

APPLICATION FOR ETHICAL APPROVAL

In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.

The University follows the OECD Frascati manual definition of **research activity**: "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications". As such this covers activities undertaken by members of staff, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the "principal researcher".

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

Please read the notes for guidance before completing ALL sections of the form.

This form must be completed and approved prior to undertaking any research activity. Please see Checklist for details of process for different categories of application.

SECTION A: About You (Principal Researcher)

Full Name:	Tabatha Dubovicki Ferreira		
Tick all boxes which apply:			
Member of staff:	☐	Student:	☒
Honorary research fellow:	☐		
Faculty/School/Centre:	Yr Athrofa: Psychology		
Campus:	SA1 Campus: Swansea		
E-mail address:	0850817@student.uwtsd.ac.uk		
Contact Telephone Number:	01792 482084		
For students:			
Student Number:	0850817	Undergraduate	☐
Programme of Study:	MSc Applied Social and Health Psychology	Taught Postgraduate	☒
Director of Studies/Supervisor:	Dr Ceri Phelps	Research	☐

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		YES	☒	NO	☐
					Date
If Yes, please indicate source of approval (and date where known):	Research Degrees Committee		☐		
	Faculty Research Committee		☐		
	Other (write in) Approval from Supervisor (Dr. Ceri Phelps) and HDUHB (see below)		☒	26.06.19	

Approval in principle **must** be obtained from the relevant source prior to seeking ethical approval.

SECTION C: External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics and Integrity Code of Practice (2017-2020)	☒
BPS Code of Human Research Ethics (2014)	☒
BPS Code of Ethics and Conduct (2017)	☒
BPS Ethics Guidelines for Internet-Mediated Research (2017)	☒
UWTSD Data Management Policy	☒

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☒	NO	☐
If Yes, please provide the name of the external organisation and name and contact details for the main contact person:				
Institution	Hywel Dda University Health Board			
Contact person name	Ms Suzanne Tarrant, Consultant Clinical Psychologist			
Contact person e-mail address	Suzanne.Tarrant@wales.nhs.uk			

Where research activity is carried out in collaboration with an external organisation

Does this organisation have its own ethics approval system?	YES	☒	NO	☐
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				
This MSc Dissertation study is one part of a Service Evaluation Project with Hywel Dda University Health Board (H DUHB) being led by Dr Ceri Phelps. The project has been confirmed as being within the remit of Service Evaluation and therefore does not require NHS ethics approval as it is focusing on staff and not involving patients. Please see scanned email of approval/support for the project by H DUHB (page 23 and as an attachment) and confirmation that the project does not require NHS ethics approval as it is classed as Service Evaluation and not Research.				

SECTION E: Details of Research Activity

Indicative title:	Exploring perceived barriers towards accessing NHS wellbeing services: a service evaluation of the Hywel Dda Staff Psychological Wellbeing Service		
Proposed start date:	July 2019	Proposed end date:	October 2019
Purpose of research activity (including aims and objectives) Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)			
This ethical application is for a Part II dissertation for the MSc Applied Social and Health Psychology programme within UWTSD's Psychology discipline. The project, whilst a self-contained project, is linked to a wider NHS service evaluation being led by Dr. Ceri Phelps (Director of Psychology) which received approval from the University Ethics committee on 22 nd May 2019 (ref ECA418 PG2 E-1). Neither project requires NHS ethical approval as they have been deemed to			

meet the remit of Service Evaluation by Hywel Dda NHS Trust (with neither project involving the recruitment of patients).

NHS staff are exposed to heavy workloads, long working hours, and issues with personal autonomy and this often leads to failure to seek early support (Boorman, 2010). Poor job engagement has been linked with burnout as a result of work related stress (West & Dawson, 2011) as such burnout has been linked with a variety of negative consequences for both individuals and organisations, including poor physical health (Khamisa, Oldenburg, Peltzer, & Llic, 2015), depression (Iacovides, Fountoulakis, & Kaprinis, 2003), and absenteeism (Duclay, Hardouin, Sebillé, Anthoine, & Moret, 2014).

Hywel Dda University Health Board (HDUHB) runs a Staff Psychological Wellbeing Service (SPWBS) designed to promote organisational health and psychological well-being and help build a culture of wellbeing and effective selfcare through the provision of counselling services, advice on using individual stress risk assessment, team support interventions, wellbeing specific workshops and seminars targeting specific team/professional groups, and using wellbeing resources on the intranet. Although this service is freely available to all Staff employed through HDUHB evidence from the project's wider evaluation have suggested that there are possible under-represented groups of staff that are reluctant to engage with the SPWBS provided.

Aims:

To obtain primary data in order to identify the possible barriers that prevents HDUHD Staff from engaging with the SPWBS provided when overcoming psychological, emotional, and/or stressful life events in order to understand their perceptions of the services available to them.

Objectives:

1. To capture data on the level of awareness of HDUHB Staff in relation to the SPWBS.
2. To identify potential underrepresented groups that do not engage with the services
3. To explore the potential perceived barriers to engaging with wellbeing services

The outcomes of the evaluation will help to determine the potential barriers in engaging with staff wellbeing services in order to promote potential solutions to improve access to those services and to raise staff awareness of the services available to them. Recommendations will be made to HDUHB SPWBS following the completion of this project.

Proposed methods

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed. (Maximum 600 words)

In order to explore NHS staff awareness and perceptions towards the SPWBS provided by HDUHB, this project will implement an evaluative cross sectional questionnaire survey.

Evaluation method:

The service evaluation will implement an online questionnaire survey (with the option of hard copy questionnaire for specific service functions). The survey will collect the following data:

1. Demographic data (age, gender, staff group (i.e. nurses, doctors, admin, catering), ethnicity and marital status).
2. Scale data capturing: a) awareness, b) perceptions of and c) likelihood of engaging with the following services offered by SPWBS:
 - Resource appointment and Counselling.
 - Advice on using an Individual stress risk assessment
 - Team support
 - Workshops and seminars
 - Wellbeing Resources on the Intranet

The questionnaire will implement 10 adapted questions based from the Perceived Wellness Culture and Environment Support Scale (PWCESS; Melnyk, Szalacha, & Amaya, 2018) that measures perceptions of wellness culture and environment using a 5-point-likert scale. Participants will be given the opportunity to omit answers by skipping the questions if they don't feel like answering a particular question. Questions will measure participants' perceptions of the SPWBS in order to determine their awareness and beliefs about the services provided to identify potential barriers preventing them from engaging with those services. (See example below).

Section three

The next section will contain 10 statements relating to the SPWBS. To what extent do you agree/ disagree with the following statements. Please answer using only one of the options provided from the following scale:

1: strongly agree 2: agree 3:neither agree nor disagree 4: disagree 5:strongly disagree

You may skip questions that you feel are not applicable or that you do not feel comfortable in answering by moving on to the next question.

On a scale of 1 to 5, where 1= strongly agree , 2= agree , 3= neither agree nor disagree, 4= disagree, and 5= strongly disagree.

1. Do you believe the SPWBS provided through HDUHB is interested in improving your emotional wellbeing and psychological resilience ?
2. Do you believe your department helps to promote an environment that is accepting of building your emotional wellbeing and resilience through the SPWBS?

In line with the BPS Code of Human Research Ethics (2014), participants will be provided with a detailed Information Sheet and asked to provide written informed consent (online or hard copy) before they start answering the questionnaire. In order to ensure participants' autonomy, participants will be given the choice to omit answers through "prefer not say" options where applicable in addition to "not applicable" if any questions are irrelevant to them. In addition, participants will be reminded that they are entitled to withdraw their answers at any point in time up until the final answer has been given by closing their browser (online) to remove their data altogether. Participants completing the hard copy version can withdraw by "disposing" or "not returning" the questionnaire to the Principal Researcher (collected from HDUHB departments). After collection, the questionnaire given can no longer be traced back to the participants to ensure anonymity of the answers given.

Participants will be given a detailed debrief form after the completion of the questionnaire according to the method used to answer the questionnaire (online or hard copy). The debrief form will provide information of the nature of the dissertation project and the expected outcomes to minimise any unforeseen ethical breaches in accordance with section 3.4 of the BPS Code of Ethics and Conduct (2009). As part of the debriefing process, participants will be thanked for their participation and provided with the contact details of the Principal Researcher in the event of questions arising after participation.

The questionnaire will be piloted for ease of comprehension and to ensure that it does not take longer than 10 minutes to complete.

All data collected will be anonymous. The analysis of the data will explore participants' awareness of the services provided and the extent in which participants agree or disagree with the statements exploring service engagement and opinions in order to determine potential barriers associated with service engagement.

Participants will also be provided with a free text box at the end of the questionnaire if they wish to provide any further comments, this type of data will be analysed using Thematic Analysis to identify any emerging themes within or across participant groups (e.g. staff group, level of awareness etc.).

Location of research activity Identify all locations where research activity will take place. The online questionnaire will be administered using the University supported Qualtrics survey software and will follow the standard good practice guidelines for online survey use. The survey link and information will be distributed via HDUHB online Staff Bulletin Board and central staff circulation function. Hard copy survey questionnaires, if required, will be deposited at various HDUHB departments, with a postage paid envelope for return. This mechanism will only be used if it is clear that certain staff groups (e.g. ground staff) do not have regular access to their emails during the course of the evaluation and additional approval will be sought from HDUHB in the form of a “letter of access” to each department for the purposes of leaving the questionnaires in a suitable location.
Research activity outside of the UK If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural sensitivities or vulnerabilities of participants. N/A

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☒	☐
Use of interviews?	☐	☒
Use of diaries?	☐	☒
Participant observation with their knowledge?	☐	☒
Participant observation without their knowledge?	☐	☒
Use of video or audio recording?	☐	☒
Access to personal or confidential information without the participants' specific consent?	☐	☒
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
Investigation of participants involved in illegal activities?	☐	☒
Use of procedures that involve deception?	☐	☒
Administration of any substance, agent or placebo?	☐	☒
Working with live vertebrate animals?	☐	☒
Other primary data collection methods, please explain in this box	☐	☒

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children under 18?	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify):	☐	☒

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited? HDUHB employs a wide workforce from catering and administrative staff to nurses and doctors. Based on previous service evaluation it is estimated that a large number of employees are still reluctant to engage with the SPWBS. HDUHB has over 10, 000 employees across four main hospital sites: Withybush, Glangwilli, Bronglais and Prince Philip. A response rate of 20% is expected, in line with previous evaluations in the literature and general staff survey completion rates across HDUHB. Whilst a similar response rate is to be expected, the researcher and supervisor are confident that the data obtained (estimated at up to 2,000 survey responses) will provide a valuable cross-sectional snapshot of the issues being explored and allow a range of appropriate statistical analyses to be conducted. Participants will be targetted via an online questionnaire tool and will be distributed via the HDUHB Staff Bulletin Board, or an online link to the questionnaire to be sent to staff e-mail addresses via HDUHB communications department. No individual will be directly targeted for recruitment and the student researcher will not be involved in the direct dissemination of study information to potential participants. If the response rate for the online questionnaire is less than the expected response for specific staff groups, there may be an opportunity for participants to be recruited using hard copy versions of the questionnaire to be distributed to HDUHB employees from a range of departments. The inclusion criteria for the study requires participants to be employed by HDUHB and be 18 years of age and above.

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
Will you tell participants that their participation is voluntary?	☒	☐	☐
Will you obtain written consent for participation?	☒	☐	☐

Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	☒	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☒	☐	☐
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
If NO to any of above questions, please give an explanation			
(this box should expand as you type)			

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	☒	☐
Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
If YES to any question, please provide full details			
(this box should expand as you type)			

SECTION H: Anticipated Risks

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.

If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.

Full risk assessment completed and appended?

Yes ☐
No ☒

Risks to participants

For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information

The design and implementation of this evaluation will adhere to the University of Wales Trinity Saint David's Research Ethics and Integrity Code of Practice (2017-2020) and the British Psychological Society (BPS) Code of Human Research Ethics (2014) and Ethical Guidelines for Internet Mediated Research (2017).

Participants taking part in the evaluation will be asked to complete either an online or a hard copy version of the questionnaire on an entirely voluntary basis and will be asked to provide online informed consent (via Qualtrics), on a hard copy consent form included in the hard-copy questionnaire pack (if low online response rates). Participants will be made aware during consent that if at any time they wish to end participation they should close the browser (online) and the data they have already entered will be discarded, if completing the hard copy version of the questionnaire participants will be asked to dispose of the questionnaire instead of returning it to the Principal Researcher (collected from HDUHB departments), they will be reminded that once the questionnaires have been collected there will be no way to trace them back to each individual participant to ensure anonymity of answers.

All data gathered via the online Qualtrics software is anonymous to comply with the BPS ethical guidelines, there is no concerns arising regarding anonymity of participants because the software specifies that no personal information is collected (e.g. names) instead participants will be assigned unique ID numbers resulting in only anonymised data being made available for analysis. Subsequently, hard copy questionnaires will be assigned ID numbers also to prevent tracing back information provided by participants.

On completion of the questionnaire (online or hard copy) in accordance with the chosen questionnaire method a debrief form will be provided (online or hard copy) containing more detailed explanations of how to contact the researcher should they have any questions or queries in relation to taking part in the questionnaire.

If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities

Whilst general questions will be asked regarding participants' awareness and engagement with the SPWBS provided through HDUHB, participants will not be asked any questions about their own physical or mental health problems that may cause participants to feel embarrassed or upset.

Participants completing the questionnaire will be asked to select from a list of services provide by the SPWBS highlighting which of the services they are aware of, and if they are comfortable to answer whether or not they have previously engaged with the available services, in addition to being asked whether or not they would feel reluctant to seek help from any of the SPWBS if needed in the future. There won't be any detail specific questions asking them to describe their sessions nor will they be asked to provide personal data. Participants will be reminded that if they "prefer not to say" or a question is ""not applicable" they can skip that question or altogether close their browser (online) or dispose of the hard copy if they wish to terminate their participation in the project.

In the likelihood that any participants wish to contact the researcher as a result of queries or questions, the researcher's universities e-mail address will be provided to answer those queries. All of the guidance and protocols provided through UWTSD Research Ethics and Integrity Code of Practice, alongside the BPS Code of Ethics and Conduct will be followed stingingly to comply with GDPR Guidelines.

Risks to investigator

For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest

The risk identified to the Researcher is linked with the provision of the researchers' e-mail address given out in the debrief form. By giving out the researcher e-mail address to facilitate communication between the participants and the researcher there is a potential risk involved with feedback provision in the likelihood of potential backlash from participants as a result of negative questions and/or negative feedback. In order to minimise this any contact with participants will only be carried out via the University e-mail address and any threats will be reported to the dissertation supervisor (Dr. Ceri Phelps) and the university/authorities as required.

There are no perceived risks to the researcher in relation to the questionnaire evaluation (online or hard copy). It has been recognised that recruitment online and through the hard copy can be difficult, the researcher has taken this into consideration when factoring the likelihood of a dropout rate of around half of the estimated sample size.

The researcher has identified no conflict of interest in relation to the proposed evaluation.

University/institutional risks

For example: adverse publicity, financial loss, data protection

The University Ethics and Integrity Code of Practice will be followed in every step of the proposed project to minimise any potential risks to the Institution from arising. To further ensure that the primary data collected is stored and used appropriately only for the intended purposes of the dissertation project in compliance with ethics and code of conduct both the University Ethics and the British Psychological Society guidelines will be followed.

In order to minimise any risks to the University and the Psychology department (Yr Athrofa) a copy of the questionnaire will be sent to the main project collaborator (Ms Suzanne Tarrant) for approval before the questionnaire is sent out to ensure that no personal details and personal sensitive descriptions are collected.

The possibility of the development of unforeseen risks to the University in the process of carrying out this service evaluation will be kept to a minimum, as the topic itself is an evaluation of awareness and engagement with the SPWBS provided to NHS Staff employed through HDUHB, there will be no need to seek further ethical approval through the NHS as this project is independently linked to a wider service evaluation already approved by the Ethics Committee (ref

ECA418 PG2 E-1). This project is being conducted under the supervision of Dr. Ceri Phelps who is a certified Health Psychologist with over 18 years of experience to ensure that no protocols are breached in the conduction of this project.

In the unforeseen circumstances that any unexpected issues may arise, the issue will be raised to the Head of the School and any other relevant authorities/ University.

Adverse outcomes

List measures put in place to limit any adverse effects or outcomes of research activity where appropriate. Include any emergency protocols.

If in any circumstances unforeseen ethical implications may arise as a result of the study then in accordance with Section 11 of the UWTSD Research Ethics and Integrity Code of Practice will be followed as stated:

“In all cases any adverse events occurring during the conduct of research projects must be reported to the Ethics Committee. In such cases the researcher, whether staff or student, shall withdraw from the research process with immediate effect until notified by the Ethics Committee that the University is satisfied that the research design has been modified in such a way as to mitigate further harm”.

The academic supervisor Dr Ceri Phelps has over 18 years’ experience of applied health psychology research and NHS health services evaluation, and has worked for government agencies as well as in academic institutions. She is registered by the Health Professions Council as a practicing Health Psychologist, and between 2010 and 2013 was a Committee Member of the South West Wales NHS Research Ethics Committee. She is therefore fully cognisant of the ethical and good practice standards that are expected for such projects.

Disclosure and Barring Service

If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.

Has a DBS certificate been obtained?

YES

☐

NO

☐

N/A

☒

SECTION I: Feedback, Consent and Confidentiality

Feedback What feedback will be provided to participants, how will this be done and when? Participants will be debriefed immediately after the completion of the questionnaire with written information regarding what the project was exploring, and why. Participants are not being provided with individual feedback, in the likelihood of individual queries arising as a result of participation in the questionnaire, participants will be given the opportunity to contact the Principal Researcher to request a summary of the research findings upon completion of the project if they wish to do so through the contact information provided in the debrief form. Information about the SPWBS provided through HDUHB will be also provided in the debrief process to promote awareness of the services.
Informed consent Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded. Participants will be provided with a detailed Information sheet that will be available via the online survey platform or the hard copy questionnaire delivered to their departments. The information Sheet will inform participants of the nature of the questions to be expected, aims and objectives of the evaluation to be carried out and then provided with the choice to opt in or out of the project at this point. All of the participants' information will be anonymous. As there is no way to identify participants, they will be given the opportunity to withdraw up until submitting the questions in compliance with GDPR guidelines (2018). They will also be made aware that they can withdraw their whole data any time up until final submission by closing the browser (online), hard copy participants can choose not to complete the paper version of the questionnaire, they will be informed that once completed there is no way to retrieve their data back as each hard copy will be assigned an unique ID number so there is no way to link their data to the questionnaire.
Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case. All quantitative data collected online or via hard copies will be anonymised to ensure participants details are kept confidential, the data collected online will be stored under a password protected computer only accessible to the Principal Researcher. Additionally, hard copies will be stored securely in a locked cabinet inside a locked room in the Psychology Laboratory (room 311c) with a unique ID number to link the hard copies to the data inputted into SPSS for analysis. All participants will be informed that data gathered may be used in written articles, posters and oral presentations for academic purposes but at no time will the data be traced back to the individuals.

SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (<http://uwtsd.ac.uk/library/research-data-management/>).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)? "personal data" means data which relate to a living individual who can be identified— (a) from those data, or (b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected: Data on age and gender will be collected for the purposes of the study however as all data is anonymous this will not be identifiable. (this box should expand as you type)		
Does it involve sensitive personal data (as defined by the Data Protection Act)? "Sensitive personal data" means personal data consisting of information as to – (a) the racial or ethnic origin of the data subject, (b) his political opinions, (c) his religious beliefs or other beliefs of a similar nature, (d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) his physical or mental health or condition, (f) his sexual life, (g) the commission or alleged commission by him of any offence, or (h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings.	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected: Information on ethnic background will be collected as part of the demographic section of the anonymised questionnaire, there will be no way to trace this back to the participant. The information collected will be used for data analysis purposes and form part of the dissertation results and discussion.		

	YES	NO
Will the research activity involve storing personal data on one of the following:		
Manual files (i.e. in paper form)?	☒	☐
University computers?	☒	☐
Private company computers?	☐	☒
Home or other personal computers?	☐	☒
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☒
"Cloud" storage or websites?	☒	☐
Other – specify:	☐	☒
For all stored data, explain the measures in place to ensure data confidentiality, including details of password protection, encryption and anonymisation:		

Data will be collected using two main methods: (1) Via an online survey software system (Qualtrics) and (2) Deposited hard copy survey questionnaires

Data collected via (1: Qualtrics) is licenced to Yr Athrofa, with all identifying data like IP address, and GPS location masked in accordance with the ethical guidelines stipulated by the British Psychological Society for Internet Mediated Research (2013) disabled prior to data collection. Data will be stored on the Qualtrics cloud system under control of their secure systems.

Data downloaded from Qualtrics to the university computer in Psychology Lab for analysis in SPSS will be anonymised so that no identifying features are downloaded, with raw number scores from questionnaires being the only data available on the SPSS database stored on this computer which will be password protected.

In accordance with BPS ethical guidelines (British Psychological Society Ethical Guidelines for Internet, Mediated Research, 2013; British Psychological Society with Human Participants, 2014)

Data collected via (2) is anonymous with assigned unique ID numbers preventing any personal information from being traced back to the by the participant after the questionnaire has been completed and collected by the Principal Researcher. The consent form will be stored separately from the hard copy questionnaire and linked through a unique ID. The data will be stored in a secure locked cabinet and all data that has been inputted manually through to the SPSS database will be stored under password protection.

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☒	☐
Sharing of data with others at the University?	☒	☐
Sharing of data with other organisations?	☒	☐
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☒	☐

If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):

Anonymised data will be password protected, and no participant data will be retraceable to participants. Data will only be transferred between supervisor and student. All data stored on the SPSS database (accessed through the UWTSD cloud system One Drive) will be password protected. An encrypted memory stick will be used by the lead researcher only to back-up the anonymised SPSS dataset which will be stored securely in a locked filing cabinet accessible to the research student and supervisor only).

The only data shared with the HDUHB collaborator will be aggregate anonymised data upon request.

List all who will have access to the data generated by the research activity:
Tabatha Dubovicki Ferreira Dr. Ceri Phelps
List who will have control of, and act as custodian(s) for, data generated by the research activity:
Tabatha Dubovicki Ferreira Dr. Ceri Phelps
Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.
Hard copy questionnaire data will be stored securely in a locked cabinet inside a locked room in the Psychology laboratory located in the SA1 IQ building with a unique ID number to link the hard copies to the data inputted into SPSS. Additionally, data collected through Qualtrics will be stored on a password protected computer located in the Psychology laboratory with only the lead researcher and supervisor having access to this computer. Data will be stored in accordance with UWTSD data research management protocols and any journal data requirements. In general, as specified in the RCUK 'Guidance on best practice in the management of research data' the UK Research Councils expect data that underpins findings in publications should be accessible for at least ten years after publication.

SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants. In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice	
Signature of applicant: Tabatha Dubovicki Ferreira	Date: 26.06.2019

For students:

Director of Studies/Supervisor:	Dr Ceri Phelps
Signature:	
Date:	26.06.2019

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☒	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate)
☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.

RESEARCH STUDENTS AND STAFF ONLY

All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk, with the title 'Ethical Approval' followed by your name. You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

This form is available electronically from the Academic Office web pages:

<http://www.uwtsd.ac.uk/academic-office/>

Application Process

All staff research projects and all research students must submit the Ethical Approval Form to the **University Ethics Committee** via the Academic Office (pgresearch@uwtsd.ac.uk). Staff research directly in relation to personal study for taught undergraduate or Masters programmes should be submitted via the Faculty procedures explained below.

Taught masters and taught undergraduate research Ethical Approval Forms are considered **within Faculties**. Faculties will provide details of the specific processes for this. Where the Ethical issues within any single ethical application are of particular concern the Faculty will refer these to the University Ethics Committee. Any student activity that involves the collection of primary data needs to undergo Ethical approval, this includes assignment work as well as dissertations.

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

Research proposals must be approved in principle before applying for Ethical Approval. The proposal approval only becomes final when the ethical approval is received.

The process for proposal approval varies according the individual and programme of study:

- Research students, by application on form PG1 to the Research Degrees Committee
- Taught students by review of research proposal within Faculties (Faculties provide specific details of these processes)
- Staff, by agreement by the Head of School/Assistant Dean

Section C: External Ethical Guidance materials

Many discipline areas are required to operate with the discipline specific codes of research ethics (for example health, psychology, education etc.), any such codes must be listed and you must tick to confirm that you have consulted with these.

Section D: External Collaborative Research Activity

Provide details of the external collaborative partners, where appropriate you might want to submit a copy of the external collaboration agreement with the Ethical Approval Form. If the partner requires the research to be subject to its own internal Ethical approval process then please provide details of that process and a copy of any final (or interim) approvals received from the organisation.

Section E: Details of Research Activity

Remember that the individuals reviewing this Ethical Approval Form may not have seen your research proposal, and also may not be experts in the specific area of your research. The information provided should therefore be jargon free and clearly stated.

Indicative Title: please use the same title as used on the research proposal.

Purpose: the Ethical approval process will want to ensure that the methods you propose are adequate and appropriate to address the research aims and objectives. Excessive additional data collection can be seen as unethical.

Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. Please be specific.

Location: this needs to mention geographical location and also local situation (for example, within Local Authority Offices in Cardiff, using a private room but close to other individuals). If you are collecting data within an organisational setting then you need to explain the permissions that you have obtained to do this.

Research Activity outside of the UK: please complete this section in detail, and note any guidance you have received. Also describe your own familiarity (or not) with the location that you will be utilising.

Section F: Scope of Research Activity

Please tick ALL of the research activities that might be undertaken. If any additional types of activity are intended then please add an extra box and describe these.

If you have answered no to all questions in F then sections G and J do not need to be completed. Section H should be considered, and may be completed. Signatures are still required in section K.

Section G: Intended Participants

Please tick all categories that might apply.

Numbers & Source: if you are using a series of different methods or research activities please list numbers for each stage/phase. Be clear about how you will find respondents. Will you use intermediaries, and if so how? How will you ensure compliance with your sampling strategy?

Information for participants: all participants should be appropriately informed about the research, what is expected of them and what will happen to the information that they provide. The Ethical review process does not ask to see this documentation, but requires this to be reviewed and approved by the Director of Studies in the case of research students, the supervisor/module tutor in relation to students on taught programmes and the Head of School/Assistant Dean in relation to staff research.

Section H: Anticipate Risks

All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.

Risk to participants Think very carefully about how your actions/questions/discussions might affect the people you are involving as participants. You might identify the risk as small but it would still be a risk. Many types of question have the potential to make respondents less content with their life / job; you need to recognise and try to ameliorate any such effects

If these are business owners, time with you may reduce profit.

In some locations physical risk is very real to both participants and yourself, please consider this.

Risk to you, the researcher Think about where you will meet people, if there are any dangers involved in the location. If you are meeting people as individuals think about using a public place. In general do not visit people in their own homes or remote locations. If you are talking to individuals about certain issues think about how their responses might affect you emotionally. What about the risk of collecting insufficient data?

Risk to the University When undertaking your research, you are acting as a member of the University (student or staff). Professionalism is important, so it is important to be well organised and well prepared. Punctuality, clarity etc. are all part of this. What will you do to ensure this? You must ensure you do not harm the good name of the University in any way and do nothing to undermine the reputation of the research it conducts and sponsors. Upholding high standards of conduct and integrity are vital in this regard. You must also conduct the research in such a way to minimise the potential for claims of negligence made against the University, its researchers and any collaborating individual or organisation. In this respect you should always comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, as well as the university's Research Integrity and Ethics Code of Practice. Research misconduct in this respect can take many forms, including:

- fabrication: making up results or other outputs (eg, artefacts) and presenting them as if they were real
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations: for example, failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or material
- improper dealing with allegations of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

Adverse Outcomes. Think carefully about the possibilities, and cover here

Section I: Feedback, Consent and Confidentiality

Feedback to participants: outline your approach. Will interview transcripts be shared with respondents to check accuracy? Will summaries of questionnaire analysis be made available to respondents in some way? Will an overview report be provided? How and when?

Informed consent: Draft letter / e-mail / or heading (or footer) section of questionnaire must be approved by DoS/supervisor (if research student), supervisor/module tutor if taught student, or Head of School / Assistant Dean if a member of staff.

Confidentiality/Anonymity. Explain clearly how you will ensure confidentiality and anonymity.

Section J: Data Protection and Storage

Before completing this section, it is necessary to read the University's Research Data Management information. The questions that follow are designed to ensure compliance with the Data Protection Act as well as established research protocols.

Many research activities will involve electronic transfer of data and use of data management systems in the summarisation and analysis of data. You will need to explain these in relation to compliance with the Data Protection Act.

Think carefully about who access to your data will have, this will include supervisors and examiners. Also, that a thesis will be made available via the University library and the British Library system. If you are seeking an access bar for a period of time after completion then mention it here. If you will provide a copy of your findings, or intend to give a presentation, to a facilitating/ supporting/accessing organisation then explain that in this section. But also think about the general principle of data sharing, as explained in the Research Data Management information.

In terms of storage of data please ensure security, and also mitigate against loss of data.

Section K: Declaration

Ensure the appropriate countersignatures have been provided

Look carefully at the checklist and ensure that you comply with and tick all that are relevant to your research.

Confirmation of Approval

Hi Ceri

I've fw to you below the email from my Director giving approval for the project to go ahead. Lisa has said she can provide a hard copy if needed but she is away now for 2 weeks. Hopefully the email below is adequate but if not, let me now and I'll request something more formal.

BW

Suzanne

From: Lisa Gostling (Hywel Dda UHB - Director of Workforce & OD (Organisational Development))

Sent: 03 April 2019 17:38

To: Suzanne Tarrant (Hywel Dda UHB - Consultant Clinical Psychologist)

Cc: Jessica Svetz (Hywel Dda UHB - Head of Improvement and Transformation)

Subject: RE: Service Evaluation Proposal and approval

Hi Suzanne

Thanks for forwarding and this looks like a fascinating research project. I will look forward to seeing the findings of this and especially that linked to under represented groups. Not sure if there is any merit in correlating sickness absence information from the HB with regards to mental health reasons linked to workforce characteristics to see if non attendance in one group led to higher sickness etc. Sorry I'm no expert in this you are but would certainly be a great piece of work to link into our equalities action plan.

Hope my email linked with my name of the form is sufficient for sign off but let me know if you need a hard copy signing.

Lisa

Lisa Gostling

Director of Workforce & OD

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