

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:	Jing Jing zhu			
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:	Yr Athrofa: Institute of Education and Humanities			
4	Campus:	Swansea			
5	E-mail address:	2406839@student.uwtsd.ac.uk			
6	Contact Telephone Number:	07594566593			
For students:					
7	Student Number:	2406839			
8	Programme of Study:	EDD Doctorate in Education			
9	Director of Studies/Supervisor:				

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?	<table border="1"> <tr> <td>Yes</td><td>☒</td></tr> <tr> <td>No</td><td>☐</td></tr> </table>	Yes	☒	No	☐
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					
	Research may result some participants feeling embarrassed because in Chinese culture, students do have obtain a good mark on examination would feel ashamed of themselves, and they would think that they will give other people a very bad impression such as lazy, no self-respect, and other negatives feelings, even in some cases, a bad reputation will be give to the person who fail a exam. This kind of risk would lead the participants loss of self-esteem which cause possible psychological harm to the participants. This research involved in longitudinal approach; it will take approximately four moths length time of period. If the participants life experience changes maybe some unpredictable risk of feel stressed to withdraw from the research because the participants may feel they need to obey the teachers request in Chinese culture. <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to participants:</i> I will make sure that emotional support the participants who do not get a high score In the related examination in the research process. During the interview, if I notice any emotional embarrassed or uncomfortable feelings, I will withdraw the interview immediately For the second risk I mentioned about the longitudinal approach may cause stress for the participants who may have life experience or circumstance change but under stress to withdraw from the research, I will send them the instruction form before the research and let them clearly know their rights, and they are free to withdraw any time. <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					
	<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					
	There might be emotional distress if some participants withdraw in the half way of the research, may cause more workload for the investigator and create potential risk of delay the research submission time	<i>How you will mitigate the risk to the investigator:</i> Foreseen the risk and try to understand the participants and be prepared for Plan B if there is a possibility to replace the participants or to reconstructs the size of the study.				

	The research involves overseas travelling, the trip may have safety risk and financial risk the price of tickets is high during the school starting season <i>(this box should expand as you type)</i>	Have a good preparation of the long trip. Try to organise the research schedule economically and efficiently in order to avoid the rush period <i>(this box should expand as you type)</i>
5	University/institutional risks For example: adverse publicity, financial loss, data protection	
	Risk to the University: The university reputation is the If there is a breach of the data or any conflicts between the participants may cause bad reputation damage to the university. <i>(this box should expand as you type)</i>	How you will mitigate the risk to the University: Will safely store the data of the research, and protect the identity of the participants by mix the questionnaire or the interview in a larger group prevent other people from identifying the participants. <i>(this box should expand as you type)</i>
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems	
	Risk to the environment: Some of the questionnaire will be used by face-to-face interview, the researcher may need to print out those questionnaires on papers, it might not very friendly to the environment <i>(this box should expand as you type)</i>	How you will mitigate the risk to environment: Try to use online questionnaire as many as I can, try to be environmental -friendly, try to conduct a paper free researcher <i>(this box should expand as you type)</i>

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 Debriefing and feedback of this research will inform participants about the purpose, goals, and nature of the research they participated before they involve in the study and after their involvement is completed. The participants will get that information by writing to them via email or post and if some participants do not feel comfortable to share the mail information, they will get that information from the institution they study in, the teaching assistant will distribute the information flyers to the student participants. <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 consent form and the information sheet which outline the research and what the student would be asked to do will send to a group Chat Application and a paper copy of the form and documents which inform the students that they can withdraw the process any time, all the information forms will be distributed to the student participants. All the forms will be signed by participants before conducting the interviews. All the participants will be offering an opportunity to raise any concerns about the interview. They will also be informed of purpose of this study and that the information and finding of this study would be part of a doctoral thesis. <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.
	In this research, each participants' privacy will be protected, the forms they signed and the personal data this research gathered will be guaranteed stored safely on the university' Drive. Some of the data would be destroyed after the research finished. In this research because it involves longitudinal research, it is invertible to the researcher to see participants' name. the participants will need to be identified to conduct the following rounds of interviews. <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
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.	☒	☐
	If YES, provide a description of the data and explain why this data needs to be collected:		
2	In the research, the participants ‘name will be exposed to the researcher because it will be used to recognise the participants for the longitudinal research, the participants will need to have second interview or some of them will participate the third interview. (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),	☐	☒
	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:		

	<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 and Supervisor		
	<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:		
	Supervisor		
	<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.		
	All electronic data will be stored on a password-protected computer file and all paper records will be stored in a locked filing cabinet, the paper records of questionnaires will be kept for a length of three months and will be destroyed after the project completed.		
	<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>		
	Yes , the research data can be stored in the UWTSD research data website.		
	<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	☒
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