

APPLICATION FOR ETHICAL APPROVAL

RESEARCH STUDENTS

This form is to be completed by the student within **SIX** months for full-time students and **TWELVE** months for part time students, after the commencement of the research degree or following progression to Part Two of your course.

Once complete, submit this form via the **MyTSD Doctoral College Portal** at (<https://mytsd.uwtsd.ac.uk>).

This document is also available in Welsh.

RESEARCH 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.

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.

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:	Yingying Chen			
2	Tick all boxes that apply:	Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student	☐	Taught Postgraduate Student	☐	Postgraduate Research Student ☒
3	Institute/Academic Discipline/Centre:	Institute of Management and Health			
4	Campus:	Swansea Campus			
5	E-mail address:	2214122@student.uwtsd.ac.uk			
6	Contact Telephone Number:	0044 7421783589 0086 13544302298			
For students:					

7	Student Number:	2214122
8	Programme of Study:	Doctor of Business Administration
9	Director of Studies/Supervisor:	Dr Caroline Jawad

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): DBA Programme Manager (Dr Caroline Jawad)	☒	3 August 2023	

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	<i>[List any other relevant documents here]</i>	☐

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	
2	Contact person name	
3	Contact person e-mail address	
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	If YES then the permission question YES ☐ NO ☐

	Professional Learning Partnership (APLP)?	below does not need to be answered.				
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	☐
	If Yes, please attach a copy of any final approval (or interim approval) from the organisation (this may be a copy of an email if appropriate).				

SECTION E: Details of Research Activity

1	Indicative title:	Pilot Study on Understanding the Conflict Resolution Practices Between Administrators and Academics at a University in Guangdong			
2	Proposed start date:	July 2023	Proposed end date:	October 2023	
	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 <u>Existing Research</u> 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 After a preliminary review of the existing research literature, sufficient supporting evidence can be found for the analysis of the main conflicts between university administrators and academics, as well as the corresponding conflict resolution methods. However, the researcher noticed a gap in the literature concerning the discussion of the effects resulting from the implementation of these conflict resolution methods. Therefore, this research aims to better understand the main conflict between administrators and academics and evaluate the implementation effectiveness of existing conflict resolution methods by employing a case study approach in a Guangdong university, and to seek further suggestions for its improvement. This research is valuable as it provides an opportunity to assess the practical impact of established conflict resolution methods for universities, contributing to the enhancement of relevant theories and ideas. Furthermore, it fills the academic gap and offer useful guidance for conflict management in higher education. To ensure methodological rigor before proceeding with a comprehensive case analysis and data collection (Doody O. & Doody C. M., 2015), this research activity serves as an initial pilot study. The pilot study allows researchers to assess the feasibility of the research method and data accessibility, while also identifying potential				

	problems and risks to avoid harmful consequences when expanding the sample size and conducting a more extensive study (Van Teijlingen & Hundley, 2002). Furthermore, gaining a preliminary understanding of expected effects and time consumption can assist researchers in optimising the research method's design and adjusting the timing accordingly (Malmqvist et al., 2019). (this box should expand as you type)
4	Research Question How to optimise the conflict resolution method between administrators and academics in Guangdong University? (this box should expand as you type)
5	Aims of Research Activity This pilot study aims to assess the effectiveness of existing conflict resolution methods by employing a qualitative method (interviews), based on the understanding of main conflicts between administrators and academics in Guangdong university. (this box should expand as you type)
6	Objectives of Research Activity To identify the main conflicts between administrators and academics in Guangdong University. To evaluate the effectiveness of existing conflict resolution methods by collecting feedback and views from administrators and academics. To explore suggestions for improvement of conflict resolution methods between administrators and academics in Guangdong University. (this box should expand as you type)
	Proposed methods (maximum 600 words) Provide a brief summary of all the methods that may be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed. 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	This pilot study will adopt the qualitative case study approach and select a public university established in 1964 in Guangzhou, Guangdong Province as the research subject (the name of the university will not be specified throughout to ensure anonymity). The specific method is a one to one semi-structured interviews (Myers & Newman, 2007). 5-8 interviewees will be invited via email and WeChat to conduct one to one interviews through online meeting software such as VooV Meeting (Tencent)/Zoom/Microsoft Teams. A brief introduction to the pilot study, an explanation of key terms, an information sheet and a consent form will be sent to interviewees by mail to ensure that interviewees were informed and approved for the use of personal data (Roulston & Choi, 2018) . The interviewees are all administrators and academics of the research subject (university), and they may be employed or have retired within the past two years. Audio recordings will be made throughout the interview to help researchers record content and translate (Chinese to English). If the interviewee agrees to video recording,

	the interview will be video-recorded, which can further help the researchers to observe the interviewee's facial expressions and body language (Myers & Newman, 2007). All interview questions will be pre-determined, approximately 10-14 questions, and sent to accepted interviewees at least one week in advance. Interviewees have the right to suggest revisions to some of the questions before the interview to avoid any discomfort (Turner & Hagstrom-Schmidt, 2022). The interview time for each person is limited to 15-20 minutes. During the preparation of the interview, the researchers will explain some terms to the interviewees, including "university administrators", "university academics", "conflicts", etc., to help the interviewees understand the research purpose to the greatest extent. Due to the Chinese cultural background and the sensitivity of the word "conflict", in formal interview questions, more peaceful words such as "disagreement" and "difference" may be used instead to avoid emotional discomfort. Some examples of interview questions (to be determined): (1) What is your role and job duty at the university? Can you briefly introduce it? (2) Have you ever observed a disagreement between administrators and academics? Can you tell me a little more about this? (3) What problems might exist between administrators and academics? What do you think are the reasons for these problems? (4) Among these problems, which one do you think needs to be resolved urgently? Why? (5) How did the university resolve this disagreement? How is the result? (6) Do you know what methods the university has for disagreement resolution? (7) If the university do not have disagreement resolution methods, do you think the university should set up them? Why? (8) Have you experienced any of the disagreements you mentioned? How did you deal with it? (9) When you encounter a disagreement, have you tried any of the university's disagreement resolution methods? Why? (10) Did the university's disagreement resolution methods help you resolve your problems? How is the result? (11) If you think the solution is not working well, what are the reasons or resistance? (12) If you think the solution is satisfactory, what are the key success factors? (13) Do you have any suggestions for improving the university's disagreement resolution methods? (this box should expand as you type)
	Location of research activity Identify all locations where research activity will take place.
8	The researcher is currently studying in Wales. And participants are current employees of a university in Guangzhou, Guangdong Province, China or old employees who have retired in the past two years, and they live in Guangdong. Due to the participants' summer break taking place in July-August, it is possible that they might be traveling to various locations. The one to one interview will use online meeting software, so it is not limited by location. All participants do not require any travel to complete this research activity.

	(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 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	The research activities will be mainly conducted in Guangdong, China, and will strictly abide by the following regulations and guidelines: (1) "Personal Information Protection Law of the People's Republic of China", 2021 (2) "Data Security Law of the People's Republic of China ", 2021 (3) "Notice of the General Office of the State Council on Measures for the Management of Scientific Data", 2018 (4) "Guangdong Province's Implementation Plan on Strengthening the Ethical Governance of Science and Technology", 2023 (5) "Guangzhou Educational System Research Academic Standards (Trial)", 2007 (6) "**** (<i>University Name of Case Study</i>) Prevention and Handling of Academic Misconduct Measures (Temporary)", 2017 The above regulations and guidelines are in line with the usual UK ethics stipulations. If any regulations and guidelines are updated or newly promulgated during the pilot study, the Ethics Approval Form will be resubmitted. Before conducting the research activity, researchers will submit pilot study introduction, information sheet, consent form, and interview questions to the principal's office of the research subject (university) to obtain permission for research activities and avoid any negative impact on the research subject (university). The researcher has lived in Guangdong for more than 20 years and worked in the research subject (university) for 2 years, who is familiar with the local culture and ethics consideration. This research activity does not have any specific ethical issues in Guangdong and the research subjects (university). (this box should expand as you type)		

10	Use of documentation not in the public domain: Are any documents NOT 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. (this box should expand as you type)		

Does your research relate to one or more of the seven aims of the Well-being of Future Generations (Wales) Act 2015?		YES	NO
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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:		
(this box should expand as you type)			

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?	A total of 5-8 interviewees are required for this pilot study. (this box should expand as you type)
11	Who will the participants be?	All participants were either administrators or academics of the research subject (university), who may be current employees or retired employees within the past two years. (this box should expand as you type)
12	How will you identify the participants?	The researcher is an employee of the research subject (university), and has the right to enter the university office system to view the Human Resources Structure (public document), listing the positions, department and contact information of all active employees. The researcher will utilise professional networking, within all agreed rules to contact all

		active employees. Researcher also had familiar colleagues who had retired within the past two years. <i>(this box should expand as you type)</i>
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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?	<table border="1"> <tr> <td>Yes</td> <td>☐</td> </tr> <tr> <td>No</td> <td>☒</td> </tr> </table>	Yes	☐	No	☒
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) Work environment and career safety (2) Emotional distress (3) Personal data transfer and disclosure (4) Sensitive organisational information (5) Misunderstandings and misrepresentations of the meaning (6) Time occupied <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to participants:</i> (1) Work environment and career safety: The interview will be done anonymously, and the audio or video recording will be notified in advance in the information sheet and consent form. The interviewees choose to participate voluntarily and agree to the recording after knowing the situation. Researchers will delete all information that may reveal the interviewee's position and name in the data to avoid guessing about the interviewee's identity. The audio or video recordings of the interviewees, and the list of interviewees will be encrypted and saved in researcher personal laptop, and will not be shared with anyone or organisations except the researchers to ensure the confidentiality of identities. The researchers will clarify that this research activity will not have any impact on the future working environment and career development and promotion of the interviewees. (2) Emotional distress: Interviewees will be provided with as much information as possible during the informed consent period. If they feel emotionally uncomfortable with some of the interview questions, they can communicate with the researchers in advance and modify them. Interviewees will not be subjected to any coercion. During the interview, the interviewee is free to refuse to answer any questions or withdraw from the interview at any time. The researcher will ask questions in an objective, flat, and unbiased tone. At the same time, the researchers will pay attention to the emotional dynamics of the interviewees in the whole process, and stop the interview in time to prevent emotional discomfort. (3) Personal data transfer and disclosure				

		When collecting, transmitting, using, and sharing raw data, researchers must abide by the Personal Information Protection Law of the People's Republic of China 2021, the Data Security Law of the People's Republic of China 2021, the Notice of the General Office of the State Council on Measures for the Management of Scientific Data 2018, the General Data Protection Regulation 2016 (GDPR) and the Data Protection Act 2018(DPA). All personal data will be used and shared with the consent of the interviewees. Data protection will be achieved through the use of passwords, anonymisation, encryption, locking, deletion of any personal identifiers in data. Documentation includes audio recordings, video recordings, interview lists, consent forms, recording translation files. (4) Sensitive organisational information The decision-maker (i.e. the principal) of the research subject (university) will be provided with as much information as possible during the informed consent period. Any information that negatively impacts or is sensitive to the university will be strictly scrutinised. The research subject (university) is anonymous and will not disclose any information that could identify the university. (5) Misunderstandings and misrepresentations of the meaning The researchers will directly translate audio recordings into text files without adding or deleting any content. When translating Chinese and English, the researcher will use words as accurately as possible to ensure that there is no obvious ambiguity between meanings. Text files and translations, stripped of any personal information, will email to interviewees to detect misrepresentations. During this period, interviewees can suggest revisions to any errors or refuse partial disclosures. (6) Time occupied The interview will take about 15-20 minutes and try to keep the interview time complete and coherent. Considering the time difference between the UK and China, the researcher will actively arrange a suitable interview time with the interviewees to avoid delaying their work and rest time. <i>(this box should expand as you type)</i>
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	
	If any disturbing criminal information that requires further action is found during research activities, the researcher will immediately report the situation to the UWTSD and supervisor. The audio or video of the interview will be kept as evidence for the needs of relevant Chinese or British authorities. This will be explained on the information sheet and consent form. <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: (1) Data Retention Responsibilities and Pressures (2) Role Conflicts of Interest and Power (3) Research activity not approved <i>(this box should expand as you type)</i>	How you will mitigate the risk to the investigator: (1) Data Retention Responsibilities and Pressures Data usage and storage are performed in accordance with relevant Chinese and UK data protection laws. Any behavior beyond the consent form will require re-obtaining the consent of the interviewees. The researcher will back up all the original data with a mobile hard disk to prevent loss caused by accidentally deleting data. This action is described in the information sheet and consent form. (2) Role Conflicts of Interest and Power The researcher is one of the academic roles of the research subject (university). In the face of interviews with administrators, there may be emotional discomfort due to invisible threats from power holders and damage to the interests of the role. The researcher remains as neutral and objective as possible, acting as an observer and a recorder. (3) Research activity not approved If the ethics form is not approved, the researcher will contact the supervisor to discuss the reasons, revise and resubmit in time. If the research subject (university) principal does not approve, the researcher will contact the principal for research clarification, address concerns for approval, and report the situation to the supervisor. If the number of invited interviewees is insufficient within the specified time, the researcher will contact the supervisor in time to apply for an extension of the research activity, and improve the information sheet and consent form to eliminate any concerns of the interviewees. <i>(this box should expand as you type)</i>

5	University/institutional risks For example: adverse publicity, financial loss, data protection	
	Risk to the University: (1) Ethical risk (2) Data protection (3) Academic integrity (4) Anonymity and confidentiality <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to the University:</i> (1) Ethical risk Researchers will submit a UWTSD APPLICATION FOR ETHICAL APPROVAL. Before filling out the form, the researcher has read the guidelines provided in the form. Conduct research activities after obtaining approval. Researchers will ensure that UWTSD's Research Ethics and Integrity Code of Practice are followed throughout the study and after the study. All interview-specific documentation (including information sheets, consent forms, interview questions) must be confirmed by the supervisor before data collection. (2) Data protection Researchers will ensure compliance with the UWTSD Research Data Management Policy throughout the research process and after study completion. Data usage and storage are performed in accordance with relevant Chinese and UK data protection laws. (3) Academic integrity Researchers will abide by the UWTSD academic integrity policy, and will not do any plagiarism, data tampering and forgery, collusion, ghost-writing, etc. (4) Anonymity and confidentiality All interviewees' data will be anonymised and any information that may reveal the interviewee's identity will be removed. No one except the researcher knows who participated in the research activity. Researchers will be the custodians of the data and have sole access to view identifiable data. Researchers use a high degree of confidentiality to help the university maintain a harmonious working environment and avoid any interpersonal unpleasantness caused by data breaches. If during the interview, the researcher finds any disturbing information that required further action, the researcher prioritised communicating with the interviewee to determine their wishes. If any assistance is needed, the researcher is willing to help. If the researcher finds any illegal information, the researcher will save the interview data as evidence to meet the needs of the university and the authorities. The content of this

		part will be clearly showed to the interviewees on the Participant Information Sheet before the interview. (this box should expand as you type)
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems	
	Risk to the environment: N/A (this box should expand as you type)	How you will mitigate the risk to environment: N/A (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
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?
	The researcher will send the research brief (research content, purpose, significance, etc.), information sheet, consent form and interview questions to all interviewees by email at least one week in advance to provide the necessary information. After the online interview recording began, the researcher quickly reiterated the content of the consent form for confirmation by the interviewee. After completing the translation of all the recordings, each person's translation file will be emailed to the interviewees for checking to ensure that the content is correct. After the pilot study is completed, it will report to the interviewees in the form of presentation, and the interviewees are warmly welcome to give their valuable opinions. If interviewees choose not to receive research feedback, researchers have an obligation to respect their rights. (this box should expand as you type)
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.
	The researcher will send the research brief (research content, purpose, significance, etc.), information sheet, consent form and interview questions to all interviewees by email at least one week in advance to provide the necessary information. During this period, if the interviewee has any doubts or discomfort with the information, they can communicate with the researcher and modify it. The interviewees ticked, signed and dated the consent form, and sent it to the researcher by email to express their voluntary participation. The researcher will conduct a verbal check before the interview begins to ensure that the interviewee understands what they are agreeing to. All consent records will be kept securely and

	securely in encrypted form. According to the UWTSD's Research Ethics and Integrity Code of Practice, interviewees have the right to withdraw their consent to participate in research at any time. <i>(this box should expand as you type)</i>
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.
	Both the research subject (universities) and the interviewees participated anonymously in the research activities. Researchers will not ask for personal information during interviews. Any information that may reveal personally identifiable information in the data will be deleted. All audio recordings, video recordings, interview lists, and consent forms will be encrypted and stored, and will not be shared with any individual or organisation outside the research. <i>(this box should expand as you type)</i>

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	Personal data for this pilot study are audio recordings and video recordings. Because the interviewees of the research are Chinese, the researchers need to translate the interview content into text and English translation. Recordings are required to support this work. Video recording can assist researchers to observe the emotional fluctuations and body language of the interviewees to provide an opportunity to dig out the truth behind the phenomenon. Audio recording, video recording and observation will be informed through the information sheet and consent form before the interview, and the interviewee has the right to refuse or stop during the interviews. <i>(this box should expand as you type)</i>		
	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	<i>(this box should expand as you type)</i>		

	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:		
	When storing data, researchers must abide by the Personal Information Protection Law of the People's Republic of China 2021, the Data Security Law of the People's Republic of China 2021, the Notice of the General Office of the State Council on Measures for the Management of Scientific Data 2018, the General Data Protection Regulation 2016 (GDPR), the Data Protection Act 2018(DPA) and the UWTSD Research Data Management Policy. Data protection will be achieved through the use of passwords, anonymisation, encryption, locking files, deletion of any personal identifiers in data. Documentation includes audio recordings, video recordings, interview lists, consent forms, recording translation files. The principal researcher will back up all the original data with a mobile hard disk to prevent loss caused by accidentally deleting data. The hard drive will be stored in the principal researcher's home with a password and access rights. This action is described in the information sheet and consent form. <i>(this box should expand as you type)</i>		

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):		

	<i>(this box should expand as you type)</i>		
22	List all who will have access to the data generated by the research activity:		
	The principal researcher (Yingying Chen) and supervisors (Dr Caroline Jawad) <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:		
	The principal researcher (Yingying Chen) <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.		
	When storing data, researchers will abide by the Personal Information Protection Law of the People's Republic of China 2021, the Data Security Law of the People's Republic of China 2021, the Notice of the General Office of the State Council on Measures for the Management of Scientific Data 2018, the General Data Protection Regulation 2016 (GDPR), the Data Protection Act 2018(DPA) and the UWTSD Research Data Management Policy. Data storage protection will be achieved through the use of passwords, anonymisation, encryption, locking files, deletion of any personal identifiers in data. Documentation includes audio recordings, video recordings, interview lists, consent forms, recording translation files. All the data will be stored on the principal researchers' laptops, which require fingerprint recognition to unlock. The principal researcher will back up all the original data with a mobile hard disk to prevent loss caused by accidentally deleting data. The hard drive will be stored in the principal researcher's home with a password and access rights. The data will be stored for a long time to help with subsequent studies. <i>(this box should expand as you type)</i>		
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, the approval of the principal of the research subject (university) is required. <i>(this box should expand as you type)</i>		
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: 24.07.2023

For STUDENT Submissions:

2	Director of Studies/Supervisor:	Dr Caroline Jawad	Date: 3 August 2023
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 ONLY

Once complete, submit this form via the **MyTSD Doctoral College Portal** at (<https://mytsd.uwtsd.ac.uk>).

RESEARCH 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.

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.

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