

ECGE7008Q

Research Question: “How do youth workers understand professional maturity in practice?”

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Research Question: “How do youth workers understand professional maturity in practice?”

Introduction:

I selected this subject because professional maturity in youth work is valued but not clearly defined and is often contested in contemporary research and literature. Williams and Richardson (2024) examined how JNC (Joint Negotiating Committee) qualified youth workers viewed professional maturity in practice. Professional maturity can vary dependent on the perspective of the practitioner, institutional frameworks, and supervisory guidance. Professionalism can be viewed as a socially constructed concept (Williams and Richardson, 2024) but can also be connected to a state of autonomy (Bradford, 2007). This results in a changing narrative of the meaning of professional maturity, contingent on a variety of factors, and influenced by individual practitioners’ views. The lack of a fixed definition for professional maturity has implications for the professional relationship between youth workers and how they create trust and bonds with young people (Purcell, 2024), how youth workers operate in practice, and how they interpret their roles. Taking these multiple issues into consideration demonstrates why the concept of professional maturity should be explored. My proposed study therefore asks: How do youth workers understand professional maturity in practice? I aim to carry out this study to explore the way youth workers view professional maturity and if they view their roles as defined by a fixed standard or as more fluid and evolving. There are three main objectives I intend to focus on: to explore how youth workers define professional maturity in practice; to determine the factors that influence youth workers’ understanding of professional maturity; and to analyse if youth workers’ view their roles under fixed professional standards, fluid expectations, or a combination of reasons.

Mini literature review:

In addition to the work discussed above, Purcell (2024) is relevant here as he demonstrated that professionalism in youth work is more than bureaucracy and qualifications; it is also based on developing trusting, reliable relationships with youths being supported, using the term “professional love” when describing these interactions. Purcell (2024) indicates that youth work involves meaningful engagement in relationships that does not always fit a set of rules and may represent professionalism in a manner that is seen as different to what society may expect.

Purcell, Cantali, and Colville (2024) also explored how professionalism is formed through education, where the concept of professional values is shaped by the professional identity of the service. Conflict can occur between an individual’s own values, and the values held by organisations. Professional expectations are not solely the result of qualifications, but are impacted by the personal experiences, beliefs, and values which people already possess when

entering practice (Purcell, Cantali and Colville, 2024). This helps illustrate that greater clarity is needed when defining professional maturity, as it is influenced by various factors.

Davies (2016) is critical of the idea of narrow professionalism, in particular, in relation to youth work. Davies (2016) suggests that designating youth work as a profession, equating it to other professions based on some shared ethical characteristics, is problematic, as other non-professions may also share the same ethical beliefs. He argues that this is not sufficient to view youth work as a profession because it does not unambiguously share the clearly defined aspects of traditional professions, such as law or medicine. This is relevant, as using the same framework for professionalism for youth work, risks ignoring the relationship and community-based aspects that are distinctively inherent in youth work.

The issue of professional maturity, and the complex aspects of its definition, is important, as indicated by current workforce data. According to findings by the National Youth Agency (2025), youth workers stated that personal experience in youth work was important for their role, as well as professional qualifications as they progress in the field, highlighting the complexity of professional maturity in practice. Additionally, only 24 percent of youth workers responding to the study, indicated they are on Joint Negotiating Committee (JNC) Terms and Conditions, which is the professional framework which covers things such as pay scales, job roles, and working conditions. 35 percent of respondents stated they do not possess a JNC qualification at all.

These literature sources indicate that professionalism and professional maturity in youth work are not fixed concepts, highlighting the necessity for further research into the way professionalism and professional maturity is understood in practice.

Methodology:

Research Paradigm:

To answer the question “How do youth workers understand professional maturity in practice?”, I will use the interpretivist research paradigm. This approach is relevant because interpretivism allows researchers to use the perspectives, testimonies, and life experiences of participants to establish the meaning of social facts (Pervin and Mokhtar, 2022). For contextualising professional maturity, interpretivism facilitates understanding of how youth workers identify and apply the term in practice. The literature suggests that youth workers identify professional maturity in different ways (Williams and Richardson, 2024); therefore, this study will not focus on measuring professional maturity objectively, as a fixed concept, and will research subjectively, taking into consideration

extenuating factors such as values and organisational settings. Professional maturity is open to interpretation, which aligns with an interpretivist paradigm. This connects to ontology, as it is necessary to consider the nature of reality being explored in the study.

Ontology:

Ontology examines and questions the nature of reality (Guarino, Oberle and Staab, 2009). In social research, ontology investigates the state of reality, whether it is fixed and objective, or if it is subjective and created through individual life experiences and interpretations (Pretorius, 2024). I will use a social constructionist ontology, consistent with the relativist view that reality is subjective. This study will look at the multiple possible perspectives of professional maturity, in search of clarification. However, this study is not trying to identify one sole meaning for professional maturity and is, instead, aiming to identify how professional maturity is understood by various youth workers in practices. Williams and Richardson (2024) highlighted the variations in the understanding of professional maturity, which supports the use of a social constructionist ontology. This approach is valid because the research question suggests that there are multiple interpretations of professional maturity, and knowledge can be acquired through youth workers' accounts of their practice environments. Due to this perspective of reality being socially constructed with multiple interpretations, the manner in which knowledge is gained may be affected, which links to the epistemological position in the study.

Epistemology:

Epistemology examines how knowledge is acquired, and the methods used to attain and understand it (Urcia, 2021). I will use interpretivist epistemology, as knowledge about professional maturity will be gained from youth workers' views and perspectives of practice. As Urcia (2021) points out, reality is subjective with truth and meaning being shared, and that it is possible to gain meaning and understanding from shared experiences, even if unable to fully and objectively experience an individual's perspective. As the goal of my proposed study is not to establish professional maturity in a fixed way, interpretivist epistemology will enable the aim of understanding how youth workers identify professional maturity within their own practice. Participants' personal accounts and the meanings they connect to professional maturity, will aid in gaining knowledge and clarity. Interpretivist epistemology is appropriate because it accepts that there is space to allow differing, yet equally valid, views. In this epistemological position, multiple realities can exist and be given equal weight (Urcia, 2021). This leads into theoretical perspective, which allows for broader understanding of how youth workers make sense of their experiences, which impacts their views of professional maturity.

Theoretical perspective:

Theoretical perspective is the wider view, which covers how a study is approached and understood (Collins and Stockton, 2018). Theoretical frameworks can be viewed as an explanation for how things work and can be used to guide this study and enable understanding of new information. For my proposed study, the theoretical perspective that will be used is interpretivism, due to the focus on the meaning of professional maturity from the perspective of youth worker participants. This aligns with the interpretivist epistemological position which allows analysis of differing meanings in practice, instead of presuming that one fixed meaning of professional maturity exists in all occupations and environments (Rudnicki and Kowalczyk, 2025). Knowledge does not function in a neutral manner and is formed by social influences and existing embedded meanings. Youth workers' practice environments exist in multiple different forms, which can impact how knowledge is created. This theoretical perspective supports the following methodological approach, as the study is focusing on the meaning and interpretations of professional maturity by youth workers to answer the research question, and a qualitative approach allows for those views to be more deeply explored.

Methodological Approach:

Methodology refers to the systematic approach used to plan and execute research (Garg, 2016). My proposed study will use a small-scale, qualitative methodology. Lim (2024) points out that qualitative research explores human experiences, subtleties, and social experiences, that quantitative research, which deals with numerical data and statistics may be unable to process. The research question is exploring the personal viewpoints and experiences of youth workers, and the meanings they apply to professional maturity, which makes qualitative methodology the most appropriate approach. A qualitative methodological approach also links to the ontological and epistemological positions I have already established. From the social constructionist ontological angle, professional maturity is viewed as a changing and non-fixed reality and can be understood as having a fluid meaning, depending on youth workers' experiences and practice environments. An interpretivist epistemological angle of study bolsters this methodology due to knowledge about professional maturity being attained through the personal accounts and interpretations of youth workers in practice.

Qualitative methodology is most applicable to this study as it explores the depths and variations of personal meaning, as opposed to quantitative which uses numerical data and statistics. Exploratory methodology is relevant since literature highlights that the understanding of professional maturity is underdeveloped and inconsistent (Williams and Richardson, 2024). My proposed study will not be investigating an existing and established theory; it will research

what professional maturity means to youth workers and the factors shaping meaning. Qualitative methodology allows for the possibility of different meanings and themes to be extrapolated from personal accounts. This links to the next section, data collection, as qualitative methodology uses semi-structured interviews, analysis of emergent themes, and the allowance of youth workers to explain their experiences and understanding of professional maturity in depth.

Data Collection Methods:

To answer the research question, “How do youth workers understand professional maturity in practice?”, the most pertinent method of data collection are semi-structured interviews. This approach is appropriate for data collection as it connects to the interpretivist research paradigm and qualitative methodological method previously outlined (Lim, 2024), because my proposed study is seeking to identify how youth workers understand professional maturity in practice. Semi-structured interviews give space for participants to expand on their interpretations more fully.

The proposed study will require a small purposive sample of ten youth workers, recruited from local youth work locations. Purposive sampling (Ahmad and Wilkins, 2024) is appropriate for answering the research question more clearly as it selects specific participants based on their relevancy to a study or research question; in this case youth workers. The sample size of ten participants is suitable for the study as the aim is not to quantify findings through numerical or statistical data, but to seek deeper and more detailed insight into youth workers’ understanding of professional maturity.

Youth workers from local youth charities and centres will be contacted, the study will be explained, its purpose, what is requested from participants, and any concerns or questions they have will be addressed. To comply with ethical considerations (BERA, 2024), I will also create and provide to youth workers an informational document, outlining the scope of the study; an informed consent form, emphasising that participation is voluntary and that they have the right of withdrawal at any time; and a guarantee that anonymity and confidentiality will be protected. Notification of withdrawal would be appreciated but would not be compulsory.

The interviews will take place on Microsoft Teams at individual and agreed upon times, lasting for an estimated sixty minutes. Conducting interviews in this manner is more practical as it allows for flexibility for youth workers to participate, with minimal disruption to their schedules (Wakelin, McAra-Couper and Fleming, 2024). It enables the collection of information from multiple locations without the need to visit each site, removing the barrier of possible safeguarding requirements needed to allow an in-person visit. Online individual interviews through Microsoft Teams

will create a private space for detailed discussion, as semi-structured interviews in a qualitative study combine structure with flexibility.

Semi-structured interviews align with interpretivist research because they put a lens on participants' perspectives and meanings. In researching this topic, semi-structured interviews help identify not only what youth workers believe professional maturity to be, but also how they have come to that conclusion (DeJonckheere and Vaughn, 2019). Interviewing youth workers, and asking exploratory questions, will help to identify factors involved in how they formulate their perspectives on professional maturity, such as organisational impacts, supervisory inputs, personal values, and practical interactions on sites (DeJonckheere and Vaughn, 2019).

However, semi-structured interviews are not without limitations. Interviews require the creation of pertinent questions to elicit clarifying answers for the study; interviews can be time-consuming or difficult to schedule with participants; and in this study, the results will be based on ten participants, which is a relatively small number for analysis. This study would not be able to deliver broad data representing all youth workers. There is also the risk that youth worker participants may present with social desirability bias; responding to questions in a way that they believe makes them appear in a more positive light, especially when discussing their own practice or role (Bergen and Labonté, 2019). This potential impression management, where an individual attempts to manage how they are perceived by others (Zettler *et al.*, 2015), can skew the study results. However, semi-structured interviews are still the most appropriate method for investigating the complex and contested meaning of professional maturity in youth workers.

Data Analysis:

Data collected from interviews will be analysed through thematic analysis, which is appropriate because it enables the identification of recurring themes, patterns, meanings and beliefs, from the accounts of youth workers (Naeem *et al.*, 2023). Thematic analysis aligns with a qualitative and interpretivist angle of study because it receives detailed narratives and accounts from youth workers and examines those for meaning without minimising their experiences to numerical data and statistics. The interview records will be analysed several times, with recurring themes and meanings identified and collated into groups, for use in answering the research question (Naeem *et al.*, 2023). Other methods of analysis, such as statistics, are not appropriate for this study because this research is using qualitative interview data and is not quantitative in nature. Semi-structured interviews, with thematic analysis, provide the most pertinent method of data collection and analysis for this study to answer the research question, in the foundation of an interpretivist paradigm with qualitative exploratory methodology.

Consideration of ethical issues:

To ensure that the study complies with ethical guidelines, the research will follow the BERA (British Educational Research Association) Ethical Guidelines (2024). This is relevant to the ethical considerations in my proposed study, as the study requires collecting qualitative data from youth workers from their personal experiences and accounts in practice to answer the research question. Under BERA guidelines, my proposed study will aim to guarantee respect, reiterate that consent and withdrawal is voluntary, that participants are kept informed as research is ongoing, that confidentiality and anonymity will be respected, and that gatekeeping and data storage are considered throughout the entire study.

Power relationships between researchers and participants, is an ethical issue to consider in this study, as although the youth workers participating will be adults and not minors, youth workers may perceive that their professionalism is being critiqued, due to exploratory questions asked during interviews. This may impact how participants respond. To reduce this possible social desirability bias (Bergen and Labonté, 2019), it will be clarified that the research is not judging their performance but is exploring how they identify professional maturity in practice. Interviews and questions will be delivered respectfully, and youth workers will not be pressured to respond to questions that might make them uncomfortable.

Gatekeepers, individuals who control access to data in places such as charities, organisations, government entities, businesses, and educational establishments, create a potential obstacle to access to information and data (BERA, 2024). In the case of youth workers, a conflicting situation may occur where youth workers could feel restrained from participation in the study from managers, or conversely, may feel pressured to participate from their managers. To manage this potentiality, the study details will be clearly explained to gatekeepers, explicitly stating that involvement is completely optional, and the youth workers have the choice to decline with no repercussions. If participation occurs, all proprietary organisational safeguarding or ethical requirements will be followed, as indicated in the BERA (2024) guidelines.

Participating youth workers will be given a clearly defined written description of the proposed research study. They will be clearly informed verbally before the interview commences, reiterating the reason for the study and its aims, the approximate sixty minute timeframe of the interview, and how the data will be used and stored. Informed consent will be requested before participation, aligning with BERA (2024) guidelines, emphasising consent is voluntary, informed, and ongoing, and is not a one-off formality of consent. Youth workers will be informed of their right to withdraw from the study at any time, and for any reason without risk of reprisals.

Anonymity and confidentiality are other factors in this study (BERA, 2024). Real names of participants will be redacted from the final, completed study and replaced with pseudonyms to protect the privacy of the youth workers involved. The final data will also be anonymised. However, if a participant wishes to waive their right to anonymity, and claim their own story or experience, they may do so and will have to state this in writing. Additionally, location and organisational names will be redacted, when necessary, to protect the confidentiality of those entities, unless they waive their right to anonymity, as well, and state this in writing.

Data protection and GDPR (General Data Protection Regulation), are relevant as the study collects personal data in the form of recorded interviews, and transcripts. BERA (2024) states that researchers have a duty of care to participants to protect their privacy and responsibly secure and manage their data. This applies to my proposed study due to youth workers sharing and disclosing their personal experiences, and perspectives on professional maturity. GDPR guidelines will be followed, specifically outlined in Chapter Three of the *Regulation (EU) 2016/679 of the European Parliament and of the Council* (2016), as it states that subjects, designated in my proposed study as youth worker participants, retain the right to be informed and access data held about them.

Participants retain the right to request inaccurate data correction, to have their data erased, restriction of data processing once collected, and objecting to how their data is used. All data collected will be stored securely using Microsoft OneDrive, with password protection in place (Microsoft, n.d.). Personal data and Personally Identifiable Information (PII) (Department for Education, n.d.), will be stored separately from interview data to further protect confidentiality, and all data will only be stored for the length of time required to complete the research. However, as recommended by BERA (2024), while every effort to ensure confidentiality will be made, I will make clear to participants that there may be exceptional circumstances which require disclosure to relevant authorities, such as accounts of harm, abuse, or criminal or illegal activity.

Conclusion:

My proposal has outlined a study for exploring how youth workers understand professional maturity in practice, using a qualitative and interpretivist approach. Existing literature suggests the concept of professional maturity is not fixed but fluid, with youth workers' personal experiences, practice environments, organisational frameworks, and supervisory input influencing its meaning. Due to this, I have chosen a social constructionist ontology, interpretivist epistemology, thematic analysis, and semi-structured interviews, as the most appropriate methods to answer the research question. Ethical considerations of this research are acknowledged, including consent, anonymity and confidentiality, the right to withdraw, gatekeeping, and data protection. In conclusion, this study aims to clarify the understanding of professional maturity and its meaning to youth workers in practice.

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Appendix:

APPLICATION FOR ETHICAL APPROVAL – INTRODUCTORY NOTES

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**:

“[C]reative 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 (academic staff or support staff);
- Individuals holding honorary title from the University;
- Postgraduate research students;

In all of these cases ethical review is required regardless of discipline.

The individual undertaking the research activity is known as the **lead researcher**.

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

For most projects you will only need to complete sections in the main part of the form. A few projects will need more detailed ethical consideration and will need you to fill in sections in an appendix. At some points in this form you will be asked questions about your research in the following way:

1	Does your research involve <<something specific>>?	YES	Click to continue to appendix <<N>>	NO	Continue to the next section
2	Have you completed appendix <<N>>?	YES	☐	NO	☐

Clicking in the appropriate box will take you to the appropriate location in the text. At the end of each appendix is a box. Clicking on this will return you to the question that originally took you to the appendix.

Return to the

main form

NB These clickable links will only work if you are editing the document in the desktop version of Word, not the browser version. Please download and save the form before editing it.

Guidance notes are provided as comments or as text **IN GREEN** throughout this form. Please ensure that the comments are removed and that the green text is replaced by your own text or removed as appropriate BEFORE submitting this form.

Please ensure that you have read the UWTSD Research Ethics and Integrity Policy and the UWTSD Research Data Management Policy BEFORE submitting this form.

APPLICATION FOR ETHICAL APPROVAL

SECTION A: About You (Lead Researcher)

1	Full Name:	Lucy Rhodes			
2	Tick all boxes that apply:	Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student	☐	Taught Postgraduate Student	X	Postgraduate Research Student
3	Institute/Academic Discipline/Centre:	Humanities and Social Sciences			
4	Campus:	Carmarthen/Online			
5	E-mail address:	2518176@student.uwtsd.ac.uk			
6	Contact Telephone Number:	07804737490			
7	Project Title	How do youth workers understand professional maturity in practice?			
8	Proposed Start Date	June 15, 2026	Proposed End Date	December 15, 2026	
For students:					
9	Student Number:	2518176			
10	Programme of Study:	MA Equity and Diversity in Society			
11	Director of Studies/Supervisor:	Dr Jessica Pitman			

SECTION B: Grant or Contract Funding

1	Has your research been awarded, applied for, or intend to apply for external funding?	YES	Click to continue to appendix 1	NO	Continue to the next section
2	Have you completed appendix 1?	YES	☐	NO	☐

SECTION C: Internal and External Ethical Guidance Materials

Ethical Guidance Documents

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 Policy	☒
2	UWTSD Research Data Management Policy	☒
3	UWTSD Open Access Publications Policy	☒
4	UWTSD Export Control Policy	☐
	<i>Required if Appendix 8 completed</i>	
5	UWTSD Trusted Research and Innovation Policy	☐
	<i>Required if research is taking place outside the UK</i>	
6	[List any other relevant documents here] BERA Guidelines	☒

SECTION D: External Collaborative Research Activity

1	Does your research involve collaborating partners at another institution or organisation?	YES	Click to continue to appendix 2	NO	Continue to the next section
2	Have you completed appendix 2?	YES	☐	NO	☐

SECTION E: Details of Research Activity

Aims, Vision and Approach of the Research (maximum 200 words per section)

Please outline what are you hoping to achieve with your proposed work and how will you deliver it?

1	Research aims and objectives
Research Question: How do youth workers understand professional maturity in practice? Aims and objective: To analyse the experiences of youth workers and explore how they understand professional maturity in practice.	

2	Vision
Professional maturity is not clearly defined in current literature. This study could reveal new knowledge rather than depending on existing understanding. It is timely because youth work is an evolving service with changing expectations. This study's social impact is a potentially better understanding of professional maturity that could improve youth worker training, supervision, and organisational frameworks.	
3	Approach
Qualitative, interpretivist approach, using semi-structured interviews with ten youth workers, purposively chosen. Microsoft Teams used, interviews analysed with thematic analysis. Approach is suitable for relevancy to answer question and convenience for participants. Potential risk is youth workers' availability, which will be managed through flexible appointments. Translation of youth workers' practice-based data into information for future youth worker and organisational.	
4	Location of research activity Identify all locations where research activity will take place.
● Microsoft Teams	

5	Will any of your research be undertaken outside of the UK?	YES	Click to continue to appendix 3	NO	Continue to the next section
6	Have you completed any of appendix 3?	YES	☐	NO	☐

SECTION F: Research Methods

Will the research activity include:		YES	NO
1	Use of a questionnaire or similar research instrument?	☐	X
2	Use of interviews?	X	☐
3	Use of focus groups?	☐	X

4	Use of participant diaries?	☐	X
5	Use of video or audio recording?	X	☐
6	Use of computer-generated log files?	☐	X
7	Participant observation with their knowledge?	☐	X
8	Participant observation without their knowledge?	☐	X
9	Access to personal or confidential information without the participants' specific consent?	☐	X
10	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	X
11	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	X
12	Investigation of participants involved in illegal activities?	☐	X
13	Use of procedures that involve deception?	☐	X
14	Administration of any substance, agent or placebo?	☐	X
15	Working with live vertebrate animals?	☐	X
16	Procedures that may have a negative impact on the environment?	☐	X
17	Other primary data collection methods. Please indicate the type of data collection method(s) below.	☐	X

Details of any other primary data collection method:

SECTION G: Research Participants

Research participants include people who will be taking part in your research as providers of research data (e.g. being interviewed, answering questionnaires, or doing user testing of hardware or software). This includes animal participants.

1	Does your research involve human or non-human participants?	YES	Continue this section	NO	Click to continue to section N
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Participant numbers and source

How will you ensure an appropriately convened sample group in order to meet the aims of the research? Give details for subgroups separately, if appropriate. How will any potential pitfalls, for example dual roles or potential for coercion, be addressed?

- | | | |
|---|--|---|
| 1 | How many participants will be recruited and how was the number decided upon? | Ten participants, suitable for a small-scale qualitative study exploring understanding of professional maturity, and not statistics. |
| 2 | Who will the participants be? | Youth workers with direct experience of youth work in practice. |
| 3 | How will you identify the participants? | Youth workers from local area charities and organisations, identified directly or through supervisors. |
| 4 | Will you be excluding any groups of people, and if so what is the rationale for that? | Excluding those without direct youth work experience, as they cannot assist answering research question. |
| 5 | Will the research involve any element of deception? If yes, please describe why this is necessary and whether participants will be informed at the end of the study | N/A |
| 6 | Describe whether participants will be able to withdraw from the study, and up to what point (eg if data is to be anonymised). If withdrawal is not possible, after a certain point, explain why not. | Participants have right of withdrawal any time; however, after anonymisation, full withdrawal may not be possible because of unidentifiable data. |
| 7 | How long will the participant have to decide whether to take part in the research? | One week. |

8

What arrangements have been made for participants who might have difficulties understanding verbal explanations or written information, or who have particular communication needs that should be taken into account to facilitate their involvement in the research?

As participants are adult youth workers, no communication difficulties anticipated. Reasonable adjustments will be made if difficulties are disclosed.

SECTION H: Research with Vulnerable People

1	Are your participants classed as vulnerable people?	YES	Click to continue to appendix 4	NO	Continue to the next section
2	Have you completed appendix 4?	YES	☐	NO	☐

SECTION I: Research Involving Animals

1	Are your participants non-human animals?	YES	Click to continue to appendix 5	NO	Continue to the next section
2	Have you completed appendix 5?	YES	☐	NO	☐

SECTION J: Research with the Prison Service or the Probation Service

1	Are your participants staff or offenders within the Prison Service or the Probation service?	YES	Click to continue to appendix 6	NO	Continue to the next section
2	Have you completed appendix 6?	YES	☐	NO	☐

SECTION K: Health and Social Care Research

1	Are your participants selected due to their health or social care needs?	YES	Click to continue to appendix 7	NO	Continue to the next section
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2	Have you completed appendix 7?	YES	☐	NO	☐
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SECTION L: Types of Personal Data

Personal Data		YES	NO
Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
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 and transcription of such are considered to be personal data. If you ticked YES, provide a description of the data and explain why this data needs to be collected:	X	☐
Names, contact details, audio/video recordings, and interview transcripts. This is required for participant recruitment and analysis.			

Special Category Data		YES	NO
Does the research involve the processing of special category data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
2	Racial or ethnic origin	☐	X
3	Political opinions	☐	X
4	Religious or philosophical beliefs	☐	X
5	Genetic, biometric or health data	☐	X
6	Sex life or sexual orientation	☐	X
7	Trade union membership	☐	X

If you ticked **YES** to any of questions L2-L7, provide a description of the data and explain why this special category data needs to be collected to support the research and that it is in the public interest to do so:

8

9 Please describe how the research has been designed to gather the minimum amount of personal data necessary for the specified research purpose:

Only data collected to contact participants, attain consent, record interviews, and analyse data.

10 Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded:

Participants protected through informed consent, anonymity, confidentiality, and secure data storage.

- 11 Demonstrate that the data will not be used to take any action or make decisions in relation to the individuals concerned:

Data only used for answering research question.

- 12 Data should be anonymised wherever possible, either at point of capture or once collated. If the data cannot be anonymised, and if pseudonymisation is not possible, demonstrate why that is possible. If special category data cannot be anonymised, explicit consent to share that data must normally be obtained.

Personally identifiable information anonymised after collection, and pseudonyms used for results.

- 13 If special category data cannot be anonymised, will you obtain explicit consent to share that data?

YES	NO	N/A
☐	☐	X

SECTION M: Participant Information and Consent

Information for participants

It is normally expected that those participating in research should do so having given their informed consent. If this is not appropriate or practical, explicit justification must be provided, in line with prevailing disciplinary conventions. Please note however, that informed consent to participate in the research is separate from consent to process (e.g. collect, analyse, store, reuse or share) personal data, as the University's lawful basis for processing personal data in research activities is part of its 'public task'.

- 1 Will you obtain written consent for participation?
- 2 Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?
- 3 Will you tell participants that their participation is voluntary?
- 4 Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?
- 5 If the research is observational, will you ask participants for their consent to being observed?
- 6 Will you tell participants that they may withdraw from the research at any time and for any reason?
- 7 Will participants be made aware of how you will treat any information that may reasonably be considered as confidential?
- 8 If your research requires your participants to sign up for a service provided by an external company or organisation will you inform them that their data may be stored and processed outside UWTSD?
- 9 Will you give participants the UWTSD Privacy Notice for Research?

YES	NO	N/A
X	☐	☐
X	☐	☐
X	☐	☐
☐	☐	X
☐	☐	X
X	☐	☐
X	☐	☐
☐	☐	X
X	☐	☐

If you have answered **NO** to any of questions M1-M9, please provide justification detailing why this is necessary for the research.

10

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 the research begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded.

11

Participants given written information sheet and verbal explanation, before receiving informed consent.

Confidentiality: Confidential information refers to information that can be related to an identifiable individual, whether living or deceased, which is not in the public domain and which is given with the expectation that it will be kept confidential. Under Common Law when an individual entrusts a researcher or research team with confidential information, the team must handle this in line with 'reasonable expectations'. In other words, confidential information should only normally be shared when there would be 'no surprises' for the individuals concerned. Where participants would not expect the researcher to be sharing their confidential information with others, researchers can manage their expectations by informing them of their intentions (e.g. in the participant information sheet or during discussions about participation) and asking them if they are happy with these plans. They should understand what is being proposed and what this might mean for them, before they decide whether the researcher can share their confidential information with others.

Please detail how you will treat confidential information:

12

Participants will be informed with the information sheet that personally identifiable information will be protected with pseudonyms and anonymity, and data will stored securely.

Copies of any written consent form, written information and all other explanatory material should accompany this application. If you have included these then please list the documents included here.

13

Not included.

14 Consent form attached?

YES NO N/A

☐ ☐ ☐

SECTION N: Research with Potential Military Application

1	Does your research have any potential military application?	YES	Click to continue to appendix 8	NO	Continue to the next section
2	Have you completed appendix 8?	YES	☐	NO	☐

SECTION O: Use of Artificial Intelligence Tools

Use of generative AI and other AI-based tools

There are a number of ethical issues relating to the use of generative AI and other AI-based tools, including data security, output bias, and output errors. In general you should assume that any generative AI or other AI-based tool that you pay to use is more secure and accurate than one which is free to use.

Will the research use AI tools to do any of the following:

	YES	NO	N/A
1 Capture data?	☐	X	☐
2 Generate and/or edit text?	☐	X	☐
3 Generate graphics?	☐	X	☐
4 Generate video?	☐	X	☐
5 Generate sound/music?	☐	X	☐
6 Generate code?	☐	X	☐
7 Generate synthetic data?	☐	X	☐
8 Analyse data?	☐	X	☐
9 Analyse personal or sensitive data?	☐	X	☐
10 Classify data?	☐	X	☐
11 Do you intend to use the free version of any AI tools?	☐	X	☐

If you have answered **YES** to any of questions O1-O11, please provide justification detailing why this is necessary for the research.

Section P: Research Data Management Plan

1 Data Summary
• Interview recordings • Transcripts

- Consent forms
- Participant contact details
- Anonymised study data

2 Responsibilities

- Researcher will be solely responsible for data management. No partner institutions involved.

3 Assessment of existing data

- Existing literature not expansive, and does not provide comprehensive qualitative data on how youth workers define professional maturity.

4 Management and curation of data

- Consent forms securely stored
- Interview recordings transcribed
- Files collated with clear names
- Transcripts anonymised

5 Quality assurance of data

- Interview question prepared in advance
- Recordings examined for clarity
- Transcripts checked for accuracy
- Anonymous files examined prior to analysis

6 Short-term data storage

- Data stored on password secured OneDrive during research
- Restricted access only for researcher
- Personally identifying information stored separately from anonymous research data

7 Long-term data storage and preservation

- Anonymous transcripts and analysed data most valuable for
- Stored securely per UWTSD requirements
- Personally identifiable information not shared
- No external archiving
- Data retained only for required time needed and academic review

8 Documentation and metadata

- Data will include consent forms, interview dates/times, and file names
- File will be named, dated, and collated as research is ongoing

9 Data sharing

- N/A

10 Copyright and intellectual property ownership

- Property rights of generated data remain with the researcher, subject to UWTSD policies

11 Resources

- Secure digital storage and transcription time required
- Microsoft Teams, OneDrive, and Word
- Storage costs are nil as OneDrive available through UWTSD
- Costs met with existing UWTSD resources and researcher's time

SECTION Q: Risk Assessment

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.

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
		☐	X

Risks to participants, researchers, and the University

2	Social risks: disclosures that could affect participants standing in the community, in their family and their job.	YES	NO
		☐	X

Risk:	How will you address any risks?

3	Legal risks: activities that could result in the participant, researchers and / or University committing an offence; activities that might lead to a participant disclosing criminal activity to a researcher which would necessitate reporting to enforcement authorities; activities that could result in a civil claim for compensation	YES	NO
		☐	X
Risk:		How will you address any risks?	
4	Economic harm: financial harm to participant, researcher and / or University through disclosure or other event.	YES	NO
		☐	X
Risk:		How will you address any risks?	
5	Reputational risk: damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.	YES	NO
		☐	X
Risk:		How will you address any risks?	
6	Safeguarding risks: Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a compromising situation, in which there might be accusations of improper behaviour.	YES	NO
		☐	X
Risk:		How will you address any risks?	

--	--

7	Sensitive, embarrassing or upsetting topics. <i>If research activity may include sensitive, embarrassing or upsetting topics 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.</i>	YES	NO
		X	☐
Example 1: Participant may feel uncomfortable discussing own professional maturity and workplace experiences. Mitigation: Participant informed they may refuse to answer any question, and stop or withdraw interview at any time. Example 2: Participant may reveal harm, safeguarding concerns, or possible illegal activity. Mitigation: Information sheet and consent form clarifies limits of confidentiality, and certain disclosures may require notifying authorities.			
	Health and safety risks		
8	Location hazards: <i>for example: fire; visiting or working in participant's homes; working in remote locations and in high crime areas; overseas travel; hot, cold or extreme weather conditions; working on or by water. Also hazardous work locations, such as construction sites, confined spaces, roofs or laboratories. For overseas travel, researchers will need to check country / city specific information, travel health requirements and consider emergency arrangements as part of their research planning. In all cases the University's International Travel Policy must be followed.</i>	YES	NO
		☐	X
Risk:		How will you address any risks?	
9	Activity hazards: <i>for example: potentially mentally harmful activities; distressing</i>	YES	NO

	<i>and stressful work and content; driving; tripping or slipping; falling from height; physically demanding work; lifting, carrying, pushing and pulling loads; night time and weekend working.</i>	☐	X
<i>Risk:</i>		<i>How will you address any risks?</i>	
10	Machinery and equipment: for example: ergonomic hazards, including computer workstations and equipment; contact with electricity; contact with moving, rotating, ejecting or cutting parts in machinery and instruments; accidental release of energy from machines and instruments.	YES	NO
		☐	X
<i>Risk:</i>		<i>How will you address any risks?</i>	
11	Chemicals and other hazardous substances: the use, production, storage, waste, transportation and accidental release of chemicals and hazardous substances; flammable, dangerous and explosive substances; asphyxiating gases; allergens; biological agents, blood and blood products.	YES	NO
		☐	X
<i>Risk:</i>		<i>How will you address any risks?</i>	
12	Physical agents: for example: excessive noise exposure, hand-arm vibration and whole body vibration; ionising radiation; lasers; artificial optical radiation and electromagnetic fields	YES	NO
		☐	X
<i>Risk:</i>		<i>How will you address any risks?</i>	
13	Environmental risks: for example: accidental spillage of pollutants, damage to local ecosystems	YES	NO
		☐	X
<i>Risk:</i>		<i>How will you address any risks?</i>	

SECTION R: Disclosure and Barring Service

Disclosure and Barring Service

1	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
	Does your research require you to hold a current DBS Certificate?	☐	X	☐
2	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.			

SECTION S: 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 Policy which is published on the website: <https://www.uwtsd.ac.uk/research/research-ethics/>

1	Name of applicant	Lucy Rhodes
2	Electronic or written signature of applicant:	Lucy Rhodes
3	Date	April 13, 2026
4	Name of Director of Studies	Dr Jessica Pitman
5	Electronic or written signature of Director of Studies:	
6	Date	

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

- 1 **X** I have read the guidance notes supplied before completing the form.
- 2 **X** I have completed all relevant sections of the form in full.

- 3 ☐ I have attached a copy of the Participant Information Sheet (PIS) or Consent Form
- 4 ☐ I have attached a completed copy of the Trusted Research and Innovation Checklist (where applicable)
- 5 ☐ I have attached a full risk assessment (where appropriate)
- 6 **X** 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
- 7 **X** I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Data Management Policy
- 8 **X** I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Export Control Policy
- 9 **X** I understand that it is my responsibility to ensure that the above named research activity will meet the University's Open Access Research Policy

10	I have completed the following appendices:	1	☐	2	☐	3	☐	4	☐
		5	☐	6	☐	7	☐	8	☐

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.

END OF MAIN FORM

APPENDIX 1 – Grant or Contract Funding

A1.1	Has your research been awarded external funding?	YES	☐	NO	☐
A1.2	Have you applied for funding / awaiting decision?	YES	☐	NO	☐
A1.3	Are you intending to apply for funding?	YES	☐	NO	☐
A1.4	Funding Body				
A1.5	Lead institution (grant holder)				
A1.6	If awarded, grant reference				
A1.7	If awarded, grant value				
A1.8	If awarded, start date and duration				

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APPENDIX 2: External Collaborative Research Activity

INSTITUTION 1

A2.1

Name

A2.2

Researcher name and position

A2.3

Role in project (e.g. co-investigator)

A2.4

Contact e-mail address

External Ethical Approval

A2.5

Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.

Obtained?	YES	NO	PENDING
	☐	☐	☐

INSTITUTION 2

A2.6

Name

A2.7

Researcher name and position

A2.8

Role in project (e.g. co-investigator)

A2.9

Contact e-mail address

External Ethical Approval

A2.10

Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.

Obtained?	YES	NO	PENDING
	☐	☐	☐

INSTITUTION 3

A2.11

Name

A2.12 Researcher name and position

A2.13 Role in project (e.g. co-investigator)

A2.14 Contact e-mail address

External Ethical Approval

A2.15 *Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.*

Obtained?	YES	NO	PENDING
	☐	☐	☐

Add additional collaborators as needed

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APPENDIX 3: Research Undertaken Outside of the UK

A3.1	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. Describe the measures you have taken to comply with these and provide evidence of approvals etc. If you live in the country where you will do the research then please state this. If you have a local research supervisor or research advisor then please give their contact details here.	
A3.2	Responsible Research and Innovation If research is taking place overseas please refer to the UWTSD Trusted Research and Innovation Policy and complete the Trusted Research and Innovation Checklist and submit it with this form.	
A3.3	Confirm that you have read the Trusted Research and Innovation Policy	☐

If you are a postgraduate research student working with a research supervisor or research advisor at your local university then you do not need to fill in any more sections of this appendix.

If you are working in a research collaboration with an overseas partner please complete the remaining sections of this appendix.

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Organisational Details	
A3.4	Name of Organisation
A3.5	Country where organisation is based:
A3.6	Registration number and name of registration body (examples of relevant registration bodies are government, tax, corporation, charity, educational authority):

A3.7	What is the legal status of the organisation? (for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation) Please include the date of foundation. Note: We may be required to ask for evidence of this at a later stage.
A3.8	Is your organisation affiliated to any other organisation? (i.e. is the organisation legally part of a larger organisation or a group of larger organisations).
A3.9	Name(s) of investigators in the organisation who will be responsible for the collaborative research and innovation

About New Partners

A3.10 Why does a partner want to work with you?

A3.11 What are they expecting in return for their financial support or involvement?

A3.12	Is the organisation associated with a country which may be viewed as hostile to the UK or one which has different democratic and ethical values from our own? If you have ticked YES, please briefly describe below how you will maintain the UK’s democratic and ethical values within the research.	YES	NO
		☐	☐

A3.13	Has due diligence into the partner identified any involvement in research on	YES	NO
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	behalf of the military or police with links to a hostile state? If you have ticked YES, please summarise below how you will prevent information from this research from being released to these organisations.	☐	☐
--	--	--------------------------	--------------------------

A3.14	Set within the context of any information gained from due diligence, could your research be misused or have unintended applications which would be negative? If you have ticked YES, please summarise below how this might occur.	YES	NO
		☐	☐

A3.15	Are there any legal, regulatory or university policy constraints on undertaking your research with this partner? If you have ticked YES, please summarise these below.	YES	NO
		☐	☐

A3.16	Having considered the answers to questions A3.10-A3.15, are there potential reputational or ethical risks to you or the university? If you have ticked YES, please summarise these risks below.	YES	NO
		☐	☐

About Research Relationships		YES	NO
A3.17	Are the terms of any proposed Memorandum of Understanding (MoU) in keeping with the expectations of your department and university?	☐	☐
A3.18	Are you providing existing intellectual property (IP), research data, confidential or personally identifiable data to the project? If so, how is this going to be protected?	☐	☐

A3.19	Who will own any IP that is generated?
-------	--

A3.20 What plans do you have in place for protecting the resulting IP?

A3.21 What contractual requirements are you able to put in place to protect the interests of your academic institutions?

A3.22 What access will the research partner have to your IT network? If they do have access, what broader visibility might this provide?

A3.23 Is there any physical separation or protection required between research in similar fields?

About Existing Partners

A3.24	Would proceeding with the research raise potential conflicts of interest with existing research partners? If you have ticked YES, please explain these conflicts below.	YES ☐	NO ☐
-------	---	--	---------------------------------------

A3.25	Have you spoken with your existing partners about any potential conflict of interest? If you have ticked YES, please briefly summarise their response(s) below.	YES ☐	NO ☐
-------	---	--	---------------------------------------

A3.26	Does any non-disclosure agreement for this project include an expectation that you will need to provide visibility to existing partners? If you have ticked YES, please explain below how this will be managed.	YES ☐	NO ☐
-------	---	--	---------------------------------------

A3.27	Will this research breach any existing contractual agreements that you, your department or university already have? If you have ticked YES, please explain below how this will be managed.	YES ☐	NO ☐
-------	--	--	---------------------------------------

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APPENDIX 4: Research with Vulnerable People

Will the research involve data processing involving the following data subjects:		YES	NO
A4.1	Children under 16	☐	☐
A4.2	Adults with learning disabilities	☐	☐
A4.3	Adults with other forms of mental incapacity or mental illness	☐	☐
A4.4	Adults in emergency situations	☐	☐
A4.5	Prisoners or young offenders	☐	☐
A4.6	Those who could be considered to have a particularly dependent relationship with the investigator, e.g. members of staff, students	☐	☐
A4.7	People who have not given their explicit consent to participate in the project	☐	☐
A4.8	People engaged in illegal activities	☐	☐
A4.9	Any other people who can be considered vulnerable in the context of this project	☐	☐

Please justify the inclusion of the above people (if applicable), explaining why the research cannot be conducted on non-vulnerable people.

A4.1
0

Please give details of extra steps taken to assure the protection of vulnerable people participating in the research. You should describe any arrangements to be made for obtaining consent from a legal representative.

A4.11

It is the researcher's responsibility to check whether a DBS check (or equivalent) is required and to obtain one if it is needed. Please confirm:

A4.1
2 DBS Check required?

YES

NO

☐
☐

A4.1
3 DBS certificate obtained?

YES

NO

N/A

☐
☐
☐

[Return to the main form](#)



APPENDIX 5: Research Involving Animals

The use of animals in research is tightly governed and monitored by law and by the Home Office, specifically under the Animals (Scientific Procedures) Act 1986 and its accompanying codes of practice and processes. The Act regulates procedures that are carried out on protected animals for scientific or educational purposes that may cause pain, suffering, distress or lasting harm. Under the Act, a protected animal is ‘any living vertebrate, other than man, and any living cephalopod’. The University does not hold a Home Office issued Establishment Licence and therefore researchers must ensure that any proposed work involving animals is either exempt from the Act or falls outside of its scope. Exempted research, for example involving routine veterinary practice or clinical veterinary research, may still require external ethical approval from the Royal Society of Veterinary Surgeons. When undertaking collaborative research involving animals, the UWTSD Research Ethics Committee must be assured that the partner institution(s) conform to the appropriate regulatory framework or legislation, and have approval from their local Research Ethics Committee. Any such work must follow the guidance of the National Centre for the Replacement, Reduction and Refinement of Animals in Research, known as the 3Rs. In all cases, advice must be sought from INSPIRE for any proposed research involving animals, either at UWTSD, or by research collaborators in partnership with UWTSD. This should be at the very early stages of research design, so that an appropriate due diligence exercise can be undertaken.

Will the research involve any work with any of the following animals (including observation in their natural habitat)	YES	NO
A5.1 Any living vertebrates, other than humans?	☐	☐
A5.2 Any living cephalopods?	☐	☐
A5.3 Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A5.4 Due diligence assessment appended to this application?	☐	☐

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.

A5.5

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APPENDIX 6: Research with Staff or Offenders in Prison Establishments and Probation Services

Research with staff and/or offenders in prison establishments, the Probation Service or within His Majesty's Prison and Probation Services requires additional approvals.

Will the research involve any of the following?		YES	NO
A6.1	Staff in prison establishments	☐	☐
A6.2	Offenders in prison establishments	☐	☐
A6.3	The Probation Service	☐	☐
A6.4	His Majesty's Prison and Probation Services	☐	☐

All researchers wanting to conduct research with staff and/or offenders in prison establishments, the Probation Service regions or within HM Prison and Probation Service (HMPPS) Headquarters are required to formally apply for research approval to the HMPPS National Research Committee (NRC). Before doing so, INSPIRE must undertake an initial due diligence exercise. If you have not contacted INSPIRE, please do so immediately. If YES to any of the above, please confirm:

A6.5	Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A6.6	Have you applied to the HMPPS National Research Committee (NRC)?	☐	☐
A6.7	Has HMPPS National Research Committee approval been granted? If yes, please append to this application.	☐	☐
A6.8	Due diligence assessment appended to this application?	☐	☐

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.

A6.9

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APPENDIX 7: Health and Social Care Research

All health and social care research must have a sponsor as defined by the Health Research Authority UK Policy Framework for Health & Social Care. The University will under no circumstances act as the sponsor of health and social care research (i.e. that which requires approval by a NHS Research Ethics Committee). In all cases, therefore, an appropriate collaborating partner must lead the research. Any health and social care research therefore requires an initial due diligence exercise, which will be undertaken by INSPIRE. The purpose of the due diligence exercise is to ensure that the University has the capability to undertake the research, either independently or in collaboration with research partners. This will include advice on suitable collaborative arrangements and the appropriate involvement of UWTSD researchers in the proposed research study. This is likely to apply to the following areas:

Will the data processing involve:		YES	NO
A7.1	Participants who have been recruited on the basis of medical and health conditions, life stage or other physical or mental attribute.	☐	☐
A7.2	Participants who will engage in physical exercise, activity or exertion of any kind, or who use exercise equipment, assistive devices or other apparatus for the purposes of the research study. This includes interventions that are minimally invasive.	☐	☐
A7.3	Patients and users of the NHS (including NHS patients treated in the private sector).	☐	☐
A7.4	Individuals identified as potential participants because of their status as relatives or carers of patients and users of the NHS.	☐	☐
A7.5	Patients who are cared for in private and voluntary sector nursing homes.	☐	☐
A7.6	Confidential patient information.	☐	☐
A7.7	Clinical trial of a medicinal product or medical device.	☐	☐
A7.8	Access to organs or other bodily material of past and present NHS patients, or any material consisting of or containing human cells.	☐	☐
A7.9	Use of human tissue (including non-NHS sources) where the collection is not covered by a Human Tissue Authority licence.	☐	☐
A7.10	Foetal material and IVF involving NHS patients.	☐	☐
A7.11	The recently deceased under NHS care.	☐	☐
A7.12	NHS staff or premises.	☐	☐
A7.13	Practising midwives conducting a clinical trial.	☐	☐
A7.14	Investigational medicinal product.	☐	☐
A7.15	Medical devices that are not CE-marked or CE-marked medical devices that have been modified or are being used for a new purpose.	☐	☐
A7.1	Exposure to ionising radiation.	☐	☐

6

A7.1
7 Other health and social care related research.

☐ ☐

Please specify

Researchers proposing to work on projects involving health and social care research must check whether their study meets the HRA definition of research and whether it should undergo ethics review by a NHS Research Ethics Committee. If you have answered **YES** to any of questions A7.1-A7.17 then this is likely to be the case and sponsorship by a third party will be required. This can be checked via the Health Research Authority's Decision Tool : <https://www.hra-decisiontools.org.uk/research/>

A7.1
8 Does the research meet the HRA definition of research?

YES	NO	N/A
☐	☐	☐

A7.1
9 Is the Research being sponsored by a collaborating partner?

YES	NO	N/A
☐	☐	☐

A7.2
0 Has NHS ethics approval been granted?

YES	NO	N/A
☐	☐	☐

A7.2
1 Has INSPIRE undertaken an initial due diligence exercise?

YES	NO
☐	☐

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE. If you have not contacted INSPIRE, please do immediately.

A7.2
2

A7.23 Have you been granted NHS ethical approval?

YES

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NO

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APPENDIX 8: Export Control for Research with Potential Military End Uses

Export controls apply to the physical, electronic or oral transmission outside the UK of applied research, sensitive technology, software and equipment that could potentially be misused, either directly or indirectly, for military purposes. These legal controls are a serious obligation and UWTSD researchers must actively manage the risks of these being misused to fuel conflict, threaten national security, support terrorism and crime, violate human rights or proliferate Weapons of Mass Destruction. UWTSD's Export Control Policy provides a clear six step process to determine if your research is covered by export controls. Please complete the following screening to judge if you need to complete a full export control assessment. If you are in any doubt, then please contact INSPIRE. Any research in UWTSD involving the following high-risk areas must be screened.

Will the research involve:

Defence	YES	NO
A8.1 Military equipment and munitions	☐	☐
A8.2 Defence equipment, including satellites	☐	☐
A8.3 Technical data, including some border and port information	☐	☐
A8.4 Dual use research	☐	☐
Materials and Technologies	YES	NO
A8.5 Nuclear materials, facilities and equipment	☐	☐
A8.6 Chemicals, microorganisms and toxins	☐	☐
A8.7 Electronics design, development and production	☐	☐
A8.8 Computers	☐	☐
A8.9 Telecommunications	☐	☐
A8.10 Sensors and lasers	☐	☐
A8.11 Navigation and avionics	☐	☐
A8.12 Marine technology	☐	☐
A8.13 Composite materials	☐	☐
A8.14 Aerospace and propulsion	☐	☐
Sensitive Information	YES	NO
A8.15 Cryptology	☐	☐
A8.16 Counterterrorism	☐	☐
A8.17 Counternarcotics	☐	☐
A8.18 Cyber-related	☐	☐
A8.19 Non-proliferation	☐	☐
A8.20 Transnational criminal organisations	☐	☐

Genetic Resources		YES	NO
A8.21	Genetic material of actual or potential value	☐	☐
A8.22	Organisms, or parts thereof	☐	☐
A8.23	Populations (or organisms)	☐	☐
A8.24	Other biotic components of ecosystems	☐	☐
A8.25	Domesticated or cultivated species in which the evolutionary process has been influenced by humans	☐	☐

Will you be exporting military or dual-use technology, now or possibly in the future? This information may take many forms, including:		YES	NO
A8.26	Physical transfer of goods, technologies, material or equipment	☐	☐
A8.27	Blueprints	☐	☐
A8.28	Plans	☐	☐
A8.29	Diagrams	☐	☐
A8.30	Models	☐	☐
A8.31	Formulae	☐	☐
A8.32	Tables	☐	☐
A8.33	Engineering designs and specifications	☐	☐
A8.34	Manuals and instructions	☐	☐
A8.35	Software	☐	☐
A8.36	Know-how	☐	☐

Will your project transfer technology using any of the following physical methods?		YES	NO
A8.37	USB flash drives	☐	☐
A8.38	Portable hard drives	☐	☐
A8.39	Laptops	☐	☐
A8.40	Tablets	☐	☐
A8.41	Intangible forms by using electronic media, such as email, phone storage and cloud file sharing	☐	☐
A8.42	Physical exports	☐	☐

Will your project involve any of the following?	YES	NO
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A8.43	Oral transfer by phone or videoconferencing or presentations	☐	☐
A8.44	Travelling overseas for any purpose, while unintentionally carrying any of the above.	☐	☐
A8.45	Will you be hosting foreign visitors?	☐	☐

If you answer YES to any of questions A8,1-A8.45 then you should complete a full export control assessment and append that to this application. Before doing this please contact INSPIRE who will advise further.		YES	NO
A8.46	Full export control assessment required?	☐	☐
A8.47	Full export control assessment completed?	☐	☐
A8.48	Full export control assessment appended?	☐	☐

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