

Title/Question to explore

An exploration of to what extent does ACEs impact upon the transitions into adolescence.

Intro/background

The purpose of doing social research is that it involves “research that draws on the social sciences for conceptual and theoretical inspiration” (Bryan, 2016, p. 3). The topic of this research proposal explores the impact of adverse childhood experiences (ACEs), such as psychological, physical and sexual abuse, on young people’s development as they transition into adolescence (Public Health Scotland, 2024). According to Lang *et al.* (2024), the three transitional domains of adolescence are cognitive, social and biological, and this will be the focus of the proposed research. Furthermore, the adolescence stage can vary, for example, Silver (2018) suggests that, for some, it can begin as young 10 years old, and end beyond the age of 20. However, for this proposed research the focused age group will be between 12-20 years, as Erikson’s (1950 cited in Hendry and Kloep, 2012) stages of development theory suggests that it is during this age bracket that young people will experience the most changes, both physically and mentally.

Also, prior to developing this research proposal, the researcher carried out a NAOMIE needs assessment (Ingram and Harris, 2001) in order to plan and make improvements to the provision for young people at her placement, as Article 12 of the UNCRC states that all young people should “have a voice” (UNICEF, 2024, np). Following this, the need was established for a focus on youth professionals having a better understanding of young people’s experiences of transitions, with the particular intention of providing enhanced support for those affected by ACE’s.

Therefore, this proposal outlines the justification as to why there is need for further research in this area, and describes the proposed methods to conduct it.

Aims/Objectives

Aim 1) - To explore how and to what extent the physical, social and cognitive transitions are affected by ACEs.

Aim 2) - To establish the ways youth professionals can support young people, who have experienced ACEs, through transitions.

Objective 1) To review the current body of literature regarding how ACEs affect the physical, social and cognitive transitions in young people, and explore relevant data to gain a better holistic understanding of the research topic.

Objective 2) Interview youth practitioners who have had particular experience of working with young people affected by ACEs, to gain first-hand professional opinions regarding the impact ACEs can have on young people.

Objective 3) Collate and analyse data to inform future practice, by establishing effective ways to engage and support young people through transitions. This would also be used to improve policy within the services provided, as this would ensure that youth work professionals work in accordance with the 5 pillars of youth work (Youth Work in Wales Review Group, 2022) and the National Occupational Standards values (CLD Standards Council Scotland, 2019). Once the data has been collected it will be used to inform practice, for example, requesting youth professionals to have updated training around the effects of ACE's, the best ways to engage and provide support catered to the young person's needs.

Methods/Methodology

This research proposal will include a pragmatism mixed method approach, however, there will be a focus on "Qualitative data", in particular, on unstructured and informal interviews to gain

primary research from professionals who work in trauma informed practice (Grix, 2004, p. 119; Kumar, 2014, p. 192). The purpose of it being unstructured and informal allows the interviewee to feel comfortable within an informative conversation avoiding pressure (O’Leary, 2021). The trainee youth worker will research statistics and theories to support this primary data once it has been collected; this where the use of “Quantitative data” may be included (Grix, 2004, p. 117; Kumar, 2014, p. 201).

Where: These interviews will take place wherever the interviewee feels most comfortable, for example, this may be in a quiet room at their place of work, or an online meeting. If an in-person interview takes place, ideally, it will be in a room with a window, as this will allow extra safety for both as it ensures they are visible to others. Additionally, a full risk assessment of the building will be completed in advance, to ensure that there are no potential hazards.

When: The researcher will work around the interviewees’ schedules because she has more availability. These interviews may take place during their working hours, after work or weekends, depending on what days and times suit them. The researcher has estimated that the interviews will be an hour long, however, there will be the option for a break depending on how long the interview goes on for. This will allow the researcher a chance to gather her thoughts, reflect on what has been said and prepare for the second half of the interview.

Depending on the number of interviewees participating in this research, there will be one interview a week for each interviewee. This will allow the researcher to reflect after each interview on details such as what went well and what could be improved, for example, how the researcher explained the questions. However, with consideration to the participants’ availability, the option to rearrange the interview will be provided if needed. This will avoid the interview being rushed, for instance, this could be two half-hour interviews a week instead of a one-hour interview in a day.

How: The researcher has previously worked alongside a young person's counsellor and is still in contact with other youth professionals from her placement. These will be the potential interviewees as they have already shown an interest in taking part from having previous discussions regarding this research. A minimum of two interviewees would be ideal to collect more data and to compare the difference of opinion, should there be any.

As a part of the pre-interview preparation, an informal pre-meeting will take place before the interview, allowing the participants to gain the basic information about what they are agreeing to. For example, this will include the purpose of the interview, an understanding regarding participant rights, the potential questions they may be asked, and, to avoid any confusion, discuss any questions they might raise.

When attending the location, the researcher will be equipped with the following:

- Interview questions
- Notepad and pen
- Voice recorder

Once the questions have been devised, they will be sent to the interviewees in advance and attached as evidence in the appendix.

Ethical issues

To ensure this proposed research is carried out in an ethical manner, the researcher has read the British Educational Research Association (BERA) Guidelines (2018) to avoid the potential of breaching any ethical standards, this ensures that all participants will be respected in order to produce high-quality evidence. As previously mentioned, an informal pre-meeting will take place with the interviewee participants where the following will also be covered:

- 1) Harm and right to withdraw- Due to the nature of the proposed research, it would be unethical to involve young people due to the potential of harm, hence why the researcher has taken a different perspective by approaching professionals to interview instead. A risk assessment will be completed in advance to ensure the safety of the researcher and interviewee should there be an in-person interview. They will also have the right to not answer certain questions and have the right to withdraw from the study without providing a reason at any point as this is voluntary research. Should any of the participants choose to withdraw, to avoid conflict, the appropriate course of action as stated in the BERA Guidelines (2018), is for the researcher to accept their decision. However, the Guidelines also state it is acceptable to explore a different approach in an attempt to encourage the participants to re-engage, but there should be no undue pressure involved.

- 2) Consent – The interviewees will be over the age of 18, therefore can legally give consent themselves, although, as Alderson and Morrow (2020, p.130) state, “researchers should explain everything that they plan to ask of people so that their consent is informed”. Taking this into consideration, the participants will be made aware of the purpose of the interview and what it entails. Their consent in relation to the interview to be recorded for evidence will also be requested, as well as an opportunity for them to ask any questions that they may have. This will ensure that the participants fully understand the research before agreeing to it. If they disapprove of the recording, the researcher will take notes as they speak and request them to look over them afterwards to ensure their responses have been correctly interpreted.

- 3) Anonymity and confidentiality – The participants will remain anonymous, and will be reminded that, to protect the identity of others, they should also anonymise any examples they provide of scenarios from their practice. This will ensure that the identities and privacy of young people or others are also protected.
- 4) Privacy and data protection – These interviews will be conducted on a one-to-one basis, between the researcher and the participant. This is so they can feel secure that the interview will be done privately and remain confidential. They will be made aware that only the researcher and the relevant university staff (lecturers/markers, support staff) will have access to this data. This data will be kept on password protected, encrypted devices, and data will be deleted at the end of the study, upholding the *Data Protection Act 2018*.

Strengths and weaknesses of the approach

Kumar (2014) and O’Leary (2021) suggest that interviews using open ended questions, not only reduces pressure on the interviewee, but also allows them to freely express their thoughts. They also say that, as the interviews are unstructured, this will be useful to help explore deeper into the responses participants provide. The researcher will also have the freedom to ask questions in a format that is relevant to situation, for example, the contents, question wording and order (Kumar, 2014; O’Leary, 2021).

The researcher initially thought that using “Participatory methods” (Veale, 2005, cited in Greene and Hogan, 2005, p.253) would be a way to ensure that young people are involved in the research process, however, as previously mentioned, this would not be ethically appropriate due to the potential for exposure to harm or stress. Nevertheless, the outcome of this proposed research could potentially benefit young people, as professionals will develop a trauma

informed approach and represent the *Equality Act 2010* by avoiding discrimination to those affected by ACEs.

The researcher is representing the University, therefore there is a need to be mindful of the potential for reputational risks. To ensure this does not happen, the researcher will follow procedures that are ethically approved, specifically, the guidelines from BERA (2018).

Methods of analysis

The researcher will follow the 6-phase coding framework (Braun and Clarke, 2006; Grout, 2021) for thematic analysis to identify themes, patterns and to explore new perspectives found within the data. From the recording, the researcher will transcribe the interviews and put them into an appendix to provide an accurate record of the conversation. These findings will form the basis of future training and development opportunities for professional practitioners working with young people who have experienced ACEs; this will potentially benefit both the young people and the community. The researcher will use Kolb's reflective model (Mulder, 2023) to reflect throughout this research process. This will provide a way of processing new information, support understanding, review the methodologies used, and to plan improvements should there be any, therefore enhancing the validity of the research.

Summary

To summarise, the NAOMIE needs assessment (Ingram and Harris, 2001) allowed the researcher to hear the voice of the young people and subsequently understand and consider their needs. This then helped provide an area of focus for this proposed study of youth professionals' perspectives of young people's experiences of transitions, especially those affected by ACEs. The intention is that this proposed study will assist in facilitating enhanced future training opportunities, for professional practitioners working with young people experiencing transitions and who are affected by ACEs.

This research proposal has been thoroughly planned by the researcher, to consider the appropriate responses to any dilemmas should there be any, and with an emphasis on ensuring the research will be conducted in an ethical manner to avoid harm. Although the researcher is knowledgeable on this area, being open to any new information provided by the participants, as well as any secondary research, will provide additional insights that hopefully add to the already existing literature. The aim is to enhance current knowledge, and build on professional experience, to ensure the best outcomes for young people and communities affected by ACEs.

References

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PG2 / E1 FORM**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)

1	Full Name:	Rachael Ann Major			
2	Tick all boxes that apply:	Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student	☒	Taught Postgraduate Student	☐	Postgraduate Research Student
3	Institute/Academic Discipline/Centre:	Institute of Education, Childhood and Youth			
4	Campus:	Carmarthen			
5	E-mail address:	2204546@student.uwtsd.ac.uk			
6	Contact Telephone Number:	07866852062			
For students:					
7	Student Number:	2204546			

8	Programme of Study:	Youth Work and Social Education (BA)
9	Director of Studies/Supervisor:	Angharad Lewis/Darren O'Connor

SECTION B: Approval for Research Activity

1	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	
					<i>Date</i>
2	If Yes, please indicate source of approval (and date where known): Approval in principle must be obtained from the relevant source prior to seeking ethical approval	Research Degrees Committee	☐		
		Institute Research Committee	☐		
		Other (write in) Darren O'Connor (Supervisor)	☒		27 th March 2024

SECTION C: Internal and 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, location-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. You may add rows to this table if needed.	
1	UWTSD Research Ethics & Integrity Code of Practice	☒
2	UWTSD Research Data Management Policy	☒
3	<i>[List any other relevant documents here]</i> https://www.bera.ac.uk Ethical Guidelines for Educational Research, fourth edition (2018) BERA	☒

SECTION D: External Collaborative Research Activity

If there are external collaborators then you should gain consent from the contact persons to share their personal data with the university. If there are no external collaborators then leave this section blank and continue to section E.

1	Institution	N/A
2	Contact person name	N/A
3	Contact person e-mail address	N/A
4	Is your research externally funded?	YES ☐ NO ☐
5	Are you in receipt of a KESS scholarship?	YES ☐ NO ☐
6	Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary YES ☐ NO ☐
7		Employed YES ☐ NO ☐

8	Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)?	If YES then the permission question below does not need to be answered.	YES	☐	NO	☐
9	Has permission to undertake the research has been provided by the partner organisation?	(If YES attach copy) If NO the application cannot continue	YES	☐	NO	☐

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

10	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 may be a copy of an email if appropriate).				

SECTION E: Details of Research Activity

1	Indicative title:	An exploration of to what extent does ACEs impact upon the transitions into adolescence.		
2	Proposed start date:	4 th March 2024	Proposed end date:	2 nd May 2024
	Introduction to the Research (maximum 300 words per section) Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the points below: • <i>Purpose of Research Activity</i> • <i>Proposed Research Question</i> • <i>Aims of Research Activity</i> • <i>Objectives of Research Activity</i> Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • <i>What the research activity will add to the body of knowledge</i> • <i>How it addresses an area of importance.</i>			
3	Purpose of Research Activity Recognising that Article 12 of the UNCRC states that all young people “have a voice” (UNICEF, 2024, np). The researcher carried out a NAOMIE needs assessment (Ingram and Harris, 2001) in order to plan and make improvements to the provision for young people at her placement. Following this, the need was established for a focus on youth professionals having a better understanding of young people’s experiences of transitions, with the particular intention of providing enhanced support for those affected by ACE’s. (this box should expand as you type)			
4	Research Question An exploration of to what extent does ACEs impact upon the transitions into adolescence.			

	(this box should expand as you type)
5	Aims of Research Activity Aim 1) - To explore how and to what extent the physical, social and cognitive transitions are affected by ACEs. Aim 2) - To establish the ways youth professionals can support young people, who have experienced ACEs, through transitions. (this box should expand as you type)
6	Objectives of Research Activity Objective 1) To review the current body of literature regarding how ACEs affect the physical, social and cognitive transitions in young people, and explore relevant data to gain a better holistic understanding of the research topic. Objective 2) Interview youth practitioners who have had particular experience of working with young people affected by ACEs, to gain first-hand professional opinions regarding the impact ACEs can have on young people. Objective 3) Collate and analyse data to inform future practice, by establishing effective ways to engage and support young people through transitions. This would also be used to improve policy within the services provided, as this would ensure that youth work professionals work in accordance with the 5 pillars of youth work (Youth Work in Wales Review Group, 2022) and the National Occupational Standards values (CLD Standards Council Scotland, 2019). Once the data has been collected it will be used to inform practice, for example, requesting youth professionals to have updated training around the effects of ACE's, the best ways to engage and provide support catered to the young person's needs. (this box should expand as you type)
	Proposed methods (maximum 600 words) 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. You do not need to justify the methods here, but should instead describe how you intend to collect the data necessary for you to complete your project.
7	This research will include a pragmatism mixed method approach, however, there will be a focus on "Qualitative data", in particular, on unstructured and informal interviews to gain primary research from professionals who work in trauma informed practice (Grix, 2004, p. 119; Kumar, 2014, p. 192). The trainee youth worker will research

	statistics and theories to support this primary data once it has been collected; this where the use of “Quantitative data” may be included (Grix, 2004, p. 117; Kumar, 2014, p. 201). The researcher will follow the 6-phase coding framework (Braun and Clarke, 2006; Grout, 2021) for thematic analysis to identify themes, patterns and exploring new perspectives found in this data. These interviews will be recorded as evidence, the researcher will then transcribe the interviews and put it in the appendix to provide an accurate record of the conversation. (this box should expand as you type)
	Location of research activity Identify all locations where research activity will take place.
8	Potential locations for interviews include: - Their place of work - At their home.
	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 and/or legal sensitivities or vulnerabilities of participants. If you live in the country where you will do the research then please state this.
9	N/A

10	Use of documentation not in the public domain: Are any documents <u>NOT</u> publicly available?	NO	☒
		YES	☐
11	If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with the current data protection law of the country in question and that of England and Wales. N/A		

	Does your research relate to one or more of the seven aims of the Well-being of Future Generations (Wales) Act 2015?	YES	NO
12	A prosperous Wales	☐	☒
13	A resilient Wales	☐	☒
14	A healthier Wales	☒	☐
15	A more equal Wales	☒	☐
16	A Wales of cohesive communities	☒	☐
17	A Wales of vibrant culture and thriving Welsh language	☐	☒

18	A globally responsible Wales	☐	☒
19	If YES to any of the above, please give details:		
	A healthier Wales: An improvement on young people's well-being and healthier relationships with professionals. Youth professionals will be provided with updated training around ACEs including a better understanding on the behaviours or emotions, responding to vulnerability and the support they give. A more equal Wales: Everyone has the same opportunities to reach their full potential and receive non-judgemental support no matter what their background, including those affected by ACEs. A Wales of cohesive communities: All communities with different backgrounds can live happily and secure together with a better understanding around ACEs. (this box should expand as you type)		

SECTION F: Scope of Research Activity

	Will the research activity include:	YES	NO
1	Use of a questionnaire or similar research instrument?	☐	☒
2	Use of interviews?	☒	☐
3	Use of focus groups?	☐	☒
4	Use of participant diaries?	☐	☒
5	Use of video or audio recording?	☒	☐
6	Use of computer-generated log files?	☐	☒
7	Participant observation with their knowledge?	☐	☒
8	Participant observation without their knowledge?	☐	☒
9	Access to personal or confidential information without the participants' specific consent?	☐	☒
10	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
11	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
12	Investigation of participants involved in illegal activities?	☐	☒
13	Use of procedures that involve deception?	☐	☒
14	Administration of any substance, agent or placebo?	☐	☒
15	Working with live vertebrate animals?	☐	☒
16	Procedures that may have a negative impact on the environment?	☐	☒
17	Other primary data collection methods. Please indicate the type of data collection method(s) below.	☐	☒
	Details of any other primary data collection method:	☐	☒

	<i>(this box should expand as you type)</i>		
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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

If there are no participants then do not complete this section, but go directly to section H.

	Who are the intended participants:	YES	NO
1	Students or staff at the University?	☐	☒
2	Adults (over the age of 18 and competent to give consent)?	☒	☐
3	Vulnerable adults?	☐	☒
4	Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☒
5	Prisoners?	☐	☒
6	Young offenders?	☐	☒
7	Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
8	People engaged in illegal activities?	☐	☒
9	Others. Please indicate the participants below, and specifically any group who may be unable to give consent.		
	Details of any other participant groups: <i>(this box should expand as you type)</i>	☐	☒

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?		
10	How many participants are expected?	A minimum of two interviewees. <i>(this box should expand as you type)</i>
11	Who will the participants be?	Professionals who have had experience within trauma informed practice. For example, this may include: - Young person counsellors - Therapists/play therapists - Youth workers - Professionals within the youth justice system <i>(this box should expand as you type)</i>

12	How will you identify the participants?	The researcher has previously worked alongside a young person's counsellor and is still in contact with other youth professionals from her placement. These will be the interviewees as they have already shown an interest in taking part from having previous discussions regarding this research. <i>(this box should expand as you type)</i>
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	Information for participants:	YES	NO	N/A
13	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
14	Will you tell participants that their participation is voluntary?	☒	☐	☐
15	Will you obtain written consent for participation?	☒	☐	☐
16	Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
17	If the research is observational, will you ask participants for their consent to being observed?	☒	☐	☐
18	Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
19	With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☒	☐	☐
20	Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
21	Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
22	If NO to any of above questions, please give an explanation			
	<i>(this box should expand as you type)</i>			

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

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.		
1	Full risk assessment completed and appended?	Yes No	☒ ☐
2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
	Risk to participants: 1) Privacy, consent and data protection. 2) Legal risks <i>(this box should expand as you type)</i>	How you will mitigate the risk to participants: 1) The researcher has read upon ethical guidance such as the BERA Guidelines (2018) which will be followed throughout. Also, prior to starting the research, this form will go through the ethics committee and signed for approval, ensuring this research will not go against any ethical principles. 2) If any of the participants were to disclose any form of criminal activity, the researcher must report it to the enforcement authorities. <i>(this box should expand as you type)</i>	
3	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		
	1) A pre-meeting will take place prior to the interview, this is where the researcher will gain their informed consent to be a part of this research. Although the interviewee's will be professionals who work within trauma informed practice, they will still be made aware of what is being asked of them and that the nature of this research may be sensitive to some. 2) A break will be provided if necessary. The interview can be done in stages, everything does not need to be covered straight away. 3) Considerations to the terminology/language and how questions are asked or explained. 4) Being that the questions will be open ended, the researcher will be prepared but open to their responses. For example, considerations towards the body language and facial expressions used. <i>(this box should expand as you type)</i>		
4	Risks to the investigator		

	For example: personal health & safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest		
	Risk to the investigator: 1) Safety risks of the building. 2) At home interviews or other places. 3) Conflict of interest. (this box should expand as you type)	How you will mitigate the risk to the investigator: 1) Risk assessment of the building will be completed in advance. Also, the interview will take place in a room where there is a window, ensuring extra safety for both the researcher and participant as they will be visible to others. 2) Inform someone, for example, a supervisor, family member or friend to where the researcher is going. If any of those contacted people have not heard from the researcher, they will be made aware to make a phone call. Arrangement times for a check in phone call will be made in advance. 3) Should there be any conflict. The researcher will comply with regulations to be able to manage conflict in the most appropriate way. The researcher will also disclose this with her supervisor to prevent for the transparency of the researcher.	
5	University/institutional risks For example: adverse publicity, financial loss, data protection		
	Risk to the University: 1) Reputational risks. (this box should expand as you type)	How you will mitigate the risk to the University: 1) Following procedures relating ethical conduct and ethical approval such as the BERA Guidelines (2018), ensuring that there will be no reputational risks. (this box should expand as you type)	
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems		
	Risk to the environment: N/A (this box should expand as you type)	How you will mitigate the risk to environment: (this box should expand as you type)	

	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.	YES	NO	N/A
7	Does your research require you to hold a current DBS Certificate?	☒	☐	☐

8	If YES, please give the certificate number. If the certificate number is not available please write "Pending"; in this case any ethical approval will be subject to providing the appropriate certificate number.	001800141088
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SECTION I: Feedback, Consent and Confidentiality

1	Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
	The debrief will happen at the end of each interview which will include the following: 1) Thanking the participants for their participation. 2) Discussing questions that they may have 3) Recap points from the pre-meeting, for example, explain how the researcher intends to use the information that they have provided. 4) Should the participants want to know the results of the feedback and the next steps for updated training around ACEs, an update meeting will be held after the research has been completed <i>(this box should expand as you type)</i>
2	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 in accordance with prevailing data protection legislation.
	The interviewees will be over the age of 18, therefore can legally give consent themselves. A pre-meeting will take place prior to the interview which will include a discussion based on their consent. This will include: 1) Being made aware of the purpose of the interview and what it entails. 2) Their consent in relation to the interview to be recorded for evidence 3) An opportunity for them to ask any questions that they may have. This will ensure that the participants fully understand the research before agreeing to it, consent forms will be provided. If they disapprove of the recording, the researcher will take notes as they speak and request them to look over them afterwards to ensure their responses have been correctly interpreted. <i>(this box should expand as you type)</i>
3	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.
	The participants will remain anonymous, and will be reminded that, to protect the identity of others, they should also anonymise any examples they provide of scenarios from their practice. This will ensure that the identities and privacy of young people or others are also protected. Their data will also be protected, see how in the following section. These interviews will be conducted on a one-to-one basis, between the researcher and the participant. This is so they can feel secure that the interview will be done privately and remain confidential <i>(this box should expand as you type)</i>

SECTION J: Data Protection and Storage

	Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 “GDPR” and the Data Protection Act 2018 “DPA”)?	YES	NO X
1	“Personal data” means any information relating to an identified or identifiable natural person (‘data subject’). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants is considered to be personal data.	☐	☐ X
	If YES, provide a description of the data and explain why this data needs to be collected:		
2	(this box should expand as you type)		
	Does it involve special category data (as defined by the GDPR)?	YES	NO
3	“Special category data” means sensitive personal data consisting of information as to the data subjects’ – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	☐ X
	If YES, provide a description of the special category data and explain why this data needs to be collected:		
4	(this box should expand as you type)		

	Will data from the research activity (collected data, drafts of the thesis, or materials for publication) be stored in any of the following ways?	YES	NO
5	Manual files (i.e. in paper form)?	☐	☒
6	University computers?	☒	☐
7	Private company computers?	☐	☒
8	Home or other personal computers?	☐	☒
9	Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
10	“Cloud” storage or websites?	☒	☐
11	Other – specify:	☐	☒
12	For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of backup procedures, password protection, encryption, anonymisation and pseudonymisation:		
	1) Anonymised/use of participant pseudonyms. For example, initials, participant 1, 2 (P1, P2) etc. 2) The interviews will be conducted on a one-to-one basis within private rooms, under no circumstances will the interviews take place in a public area. 3) Password protected university computers/OneDrive. Both include encryption to prevent the data from being stolen or changed.		

	4) Encrypted memory stick. If a memory stick is to be used, it will not be left lying around. It will be kept in its case and with the researcher at all times unless being used. 5) Other laptop/computers will also be password protected. To ensure the data is protected, the researcher will also check if there is an anti-virus protection downloaded on the device and the software will be kept up to date, preventing any threats or viruses occurring. 6) One file of the research will be kept, no duplications of data in multiple places. 7) If by mistake that the audio recording does include identifying information, this part will be deleted or blurred for the protection of others. <i>(this box should expand as you type)</i>
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Data Protection			
	Will the research activity involve any of the following activities:	YES	NO
13	Electronic transfer of data in any form?	☐	☒
14	Sharing of data with others at the University outside of the immediate research team?	☐	☒
15	Sharing of data with other organisations?	☐	☒
16	Export of data outside the UK or importing of data from outside the UK?	☐	☒
17	Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
18	Publication of data that might allow identification of individuals?	☐	☒
19	Use of data management system?	☐	☒
20	Data archiving?	☐	☒
21	If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and Data Protection Act (2018) (and any international equivalents, where appropriate):		
	<i>(this box should expand as you type)</i>		
22	List all who will have access to the data generated by the research activity:		
	The researcher, appropriate relevant university staff (lecturers/markers, supervisor, learning support, external verifier) on a need-to-know basis. <i>(this box should expand as you type)</i>		
23	List who will have control of, and act as custodian(s) for, data generated by the research activity:		
	The researcher will have full control of this data. <i>(this box should expand as you type)</i>		
24	Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
	This data will be kept on password protected, encrypted devices. The data will be stored until the research has been completed will be deleted at the end of the study, upholding the <i>Data Protection Act 2018</i>.		

	<i>(this box should expand as you type)</i>		
25	Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
	No <i>(this box should expand as you type)</i>		
26	Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	YES	☒
27	Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	YES	☒

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 which is published on the website: https://www.uwtsd.ac.uk/research/research-ethics/			
1	Signature of applicant:	R.Major	Date: 26/04/2024

For STUDENT Submissions:

2	Director of Studies/Supervisor:		Date:
3	Signature:		

For STAFF Submissions:

4	Academic Director/ Assistant Dean:		Date:
5	Signature:		

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 (where appropriate) ONLY TICK IF YOU HAVE ATTACHED A FULL RISK ASSESSMENT
☒	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 Academic Director.

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:
<https://www.uwtsd.ac.uk/academic-office/appendices-and-forms/>