

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

SECTION A: About You (Principal Researcher)

Full Name:					
Tick all boxes which apply:					
Member of staff:	☐	Student:	☒	Honorary research fellow:	☐
Faculty/School/Centre:	Academic Discipline Psychology				
Campus:	Swansea (SA1 Campus)				
E-mail address:					
Contact Telephone Number:					
For students:					
Student Number:				Undergraduate	☒
Programme of Study:	BSc (Hons) Mental Health			Taught Postgraduate	☐
Director of Studies/Supervisor:	Dr Stuart Jones			Research	☐

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		YES	☒	NO	☐
					Date
If Yes, please indicate source of approval (and date where known):	Research Degrees Committee		☐		
	Faculty Research Committee		☐		
	Other (write in) Dr Stuart Jones		☒	29/09/18	

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

SECTION C: External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
University of Wales Trinity Saint David's Ethical Guidance	☒
The British Psychological Society [BPS]. (2018). <i>Code of Ethics and Conduct</i> . The British Psychological Society: Leicester	☒

SECTION D: External Collaborative Research Activity

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

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

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

SECTION E: Details of Research Activity

Indicative title:	A Qualitative Exploration of the Stresses, Burnouts and Coping Mechanisms in Mental Health Workers: A Comparison of Managers and Other Staff Members		
Proposed start date:	November 2018	Proposed end date:	5 th April 2019
Purpose of research activity (including aims and objectives) Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)			
Commonly characterised by feelings of emotional exhaustion, extreme stress, cynicism and reduced personal accomplishment, employment burnout is prevalent throughout many employment sectors (Dreison et al., 2018). Maslach, Schaufeli and Leiter note that chronic occupational stress is particularly widespread in the field of mental health, with high levels of employment burnout being reported in up to 67% of mental health services (2001; as cited by Dreison et al., 2018). It has been suggested that this is due to frequent exposure to emotional suffering and suicidal ideation (Sjolie, Binder & Dundas, 2015; Dreison et al., 2018), as well as mental health workers (MHW) working in highly personalised roles (Morse et al., 2012; Kok, Herrell, Grossman, West & Wilk, 2015). In previous studies, several adverse effects on employees have been associated with chronic occupational stress, higher levels of absenteeism (Borritz et al., 2006), additional physical and mental health issues, and intentions to terminate employment (Salyers et al., 2015; Dreison et al., 2018). However, Onyett (2011) summarised that research into the stresses and burnout of those working as community mental health workers, dated from 1997 to 2010, was often inconsistent. For instance, while Onyett, Pillinger and Muijen (1997) identified emotional exhaustion as a recurrent theme in their participants, this did not necessarily result in poor job satisfaction.			

Petrou, Van de Heuvel, Schaufeli (2014) conducted research examining the joint effects of promotion and prevention focus on performance, performance, exhaustion and sickness absence among manager and non-managers. They hypothesised that while promotion focus would result positively in terms of performance, it would also result in high levels of exhaustion and, consequently, high levels of sickness. The authors suggested that prevention focus would also positively relate to high exhaustion and sickness absence. In non-managers, the research found that promotion focus related negatively to sickness absence but not in managers (Petrou et al., 2014). The study did not disclose the employment areas of its participants however, and due to the associated high levels of burnout reported among mental health issues, this is likely to effect managers and non-managers.

This study will aim to investigate experiences of stress and burnout among mental health workers, as well as looking to identify any protective factors and coping mechanisms. This will hopefully influence future research into the topic and support mental health workers in their roles. There remains limited research into the different stresses experienced by manager and non-managers, therefore the research will also attempt to identify some of the similarities and differences and build resilience in MH workers.

References

- Dreison, K. C., Luther, L., Bonfils, K. A., Sliter, M. T., McGrew, J. H., & Salyers, M. P. (2018). Job burnout in mental health providers: A meta-analysis of 35 years of intervention research. *Journal of Occupational Health Psychology, 23* (1), 18
- Kok, B. C., Herrell, R. K., Grossman, S. H., West, J. C., & Wilk, J. E. (2015). Prevalence of professional burnout among military mental health service providers. *Psychiatric Services, 67* (1), 137 – 140
- Onyett, S., Pillinger, T., & Muijen, M. (1997). Job satisfaction and burnout among members of community mental health teams [online]. *Journal of Mental Health, 6* (1), 55 – 56.
- Onyett, S. (2011). Revisiting job satisfaction and burnout in the community mental health teams [online]. *Journal of Mental Health, 20* (2), 198 – 209
- Pietkiewicz, I., & Smith, J. A. (2014). A practical guide to using interpretative phenomenological analysis in qualitative research psychology. *Psychological Journal, 20* (1), 7 – 14.

(this box should expand as you type)

Proposed methods

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

Qualitative research, as defined by Coolican (2014), is primarily concerned with individuals and their descriptions of their views and experiences (with data typically being provided through verbal interviews). Due to the study's concern with mental health workers' experiences of stress, burnouts and coping mechanisms, a qualitative research method will be applied to the study, with data being gathered through semi-structured interviews. Two different interview schedules will be composed, one of which applying to those in managerial roles and the other to mental health workers in non-managerial roles.

Pietkiewicz and Smith (2014) refer to a form of qualitative research analysis, known as interpretative phenomenological analysis (IPA), and its concern with how experiences and events are understood and expressed by individuals. Therefore, it has been deemed the most appropriate tool of analysis to apply to the study, where participants will be purposively selected, based on their professional roles. By being purposively selected, this will ensure that participants possess a

reasonable understanding of the topic and, consequently, will be able to refer to an adequate amount of personal experiences.

To uphold the confidentiality of participants in terms of personal and professional privacy, when referring to individual participants pseudonyms will be used throughout the study. When recruiting, prospective participants will be provided with an information sheet that will inform them of the study's intention, as well as explaining how data will be gathered and analysed. The information sheet will also inform participants of a date by which they will be able to withdraw from the research, consequently removing their data from the study. Participants will be required to complete a consent form before any data gathering commences.

Individual interviews will then take place, using one of the two interview schedules proposed, based on if participants are in managerial or non-managerial roles. These will be audio recorded using a dictaphone (participants will have been made aware of this by the information sheet), as well as written notes being made during time of interviews. Adhering to data protection laws, the dictaphone used during interviews will be password-protected and stored along with written notes in a locked drawer that is only accessible to the principal researcher.

Pietkiewicz and Smith (2014) identifies the process of analysing qualitative data using IPA to include three processes; making notes and familiarising oneself with the data, identifying any recurring themes, and then finally connecting and clustering identified recurring themes. In order to familiarise oneself with the data gathered, Pietkiewicz and Smith (2014) suggest immersing into written notes, as well as the audio recording. This will provide the opportunity to recall the interview's atmosphere and to potentially identify any insights that were previously overlooked. Following this (familiarisation with the data), recurring themes within the data will be identified and noted, and will then be further categorised into superordinate and subordinate themes. These themes will then be inputted into a table that will be placed into the results section of the study.

Harper and Thompson (2012) describe the process of identifying themes of relevance from the data before constructing these into a form of order, which will clearly represent an overview of the analysis, enabling comparisons to be made between manager and non-managers, thus leading to the development of a conclusion, relating to the study's objective.

Before data collection commences, the study will have obtained consent from the University of Wales Trinity, Saint David's ethics committee. The study will also adhere to appropriate ethical frameworks; The British Psychological Society (2018) Code of Ethics, throughout. This will be done by applying the four ethical principles; respect, competence, responsibility and integrity. By adhering to the ethical framework, this will minimise any risk to the study's participants, the principal researcher and the university

References

Coolican, H. (2014). Research methods and statistics in psychology. London: Taylor & Francis

Harper, D., & Thompson, A. R. (2012). *Qualitative Research Methods in Mental Health and Psychotherapy: A Guide for Students and Practitioners*. London: Wiley

Pietkiewicz, I., & Smith, J. A. (2014). A practical guide to using interpretative phenomenological analysis in qualitative research psychology. *Psychological Journal*, 20 (1), 7 – 14

The British Psychological Society [BPS]. (2018). *Code of Ethics and Conduct*. The British Psychological Society: Leicester

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

Research activity will be undertaken at both mental health service settings, including Llanelli Community Mental Health Team's (CMHT) base in Brynmair Clinic, 11 Goring Road, Llanelli, Carmarthenshire SA15 3HF, and Glasallt Fawr, Llangadog, Carmarthenshire SA19 9AS (a rural residential home for young adults with mental health issues and learning disabilities). This will be depending on participants' preference of interview locality and at their convenience.

Alternatively, if participants are unable to or do not wish to attend their place of employment, a neutral and private venue will be agreed.

(this box should expand as you type)

Research activity outside of the UK

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

Not applicable.

(this box should expand as you type)

SECTION F: Scope of Research Activity

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

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

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

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children under 18?	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify):	☐	☒

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited? Prospective participants will be provided with an information sheet that outlines the study's aim, how data will be gathered using individual semi-structured interviews and analysed using IPA – offering a brief description of IPA. The information sheet will also inform participants of the date by which they are fully able to withdraw their data and participation from the study (i.e. 'If you wish to withdraw, please contact myself or my supervisor on or before 1st February 2019'). Those wishing to take part in the study will be required to provide written consent before any data gathering commences. The inclusion criteria will require participants to be in current employment in one of the two service settings. Ideally, participants will have experienced a variety of personal experiences within their role, on which they will be able to recall and reflect for the purpose of the study. Finally, in order to enable an equal comparison of role-related stressors and resilience factors, the study will aim to recruit six participants, consisting of three participants in managerial roles and another three participants in non-managerial roles. The recruitment process will involve prospective participants being provided with an invitation to participate and information sheet. Those wishing to take part will be required to sign a consent form and individual interviews will be arranged with each participant. Each participant will be debriefed immediately after the interview. this box should expand as you type)

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
Will you tell participants that their participation is voluntary?	☒	☐	☐
Will you obtain written consent for participation?	☒	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☒
If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☒

Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	☒
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
If NO to any of above questions, please give an explanation			
N/A. (this box should expand as you type)			

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

SECTION H: Anticipated Risks

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

If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.

Full risk assessment completed and appended?

Yes ☐
No ☒

Risks to participants

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

1. Unintended transfer of personal data: Low apparent risk

This will be minimised by ensuring that all personal details and data gathered is stored in accordance with data protection laws and legislation, i.e. Data Protection Act 2018.

Data will be gathered by individual interviews and recorded via a password-protected dictaphone and then transferred onto paper to allow this to be analysed. Paper copies will be stored in a locked drawer, which will only be accessible to myself and my supervisor; Dr Stuart Jones. Following transferring this analysed information onto a Microsoft Word document, digital recordings will be deleted from the dictaphone and paper copies of information or data shredded. The digital files will also be password-protected. Pseudonyms will also be used throughout the research when discussing participants, to minimise the risk of individuals being recognisable. This will also protect their professional, as well as their personal, privacy.

2. Emotional distress to participants: Low risk

Intended participants are those currently working within the field of mental health and are likely to have developed a reasonable understanding of mental health issues general. However, there is a risk that they may become emotionally distressed when discussing aspects of their own mental well-being and how their work schedules are affecting them. Therefore, the following actions will be taken in an attempt to minimise risk of emotional distress to participants;

- Being open and honest with the participant, particularly regarding the study's intentions (the study does not involve any deception).
- An information sheet will be provided, informing participants about the topic and the study's aim.
- Participants will be made aware of a date by which they will be able to withdraw completely from the study.
- Effective debrief will be provided to all participants.
- Own experience in working within the field of mental health may be beneficial, i.e. signposting to appropriate services to support those affected by occupational stress, and being aware of other community-based support.
- All stages of the research (except individual interviews) will be overseen by an experienced supervisor.

(this box should expand as you type)

If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should

make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities

The research will involve exploring participants' personal experience of the stresses they experience within their professional roles and how this may affect their mental well-being, which could result in participants becoming upset.

In order to ensure that the research and investigator is prepared for such issues, the information sheet provided will have informed participants of several actions that will be taken by the investigator to minimise risk of emotional distress to participants;

- The investigator will be open and honest with all participants
- Participants will already be aware of the study's aim and purpose (the research does not involve any deception)
- Participants will be provided with a debrief
- The investigator will receive regular supervision (providing the investigator the opportunity to obtain advice if any issues were to arise)

Additionally, the information sheet will have outlined that if someone were to disclose any potential illegal actions or behaviour, then this will have to be disclosed to the appropriate authorities.

(this box should expand as you type)

Risks to investigator

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

To minimise risk to the investigator, precautions will be put in place. For instance, the investigator will inform supervisor of interview timetables and localities. The supervisor will be made aware of when the investigator has returned home after interviews have finished to ensure the safety of investigator. Interviews will also either take place in one of the aforementioned localities, or in a suitably private location that is neutral to both investigator and participant(s).

The investigator will be monitored throughout the research process by an experienced supervisor, receiving regular debriefs. This will hopefully minimise any risk of emotional distress to the investigator.

Participants will be provided with the investigator's university email should they wish to discuss any issues or receive further information on the study, however will signposted to appropriate services if their enquiries exceed the capabilities of the investigator.

(this box should expand as you type)

University/institutional risks

For example: adverse publicity, financial loss, data protection

In order to minimise risk to the university, the research will ensure that it adheres to ethical guidance (both University and BPS Ethical Guidance), and will have obtained ethical approval before any data gathering commences.

The research process will also be overseen by an experienced supervisor, whom will be contacted in the first instance if any issues occur.

(this box should expand as you type)

Adverse outcomes

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

For any problems the research encounters, emergency protocols will be followed and guidance will be sought from the research supervisor.

(this box should expand as you type)

Disclosure and Barring Service

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

YES

NO

N/A

Has a DBS certificate been obtained?

☐

☐

☒

SECTION I: Feedback, Consent and Confidentiality

Feedback

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

Following participants' interviews, they will receive instant feedback. Firstly, and most importantly however, all participants will be thanked for their contribution to the study. Debriefs will include highlighting the study's aim and summarising the progress of the research. It will also be reiterated to participants that there was no deception involved in the research.

For any participants who wished for their contribution to the study to be excluded, they will also be debriefed, that will involve reassuring them that none of their data has been included in the study.

(this box should expand as you type)

Informed consent

Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded.

Prospective participants will be provided with an information sheet that outlines the study's aim, how data will be gathered using individual semi-structured interviews and analysed using IPA – offering a brief description of IPA.

The information sheet will also inform participants of the date by which they are fully able to withdraw their data and participation from the study (i.e. 'If you wish to withdraw, please contact myself or my supervisor on or before 1st February 2019'). Those wishing to take part in the study will be required to provide written consent before any data gathering commences.

It will also be noted on the information sheet that ethical standards will be adhered to throughout the study.

(this box should expand as you type)

Confidentiality / Anonymity

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

Anonymity will be maintained throughout the research, and in order to protect participants' personal and professional privacy, pseudonyms will be used in the study when referring to participants.

(this box should expand as you type)

SECTION J: Data Protection and Storage

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

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)? <i>“personal data” means data which relate to a living individual who can be identified—</i> <i>(a) from those data, or</i> <i>(b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.</i>	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected: The research will involve participants discussing their personal work-related experiences and how these affect their overall well-being. Due to the nature of these experiences, there is a responsibility on the investigator to minimise any risk to participants; • Prospective participants will be provided with an information sheet that outlines the study's aim, how data will be gathered using individual semi-structured interviews and analysed using IPA – offering a brief description of IPA. • The information sheet will also inform participants of the date by which they are fully able to withdraw their data and participation from the study (i.e. 'If you wish to withdraw, please contact myself or my supervisor on or before 1st February 2019'). Those wishing to take part in the study will be required to provide written consent before any data gathering commences. • The investigator will be open and honest with all participants. • Participants wishing to take place in the study will already be aware of the study's aim and purpose (the research does not involve any deception). • Participants will all be provided with a debrief. • Participants will be signposted to appropriate services if a need is identified. (this box should expand as you type)		
Does it involve sensitive personal data (as defined by the Data Protection Act)? <i>“Sensitive personal data” means personal data consisting of information as to –</i> <i>(a) the racial or ethnic origin of the data subject,</i> <i>(b) his political opinions,</i> <i>(c) his religious beliefs or other beliefs of a similar nature,</i> <i>(d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),</i> <i>(e) his physical or mental health or condition,</i> <i>(f) his sexual life,</i> <i>(g) the commission or alleged commission by him of any offence, or</i> <i>(h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings.</i>	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected: The research will involve participants discussing their personal work-related experiences and how these affect their overall well-being. Due to the nature of these experiences, there is a responsibility on the investigator to minimise any risk to participants;		

- Prospective participants will be provided with an information sheet that outlines the study's aim, how data will be gathered using individual semi-structured interviews and analysed using IPA – offering a brief description of IPA.
- The information sheet will also inform participants of the date by which they are fully able to withdraw their data and participation from the study (i.e. 'If you wish to withdraw, please contact myself or my supervisor on or before 1st February 2019'). Those wishing to take part in the study will be required to provide written consent before any data gathering commences.
- The investigator will be open and honest with all participants.
- Participants wishing to take place in the study will already be aware of the study's aim and purpose (the research does not involve any deception).
- Participants will all be provided with a debrief.
- Participants will be signposted to appropriate services if a need is identified.

(this box should expand as you type)

Will the research activity involve storing personal data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☒	☐
University computers?	☒	☐
Private company computers?	☐	☒
Home or other personal computers?	☐	☒
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
"Cloud" storage or websites?	☐	☒
Other – specify:	☐	☒

For all stored data, explain the measures in place to ensure data confidentiality, including details of password protection, encryption and anonymisation:

A password-protected memory stick and dictaphone will be used to store all data until data is transcribed into word documents. All laptops and files will also be password-protected to protect data.

All information and data from the study will be stored in accordance with the Data Protection Act 2018.

(this box should expand as you type)

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☒	☐
Sharing of data with others at the University?	☐	☒
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☐	☒

If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):

All transferring of data will be done using password-protected storage devices (e.g. memory stick and Dictaphone) until this is transcribed and transferred into a word document. Word documents will be stored on a password-protected laptop that is only accessible to the investigator.

All information and data from the study will be stored in accordance with the Data Protection Act 2018.

(this box should expand as you type)

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

The raw data will only be accessible to the principal researcher (investigator) and will be stored in a locked drawer (again, only accessible to the investigator).

Following the transcribing and transferring of data onto a Microsoft Word document, this will be stored on a password-protected laptop file. After the data has been inputted into the final report, the project will be marked by the research supervisor and a second internal marker.

(this box should expand as you type)

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

The investigator will have control of all data gathered for the purpose of the research and will accept full responsibility for lawful storage of data and any other sensitive information.

(this box should expand as you type)

Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.

Firstly, raw data from interviews will be audio recorded using a password-protected dictaphone, with written notes being made also during time of interview(s). Both written notes and the dictaphone will be stored in a locked drawer, only accessible to the investigator.

The data (both audio recordings and written notes) will then be transcribed into a Microsoft Word document at the earliest opportunity (within two weeks of the interviews taking place), and the paper copies destroyed. Audio recordings will also be deleted from the dictaphone. Digital copies of the data will be stored on a password-protected memory stick, in case any examiner wished to view this.

All information and data from the study will be stored in accordance with the Data Protection Act 2018

(this box should expand as you type)

SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's [Research Ethics and Integrity Code of Practice](#)

Signature of applicant:

Shehane

Date: 28th November 2018

For students:

Director of Studies/Supervisor:	Dr Stuart Jones
Signature:	
Date:	28 th November 2018

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

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

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate)
☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.

RESEARCH STUDENTS AND STAFF ONLY

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

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

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

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

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

Application Process

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

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

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

Research proposals must be approved in principle before applying for Ethical Approval. The proposal approval only becomes final when the ethical approval is received.

The process for proposal approval varies according the individual and programme of study:

- Research students, by application on form PG1 to the Research Degrees Committee
- Taught students by review of research proposal within Faculties (Faculties provide specific details of these processes)
- Staff, by agreement by the Head of School/Assistant Dean

Section C: External Ethical Guidance materials

Many discipline areas are required to operate with the discipline specific codes of research ethics (for example health, psychology, education etc.), any such codes must be listed and you must tick to confirm that you have consulted with these.

Section D: External Collaborative Research Activity

Provide details of the external collaborative partners, where appropriate you might want to submit a copy of the external collaboration agreement with the Ethical Approval Form. If the partner requires the research to be subject to its own internal Ethical approval process then please provide details of that process and a copy of any final (or interim) approvals received from the organisation.

Section E: Details of Research Activity

Remember that the individuals reviewing this Ethical Approval Form may not have seen your research proposal, and also may not be experts in the specific area of your research. The information provided should therefore be jargon free and clearly stated.

Indicative Title: please use the same title as used on the research proposal.

Purpose: the Ethical approval process will want to ensure that the methods you propose are adequate and appropriate to address the research aims and objectives. Excessive additional data collection can be seen as unethical.

Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. Please be specific.

Location: this needs to mention geographical location and also local situation (for example, within Local Authority Offices in Cardiff, using a private room but close to other individuals). If you are collecting data within an organisational setting then you need to explain the permissions that you have obtained to do this.

Research Activity outside of the UK: please complete this section in detail, and note any guidance you have received. Also describe your own familiarity (or not) with the location that you will be utilising.

Section F: Scope of Research Activity

Please tick ALL of the research activities that might be undertaken. If any additional types of activity are intended then please add an extra box and describe these.

If you have answered no to all questions in F then sections G and J do not need to be completed. Section H should be considered, and may be completed. Signatures are still required in section K.

Section G: Intended Participants

Please tick all categories that might apply.

Numbers & Source: if you are using a series of different methods or research activities please list numbers for each stage/phase. Be clear about how you will find respondents. Will you use intermediaries, and if so how? How will you ensure compliance with your sampling strategy?

Information for participants: all participants should be appropriately informed about the research, what is expected of them and what will happen to the information that they provide. The Ethical review process does not ask to see this documentation, but requires this to be reviewed and approved by the Director of Studies in the case of research students, the supervisor/module tutor in relation to students on taught programmes and the Head of School/Assistant Dean in relation to staff research.

Section H: Anticipate Risks

All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.

Risk to participants Think very carefully about how your actions/questions/discussions might affect the people you are involving as participants. You might identify the risk as small but it would still be a risk. Many types of question have the potential to make respondents less content with their life / job; you need to recognise and try to ameliorate any such effects

If these are business owners, time with you may reduce profit.

In some locations physical risk is very real to both participants and yourself, please consider this.

Risk to you, the researcher Think about where you will meet people, if there are any dangers involved in the location. If you are meeting people as individuals think about using a public place. In general do not visit people in their own homes or remote locations. If you are talking to individuals about certain issues think about how their responses might affect you emotionally. What about the risk of collecting insufficient data?

Risk to the University When undertaking your research, you are acting as a member of the University (student or staff). Professionalism is important, so it is important to be well organised and well prepared. Punctuality, clarity etc. are all part of this. What will you do to ensure this? You must ensure you do not harm the good name of the University in any way and do nothing to undermine the reputation of the research it conducts and sponsors. Upholding high standards of conduct and integrity are vital in this regard. You must also conduct the research in such a way to minimise the potential for claims of negligence made against the University, its researchers and any collaborating individual or organisation. In this respect you should always comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, as well as the university's Research Integrity and Ethics Code of Practice. Research misconduct in this respect can take many forms, including:

- fabrication: making up results or other outputs (eg, artefacts) and presenting them as if they were real
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations: for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or material
- improper dealing with allegations of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

Adverse Outcomes. Think carefully about the possibilities, and cover here

Section I: Feedback, Consent and Confidentiality

Feedback to participants: outline your approach. Will interview transcripts be shared with respondents to check accuracy? Will summaries of questionnaire analysis be made available to respondents in some way? Will an overview report be provided? How and when?

Informed consent: Draft letter / e-mail / or heading (or footer) section of questionnaire must be approved by DoS/supervisor (if research student), supervisor/module tutor if taught student, or Head of School / Assistant Dean if a member of staff.

Confidentiality/Anonymity. Explain clearly how you will ensure confidentiality and anonymity.

Section J: Data Protection and Storage

Before completing this section it is necessary to read the University's Research Data Management information. The questions that follow are designed to ensure compliance with the Data Protection Act as well as established research protocols.

Many research activities will involve electronic transfer of data and use of data management systems in the summarisation and analysis of data. You will need to explain these in relation to compliance with the Data Protection Act.

Think carefully about who will have access to your data, this will include supervisors and examiners. Also that a thesis will be made available via the University library and the British Library system. If you are seeking an access bar for a period of time after completion then mention it here. If you will provide a copy of your findings, or intend to give a presentation, to a facilitating/ supporting/accessing organisation then explain that in this section. But also think about the general principle of data sharing, as explained in the Research Data Management information.

In terms of storage of data please ensure security, and also mitigate against loss of data.

Section K: Declaration

Ensure the appropriate countersignatures have been provided

Look carefully at the checklist and ensure that you comply with and tick all that are relevant to your research.