers and passengers of the transport. Harm ranging from minor injury to death.	Drive carefully and safely observing British highway law. Only use licensed taxis, travel with people you know.	2	5	10	A	Risk adequately controlled.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Activity that involves processing personal information	Breach of data protection; loss of data, dissemination of personal information	Participants, reputation of University	Ensuring personal data is not shared beyond the investigators Anonymising data following collection Locked storage of personal data, electronic copies protected.	3	1	3	A	Risk adequately Controlled.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Any research activity that involves interaction between individuals	Risk of negative response / attack/ unpredictable behaviour from the individuals.	The researcher may be subject to attack or verbal abuse.	Researchers are trained to avoid any situation that may seem compromising. Researchers are also trained not to respond to verbal threats/ engage in behaviour that could be interpreted as confrontational. Researchers are to inform their supervisor where they are going. Researchers are also to talk through any concerns about the activity to their supervisor. In the instance of an adverse event, Loughborough University has incident reporting procedures which MUST be followed. The research will not be in the same room as the participants at the same time meaning no in-person contact.	2	3	6	A	Risk adequately controlled.
Activity that requires entry into participant's home.	Risk of tripping on object	Researchers and participants	Ensure that all main pathways in the home are clear. Electric cables are hidden.	4	2	8	A	Risk adequately controlled.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
			Any rubbish is disposed of. Entrance and exist to property are clear.					

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

COVID-19 pandemic	Risk of contracting or transmitting coronavirus by not washing hands adequately	The researcher, participants and reputation of LU	Ensure water, soap and drying facilitations at premises. Researchers are trained on how to wash hands properly. Hand sanitiser for when not possible to wash hands. Researcher to wear gloves at all times in the participant's house. The researcher and participants will take a Lateral Flow COVID-19 before research begins. A positive test will result in a 1o day isolation and research will be delayed until all involved in the research test negative. The main researcher visiting the service users' home has 2 years (1 year during the peak of the COVID-19 pandemic) previous experience and competence in infection control in care settings. These skills can be transferred to ensuring the environment is as safe as possible for both the researcher and all participants.	3	5	15	A	Risk adequately controlled.

Task/ premises: Open Repository for Conversation Analysis (ORCA)

	Risk of contracting or transmitting coronavirus by not cleaning surfaces, equipment and workstations.	The researcher, participants and reputation of LU.	Researchers are to follow guidance on cleaning and hygiene during the coronavirus outbreak on gov website Researchers trained how to put on and remove personal protective equipment (PPE) and how to keep it clean Identify surfaces that are frequently touched Researchers are to take cleaning products into the home of the participant. Keep surfaces clear to make it easier to clean and reduce the likelihood of contaminating objects. The researcher and participants will take a Lateral Flow COVID-19 before research begins. A positive test will result in a 1o day isolation and research will be delayed until all involved in the research test negative. The main researcher visiting the service users' home has 2 years	3	5	15	A	Risk adequately controlled.

Risk Assessment **School of Social Sciences and Humanities**

Task/ premises: Open Repository for Conversation Analysis (ORCA)

			(1 year during the peak of the COVID-19 pandemic) previous experience and competence in infection control in care settings. These skills can be transferred to ensuring the environment is as safe as possible for both the researcher and all participants.					
	Mental health and wellbeing affected through isolation or anxiety about coronavirus	Researchers, participants and reputation of LU.	Researchers are to follow guidance on stress and mental health Researchers are to keep participants updated on the measures in place to prevent transmission of coronavirus. Researchers are to re-assure participants that there will be no in-person contact between participants and researchers and PPE will be worn by the researchers when visiting participants home at all times.	3	5	15	A	Risk adequately controlled.
	Risk of contracting or transmitting coronavirus by	Researchers, participants and reputation of LU.	Researchers are to identify where they will not be able to maintain social distancing rules.	3	5	15	A	Risk adequately controlled.

Task/ premises: Open Repository for Conversation Analysis (ORCA)

	not social distancing		In this case ensure researchers are wearing the correct PPE. Researchers are to social distance. Researchers will never be in the same room as the participants for setting up cameras for observations. Access to the setting for observation is vital for the outcomes of this research. Interviews will be held online via e.g., Zoom or MS Teams – not face-to-face. Training for the service user and the care assistants on how to use the cameras will be provided on a paper instruction sheet and via online meeting e.g., Zoom or MS Teams, not in person to avoid close contact. The researcher and participants will take a Lateral Flow COVID-19 before research begins. A positive test will result in a 1o day isolation and research will					

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
	Poor ventilation leading to risks of coronavirus spreading	Researchers, participants and reputation of LU.	be delayed until all involved in the research test negative. The main researcher visiting the service users' home has 2 years (1 year during the peak of the COVID-19 pandemic) previous experience and competence in infection control in care settings. These skills can be transferred to ensuring the environment is as safe as possible for both the researcher and all participants The researcher has received two doses of the Pfizer vaccine and will continue to have regular booster vaccinations to reduce risk of transmission. Ensure, when possible, fresh air is used to ventilate the environment. If additional ventilation needed provide it e.g., fans.	3	5	15	A	Risk adequately controlled.

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Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity	**Hazard**	**Who might be harmed and how**	**Existing measures to control risk**	**Likelihood***	**Severity****	**Risk rating*****	**Result (T,A,N,U)**	**Additional controls required to adequately control the risk**

Activity	Hazard	Who might be harmed and how	Existing measures to control risk	Likelihood*	Severity**	Risk rating***	Result (T,A,N,U)	Additional controls required to adequately control the risk
Activity that involves being outside with the general public.	Slips, trips and falls.	Staff and Students and Visitors Injury sustained via fall/ trip, could involve sprain, bruising etc.	Do not carry/ handle equipment / boxes of questionnaires beyond your ability to comfortably and safely carry them. Loughborough University provide training on manual handling. Report any facility problems to facility manager.	2	3	6	A	Risk adequately controlled.

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Activity that involves being outside with the general public.	Risk of theft of equipment/ injury to the staff/students by a member of the general public.	Staff/student – physical or mental discomfort/harm Equipment – damage/stolen	Staff/students are trained to avoid any situation that may seem compromising. Staff/students are instructed that if they are confronted for their equipment, then their personal safety is much more important and they should hand it over. Loughborough University has incident reporting procedures.	2	3	6	A	Risk adequately controlled.

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Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity that involves being outside with the general public.	Exposure to changeable weather conditions, i.e. the wet and cold.	The staff/students may get ill following exposure to cold/ wet weather. Conversely the staff/students may also suffer sunburn/ heat stroke following exposure to hot weather conditions.	Staff/students are provided training and advise so they can dress appropriately for the weather conditions they may encounter. If staff/students are going to be outdoors for a prolonged period of time they are encouraged to take water/ drinks to keep them hydrated.	3	3	9	A	Risk adequately controlled.
		Staff/students and Visitors may be injured as a result of stall/equipment being blown over.	Where appropriate, staff/students are instructed to check all banner/equipment/etc are securely fitted and to remove anything that is/becomes loose.	3	3	9	A	Risk adequately controlled.

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Task/ premises: Open Repository for Conversation Analysis (ORCA)

Activity that involves being outside with the general public.	Risk of negative response / attack/ unpredictable behaviour from the general public.	The staff/students may be subject to attack or verbal abuse.	Staff/students are trained to avoid any situation that may seem compromising. Staff/students are also trained not to respond to verbal threats/ engage in behaviour that could be interpreted as confrontational. Students are to inform their supervisor where they are going. Students are also to talk through any concerns about the activity to their supervisor. In the instance of an adverse event, Loughborough University has incident reporting procedures which MUST be followed.	2	3	6	A	Risk adequately controlled.

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Activity that involves being outside with the general public.	Illness/accidents during event	Staff, Students and Visitors	At least one first aider is usually present during event. Mobile phone available for calling for help. Mobile phones will have security and emergency numbers in. Two staff member/students will always be present. Awareness of any medical condition e.g. diabetes and necessary medication/care	2	2	4	A	Risk adequately controlled
Activity that involves conducting personal information	Breach of data protection; loss of data, dissemination of personal information	Participants, reputation of University	Anonymising data following collection Locked storage of data, electronic copies protected.	2	2	4	A	Risk adequately controlled

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Key: T= trivial risk; **A** = adequately controlled, no further action necessary; **N** = not adequately controlled, actions required; **U** = unable to decide (further information required)

***Likelihood**		****Severity**	
5	Very likely – risk will occur repeatedly. To be routinely expected once every 20 – 100 operations, possibly weekly or more frequently if done regularly.	5	Fatality – death of an employee or multiple fatalities.
4	Likely – will occur several times a year so does not surprise when it happens.	4	Major injury – permanent disability, serious amputation e.g. Loss of hand.
3	Possible – may occur sometimes. Likely to occur once a year.	3	Medium injury e.g. Bad scald, or burn, fracture, minor amputation, temporary injury, loss of consciousness. Reportable to the HSE as a three day lost time (employee unavailable for normal work for over 3 days) or serious injury.
2	Unlikely – but may occur perhaps once in every 10 to 100 years.	2	Minor injury – More severe cut, sprain, strain, burn, etc. where return to work is not possible after treatment. It may be lost time less than 3 days.
1	Very unlikely to occur. Likelihood approaching zero.	1	No injury or very low injury – scratch, bruise, knock, minor cut, needle stick etc. where the injury allows return to work after first aid treatment – no lost time.

***** Risk rating = Likelihood x Severity**

Likelihood x Severity = Risk assessment score

(LOW RISK 1-8 / MEDIUM RISK 9-15 / HIGH RISK 16-25)

Low risk - improve if possible (typically within 1 - 2 years)

Medium Risk - Introduce further controls to reduce risk further (typically 1 - 3 months)

High Risk - Possibly stop operation or immediately introduce control measures within a day or two.

Risk Assessment — School of Social Sciences and Humanities

Task/ premises: Open Repository for Conversation Analysis (ORCA)

Action plan				
Version no.	**Further action required**	**Action by whom**	**Action by when**	**Done**

Examples of Hazards