

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

SECTION A: About You (Principal Researcher)

Full Name:	Lee Mullins				
Tick all boxes which apply:					
Member of staff:	☐	Student:	☒	Honorary research fellow:	☐
Faculty/School/Centre:	School of Business				
Campus:	Online Distance Learning				
E-mail address:	1602090@student.uwtsd.ac.uk				
Contact Telephone Number:	07401078011				
For students:					
Student Number:	1602090	Undergraduate	☐		
Programme of Study:	MBA – General Management	Taught Postgraduate	☒		
Director of Studies/Supervisor:	Dr. Alex Bell / Will Fleming	Research	☐		

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		YES	☒	NO	☐
					Date
If Yes, please indicate source of approval (and date where known):	Research Degrees Committee		☐		
	Faculty Research Committee		☐		
	Other (write in) Dissertation Supervisor		☒	24/01/19	

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

SECTION C: External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.

https://www.uwtsd.ac.uk/research/research-ethics/	☒
<i>UWTSd Research Integrity and Ethics Code of Practice PDF</i>	☒
https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/	☒

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☒	NO	☐
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If Yes, please provide the name of the external organisation and name and contact details for the main contact person:

Institution	Primary quantitative research from the general public and paid consumer panels with potential for optional qualitative research from Ickle Bubba
Contact person name	Fran Vaughan
Contact person e-mail address	fran.vaughan@icklebubba.com

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

Does this organisation have its own ethics approval system?	YES	☐	NO	☒
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If Yes, please attach a copy of any final approval (or interim approval) from the organisation

SECTION E: Details of Research Activity

Indicative title:	Examining consumer impulse and regret behaviour by gender in the UK Baby Car Seat market		
Proposed start date:	01/02/2019	Proposed end date:	30/04/2019

Purpose of research activity (including aims and objectives)

Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)

Despite an array of research/academic interest, a preliminary literature review of impulse buying and post purchase regret suggests there's a lack of intelligence tying the two fields together, particularly at a product cluster level. This study gives the researcher free-reign to use quantitative and qualitative research to explore the negative consumer emotional responses, developing fresh insights, specific to a growing market segment which currently lacks both academic and practitioner interrogation.

A consumer survey will be designed to examine impulse buying motivations and factors of regret for any adult with parental or guardianship responsibilities in the UK. There will be 6 key objectives:

1. Establish whether there's a link between impulse decision making and post-purchase regret in the Baby Car Seat category
2. Establish whether male and female parents and guardians make purchasing decisions based

on different impulses and emotions

3. Establish whether male and female parents and guardians experience different regret drivers
4. Determine how these decisions and concerns vary across different demographics, socio-economic conditions and sales channels
5. Evaluate how regret impacts brand loyalty in this category
6. Recommend forward-looking product and marketing strategies that can help brands improve STP performance and develop more fruitful relationships with UK parents & guardians

(this box should expand as you type)

Proposed methods

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

The researcher will work within an “interpretative paradigm”, using comparative, deductive, cross-sectional techniques for the study as this seems more suitable for data comparison and testing the hypotheses within a limited time frame.

Mixed methods are preferred, however, the bulk of primary research will be quantitative, gathering retrospective insights and forward-looking perspectives from consumers in the researcher’s direct and indirect networks. SurveyMonkey (a powerful online data collection tool) will be used based on ease of use, affordability and analytical strength, utilising social media networking sites such as LinkedIn, Facebook and MumsNet to support the acquisition of feedback from UK customers. These platforms are the most effective way to scale and appeal to a large audience, ideally creating a “snowball effect” with the sampling process.

From a qualitative perspective, the researcher will attempt to conduct face to face or telephone interviews with credible industry representatives to supplement consumer research data.

In the absence of organic survey uptake, the contingency plan is to work with paid survey agencies to drive consumer panel responses as this will broaden the recipient base whilst helping to smoothen the effects of geographic bias in the results within the researcher’s direct network. There will be no external intellectual input to the survey or analysis. This solution would only facilitate data capture.

(this box should expand as you type)

Location of research activity Identify all locations where research activity will take place. Private office space at St.Cleares, Whitland and potentially Ponthenry, Carmarthenshire, South Wales (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. N/A (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		
Depending on the level of organic uptake within the researcher's network, data collection services may be enlisted from a survey agency	☒	☐

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

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

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children under 18?	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify): Basically any parent or guardian over 18 who have bought a baby/child car seat, irrespective of background and without prejudice. Vulnerable or offending participants, students and UWTSD staff will not be proactively targeted but may end up voluntarily engaging through the network	☒	☐

Participant numbers and source

Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?

The primary respondents are likely to be categorised as follows:

- Current parents, step-parents, foster-parents, adoptive parents & grandparents
- Prospective parents, step-parents, foster-parents, adoptive parents & grandparents
- Friends and relatives of the aforementioned
- Carers/Teachers/Nursery Employees
- Employees of companies in the Travel & Leisure industry who cater to families

According to a SurveySystem Sample Size Calculator Tool, 384 responses is desirable for a maximum population of 2,473,800 (31% of 7.98m families who may have regretted a purchase) at 95% confidence level and a confidence interval of 5. The researcher's direct social media network contains approximately 1250 people, 70% UK based. Assuming a conservative 5% response rate, this could drive 60 survey responses. The Mumsnet "Active Talk" Community Board (Mumsnet, 2018) suggests incentivised surveys typically receive between 50 and 120 responses so this could be a useful source of participants. The combined target number of organic consumer responses for the survey is expected to be between 115 and 210. Any shortfall (and more) could be picked up through data collection support from paid consumer panels/survey agencies.

this box should expand as you type)

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			
For the sake of completeness and context, it is important that research captures feedback to all the structured questions to reduce ambiguity in the analysis. Therefore, all questions will be mandatory. Survey respondents will not be debriefed as email addresses will be optional, personally identifiable information minimised and time restrictions will not allow for it. However, qualifying respondents (who provide email addresses) may be contacted to clarify certain inputs and/or be notified of their gift incentive award for taking part. (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			
Some respondents are likely to benefit financially from this research, whereas the majority are expected to voluntarily contribute. A reward-based survey may be useful in driving organic adoption whilst filtering out more of the extreme responses that are driven by irrationality and high levels of emotion after a purchase. Therefore 6 x 25 pound gift vouchers will be offered to the public, with 6 winners drawn at random throughout the course of the 3 month research window. If paid data collection services are called upon to drive adoption of the survey, the agency could possibly pay their panel members with a cut of the fee that is charged to the researcher (or incentivise them by some other means for their engagement). (this box should expand as you type)			

SECTION H: Anticipated Risks

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

Risks to participants

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

The main risk in this research is around data security and unauthorised access to customer email addresses by hacking into external data collection tools like SurveyMonkey. See **Section J: Data Protection & Storage** for mitigating steps

(this box should expand as you type)

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

Not anticipated

(this box should expand as you type)

Risks to investigator

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

Not anticipated

(this box should expand as you type)

University/institutional risks

For example: adverse publicity, financial loss, data protection

Understanding and adherence to both UWTSD and Ickle Bubba policies are necessary to avoid controversial outcomes that may put reputation in jeopardy.

(this box should expand as you type)

Adverse outcomes

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

Screening of any supporting qualitative responses with both Ickle Bubba and the dissertation supervisor could help filter/clarify any areas of contention before results are discussed in the study

(this box should expand as you type)

Disclosure and Barring Service

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

Has a DBS certificate been obtained?

YES

NO

N/A

☐

☐

☒

SECTION I: Feedback, Consent and Confidentiality

Feedback

What feedback will be provided to participants, how will this be done and when?

1 - N/A for consumers

2 - Potential to disclose the results of the research with Ickle Bubba as a thank you for supporting the study

(this box should expand as you type)

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.

Respondents will be presented with up front information at the start of the survey that outlines the scope and purpose of the study and will need to give proactive, explicit consent as per the requirements of new EU GDPR legislation.

(this box should expand as you type)

Confidentiality / Anonymity

Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.

The survey will keep requests for personally identifiable information to a bare minimum i.e. email address, which will be asked for on a voluntary basis for those who want to be eligible for the gift voucher reward. Such personally identifiable information will also be removed from the final analysis.

(this box should expand as you type)

SECTION J: Data Protection and Storage

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

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)?	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
Limited information: primarily email address which will be asked for on a voluntary basis for those who want to be eligible for the gift voucher reward. Requests for location data will be restricted to the county level to help interpret regional trends in the results. The researcher is unaware whether SurveyMonkey tracks IP addresses for responses in their tool. Similarly, external data collection websites will have their own respective Cookies & ePrivacy policies that respondents need to consider. (this box should expand as you type)		
Does it involve sensitive personal data (as defined by the Data Protection Act)?	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		
Not anticipated (this box should expand as you type)		

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☒	☐
Sharing of data with others at the University?	☒	☐
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☒	☐
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):		
Data will be transferred from SurveyMonkey or any other chosen data collection provider to a USB drive and may also be shared with the Dissertation Supervisor or other examiners at UWTSD if desired. Information will not be transferred overseas at any point in the research process. Archives will be stored for a limited period of time (see further storage arrangement details on p11). (this box should expand as you type)		

Will the research activity involve storing personal 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 and anonymisation:

The laptop is password protected and there are private rooms and WiFi encryption at all research locations. Hardware also has built in Apple Mac security protection, supplemented by Kaspersky 2018 antivirus software to mitigate risk around remote data breaches. The external hard drive is also configured only for Mac support, limiting the risk exposure to <10% of the consumer market if hardware loss/theft occurs.

(this box should expand as you type)

List all who will have access to the data generated by the research activity:

- 1) The Researcher
- 2) SurveyMonkey
- 3) Any paid survey agency provider that supports acquisition of data outside of the Researcher's network
- 4) UWTSD academic staff (if requested)

(this box should expand as you type)

List who will have control of, and act as custodian(s) for, data generated by the research activity:

- 1) The Researcher
- 2) SurveyMonkey
- 3) Any paid survey agency provider that supports acquisition of data outside of the Researcher's network
- 4) UWTSD academic staff (if requested)

(this box should expand as you type)

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 collection tools will have SSL certification. Survey responses will be downloaded and analysed on the researcher's laptop, temporarily stored on a secure desktop location and on an encrypted USB hard drive for data recovery. This information will be kept for a period of 1 year after final submission of the research project to University of Wales, Trinity St David (UWTSD) at which point, records will be permanently deleted.

(this box should expand as you type)

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: *L. Mullins*

Date: 01/02/2019

For students:

Director of Studies/Supervisor:	Will Fleming
Signature:	<i>[Signature]</i>
Date:	29/1/2019

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

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

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.

RESEARCH STUDENTS AND STAFF ONLY

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

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

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

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