

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.

Delete the Guidance Notes at the end of the form BEFORE submitting your application

SECTION A: About You (Principal Researcher)

Full Name:		Edward Michael George Prasad			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Faculty/School/Centre:		University of Wales Trinity Saint David (UWTSD)			
Campus:		Swansea			
E-mail address:		1809704@student.uwtsd.ac.uk			
Contact Telephone Number:		07840266602			
For students:					
Student Number:		1809704			
Programme of Study:		Level 7 Software Engineering			
Director of Studies/Supervisor:		Kemi Ademoye			

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☒	NO	☐
			Date	
If Yes, please indicate source of approval (and date where known): Approval in principle must be obtained from the relevant source prior to seeking ethical approval	Research Degrees Committee	☐		
	Faculty Research Committee	☐		
	Other (write in) Approved by supervisor.	☒	12/04/19	

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, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice 2017-2020	☒
	☐
	☐

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☒	NO	☐	
If Yes, please provide the name of the external organisation and name and contact details for the main contact person:					
Institution	DVLA				
Contact person name	Craig James				
Contact person e-mail address	Craig.james@dvla.gov.uk				
Are you in receipt of a KESS scholarship?	YES	☐	NO	☒	
Is the research funded or non-funded?	Funded	YES	☒	NO	☐
	Non Funded	YES	☐	NO	☒
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☒
	Employed	YES	☒	NO	☐
Is the research being undertaken within an existing UWTSD Schools Partnership?	If YES additional information is not required)	YES	☒	NO	☐
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

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				

SECTION E: Details of Research Activity

Indicative title:	DIGITISING THE 20 METRE VISION TEST USING VOICE RECOGNITION SOFTWARE FOR USER INPUT		
Proposed start date:	1 st June 2019	Proposed end date:	1 st January 2020
Introduction to the Research (maximum 300 words) Ensure that you write for a Non-Specialist Audience when outlining your response to the three points below: • Purpose of Research Activity • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
Purpose of Research Activity To create a digital simulation of the minimum eye sight distance test that the DVLA must have potential drivers pass before they are issued a driving licence. Research will be conducted into: why the test is needed, how the test is currently carried out, image scaling, screen resolution detection and voice recognition software. The voice recognition software will allow users to verbalise their response should they be too far away from a keyboard. There is existing research on image scaling, screen resolution detection and voice recognition software and I plan to use this to enhance my own research into these topics by allowing me to gain a deeper understanding of the fields. My research will provide the DVLA with a piece of software that anyone in the general public will be able to use to ensure they pass the minimum eye sight distance test before they even learn to drive. (this box should expand as you type)			
Aims of Research Activity • To gain knowledge of why the vision tests are needed by DVLA and how they can be improved. • To create a digital replication of the minimum distance eye sight test for UK drivers. • To evaluate whether this digital replication would be used by the general public. (this box should expand as you type)			
Objectives of Research Activity • To use the 3D modelling software Unity to render a registration plate at the correct distance. • To critically assess different voice recognition software and evaluate which would be best suited for implementation. • To critically evaluate other pieces of software with a similar goal and understand how they could be improved. • To conduct interviews with the general public to determine if this would be a product they would use. (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.

I plan to use interviews, surveys and questionnaires in order to gather data from the general public about the concept of my project both before and after the implementation of the software.

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

Swansea campus of UWTSD.

(this box should expand as you type)

Research activity outside of the UK

If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural sensitivities or vulnerabilities of participants.

(this box should expand as you type)

Use of documentation not in the public domain: Are any documents NOT publicly available?	NO	☐
	YES	☐

If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain.

(this box should expand as you type)

SECTION F: Scope of Research Activity

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

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

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

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☒	☐
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children and Young People under the age of 8? (Consent from Parent, Carer or Guardian will be required)	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.	☐	☒

Participant numbers and source	
Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	30 <i>(this box should expand as you type)</i>
Who will the participants be?	Any person that is of an age that permits them to have a driving licence. <i>(this box should expand as you type)</i>
How will you identify the participants?	Asking people I know and students or staff at the university if they can drive and/or have taken the minimum eye sight distance test. <i>(this box should expand as you type)</i>

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

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	☒	☐
Is specialist electrical or other equipment to be used with participants?	☒	☐	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
If YES to any question, please provide full details			
A computer with the implemented software available for the participants to use to then provide feedback. This will only be needed for the later stages of the research, namely once the implementation has been completed. <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.							
Full risk assessment completed and appended?			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">☐</td> </tr> <tr> <td style="text-align: center;">No</td> <td style="text-align: center;">☒</td> </tr> </table>	Yes	☐	No	☒
Yes	☐						
No	☒						
Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information							
Risk to Participant: Potential eye strain from looking at a screen. <i>(this box should expand as you type)</i>		How will you mitigate the Risk to Participant Ensuring the participants view the screen for a limited amount of time. <i>(this box should expand as you type)</i>					
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>							
Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest							
Risk to Investigator: <i>(this box should expand as you type)</i>		How will you mitigate the Risk to Investigator: <i>(this box should expand as you type)</i>					
University/institutional risks For example: adverse publicity, financial loss, data protection							
Risk to University: <i>(this box should expand as you type)</i>		How will you mitigate the Risk to University: <i>(this box should expand as you type)</i>					

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
Does your research require you to hold a current DBS Certificate?	☐	☒	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback What de-briefing and feedback will be provided to participants, how will this be done and when? When a participant is testing the software, a brief overview of what the participant performed and why will be provided to them on completion of the testing session. <i>(this box should expand as you type)</i>
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. I will verbally explain what the participant will be participating in but will also provide a written document for their information. I will ask for consent before beginning any questionnaire, survey, interview or testing process and will receive this by designing a brief form that explains the actions the participant will be performing on which they will sign to provide their consent. <i>(this box should expand as you type)</i>
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. Confidentiality and anonymity will be preserved as I will not record the names of the participants. I will however ask for their age, as this could influence the results, but will allow the participants to omit this if they do not wish to disclose their age. <i>(this box should expand as you type)</i>

SECTION J: Data Protection and Storage

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

Does the research activity involve personal data (as defined by the General Data Protection Regulation)?	YES	NO
<i>"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.</i>	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		
<i>(this box should expand as you type)</i>		
Does it involve special category data (as defined by the General Data Protection Regulation)?	YES	NO
<i>"Special category data" means sensitive personal data consisting of information as to – (a) the racial or ethnic origin of the data subject, (b) his political opinions, (c) his religious beliefs or other beliefs of a similar nature, (d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) his physical or mental health or condition, (f) his sexual life, (g) his genetics, (h) his biometric data (as used for ID purposes),</i>	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		
<i>(this box should expand as you type)</i>		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☐	☒
University computers?	☐	☒
Private company computers?	☒	☐
Home or other personal computers?	☒	☐
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
"Cloud" storage or websites?	☐	☒
Other – specify:	☐	☒
For all stored data, explain the measures in place to ensure data confidentiality, including details of password protection, encryption, anonymization and pseudonymization:		
To specify, private company computer refers to the laptop supplied by DVLA. Any personal data that is collected will be stored on the DVLA issued laptop and on an external memory storage		

device, to mitigate loss of data. Any data will always be stored in a folder that is password protected using Windows 10 file explorer password protection.		
<i>(this box should expand as you type)</i>		
All Data Storage		
Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☒
Sharing of data with others at the University?	☐	☒
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☐	☒
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the General Data Protection Regulation (and/or any international equivalent):		
<i>(this box should expand as you type)</i>		
List all who will have access to the data generated by the research activity:		
Myself and my supervisor.		
<i>(this box should expand as you type)</i>		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Myself only.		
<i>(this box should expand as you type)</i>		
Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
Data will be stored on my laptop hard drive, an external memory stick and the Microsoft One Drive space provided by the University. This data will be stored in password protected folders where possible and will only be held for as long as it is relevant to this project.		
<i>(this box should expand as you type)</i>		
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	☒
	NO	☐

SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants. In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice		
Signature of applicant:	<i>Edward Prasad</i>	Date: 28/05/19

For STUDENT Submissions:

Director of Studies/Supervisor:	Kemi Ademoye	Date:
Signature:		

For STAFF Submissions:

Head of School/Assistant Dean:		Date:
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 (and have NOT completed Section H of this form) (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 Head of School.
☒	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY

All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk, with the title 'Ethical Approval' followed by your name.

You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

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

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

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

Application Process

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

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