

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:	Pricilla Bethsheba Moses			
2	Tick all boxes that apply:	Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student ☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
3	Institute/Academic Discipline/Centre:	Institute of Management and Health			
4	Campus:	UWTSD Swansea Business Campus			
5	E-mail address:	1818519@student.uwtsd.ac.uk			
6	Contact Telephone Number:	+44 7454778793			
7	Project Title	A Qualitative Study of Exploring Managerial Interpretations of Digital Transformation in Operational Processes Within the Sri Lankan General Insurance Sector.			
8	Proposed Start Date	05/03/2026	Proposed End Date	01/06/2026	
For students:					
9	Student Number:	1818519			
10	Programme of Study:	Doctorate of Business Administration			
11	Director of Studies/Supervisor:	Dr. Caroline Jawad			

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	<i>[List any other relevant documents here]</i> 1. The British Academy of Management (BAM) Code of Conduct: As the research falls within the "Business and Management" discipline, BAM provides the primary ethical steering for UK-based researchers. BAM (2026) emphasizes that research should not only be theoretically sound but also provide "real-world impact" for the communities involved (in this case, the Sri Lankan insurance sector). 2. CABS (Chartered Association of Business Schools) Guidelines: CABS provides the ethical standard for Business School research, particularly concerning "Experienced Leaders" (HODs). Since the participants are senior leaders, CABS (2026) highlight the risk of unequal power dynamics or commercial sensitivity. The use of Reflexive Thematic Analysis (Braun & Clarke, 2022) supports this by acknowledging the active role in the research process while maintaining academic objectivity. 3. IRCSL (Insurance Regulatory Commission of Sri Lanka): Their code of conduct for insurers emphasizes Integrity and Professionalism. This research must respect the "Duty of Confidentiality" that these HODs / Seniors have toward their policyholders. 4. ICCSL (Institute of Chartered Corporate Secretaries of Sri Lanka): Since many HODs are members, their 2024/2026 codes emphasize Transparency and Objectivity. Referencing these shows the Ethics Board that researcher understands the professional standards that participants are bound by. 5. Personal Data Protection Act (PDPA) No. 9 of 2022: the primary legal authority for data privacy in Sri Lanka. In this research, it is the Sri Lankan equivalent of the UK GDPR. Since the participants are interviewed via Teams/Zoom with HODs located in Sri Lanka, it is must to comply with specific provisions of this Act to satisfy your Ethics Board. Main compliance is for this research; Lawful Basis for Processing (Section 5), Data Minimization & Purpose Limitation (Section 6 & 7), and Cross-Border Data Flows (Section 26)	☒

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
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2	Have you completed appendix 2?	YES	☐	NO	☒
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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 Preliminary Research Aim The preliminary aim of this research is to explore the managerial perception (construct meaning and interpretation) of digital transformation in operational processes within the Sri Lankan General Insurance Industry. Research Objectives 1. To investigate how managers interpret digital initiatives within the Sri Lankan General Insurance operational context (e.g., claims processing, underwriting, or policy issuance). 2. To examine the influence of technological, organizational and environmental cultures in different leadership style on the adoption of digitalization in daily operations. Research Questions RQ1: How do managers in the Sri Lankan General Insurance sector make sense of digital transformation in their operational role? RQ2: How do technological, organizational and environmental factors shape manager's experience of digital adoption in the Sri Lankan General Insurance sector? (this box should expand as you type)
2	Vision Problem Statement: Despite the rapid global shift towards InsurTech, the Sri Lankan General Insurance sector faces a significant 'execution gap' in digital transformation (DT). While the Technology-Organization-Environment (TOE) context driven by regulatory pressure and market volatility demands digitized operational processes, the success of these initiatives is inconsistent. This inconsistency stems from a lack of understanding regarding how managers engage in Sensemaking to interpret digital disruptions. Without aligned managerial interpretations, organizations fail to leverage their Dynamic Capabilities to effectively reconfigure traditional operational processes. Consequently, there is a critical need to explore how these interpretations influence the transition from legacy systems to agile, digitalized operations within the specific socio-economic landscape of Sri Lankan General Insurance market.

Theoretical Framework:

1. Substantive Theory: Sensemaking (Weick, 1995)

This research advances the current understanding of digital transformation by utilizing Sensemaking Theory to shift the focus from technological infrastructure to managerial cognition. According to Weick (1995), sensemaking is the process through which individuals structure the unknown to enable action. In the context of the Sri Lankan General Insurance sector, digital disruption often creates "cues" those managers must interpret based on their existing mental frameworks. By investigating these interpretations, this study generates new thinking on how the personal biases, experiences, and cultural backgrounds of Sri Lankan managers dictate the success of operational change. This discovery is significant beyond the field of insurance, as it provides a psychological roadmap for why identical digital strategies yield vastly different results across various organizations.

Dynamic Capabilities (Teece, 2017)

The application of Dynamic Capabilities Theory adds a strategic dimension to the study by explaining how organizations "sense, seize, and reconfigure" their resources to remain competitive (Teece, 2017). This research generates new knowledge by identifying the specific "sensing" mechanisms used by insurance managers to identify digital opportunities within a volatile economy. It advances the field by demonstrating that operational processes are not merely static sets of instructions, but fluid assets that must be constantly reconfigured in response to technological shifts. The importance of this discovery lies in its ability to show how Sri Lankan insurance firms can build long-term resilience, moving beyond short-term "tech-fixes" to create a sustainable culture of agility that can withstand regional economic fluctuations.

2. Supportive Theory: TOE Framework (Tornatzky & Fleischer, 1990)

By employing the Technology-Organization-Environment (TOE) Framework, this study provides a comprehensive structural analysis of the digital landscape. Developed by Tornatzky and Fleischer (1990), the framework posits that adoption is influenced by technological availability, organizational readiness, and environmental pressure. This research advances current thinking by contextualizing these three pillars within the unique regulatory and social environment of Sri Lanka. It discovers how specific pressures such as the directives from the Insurance Regulatory Commission of Sri Lanka (IRCSL) interact with organizational hierarchies to shape digital outcomes. This generates vital insights for both policymakers and tech providers, offering a clear understanding of the environmental barriers that currently hinder the full digitalization of operational processes in developing financial markets.

Furthermore, this research is highly apt, as it addresses the critical "execution gap" within the Sri Lankan General Insurance sector during a pivotal year of digital transformation. As of 2026, the industry is navigating a convergence of aggressive regulatory mandates from the IRCSL and a post-economic recovery surge in InsurTech adoption, moving the TOE Framework's "Environmental" pressure from

elective to essential. By applying Sensemaking Theory (Weick, 1995), the study captures a real-time shift in how managers mentally frame these rapid disruptions transitioning from legacy mindsets to AI-integrated workflows at a moment when cultural resistance remains the primary barrier to success. Furthermore, as firms strive for operational resilience in a volatile market, the study utilizes Dynamic Capabilities Theory (Teece, 2017) to provide an immediate diagnostic of how managerial interpretations allow organizations to "sense and seize" digital efficiencies, such as automated claims processing. Ultimately, this research meets an urgent national need to transform digital ambition into measurable operational advantage, providing a strategic roadmap for the sector's long-term sustainability.

This research holds transformative potential for the Sri Lankan economy, society, and environment by providing the managerial framework necessary to convert digital strategy into tangible public value. From an **economic** perspective, aligning managerial Sensemaking (Weick, 1995) with digital tools allows firms to leverage Dynamic Capabilities (Teece, 2017) to reduce operational costs and improve underwriting profitability, which is vital for the stability of the national financial sector. **Socially**, the study facilitates greater financial inclusion; as managers interpret digital platforms as tools for outreach rather than just internal efficiency, they can bridge the "protection gap" for rural and underserved populations through accessible mobile micro-insurance. Furthermore, the **environmental** impact is realized through the TOE Framework's "Technological" and "Environmental" pillars, as the shift toward digitized, paperless operational processes significantly reduces the industry's carbon footprint and enables the deployment of parametric insurance to protect communities against climate-related risks. Ultimately, this research moves beyond corporate profit to foster a more resilient, transparent, and inclusive insurance ecosystem for all Sri Lankans.

(this box should expand as you type)

3 Approach

Paradigm and Design:

This study focused on "managerial interpretations," the most effective framework is **Reflexive Thematic Analysis (RTA)** on qualitative research approach (Braun & Clark, 2022). RTA is specifically designed for identifying, interpreting and analysing the patterns of themes. It emphasizes researcher subjectivity, reflexivity, and an organic, iterative, 6-phase approach to generate themes rather than simply discovering them. The approach is widely used to explore experiences, views, and social realities. Therefore, RTA is suitable for interviewing 6 experienced and industry expertise managers. It prioritizes depth over breadth, which is essential when trying to uncover the insights that drive high-level decision-making in the Sri Lankan insurance context. The research is designed as one-on-one, semi-structured interviews with the 6 participants. These interviews (approx. 30-40 minutes) will use an open-ended interview guide to explore how they "make sense" of specific digital shifts (e.g., AI in claims or automated underwriting).

Data Collection:

Data collection process is designed to capture the "lived experience" and "meaning-making" of managers as they navigate digital transformation. The research will use **Purposive Stratified Sampling** to select 6 participants. This ensures that the data represents the entire spectrum of the Sri Lankan market.

Participants will be potential HODs and managers, who will be identified via LinkedIn and professional insurance networks by researcher's 19 years of professional background and relationships. It will select exactly 2 from large-scale (n=2), 2 from middle-scale (n=2), and 2 from small-scale (n=2) firms.

Participants meet the "5-year experience" and "age 30–60" criteria to ensure they have witnessed the industry's evolution and their insights have rich contents.

Data Analysis:

Integrating Braun and Clarke's (2022) Reflexive Thematic Analysis (RTA) with a theoretically informed approach (Terry et al., 2017) aligned with sensemaking theory and dynamic capabilities theory as substantive theories and supported by the TOE framework, creates a robust bridge between the raw data from 6 participants and three core theories. This ensures the analysis isn't just a summary of what was said, but a deep managerial interpretation of how digital transformation is being shaped in Sri Lanka.

Data Analysis Process: 6-Phase Analytic Process (Braun & Clark)

The process begins with **Immersion (Familiarization)**, where transcribing and reading the six interviews to understand the "lived experience" of the insurance managers. Then it moves into **Theoretically Informed Coding**, applying labels derived from the three core theories while remaining open to unique Sri Lankan general insurance contextual factors. These codes are then clustered into **Generating initial themes** of shared meaning that explain how managers interpret digital shifts. It is developing and **Reviewing these themes**, checking them against the entire dataset to ensure they accurately represent the "Sensemaking" of participants. Then it **Refines, Defines and Naming Themes** that deepens the analysis to define the essence of each theme and choosing evocative names that capture their core. Finally, the process concludes with a **Narrative Write-up** that weaves together direct quotes with theoretical analysis to provide a roadmap for operational transformation. NVivo will make the approach feasible, effective, and professional.

Quality Criteria:

Following Lincoln and Guba (1985) and Tracy (2010): credibility through prolonged engagement and member checking; transferability via thick description; dependability through audit trails; confirmability via reflexive journaling. Data saturation assessed using Guest et al.'s (2006) guidelines.

(this box should expand as you type)

4

Location of research activity

Identify all locations where research activity will take place.

Primary Data Collection: (outside the UK)

Residence or offices (on their convenience) of managers representing Sri Lankan General Insurance companies

Secondary Data Collection:

UWTSD Swansea campus for supervision meetings, UWTSD Swansea campus library, researcher's residence for remote interviews and data analysis

(this box should expand as you type)

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?	☐	☒
2	Use of interviews?	☒	☐
3	Use of focus groups?	☐	☒
4	Use of participant diaries?	☐	☒
5	Use of video or audio recording?	☒	☐
6	Use of computer-generated log files?	☐	☒
7	Participant observation with their knowledge?	☒	☐
8	Participant observation without their knowledge?	☐	☒
9	Access to personal or confidential information without the participants' specific consent?	☐	☒
10	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
11	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
12	Investigation of participants involved in illegal activities?	☐	☒
13	Use of procedures that involve deception?	☐	☒
14	Administration of any substance, agent or placebo?	☐	☒
15	Working with live vertebrate animals?	☐	☒
16	Procedures that may have a negative impact on the environment?	☐	☒
17	Other primary data collection methods. Please indicate the type of data collection method(s) below.	☐	☒
Details of any other primary data collection method: The above list covers most common data collection methods. If you will use other types of data collection for all or some of your data collection then please describe them here. (this box should expand as you type)			

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?	Six (06) participants will be selected to cover 2 from large scale, 2 from middle scale and 2 from small scale insurance companies compared to their market share in the Sri Lankan general insurance sector. Participants will be recruited using a purposive sampling strategy, drawing on the researcher's professional network developed through 19 years of sector experience as a senior insurance practitioner. Purposive sampling enables researchers to intentionally select participants who possess relevant knowledge, experience, or expertise related to the research topic, thereby ensuring the collection of rich and meaningful data (Patton, 2015). <i>(this box should expand as you type)</i>
2	Who will the participants be?	• Senior and middle managers (probably HODs and Unit Heads) of Sri Lankan general insurance companies. • Minimum 5 years' experience in the sector • Representation of different functionalities (IT, Underwriting, Claims, Sales, General operations and Customer services) <i>(this box should expand as you type)</i>
3	How will you identify the participants?	Participants will be recruited using a purposive sampling strategy, drawing on the researcher's professional network developed through 19 years of sector experience as a senior insurance practitioner. Organization 1: General Manager – General operations Organization 2: Motor Underwriting & Operations Organization 3: Head of Financial Lines - Sales

		Organization 4: Deputy General Manager – Head of Medical Claims Organization 5: Head of IT Organization 6: Head of Customer Services <i>(this box should expand as you type)</i>
4	Will you be excluding any groups of people, and if so what is the rationale for that?	• Less than 5 years in general insurance sector experience • Not in managerial capacity • Under 30 years of age - The Sri Lankan insurance sector follows a unique and standardized pattern of career progression. To qualify for a Head of Department (HOD) or Senior Managerial role, an individual must demonstrate significant professional maturity, typically requiring a minimum of 10 years of industry experience alongside formal professional qualifications. In the Sri Lankan context, the academic route to becoming a qualified insurance practitioner is rigorous, generally requiring at least five years of specialized study. Consequently, for senior leadership roles, industry experience and academic qualifications are weighted with equal importance. Therefore, a manager aged 30 or above possessing this dual foundation of experience and qualification is uniquely positioned to contribute rich, high-quality content to this research. • Temporary or probational workers <i>(this box should expand as you type)</i>
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	None. Full transparency about research purpose, methods, data handling, withdrawal rights, and researcher affiliation. <i>(this box should expand as you type)</i>
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 will have the right to withdraw from the study at any stage of the research process without penalty or disadvantage. <i>(this box should expand as you type)</i>

7	How long will the participant have to decide whether to take part in the research?	Minimum 7 days between receiving Participant Information Sheet and consent. Additional time accommodated upon request. <i>(this box should expand as you type)</i>
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?	Within the Sri Lankan service sector, especially in the financial services industry, English is widely used as a professional working setup at the managerial level. Consequently, all participants are expected to be sufficiently proficient and comfortable participating in the research in English. <i>(this box should expand as you type)</i>

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
2	Have you completed appendix 7?	YES	☐	NO	☒

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:	☒	☐
The research will collect the following personal data: Biographical information: Job title, organisational role, years of experience, department. Justification: Essential for contextualising participant responses and enabling purposive sampling across hierarchical levels. Audio visual recordings of interviews. Justification: Required for accurate transcription and analysis of participant narratives; enables reflexive thematic analysis. Personal contact details (email). Justification: Necessary for scheduling interviews and member checking activities. Observational data from digital sessions. Justification: Required to understand how participants interact with digitalized knowledge systems in practice. The respective participants over 30 years have Observational data means information gather from their facial expressions, language and tone and video recording of the session will provide the necessary information. All personal data is essential for achieving the research objectives and will be processed in accordance with GDPR principles of lawfulness, fairness, transparency, purpose limitation, data minimisation, accuracy, storage limitation, and integrity. <i>(this box should expand as you type)</i>			

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	☐	☒
3	Political opinions	☐	☒
4	Religious or philosophical beliefs	☐	☒
5	Genetic, biometric or health data	☐	☒

6	Sex life or sexual orientation	☐	☒
7	Trade union membership	☐	☒
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	Any use of special category data must be fully justified. (this box should expand as you type)		
9	Please describe how the research has been designed to gather the minimum amount of personal data necessary for the specified research purpose: The Data Protection Act (2018) requires you to collect as little personal data as possible. Explain how your project has been designed to do this. Highlight what data will be collected and what will NOT be collected. The research design minimises potential for harm through: Professional context: All data relates to participants' professional experiences with general insurance operation, not personal or sensitive life circumstances. Organisational anonymisation: Company names and identifying characteristics will be masked, protecting participants from any organisational repercussions. Confidential participation: No individual-level reporting to organisations. Voluntary participation: Participants can decline questions or withdraw without explanation. Secure processing: All data processed on encrypted devices with restricted access. Member checking: Participants can review and amend their contributions before final analysis. Cultural sensitivity: Research design accounts for face-saving considerations and hierarchical dynamics in non-UK organisational contexts. The processing is in the corporate interest as it advances understanding of digital disruption in general insurance context in Sri Lanka, benefiting both academic knowledge and professional practice. (this box should expand as you type)		
10	Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded: Is there any way that participants could be affected by how you process their data? If not then say this. If there is, then say how you're going to protect them from harm. The research data will not be used to make any decisions affecting individual participants: No employment decisions: Research findings will have no bearing on participants' employment status, performance evaluations, promotions, or workplace relationships. No organisational reporting on individuals: Participants are willingly contributing their insights for the research based on the pro-long industrial relationship with the researcher. Academic purpose only: Data will be used exclusively for academic analysis, assignment completion, and scholarly publication. Separation from commercial interests: The researcher has no financial or commercial relationship with participating organisations that could influence participant outcomes.		

5. Explicit commitment: The consent form explicitly states that participation will not affect the participant's employment or professional standing.

These protections will be clearly communicated to participants before data collection begins.

(this box should expand as you type)

11	Demonstrate that the data will not be used to take any action or make decisions in relation to the individuals concerned:
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Explain that your research will have no direct impact on your participants, for instance if it is educational research then no decisions about the student will be made on the basis of this data.

A two-stage anonymisation process will be implemented:

Stage 1 - Pseudonymisation (during data collection):

Participants assigned unique codes (e.g., P1, P2, P3).

Linking file (codes to names) stored separately on encrypted drive.

Interview transcripts contain codes only.

Linking file enables member checking and clarification.

Stage 2 - Full anonymisation (post-analysis):

Linking file permanently deleted after member checking.

Any remaining identifying details removed from transcripts.

Organisational identifiers replaced with generic descriptors.

Quotes selected to avoid identification through context.

Special considerations for non-UK context:

Small professional community requires extra vigilance regarding indirect identifiers.

Role-specific experiences masked were unique to individual.

Industry-specific terminology generalised where potentially identifying.

Data will be fully anonymised before any sharing or publication. Anonymised data will be retained securely in accordance with UWTSD Research Data Management Policy for research integrity, examination, and audit purposes only.

Data will not be deposited in a public repository and will not be made openly accessible.

(this box should expand as you type)

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 the that is possible. If special category data cannot be anonymised, explicit consent to share that data must normally be obtained.
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Anonymisation – irreversibly removing all personal identifiers. Once data is fully anonymised GDPR no longer applies. Pseudonymisation – replacing personal identifiers with codes or fictitious names but having a separate key that allows re-identification if necessary. This provides improved privacy but does not exempt the data from GDPR regulations. Pseudonymisation is often used for longitudinal studies.

No data will be collected that allows identification of participants by third parties without access to the linking file.

(this box should expand as you type)

13	If special category data cannot be anonymised, will you obtain explicit consent to share that data?	YES	NO	N/A
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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'.		YES	NO	N/A
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?	☒	☐	☐
If you have answered NO to any of questions M1-M9, please provide justification detailing why this is necessary for the research.				
10	Justify your decisions, particularly if written consent won't be obtained or if participants will not be fully informed in advance. Informed consent will be obtained through the following process: 1. Initial contact: Potential participants will receive a Participant Information Sheet via email normally at least 7 days before data collection. 2. Information provision: The Participant Information Sheet will include: - Research purpose and objectives - What participation involves (interview duration, topics, recording) - Data handling, storage, and confidentiality measures - Rights to withdraw - Contact details for researcher and supervisory team - UWTSD Privacy Notice for Research 3. Consent documentation: Written consent will be obtained using a consent form covering: - Confirmation of understanding the research			

	• Agreement to audio visual recording • Agreement to use of anonymised quotes • Acknowledgment of voluntary participation • Understanding of withdrawal rights 4. For digital sessions: Additional consent will be obtained for observation of platform interactions (for video recording / whether the preferred digital platform is zoom or teams etc.). 5. Ongoing consent: Participants will be reminded of their rights at the beginning of each interview and observation session. Consent relates to participation in the research. Data processing is undertaken under UWTSD's public task as a UK higher education institution, in accordance with UK GDPR. <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 the research begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded.	
11	Confidential information will be protected through multiple measures: 1. Data security: • All digital files encrypted using 256-bit AES encryption • Password-protected devices with two-factor authentication • Secure institutional storage approved by UWTSD • Physical documents stored in locked cabinets 2. Access restrictions: • Only the researcher will have access to identifiable data Supervisory team access to anonymised data only • Transcription services (if used) will be bound by confidentiality agreements • No sharing of raw data with participating organisations 3. Anonymisation protocols: • Participant codes used in all analysis documents • Organisational identifiers removed or replaced with generic descriptors • Indirect identifiers (unique roles, specific projects) masked where necessary • Quotes selected to prevent identification 4. Cross-border data protection: • Data collected in non-UK region stored on encrypted local device during fieldwork • Encrypted transfer to secure UK-based storage following fieldwork • Compliance with both UK GDPR and relevant non-UK region's data protection regulations • No storage of research data on non-UK cloud services 5. Retention and destruction:

- Identifiable data (including linking files and contact details) will be destroyed within 6 months of thesis completion
- Fully anonymised data retained securely in accordance with UWTSD Research Data Management Policy for research integrity and audit purposes only.
- Anonymised data will be retained securely in accordance with UWTSD's Research Data Management Policy for research integrity and audit purposes. Data collected during this pilot study may also contribute to the main doctoral thesis, in line with established qualitative research practice (Teijlingen & Hundley, 2001; Morse, 2016).
- Data will not be deposited in any public or open-access repository

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:

Technical measures

- 256-bit AES encryption for all digital data files
- Password-protected devices with two-factor authentication
- Secure institutional storage approved by UWTSD
- Physical documents stored in locked cabinets
- Access restricted to the researcher and supervisory team

Cross-border data protection

- Encrypted local storage during non-UK region fieldwork
- Secure encrypted transfer to UK storage systems following fieldwork
- Compliance with UK GDPR and relevant non-UK data protection regulations
- No use of non-UK cloud services for research data storage

Retention and destruction

- Identifiable data (including linking files and contact details) destroyed within 6 months of thesis completion
- Audio visual recordings deleted after transcription verification
- Fully anonymised data retained securely in accordance with UWTSD Research Data Management Policy for research integrity and audit purposes only
- Data will not be deposited in any public or open-access repository

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	Sample information sheets and consent forms are available from the Doctoral College Portal. USE OF NON-UK/EU DIGITAL PLATFORMS FOR DATA COLLECTION Study Title: A Qualitative Study of Exploring Managerial Interpretations of Digital Transformation in Operational Processes within the Sri Lankan General Insurance Sector. Researcher ID: 1818519 Supervisor(s): Dr. Caroline Jawad Institution: University of Wales Trinity Saint David – Swansea Business Campus Contact Email: 1818519@student.uwtsd.ac.uk			
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		YES	NO	N/A
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:				
1	Capture data?	☐	☒	☐
2	Generate and/or edit text?	☒	☐	☐
3	Generate graphics?	☐	☒	☐
4	Generate video?	☐	☒	☐
5	Generate sound/music?	☐	☒	☐
6	Generate code?	☐	☒	☐
7	Generate synthetic data?	☐	☒	☐
8	Analyse data?	☐	☒	☐
9	Analyse personal or sensitive data?	☐	☒	☐
10	Classify data?	☐	☒	☐
11	Do you intend to use the free version of any AI tools?	☐	☒	☐

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

12 State which AI tool or tools you will be using, and where they are based (or store their data – you may need to check their webpages or user agreement for this). If you are planning to use Copilot then say if you're using the UWTSD version of it or the public version. You should also show how you are complying with current UWTSD guidance/policy of the use of AI.

AI Tool: Microsoft Copilot (UWTSD licensed version)

Location: Data processed in UK/EU data centres

Purpose: Generative AI will be used for proofreading support only, specifically to check the researcher's own text for grammatical and syntactical errors, including translation verification between Sinhala and English (if required).

Justification: As the report will be written in English by a non-native speaker, AI-assisted proofreading helps ensure clarity and accuracy of academic writing. This use aligns with UWTSD guidance on acceptable AI use in research.

Safeguards:

Only the UWTSD-licensed version of Copilot will be used (not free public versions)

No participant data or interview content will be processed through AI tools

No research data will be input into AI systems

All AI-generated suggestions will be critically reviewed by the researcher

AI use will be transparently acknowledged in the thesis methodology

Compliance: This use complies with UWTSD policy on AI in research and the PG2 declaration regarding Generative AI use for proofreading purposes only.

(this box should expand as you type)

Section P: Research Data Management Plan

1	Data Summary
This research will create and access the following types of data: Primary data created: - Audio visual recordings of semi-structured interviews (06 interviews, 30-40 minutes each) in MP4 format - Interview transcripts in Sinhala (Word documents) – if required - Translated key extracts in English (Word documents) - Digital session field notes and screenshots (anonymised) - Reflexive research journal entries Secondary data accessed: - Academic literature and published reports	

	Data formats: Audio visual files (MP4), Word documents (.docx), NVivo project files (.nvp), PDF documents
2	Responsibilities Primary responsibility: Pricilla Bethsheba Moses (Lead Researcher) - Day-to-day data management and security - Implementation of data protection protocols - Data collection, storage, and processing - Anonymisation procedures - Compliance with GDPR and non-UK region Cybersecurity Law Supervisory oversight: Dr. Caroline Jawad (Director of Studies), (Supervisor) - Review of data management practices - Guidance on ethical data handling - Approval of data sharing decisions UWTSD institutional responsibilities: - Provision of secure data storage infrastructure - Data protection guidance and support - Oversight of data retention in accordance with UWTSD Research Data Management Policy
3	Assessment of existing data Existing data sources: - Academic literature on Digital disruption and general insurance practices, knowledge management, and Sri Lankan organisational culture - accessed via UWTSD library databases - Published reports on Sri Lankan general insurance and the impact of digital disruption (State Council documents, industry reports) - publicly available Gap analysis: - Limited empirical data on digital disruption impact on Sri Lankan general insurance sector - Insufficient qualitative studies examining managerial experiences across the industry - Lack of culturally-grounded implementation frameworks for non-Western contexts - The primary data collected through this research will address these gaps by providing in-depth qualitative evidence from non-UK technology firm employees.
4	Management and curation of data Data organisation: Hierarchical folder structure by data type, organisation, and participant

- Consistent file naming convention: [OrgCode]_[ParticipantCode]_[DataType]_[Date]

Example: Org1_SM01_Interview_20260115

Documentation:

- Master spreadsheet tracking all data files, dates, and processing status
- Codebook for participant codes and organisation identifiers
- Interview protocol and topic guide versions

Preparation:

- Audio visual recordings checked for quality immediately after interviews
- Transcription completed within 2 weeks of interview – if required
- Translation of key extracts following Temple and Young (2004) protocol
- Back-translation verification for critical passages

5	Quality assurance of data
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At point of collection:

- Online platforms (Zoom / Teams) are tested before each interview
- Interview recordings checked immediately for quality
- Field notes completed same day as data collection

During transcription:

- Professional transcription service with confidentiality agreement
- Researcher verification of transcripts against audio
- Participant member checking for accuracy

During analysis:

- NVivo audit trail for all coding decisions
- Regular supervisory review of coding framework
- Inter-coder reliability checks on sample transcripts
- Reflexive journal documenting analytical decisions

Translation quality: if required

- Researcher (native Sinhala speaker) conducts initial translation
- Professional back-translation for critical passages
- Cultural concepts retained with explanatory notes

6	Short-term data storage
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During Sri Lankan Base Interviews

Primary storage: Encrypted external hard drive (256-bit AES)

Backup: Encrypted local laptop storage

No cloud storage used in non-UK region to comply with Cybersecurity Law

During UK-based analysis:

Primary storage: UWTSD-approved encrypted OneDrive

Backup: Encrypted external hard drive stored in locked cabinet

Working files on password-protected laptop with two-factor authentication

Access controls:

Only researcher has access to identifiable data

Supervisory team access to anonymised data only

No data shared with participating organisations

Security measures:

Strong passwords (minimum 16 characters)

Two-factor authentication enabled

Automatic screen lock after 5 minutes

Regular security updates

Antivirus software maintained

7 Long-term data storage and preservation

Data retention decisions:

- Retained long-term (in accordance with UWTSD policy requirements for postgraduate research):
- Fully anonymised interview transcripts
- Anonymised thematic analysis outputs
- Methodological documentation

Justification: Enables future secondary analysis, supports research integrity verification, and contributes to knowledge base on digital transformation in General Insurance operations in Sri Lankan contexts.

Deleted within 6 months of thesis completion:

- Audio visual recordings (after transcript verification)
- Participant linking files
- Contact details
- Deanonimized field notes

Storage location:

- Secure institutional storage approved by UWTSD.
- Data will not be deposited in an open or publicly accessible repository.

8 Documentation and metadata

Documentation accompanying data:

Research protocol and ethics approval documentation

Interview topic guide and prompts

Coding framework with definitions

Participant information (anonymised demographics) Data collection timeline Analysis methodology notes Metadata standards: Dublin Core metadata for archived datasets Clear description of data collection methods Information about language and translation procedures Contextual information about non-UK technology sector Contextual documentation: Research diary entries providing analytical context Notes on cultural and organisational context Limitations and known issues with data quality	
9	Data sharing - Due to the organisationally sensitive nature of the data, the anonymised dataset will not be made publicly available. - Data will be retained securely for research integrity, examination, and audit purposes in accordance with UWTSD Research Data Management Policy. - No raw data, transcripts, audit recordings, or organisational documents will be shared externally. - Selected anonymised excerpts may be used in academic publications and conference presentations.
10	Copyright and intellectual property ownership Ownership: Copyright in pilot project and original analysis: Pricilla Bethsheba Moses (researcher) Organisational documents: remain property of participating organisations or the resource source if any participant would share. Interview data: researcher owns copyright in transcripts; participants retain moral rights Third-party IP: Participants retain all rights to internal documents shared for research purposes No background IP required from UWTSD or third parties No IP agreements required beyond standard confidentiality provisions Copyright and Licensing:

No external licensing of research data is planned.

Research data will not be distributed for reuse.

11 Resources

Storage costs:

- UWTSD OneDrive (secure institutional storage): Included in institutional provision
- Encrypted hard drives (x2): £150 (one-time purchase)

Software:

- NVivo: UWTSD institutional license
- Microsoft Office: UWTSD institutional license
- Encrypted software (e.g., VeraCrypt): No additional cost

Long-term preservation:

- Encrypted, access-restricted storage systems provided by UWTSD (no additional cost)
- Data retained in accordance with UWTSD Research Data Management Policy requirements for postgraduate research

Justification:

- The proposed costs are proportionate to the scale and qualitative design of the study
- Institutional resources are utilised wherever possible to ensure secure, compliant data storage and management
- External services (e.g., transcription and translation verification) are essential to maintain data accuracy, linguistic integrity, and overall research quality

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.

1	Full risk assessment completed and appended?	YES	NO
		☒	☐

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
		☒	☐

Risk:

Employment concerns: Participants may fear that their responses about general insurance practices in digitalization effectiveness or organisational practices could affect their employment, promotion prospects, or

How will you address any risks?

1. Confidentiality assurance:

- All data de-identified immediately using participant codes

workplace relationships if disclosed to managers or colleagues.

Power dynamics: Participants may be reluctant to openly discuss sensitive issues, organizational challenges, or criticisms of industry practices if they feel their responses could indirectly affect professional networks.

Social Capital in Business Culture: In Sri Lankan organisational contexts, research participation facilitated through professional networks may create perceived social obligations that complicate truly voluntary consent.

Reputational concerns: Participants may worry that critical comments about their organisation's digital implementation level could damage professional relationships or standing in the technology sector community.

(this box should expand as you type)

- Results reported in anonymised, aggregate form only
- Explicit statement in consent that participation will not affect employment
- No individual-level feedback provided to organisations

2. Independent participation:

- Participants approached individually, not through their organizations or superiors.
- Clear communication that participation is entirely voluntary
- Consent obtained in private settings away from workplace supervisors
- Explicit statement that declining will have no negative consequences

3. Managing Social Capital in Business dynamics:

- Initial contacts introduce research but do not pressure participation
- Researcher emphasises independence from organisational relationships
- 7-day consideration period allows reflection without immediate social pressure
- Withdrawal rights clearly explained and genuinely honoured

4. Professional reputation protection:

- Organisational identifiers removed from all outputs
- Quotes selected to avoid identification through context

		- Industry-specific details generalised where potentially identifying - Findings framed around patterns, not individual criticisms				
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	<table border="1"> <thead> <tr> <th>YES</th><th>NO</th></tr> </thead> <tbody> <tr> <td>☒</td><td>☐</td></tr> </tbody> </table>	YES	NO	☒	☐
YES	NO					
☒	☐					
<i>How will you address any risks?</i> <i>Risk:</i> Data protection compliance: Cross-border data transfer between non-UK region and UK requires compliance with both GDPR and non-UK region's Cybersecurity Law, with potential legal consequences for non-compliance. Recording consent: Audio & video recording without proper consent could violate privacy laws in both jurisdictions. Confidential business information: Inadvertent disclosure of commercially sensitive information could expose researcher or university to civil claims. Research permissions: Conducting research in non-UK region may require specific permissions or registrations that, if omitted, could create legal complications. <i>(this box should expand as you type)</i> Dual-jurisdiction compliance: Legal review of data transfer protocols Secure encrypted transfer to UK only after fieldwork completion GDPR-compliant processing throughout UK-based analysis No storage on non-UK cloud services Recording consent: Written informed consent obtained before any recording Consent forms in English clearly explain recording purposes Participants may decline recording and still participate Recording stopped immediately upon request Commercial confidentiality: Researcher trained to recognise and not record commercially sensitive information Interview protocol avoids probing for proprietary details Document analysis limited to non-sensitive materials Organisational review of findings before publication (optional) Research permissions: Consultation with UWTSD International Office on						

		research permission requirements Organisations provide written confirmation of access permission Research visa obtained if required for fieldwork duration Local institutional contacts available for guidance				
4	Economic harm: <i>financial harm to participant, researcher and / or University through disclosure or other event.</i>	<table border="1"> <tr> <th>YES</th><th>NO</th></tr> <tr> <td>☐</td><td>☒</td></tr> </table>	YES	NO	☐	☒
YES	NO					
☐	☒					
<i>Risk:</i> Low risk identified. Participants are not paid for participation, and the research does not involve financial transactions or commercially exploitable information. Interview time (30-40 minutes) represents minimal productivity impact for participant's any concerned income. <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i> • Flexible interview scheduling to minimise disruption to participants' work • Interviews conducted at times and locations convenient for participants • Clear communication of expected time commitment in advance • No financial incentives that could create economic pressure to participate				
5	Reputational risk: <i>damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.</i>	<table border="1"> <tr> <th>YES</th><th>NO</th></tr> <tr> <td>☒</td><td>☐</td></tr> </table>	YES	NO	☒	☐
YES	NO					
☒	☐					
<i>Risk:</i> University reputation: Poorly conducted research in non-UK region could reflect negatively on UWTSD's international research standing. Researcher credibility: Ethical breaches or methodological weaknesses could damage the researcher's professional reputation. Participant organisation reputation: Identifiable negative findings about specific organisations could damage their market position or employer brand. <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i> Research quality assurance: Rigorous supervisory oversight throughout the research process Adherence to UWTSD Research Ethics & Integrity Code of Practice Regular progress reviews with supervisory team Transparent documentation of all research procedures Professional conduct: Cultural sensitivity in all interactions with non-UK organisations Clear acknowledgment of UWTSD affiliation in all communications Professional dress and behaviour appropriate to non-UK business contexts				

		Timely and courteous communication with all stakeholders Organisational protection: Complete anonymisation of participating organisations Generic sector descriptors used in publications Optional organisational review of findings before publication Value exchange (benchmarking reports) demonstrates mutual benefit	
6	Safeguarding risks: <i>Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a comprising situation, in which there might be accusations of improper behaviour.</i>	YES ☐	NO ☒
<i>Risk:</i> Low risk. All participants will be adult professionals in technology firms. No children or vulnerable adults will be involved in the research. The research topic (Interpretation of managerial insights of digital transformation in Sri Lankan GI sector) does not involve safeguarding-sensitive content. <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i> • Confirmation that all participants are 30+ years old • Professional, visible interview settings (meeting rooms, secure video platforms) • Clear professional boundaries maintained throughout • No one-to-one interactions in private or isolated settings • Supervisory team informed of all fieldwork schedules	
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 ☐
Organisational criticism: Participants may feel uncomfortable discussing implementation failures or leadership decisions. Job security concerns: Questions about digital adoption may trigger anxiety about automation and job displacement.			

Political sensitivities: Technology research in non-UK region may touch on politically sensitive topics regarding government policy or surveillance.

Face (mianzi) concerns: non-UK cultural norms around preserving face may make participants reluctant to discuss failures or challenges.

How you will address any risks

Non-judgmental approach:

Interview questions framed around experiences and observations, not evaluations

Researcher maintains neutral, curious stance

No leading questions implying correct answers

Emphasis on understanding, not criticising

Job security reassurance:

Research focus on implementation practices, not workforce implications

Questions about digital framed around knowledge sharing, not job replacement

Participants reminded they can skip any questions

Political sensitivity management:

Research design focuses on organisational learning, not policy critique

Interview protocol avoids politically contentious topics

Researcher trained to redirect if politically sensitive content emerges

Findings framed in academic management terms

Cultural sensitivity:

Interview approach respects face-saving concerns

Questions allow for positive framing of experiences

No direct challenges to participant statements

Opportunity to review and amend contributions (member checking)

Researcher wellbeing:

Debriefing with supervisory team after challenging interviews

Limiting interviews to maximum 2 per day to avoid fatigue

Access to UWTSD wellbeing support if needed

Health and safety risks

8	Location hazards: 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.	YES	NO
	<i>Risk:</i> Constraint: Unfamiliar Remote Environment The pilot project will be conducted remotely, with the researcher based in the UK and participants located in Sri Lanka. This cross-border arrangement presents significant logistical challenges. Specifically, excessive effort and coordination are required to liaise with participants, as senior managers in the insurance sector maintain hectic, high-pressure schedules. Furthermore, the researcher must navigate a 5.5-hour time difference (GMT+5:30), requiring careful planning to ensure interview times are both respectful of the participants' professional obligations and conducive to the researcher's data collection standards. <i>(this box should expand as you type)</i>	☒	☐

How will you address any risks?

1. Mitigation of "Researcher Fatigue" (UK Side):
Conducting interviews across a 5.5-hour time difference can lead to burnout or diminished cognitive performance, which affects the quality of researcher's **Sensemaking** analysis.

- **Cap on Daily Interviews:** Limiting to a maximum of **two interviews per day**. This prevents "Zoom fatigue" and ensures the researcher has enough mental energy to perform "Phase 1: Immersion" immediately after the call.
- **Ergonomic Setup:** Since the process will be stationary for long periods, ensure that UK workspace is set up correctly (screen at eye level, supportive chair) to avoid musculoskeletal strain.
- **Scheduled "Decompression":** Schedule a 1-hour break between the interview and the next task to process any emotionally heavy content shared by the HODs.

2. Mitigation of "Participant Burnout" (Sri Lanka Side): HODs in the insurance sector often face high-pressure environments. Adding a 40-minute research interview to a "hectic" day is a secondary health risk.

- **The "Opt-Out" Safety Valve:** Clearly state at the start of the call: *"If at any point you feel overwhelmed or need to attend to an urgent professional matter, we can pause or stop"*

	<i>immediately.</i>" This removes the psychological pressure of "performance." • Time-Sensitive Scheduling: Avoid scheduling interviews during "Peak Stress" times (e.g., Monday mornings or Friday afternoons). Aim for the mid-week "Golden Window" (2:00 PM – 4:30 PM IST). • Notification of Duration: Stick strictly to the promised timeframe. If the interview is 40 minutes, do not let it "bleed" into an hour. Respecting their time is a form of protecting their professional well-being. 3. Psychological & Environment Safety: Since the environment is "unfamiliar" and remote, it must ensure the "Digital Space" feels safe. • Privacy Confirmation: At the start of the Teams/Zoom call, ask: "Are you in a private space where you feel comfortable speaking freely?" If they are in a busy open-plan office, suggest rescheduling to ensure they don't feel "watched" by subordinates or superiors. • Visual Comfort: Remind participants that they can take a "screen break" by looking away or stretching if they feel eye strain during the discussion.		
9	Activity hazards: for example: potentially mentally harmful activities; distressing 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.	YES	NO
	Risk: This is particularly relevant for projects that will involve exposure to emotionally (and sometimes unpredictable) challenging content, as well as physically demanding or potentially hazardous conditions. <i>(this box should expand as you type)</i>	How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
10		YES	NO

	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.	☐	☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where machinery is used. (this box should expand as you type)		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
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 ☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where chemical are used. (this box should expand as you type)		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
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 ☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where such systems are used. (this box should expand as you type)		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
13	Environmental risks: for example: accidental spillage of pollutants, damage to local ecosystems	YES ☐	NO ☒
Risk: This is particularly required for projects that will include time spent on working sites or where activities may impact habitats, heritage, or protected environments. (this box should expand as you type)		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	

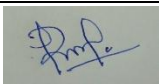
SECTION R: Disclosure and Barring Service

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?	☐	☒	☐
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	Pricilla Bethsheba Moses
2	Electronic or written signature of applicant:	
3	Date	27/03/2026
4	Name of Director of Studies	Dr. Caroline Jawad
5	Electronic or written signature of Director of Studies:	
6	Date	28 March 2026

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

1	☒	I have read the guidance notes supplied before completing the form.
2	☒	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	☒	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	☒	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	☒	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	☒	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	N/A			
A1.5	Lead institution (grant holder)	N/A			
A1.6	If awarded, grant reference	N/A			
A1.7	If awarded, grant value	N/A			
A1.8	If awarded, start date and duration	N/A			

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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				
A2.5	External Ethical Approval <i>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.</i>	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				
A2.10	External Ethical Approval <i>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.</i>	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				
A2.15	External Ethical Approval <i>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.</i>	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.
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Research Location: Sri Lanka
Six general insurance companies in Sri Lanka ranked according to the market share. All interviews will be conducted on both Microsoft Teams and Zoom as they are widely used given participants are HODs, Senior Managers, and Managers the choice often depends on the organizational culture of their specific insurance firm and participant's confirmation.

Language:
English is the main language in the Sri Lankan professional insurance setting especially in managerial level. If any participant would require language choice in Sinhala, it will be assisted as the researcher is a native Sinhala speaker.

Researcher's Qualifications:
Native Sinhala speaker with cultural understanding of Sri Lankan context. 19 years of previous senior management, professional experience working in the Sri Lankan general insurance sector. Established professional networks in Sri Lankan general insurance community within insurance companies, intermediaries (Insurance brokers and agents).

Legal requirements:
1. Legal Framework: United Kingdom
Even if the data collection happens in Sri Lanka, as a researcher affiliated with a UK based university, the research is legally bound by **UK GDPR** and the **Data Protection Act (DPA) 2018**. **Data Minimisation:** to prove it is only collecting what is necessary (e.g., no requirement to collect their home addresses, only their professional HOD role). **International Data Transfer:** UK GDPR (specifically Chapter V) requires "Adequacy Decisions" for transferring data outside the UK. While Sri Lanka is modernizing its laws, you must explain that it will use **Standard Contractual Clauses (SCCs)** or equivalent safeguards (like end-to-end encryption on Teams/Zoom) to protect the data during transfer.

2. Legal Framework: Sri Lanka

Sri Lanka has recently enacted the **Personal Data Protection Act (PDPA), No. 9 of 2022**, which is now fully operational in 2026. **Participant Rights:** Under the PDPA, participants (the "Data Subjects") have the right to access their data, the right to withdraw consent at any time, and the right to erasure (the "Right to be Forgotten"). The **Participant Information Sheet (PIS)** must explicitly mention these rights. **Data Protection Officer (DPO):** If the research is pertained with a Sri Lankan insurance firm, they may ask if the research complies with their internal DPO requirements. Since the participants are extending their support for the academic research on their personal will the DPO approval may not require. **The Insurance Regulatory Commission (IRCSL):** While the IRCSL doesn't typically approve individual academic research, their 2026 **Centralised Insurance Data Repository** guidelines emphasize data confidentiality. It will be assured the board that the research will not breach the **commercial secrecy** of the insurance firms involved.

Compliance Approach:

- **Platform Selection: Microsoft Teams** is generally preferred by because it integrates directly with secure university **SharePoint/OneDrive** environments. If using **Zoom**, it will be used the University-licensed version (not a personal account) to ensure data remains within the enterprise-level encryption "tunnel."
- **Storage Location:** It will be configured the recording to save directly to the **UWTSD University OneDrive** server.
- **Security Settings:** It is mandatory to prevent "Zoom-bombing." **Passcodes:** Will be sent via a separate communication channel (e.g., email the link, text the passcode). **End-to-End Encryption (E2EE):** Enable this for interviews involving sensitive managerial strategy or compliance data.
- **The Data Protection Test (DUAA 2025):** It will document that the transfer of interview data (from the Sri Lankan manager's screen/microphone to researcher's UK computer) does not lower the level of protection.
- **Standard Contractual Clauses (SCCs) / International Data Transfer Addendum:** In ethics application, it will mention that the relationship between the researcher and the participant is governed by the **UK IDTA** to ensure their rights under Sri Lanka's **PDPA 2022** and **UK GDPR** are upheld.

Research Permissions:

- Master approval from the UWTSD Research Ethics Committee
- Organizational "gatekeeper" approval may not be required, as the researcher is part of the industry and has established professional relationships within the sector. Potential participants have

expressed willingness to contribute to academic research based on the researcher's 19 years of professional engagement and network within the industry.

- Individual informed consents for the digital audio / video recording of the interview sessions and obtaining digital signatures for the consent forms.

Cultural and Ethical Considerations:

- Research design respects Sri Lankan cultural norms around hierarchy and face.
- Professional network relationship in the industry, managed through transparent communication about research independence. (not biased at all)
- Politically sensitive topics avoided in research design.
- Findings framed in academic management terms without political commentary.

(this box should expand as you type)

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):
Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>	
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.
Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>	

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).
Contact INSPIRE for support on this section.	
<i>(this box should expand as you type)</i>	
A3.9	Name(s) of investigators in the organisation who will be responsible for the collaborative research and innovation
<i>(this box should expand as you type)</i>	

About New Partners			
A3.10	Why does a partner want to work with you?		
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			
A3.11	What are they expecting in return for their financial support or involvement?		
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			
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 ☒
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			
A3.13	Has due diligence into the partner identified any involvement in research on 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.	YES ☐	NO ☒
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			
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 ☒
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			
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 ☒
Contact INSPIRE for support on this section.			
<i>(this box should expand as you type)</i>			

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
		☐	☒
Contact INSPIRE for support on this section. (this box should expand as you type)			

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?	☐	☒
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.19	Who will own any IP that is generated?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.20	What plans do you have in place for protecting the resulting IP?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.21	What contractual requirements are you able to put in place to protect the interests of your academic institutions?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.22	What access will the research partner have to your IT network? If they do have access, what broader visibility might this provide?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.23	Is there any physical separation or protection required between research in similar fields?		
Contact INSPIRE for support on this section. (this box should expand as you type)			

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
		☐	☒

Contact INSPIRE for support on this section.

(this box should expand as you type)

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
		☐	☒

Contact INSPIRE for support on this section.

(this box should expand as you type)

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
		☐	☒

Contact INSPIRE for support on this section.

(this box should expand as you type)

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
		☐	☒

Contact INSPIRE for support on this section.

(this box should expand as you type)

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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.			
A4.10	Any inclusion of vulnerable people must be fully justified. (this box should expand as you type)		
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	How will you protect your participants from any negative impacts caused by your research process? This might include physical or emotional harm or discomfort. If vulnerable participants will be giving consent themselves then explain the steps you will take to ensure that they are not coerced into giving consent. If consent is to be obtained from a legal representative then how will you identify the appropriate person? (this box should expand as you type)		
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:			
A4.12	DBS Check required?	YES ☐	NO ☒
A4.13	DBS certificate obtained?	YES ☐	NO ☒
		N/A ☐	

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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	Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>		

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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	Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>		

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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.	☐	☒
A7.16	Exposure to ionising radiation.	☐	☒
A7.17	Other health and social care related research.	☐	☒
<i>Please specify</i> Contact INSPIRE for support on this section. (this box should expand as you type)		☐	☒

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/>

A7.18	Does the research meet the HRA definition of research?	YES ☐	NO ☒	N/A ☐
A7.19	Is the Research being sponsored by a collaborating partner?	YES ☐	NO ☒	N/A ☐
A7.20	Has NHS ethics approval been granted?	YES ☐	NO ☒	N/A ☐
A7.21	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.				
A7.22	Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>			

A7.23	Have you been granted NHS ethical approval?	YES	Click to continue to Section R	NO	Return to the main form
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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
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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