

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

SECTION A: About You (Principal Researcher)

1	Full Name:				
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:	IEH/Psychology and Counselling			
4	Campus:	SA1			
5	E-mail address:				
6	Contact Telephone Number:				
For students:					
7	Student Number:				
8	Programme of Study:	MSc Applied Psychology			
9	Director of Studies/Supervisor:	Dr Ceri Phelps			

SECTION B: Approval for Research Activity

1	Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☒	NO	☐
					Date
2	If Yes, please indicate source of approval (and date where known): Approval in principle must be obtained from the relevant source prior to seeking ethical approval	Research Degrees Committee	☐		
Institute Research Committee		☐			
Other (write in) Dissertation supervisor Hywel Dda UHB		☒	12.07.21 19.07.21		

SECTION C: Internal and External Ethical Guidance Materials

	Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, 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 Code of Practice ☒
2	UWTSD Research Data Management Policy ☒
3	BPS Code of Human Research Ethics (Updated 2021) ☒
4	BPS Ethics guidelines for internet-mediated research (Updated 2021) ☒

SECTION D: External Collaborative Research Activity

If there are external collaborators then you should gain consent from the contact persons to share their personal data with the university. If there are no external collaborators then leave this section blank and continue to section E.

1	Institution	Occupational Health Department; Hywel Dda University Health Board			
2	Contact person name	Leony Charlotte Davies, Health Intervention Co-ordinator			
3	Contact person e-mail address	leony.davies@wales.nhs.uk			
4	Is your research externally funded?	YES	☐	NO	☒
5	Are you in receipt of a KESS scholarship?	YES	☐	NO	☒
6	Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO ☒
7		Employed	YES	☐	NO ☒
8	Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)?	If YES then the permission question below does not need to be answered.	YES	☐	NO ☒
9	Has permission to undertake the research has been provided by the partner organisation?	(If YES attach copy) If NO the application cannot continue	YES	☒	NO ☐

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

10	Does this organisation have its own ethics approval system?	YES	☐	NO	☐
N/A – whilst this project is based within an NHS trust, the trust consider the project to be Service Evaluation only, and therefore does not require NHS ethical approval.					

SECTION E: Details of Research Activity

1	Indicative title:	A service evaluation of Hywel Dda UHB's Staff Wellbeing Champion Network			
2	Proposed start date:	1 st August 2021	Proposed end date:	31 st April 2022	
Introduction to the Research (maximum 300 words per section) Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the points below: <i>Purpose of Research Activity</i> <i>Proposed Research Question</i> <i>Aims of Research Activity</i> <i>Objectives of Research Activity</i> Demonstrate, briefly, how Existing Research has informed the proposed activity and explain <i>What the research activity will add to the body of knowledge</i> <i>How it addresses an area of importance.</i>					
3	Purpose of Research Activity This ethical application is for a service evaluation project exploring the impact of the Wellbeing Champion Network, to be launched across Hywel Dda University Health Board in Summer 2021. Following a previous successful service evaluation within HDUHB which was conducted as part of the research dissertation for one of our MSc Applied Psychology students (and which successfully gained ethical approval from the University Ethics Committee in 2019) the Psychology team at UWTSD were approached by HDUHB to ask if there was scope for a suitable student to take forward another similar service evaluation – an evaluation of their about to be launched Wellbeing Champions Network. The aim of the Wellbeing Champion Network is to promote staff wellbeing across all of the health board and to raise awareness of wellbeing support available for employees and how to access it. Staff are able to apply for the role of Wellbeing Champion and will receive training to enable them to signpost and give early appropriate information to colleagues so that they can access early support and intervention if required. The aim of this evaluation is to explore the impact of this role and the training on the Wellbeing Champions themselves, and also to explore the wider impact of the Wellbeing Champion Network on levels of awareness of health and wellbeing support across the health board. Some of this work, where appropriate, will be informed by a previous service evaluation led by Dr Phelps as part of the evaluation of the Health Board's Staff Psychological Wellbeing Service in collaboration with Suzanne Tarrant.				
4	Research Question The service evaluation will explore the impact of the Wellbeing Champion role and the training on the Wellbeing Champions themselves, and also to explore the wider impact of the Wellbeing Champion Network on levels of awareness of health and wellbeing support across the health board.				
5	Aims of Research Activity The broad aim of the evaluation is to explore the extent to which the Wellbeing Champion Network helps support HDUHB's Staff Health and Wellbeing Agenda by meeting the following priorities:				

	• Promoting health and wellbeing within the workplace • Publicising health and wellbeing initiatives and awareness days. • Advise/sign post staff to support services. • Generate information on the needs of staff to help shape our staff health and wellbeing agenda.
	Objectives of Research Activity 1) Understand the experience of becoming a Wellbeing Champion and undertaking the Wellbeing Champion role over the course of the first year of the initiative 2) Evaluate the induction and training programme offered to Wellbeing Champions and identify any additional/ongoing training and support needs within this role. 3) Explore the impact of the Wellbeing Champion Network on levels of awareness and perceived barriers/facilitators to accessing health and wellbeing services amongst HDUHB staff across different staff groups, locations, and roles.
	Proposed methods (maximum 600 words) Provide a brief summary of all the methods that may be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed. You do not need to justify the methods here, but should instead describe how you intend to collect the data necessary for you to complete your project.
7	The service evaluation contains three distinct phases or work packages (WPs). The first two phases (WP1 and WP2) directly involve the NHS staff who have volunteered to become Staff Wellbeing Champions. The final phase (WP3) is a cross-sectional online survey of all staff within Hywel Dda UHB to explore the impact of the Wellbeing Champion Network on awareness of health and wellbeing services within the health board. WP1: Online focus group study Three online focus groups will be carried out using Microsoft Teams, with 4-6 Wellbeing Champions per group. The purpose of these groups will be to gain an in-depth understanding of how Wellbeing Champions have experienced the initial stages of their role. A semi-structured topic guide will explore perceptions of training/induction, current and future training and support needs, and perceived confidence and competence around the role. Data will be thematically analysed using the Braun and Clark (2006) approach. This data will be triangulated with the quantitative data collected through WP2. WP2: Training satisfaction/future training needs survey Wellbeing Champions will be invited to complete an online survey (delivered through Qualtrics) on two occasions – one month after their initial induction and again at three months follow-up. This survey will capture changes in satisfaction with training, further training and support needs, and perceptions of confidence around e.g., signposting, maintaining boundaries, across these timepoints. The data collected will consist of a series of likert style questions that explore these elements of the role in combination with the opportunity to provide additional free text comments. Quantitative data will be analysed using frequencies and percentages, with potential inferential statistics exploring differences between demographic or staff job role groupings. Free text data will be analysed using thematic analysis. WP3: Evaluation of impact of Wellbeing Champion Network on staff awareness of health & wellbeing support The final phase of the service evaluation will be an online cross sectional all staff survey, following the same procedure as a previously approved all staff survey within HDUHB. If requested, there will

	be the option of completing the questionnaire as a hard paper copy for specific hard to reach staff groups or individuals. The survey will be launched six months into the Staff Wellbeing Network launch and will capture data on the following: 1. Demographic data (age, gender, staff group (i.e. nurses, doctors, admin, catering), ethnicity and marital status). 2. Scale data capturing: a) awareness, b) perceptions of and c) likelihood of engaging with health & wellbeing services offered by HDUHB. 3. An adapted 10 item questionnaire based from the Perceived Wellness Culture and Environment Support Scale (PWCESS; Melnyk, Szalacha, & Amaya, 2018) that measures perceptions of wellness culture and environment using a 5-point-likert scale. The questionnaire will be piloted for ease of comprehension and to ensure that it does not take longer than 10 minutes to complete. Quantitative data will be analysed using frequencies and percentages, with potential inferential statistics exploring differences between demographic or staff job role groupings. Free text data will again be analysed using thematic analysis.
	Location of research activity Identify all locations where research activity will take place.
8	All data will be collected online using UWTSD secure systems for data collection. The student and supervisor's base location is SA1 campus, Swansea.
	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. If you live in the country where you will do the research then please state this.
9	n/a (this box should expand as you type)

10	Use of documentation not in the public domain: Are any documents <u>NOT</u> publicly available?	NO	☒
		YES	☐
11	If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with the current data protection law of the country in question and that of England and Wales. n/a		

	Does your research relate to one or more of the seven aims of the Well-being of Future Generations (Wales) Act 2015?	YES	NO
12	A prosperous Wales	☐	☐
13	A resilient Wales	☒	☐
14	A healthier Wales	☒	☐
15	A more equal Wales	☒	☐

16	A Wales of cohesive communities	☐	☐
17	A Wales of vibrant culture and thriving Welsh language	☐	☐
18	A globally responsible Wales	☐	☐
19	If YES to any of the above, please give details:		
	The service evaluation meets the aims identified as a consequence of the service evaluation exploring the impact of a wellbeing intervention, including the potential impact/uptake across different demographic groups within the health board.		

SECTION F: Scope of Research Activity

	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: (this box should expand as you type)		

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

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

SECTION G: Intended Participants

If there are no participants then do not complete this section, but go directly to section H.

Who are the intended participants:		YES	NO
1	Students or staff at the University?	☐	☒
2	Adults (over the age of 18 and competent to give consent)?	☒	☐
3	Vulnerable adults?	☐	☒
4	Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☒
5	Prisoners?	☐	☒
6	Young offenders?	☐	☒
7	Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
8	People engaged in illegal activities?	☐	☒
9	Others. Please indicate the participants below, and specifically any group who may be unable to give consent.	☐	☒
	Details of any other participant groups: (this box should expand as you type)		

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?		
10	How many participants are expected?	Work package 1: For the online focus groups, three groups of 4-6 participants will take place, with an overall target sample of a maximum of 18 respondents. Work package 2: The online survey will be sent to all new Wellbeing Champions following completion of their induction. Initial plans from the HDUHB are to recruit around 50 wellbeing champions. Work package 3: Online survey of all staff: This will be made available through HDUHB online staff noticeboard/email circulation system and will target all 2,000 staff. Previous response rates suggest a likely response rate of around 10% i.e. around 200 participants for this survey.
11	Who will the participants be?	Work package 1: Staff who have volunteered to become Wellbeing Champions at HDUHB. Work package 2: Staff who have volunteered to become Wellbeing Champions at HDUHB. Work package 3: All HDUHB staff
12	How will you identify the participants?	Work package 1 & 2: New Staff Wellbeing Champions will be asked to indicate in their induction form whether they are willing to be contacted by the research team for a further evaluation. The details of those who indicate yes will be passed on to the research team by the HDUHB collaborator, Leony Davies.

		Work package 3: Anonymous online survey of all staff: This will be made available through HDUHB online staff noticeboard/email circulation system and will target all 2,000 staff.
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	Information for participants:	YES	NO	N/A
13	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
14	Will you tell participants that their participation is voluntary?	☒	☐	☐
15	Will you obtain written consent for participation?	☒	☐	☐
16	Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
17	If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☒
18	Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
19	With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☒	☐	☐
20	Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
21	Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
22	If NO to any of above questions, please give an explanation			
	<i>(this box should expand as you type)</i>			

	Information for participants:	YES	NO	N/A
24	Will participants be paid?	☐	☒	☐
25	Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
26	Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
27	Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
28	If YES to any question, please provide full details			
	<i>(this box should expand as you type)</i>			

SECTION H: Anticipated Risks

	Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them. If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.		
1	Full risk assessment completed and appended?	Yes ☐ No ☒	
2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
	Risk to participants: 1. Risk related to personal information and data 2. Risk related to sensitive organisational information 3. Risk related to potential for discomfort or distress	<i>How you will mitigate the risk to participants:</i> 1. Participants will be informed that all personal information and data will be confidential and stored securely. Participants will be informed that all data will be anonymised and that they will be given an individual participant number that will not be linked back to them. All participants will be provided with the main researchers (student and supervisor) contact details if they have any issues or concerns that they wish to discuss at any time. 2. No sensitive organisational information will be recorded or reported at any point in this evaluation by the research team. If any concerning information comes to light this will be discussed immediately with the HDUHB study collaborator. 3. For all phases of the service evaluation, consideration will be given to the wording of the questions and wider study measures to ensure they are appropriate for the study. Questions will be chosen to respect sensitivity and to ensure no unnecessary or overly intrusive questions are asked. Participants will be able to decline answering a question or exploring a topic area if they do not wish to. Questions will be reviewed and piloted prior to data collection.	
3	If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities		
	N/A <i>(this box should expand as you type)</i>		

4	Risks to the investigator For example: personal health & safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest	
	Risk to the investigator: WP1: As the focus groups will not be conducted in person, there is no direct risk to the investigators; however, the researcher's identity will be known to participants, and they have the potential to contact the researcher via email or in person. <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to the investigator:</i> Only university email addresses will be provided as points of contact Dr Ceri Phelps has extensive experience of focus groups and supervising projects using online interviews and will ensure the student research is appropriately trained, prepared, and debriefed. If issues are raised that, in the judgment of the (PIs) and research team, constitute potential harm to either participants or researcher, the study will be immediately suspended whilst further investigation is carried out.
5	University/institutional risks For example: adverse publicity, financial loss, data protection	
	Risk to the University: 1. Risk related to adverse publicity or financial loss 2. Risk related to data protection <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to the University:</i> 1. In order to avoid any adverse publicity or financial loss, the student researcher will ensure they behave appropriately and with the utmost integrity. The proposed research will adhere to University Research Ethics & Integrity Code of Practice and at all times. The dissertation supervisor has extensive previous experience of researching NHS populations. The principles of NHS research ethics and governance will be applied at all stages of the research to ensure ultimate protection from any potential institutional harm. The supervisor is a HCPC registered Health Psychologist with over fifteen years' experience of leading health services research projects and service evaluations. 2. Researchers will ensure that any information that could identify participants will be stored separately to the participants' study data. The UWTSD data protection policy will also be followed throughout ensuring data protection is upheld. Any data collected from the participants will be assigned a code, and where this needs to be linked to names due to follow-up procedures (WP2) this will be stored separately from names and emails.
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems	
	Risk to the environment: n/a	<i>How you will mitigate the risk to environment:</i> There are no foreseen risks to the environment as all

	aspects of data collection will be carried out online.
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	Disclosure and Barring Service			
	If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
7	Does your research require you to hold a current DBS Certificate?	☐	☒	☐
8	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 I: Feedback, Consent and Confidentiality

1	Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
	Prior to consenting to take part in each work package, participants will be fully informed of the nature and the intended purpose of the study. - The contact details of the student researcher and supervisor are provided on the Participant Information Sheet (PIS), should they wish to discuss anything further. - If requested, participants can be provided with summary written feedback on the outcome of the study. - Participants will be given written feedback as part of the debriefing process immediately after the study has been undertaken. This will include a reminder of the aims, procedure, and purpose of the study. The opportunity will also be given for them to discuss anything further should they wish to do so. They will also be reminded of their right to withdraw their information without penalty. The contact details of the research student and supervisor will also be included on the debrief sheet.
2	Informed consent Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.
	Participants will be fully informed of the nature of each work package and the specific data collection methods being used prior to consenting to take part: - All participants are provided with an online Participant Information Sheet (PIS) before taking part in each study which outlines the purpose and methods of the study. - Participants will be informed prior to each study commencing that it is voluntary, and they have the right to stop the study and withdraw at any time without penalty. - For WP1 (focus groups), although written consent will be obtained, verbal consent will also be obtained prior to the start of the interview. Participants will also be given the option to take part in an online interview if they don't feel comfortable in a focus group setting. - All participants are asked to confirm on the consent form they have read the PIS and have had the opportunity to consider the information, ask questions and have had these answered satisfactorily
3	Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.
	The participant information sheet will make it clear to all participants that they have a right to expect that information they provide when completing the study will be treated confidentially in line with the General Data Protection Regulation (GDPR, 2016), Data Protection Act (2018) and UWTS Data Management Policy. It will also make it clear that any data collected during the research study will be anonymised and will not be identifiable to any individual participant.

	All participant data will be confidential. - To ensure confidentiality, each participant will be given their own unique code linked to a project reference number. Participants will be informed that they will be given an individual participant code that will not be linked back to them in any outputs. - All electronic consent forms will be stored securely and separately from captured data. - No data will be stored on personal computers; all data will be stored on UWTSd password protected computers or external hard drives. Any hard copy data or questionnaires (if requested by participants) will be stored securely in the Psychology Lab secure research storage room. - Focus Group interviews will be recorded and transcribed verbatim. The recordings will be downloaded and stored on a secure university network that only the researcher will have access to. Transcription will occur within 48 hours of the focus group taking place, all identifiable information will be removed and pseudonyms will be given to participants for the purpose of writing up.
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SECTION J: Data Protection and Storage

	Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
1	"Personal data" means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants is considered to be personal data.	☒	☐
	If YES, provide a description of the data and explain why this data needs to be collected:		
2	WP1: Data on age, gender, and job role will be collected for the purposes of the study but all identifying information will be removed from any published data. WP2 & WP3: Data on age, gender, and job role will be collected for the purposes of the study however as all data is anonymous this will not be identifiable.		
	Does it involve special category data (as defined by the GDPR)?	YES	NO
3	"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☒	☐
	If YES, provide a description of the special category data and explain why this data needs to be collected:		
4	WP1 & WP2: Data will be collected on ethnicity and potentially any physical or mental health condition as part of the data obtained from wellbeing champions. This data will be not be identifiable to any individual in the presentation of results. Any identifiable information disclosed during the interview or questionnaire will be anonymised during analysis. This may include names of hospitals, healthcare professionals etc. There is a chance that participants will disclose information in any of these categories although they are not being directly asked about them. If this occurs, this information will be removed during transcription. WP3: Information on ethnic background will be collected as part of the demographic section of the anonymised questionnaire, there will be no way to trace this back to the participant. The information		

	collected will be used for data analysis purposes and form part of the dissertation results and discussion.
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	Will data from the research activity (collected data, drafts of the thesis, or materials for publication) be stored in any of the following ways?	YES	NO
5	Manual files (i.e. in paper form)?	☐	☒
6	University computers?	☒	☐
7	Private company computers?	☐	☒
8	Home or other personal computers?	☒	☐
9	Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
10	"Cloud" storage or websites?	☒	☐
11	Other – specify:	☐	☒
12	For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of backup procedures, password protection, encryption, anonymisation and pseudonymisation:		
	WP1: Focus group interview recordings are stored on the secure university network that only the research team will have access to. Once the focus group is over and the recording has finished processing, this will be downloaded and stored on a password protected university network and deleted from the online storage system. Focus groups will be transcribed within 48 hours of taking places and all identifiable information will be removed or replaced with a pseudonym. Only anonymised transcripts will be used for the purpose of analysis and write up. Any published study data will be completely anonymous and un-identifiable to participants. For WP2, participants will be allocated a unique study ID code to enable further follow-up. The code will be linked to participant names/email addresses following consent, and stored in a separate password protected file only accessible to the student research and supervisor. All data will be anonymised for the purposes of analysis. WP3: For the all-staff survey, no participant will be identifiable as each will be given their own unique code which cannot be linked to their identity. For both WP2 and WP3, data will be collected via the Qualtrics online survey system, and will be stored in their cloud-based repository as data is collected. Whilst the Qualtrics system has the ability to store identifying features of the web source (IP addresses, location, etc.) this will be turned off prior to data collection as there is no need for these data to be collected for the current study. Data that is downloaded from Qualtrics will be stored in a password protected file on the university network and will be anonymised within 48 hours of it being downloaded.		

	Data Protection		
	Will the research activity involve any of the following activities:	YES	NO
13	Electronic transfer of data in any form?	☒	☐
14	Sharing of data with others at the University outside of the immediate research team?	☐	☒
15	Sharing of data with other organisations?	☒	☐
16	Export of data outside the UK or importing of data from outside the UK?	☐	☒
17	Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
18	Publication of data that might allow identification of individuals?	☐	☒

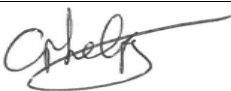
19	Use of data management system?	☐	☒
20	Data archiving?	☒	☐
21	If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and Data Protection Act (2018) (and any international equivalents, where appropriate): Participants will be fully informed on the data being collected about them, how it will be stored and for what length of time and details as to how they can withdraw/access this data will be contained within the study information sheet, consent form and study debrief. Electronic data transfer: For the WP1 qualitative study, focus group recordings are stored on the secure university network that only the research team will have access to. Once the focus group is over and the recording has finished processing, this will be downloaded and stored on a password protected university network and deleted from the online storage system. Focus groups will be transcribed within 48 hours of the interview taking places and all identifiable information will be removed or replaced with a pseudonym. Only anonymised transcripts will be used for the purpose of analysis and write up. Any published study data will be completely anonymous and un-identifiable to participants. Transcripts will be stored on a password protected university network. Recordings will not be shared with anyone, inside or outside the organisation and will be kept for the duration of the data analysis period with only the researcher having access to them. Anonymised transcripts will be used for the purposes of analysis and write-up. For WP2 & 3, during data collection data will be transferred from the Qualtrics cloud system to a secure university network on a weekly basis. As no identifying features are requested or recorded in the Qualtrics questionnaire the data are anonymous within the Qualtrics cloud storage system. Raw data will only be accessible to the research team. Once data is downloaded from Qualtrics onto the secure university network it will be stored in a password protected SPSS file with no identifying features. The SPSS file may be made publicly available via a research repository should this be required for publication, but this will contain no identifying features. Any future publications arising from this research will not have any identifiable information from the data collected. Data will be collected, handled and appropriately stored in accordance with The General Data Protection Regulation (GDPR, 2016), UWTSD Group Data Protection Policy and Research Data Management Policy. Sharing with other organisations: Only anonymised data will be shared with the HDUHB study collaborators. Data archiving: Data will be archived anonymously in accordance with UWTSD and journal publication regulations, usually for a period of ten years.		
22	List all who will have access to the data generated by the research activity:		
	<i>(this box should expand as you type)</i>		
23	List who will have control of, and act as custodian(s) for, data generated by the research activity:		
	Dr Ceri Phelps <i>(this box should expand as you type)</i>		
24	Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		

	All desktop and laptop computers are password protected. Data will be deleted from the Qualtrics cloud storage once placed in the UWTSD Data repository at the end of the data collection period. Data will be retained on the repository for at least ten years, as per the guidance from RCUK. Data will be stored in accordance with UWTSD Group Research Data Management Policy. In general, as specified in the RCUK 'Guidance on best practice in the management of research data', the UK Research Councils expect data that underpins findings in publications should be accessible for at least ten years after publication. The raw data will be archived in an anonymous format.		
25	Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
	No		
26	Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	YES	☒
27	Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	YES	☒

SECTION K: Declaration

	The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants. In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice which is published on the website: https://www.uwtsd.ac.uk/research/research-ethics/		
1	Signature of applicant:		Date:

For STUDENT Submissions:

2	Director of Studies/Supervisor:	Dr Ceri Phelps	Date: 31.07.21
3	Signature:		

For STAFF Submissions:

4	Academic Director/ Assistant Dean:		Date:
5	Signature:		

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

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

RESEARCH STUDENTS AND STAFF ONLY

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

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



This form is available electronically from the Academic Office web pages:
<https://www.uwtsd.ac.uk/academic-office/appendices-and-forms/>