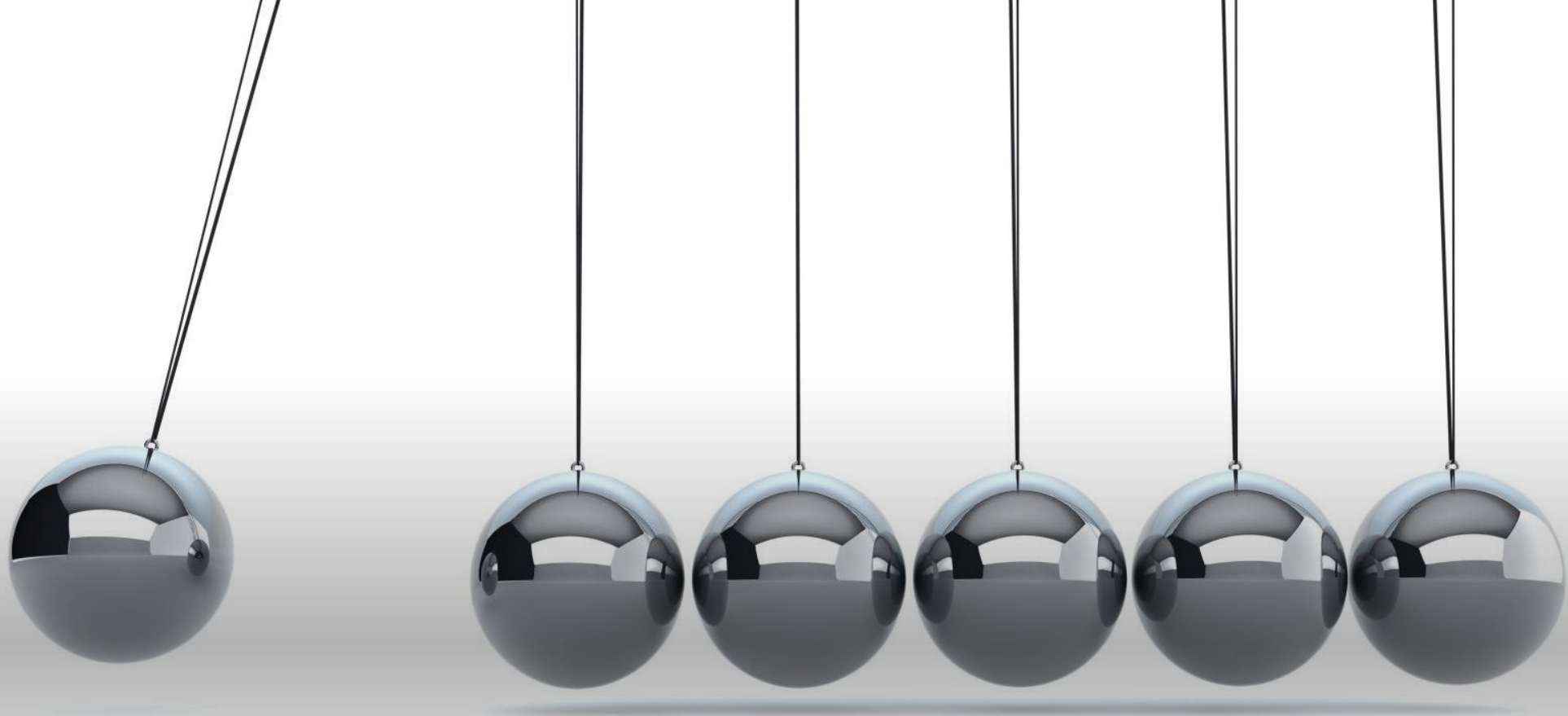




Ethics

What are the core ethical principles in educational research?

Respect for People

Beneficence and Non-Maleficence

Justice

Integrity and Transparency

Core Ethical Principles in Educational Research:

Respect for People

Key components:

- Informed consent
- Right to withdraw
- Respect for privacy and dignity

Core Ethical Principles in Educational Research:

Beneficence and Non-Maleficance



do good



do no harm

Core Ethical Principles in Educational Research: **Beneficence and Non-Maleficance**

Researchers must:

- Maximise potential benefits
- Minimise potential harm

In educational research, harm can be subtle:

- Stress or embarrassment
- Breaches of confidentiality
- Misuse of student data
- Power imbalances between teacher-researchers and students

Core Ethical Principles in Educational Research: **Justice**

Fairness in:

- Who is selected
- Who benefits

For example, it is unethical to involve disadvantaged students in research that benefits only privileged groups.

Core Ethical Principles in Educational Research: **Integrity and Transparency**

Researchers must:

- Report findings honestly
- Avoid fabrication or manipulation
- Disclose conflicts of interest
- Be transparent about methods and limitations

Educational research can influence policy and practice, so integrity is essential.

Are there ethical challenges that are unique to educational research?

Working With Children

- *How do we ensure genuine assent?
- *How do we avoid coercion when the researcher is also the teacher?

Dual Roles and Power Imbalances

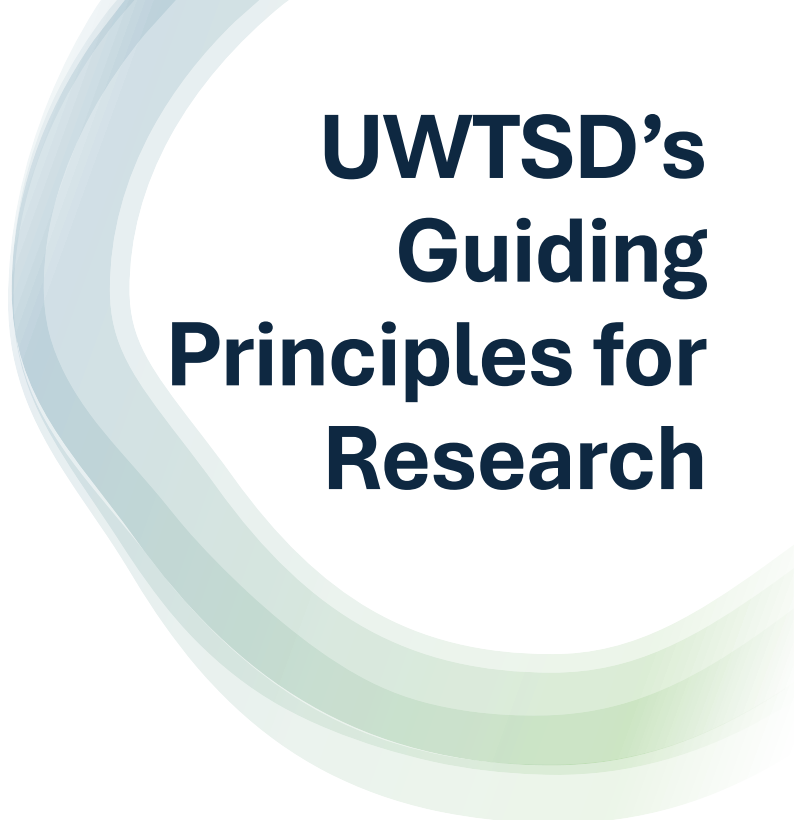
- *Students feeling pressured to participate
- *Grades or classroom relationships influencing consent
- *Difficulty maintaining objectivity

Data Privacy and Confidentiality

- Educational data is often:
- *Personal
 - *Sensitive
 - *Linked to academic performance

Studies involving interventions

- When testing new teaching methods:
- *Is it fair to give one group a potentially better intervention than another?
 - *How do we avoid disadvantaging groups?



UWTSD's Guiding Principles for Research

- **Beneficence:** 'do positive good'
- **Non-maleficence:** 'do no harm'
- **Rights:** Protect participants' interests
- **Risk Management:** Ensure participant and researcher safety and risk: i.e., the need to avoid harm or potential harm.
- **Proportionality:** Consider and protect against where necessary the impact of work on others
- **Ensure informed consent:** i.e., the need to inform participants of the aims and procedures of the research and obtain their agreement to take part on the basis of this information (although this should not be the legal basis for processing research data under the Data Protection Act and UK GDPR)
- **Avoid deception:** i.e., the need to avoid deception in informing participants about the research, or to justify the need for deception if necessary
- **Provide debriefing:** i.e., the need to provide participants with additional information to support them after taking part in the research, and/or to provide true information if deception was necessary originally
- **Allow withdrawal from Investigation:** i.e., the need to inform participants of their right to withdraw from the research at any stage, including during or at the end of their involvement
- **Ensure confidentiality:** i.e., the need to reassure participants that information they provide will not be disclosed without prior consent to others other than within the context of the research, or at a minimum will be made anonymous
- **Data security and archiving:** i.e., to ensure that research data is held in a secure manner consonant with the requirements of the Data Protection Act and that it is archived in such a way that it will be accessible for future audit purposes. Special attention should be made with regard to funding body requirements to submit research data to open repositories.

UWTSD Ethical Approval Process

15. Approval

Applications for ethical approval should be submitted for consideration as early as possible. All projects must be signed off from an ethics perspective before that part of the work for which approval is being sought begins.

If projects are approved research may proceed. The applicant and in the case of student work, the supervisor[s] will receive a communication to this effect from the Ethics Committee. Projects will be approved for the duration of the research process subject to resubmission should the nature of the research change or on the identification of unforeseen ethical implications that arise during the research process.

If projects are approved subject to amendments the applicant and supervisor[s] will receive a communication to this effect that indicates the minor points that require clarification. The project should be amended and re-submitted to the Ethics Committee for approval.

If projects are not approved because they contain major flaws the applicant and supervisor[s] will receive a communication from the Ethics Committee, detailing the issues to be addressed. The project must be substantially revised and re-submitted to the Ethics Committee for approval. Where a project is not approved because it contains a major flaw, where the use of personal data is involved in the project, the DPO should be consulted. A new DPIA should also be carried out.

DPO = Data Protection Officer

DPIA = Data Protection Impact Assessment

Research Misconduct

- **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 materials
- **Improper dealing with allegations of misconduct:** failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

The Ethics Form

Name _____

Signature _____

Date _____

Section A

SECTION A: About You (Lead Researcher)

1	Full Name:					
2	Tick all boxes that apply:		Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
3	Institute/Academic Discipline/Centre:					
4	Campus:					
5	E-mail address:		...@student.uwtsd.ac.uk			
6	Contact Telephone Number:					
7	Project Title		Title or research question			
8	Proposed Start Date			Proposed End Date		
For students:						
9	Student Number:					
10	Programme of Study:					
11	Director of Studies/Supervisor:					

Section B

SECTION B: Grant or Contract Funding

1	Has your research been awarded, applied for, or intend to apply for external funding?	YES	Click to continue to appendix 1	NO	Continue to the next section
2	Have you completed appendix 1?	YES	☐	NO	✗

Section C

SECTION C: Internal and External Ethical Guidance Materials

Ethical Guidance Documents

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

1	UWTSD Research Ethics & Integrity Policy	☐
2	UWTSD Research Data Management Policy	☐
3	UWTSD Open Access Publications Policy	☐
4	UWTSD Export Control Policy <i>Required if Appendix 8 completed</i>	☐

2



PG2 ETHICS FORM

5	UWTSD Trusted Research and Innovation Policy <i>Required if research is taking place outside the UK</i>	☐
6	<i>[List any other relevant documents here]</i>	☐

BERA Guidelines (2024)
Use full reference.

Section D

SECTION D: External Collaborative Research Activity

1	Does your research involve collaborating partners at another institution or organisation?	YES	Click to continue to appendix 2	NO	Continue to the next section
2	Have you completed appendix 2?	YES	☐	NO	

Section E

SECTION E: Details of Research Activity

Aims, Vision and Approach of the Research (maximum 200 words per section)

Please outline what are you hoping to achieve with your proposed work and how will you deliver it?

Research Aims & Objectives

Briefly state what your research is about:

Aims (what the research is trying to achieve or advance)

Objectives (action(s) or task(s) required to do this)

Vision

Explain how your research:

- Is of importance within or beyond your area of research;
- Has the potential to advance current understanding, generates new knowledge, thinking or discovery within or beyond the field or area;
- Is timely, given current trends, context and needs;
- Has the potential to generate impact in society, the economy or the environment.

Approach

Explain your approach and how you have designed your proposed study.

Describe:

- a. the methodological framework for data collection;
 - b. all research tools;
 - c. the proposed analysis methods for each tool.
-
- Explain the reasons for these choices;
 - Explain how these are feasible, effective and proportionate to achieve your objectives;
 - Identify any risks to delivery and how they will be managed.

Location of research activity

Identify all locations where research activity will take place.

A bullet point list is fine here; for example:

- UWTSD Campus, Swansea;
- National Museum of Wales, Cardiff;
- A large primary school in south Wales.

5	Will any of your research be undertaken outside of the UK?	YES	Click to continue to appendix 3	NO	Continue to the next section
6	Have you completed any of appendix 3?	YES	☐	NO	☐

Section F

Ensure that the boxes ticked here match with the information discussed in Section E.

SECTION F: Research Methods

Will the research activity include:		YES	NO
1	Use of a questionnaire or similar research instrument?	☐	☐
2	Use of interviews?	☐	☐
3	Use of focus groups?	☐	☐
4	Use of participant diaries?	☐	☐
5	Use of video or audio recording?	☐	☐
6	Use of computer-generated log files?	☐	☐
7	Participant observation with their knowledge?	☐	☐
8	Participant observation without their knowledge?	☐	☐
9	Access to personal or confidential information without the participants' specific consent?	☐	☐
10	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
11	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
12	Investigation of participants involved in illegal activities?	☐	☐
13	Use of procedures that involve deception?	☐	☐
14	Administration of any substance, agent or placebo?	☐	☐
15	Working with live vertebrate animals?	☐	☐
16	Procedures that may have a negative impact on the environment?	☐	☐
17	Other primary data collection methods. Please indicate the type of data collection method(s) below.	☐	☐
Details of any other primary data collection method: The above list covers most common data collection methods. If you will use other types of data collection for all or some of your data collection then please describe them here. <i>(this box should expand as you type)</i>			

Section G

SECTION G: Research Participants

Research participants include people who will be taking part in your research as providers of research data (e.g. being interviewed, answering questionnaires, or doing user testing of hardware or software). This includes animal participants.

1	Does your research involve human or non-human participants?	YES	Continue this section	NO	Click to continue to section N
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This **does not** mean - what will you call each participant?; e.g. Participant A, Teacher 1.

It **does** mean – how will you decide to include one person over another?

Participant numbers and source		
How will you ensure an appropriately convened sample group in order to meet the aims of the research? Give details for subgroups separately, if appropriate. How will any potential pitfalls, for example dual roles or potential for coercion, be addressed?		
1	How many participants will be recruited and how was the number decided upon?	How many participants do you aim to recruit? What process did you use to decide upon this number? <i>(this box should expand as you type)</i>
2	Who will the participants be?	What are the characteristics of the participants that make them relevant to the study? E.g. 'UWTSD students who play casual games on their mobile devices' instead of 'UWTSD students'. <i>(this box should expand as you type)</i>
3	How will you identify the participants?	Is this a group already known to you or will you have to contact them through another organisation? Will you approach them directly or will you send out a mass invitation via social media? <i>(this box should expand as you type)</i>
4	Will you be excluding any groups of people, and if so what is the rationale for that?	If you are excluding potential participants, how will you identify if they are unsuitable? <i>(this box should expand as you type)</i>
5	Will the research involve any element of deception? If yes, please describe why this is necessary and whether participants will be informed at the end of the study	Deception is sometimes acceptable in research, but if you intend to use it then you must justify its use. Are there are other ways to capture the same information? If there are then why are you not using them? <i>(this box should expand as you type)</i>

6	Describe whether participants will be able to withdraw from the study, and up to what point (eg if data is to be anonymised). If withdrawal is not possible, after a certain point, explain why not.	Wherever possible, participants should be able to withdraw from a study or choose not to answer particular questions. If this is not possible then you should explain why this is the case. <i>(this box should expand as you type)</i>
7	How long will the participant have to decide whether to take part in the research?	This can be important if you have deadlines to meet with a multi-stage project. <i>(this box should expand as you type)</i>
8	What arrangements have been made for participants who might have difficulties understanding verbal explanations or written information, or who have particular communication needs that should be taken into account to facilitate their involvement in the research?	This is particularly important if your research includes participants with disabilities but it may also be important to help you reach as wide a range of participants as possible. <i>(this box should expand as you type)</i>

Section H

SECTION H: Research with Vulnerable People

1	Are your participants classed as vulnerable people?	YES	Click to continue to appendix 4	NO	Continue to the next section
2	Have you completed appendix 4?	YES	☐	NO	☐

Groups that might be regarded as vulnerable include:

- **Children and young people.**
- **Adults who may lack capacity to consent**, including some people with cognitive impairments, dementia, learning disabilities, or certain mental health conditions.
- **Older adults**, where age-related factors may affect participation or decision-making.
- **People with physical, sensory, or learning disabilities**
- **People experiencing mental health difficulties.**
- **Individuals in dependent or unequal power relationships**, such as students recruited by their lecturers, employees recruited by managers, patients recruited by their clinicians or people receiving services from the researcher.
- **People who are socially marginalised or disadvantaged**, including those experiencing poverty, homelessness, social exclusion or discrimination.
- **People in abusive or coercive relationships.**
- **Prisoners, young offenders or people in custodial settings**, whose freedom to choose participation may be constrained.
- **Refugees, asylum seekers and some migrant populations**, particularly where language, legal status, or social circumstances create additional vulnerabilities.

Section I

SECTION I: Research Involving Animals

1	Are your participants non-human animals?	YES	Click to continue to appendix 5	NO	Continue to the next section
2	Have you completed appendix 5?	YES	☐	NO	☐

Section J

SECTION J: Research with the Prison Service or the Probation Service

1	Are your participants staff or offenders within the Prison Service or the Probation service?	YES	Click to continue to appendix 6	NO	Continue to the next section
2	Have you completed appendix 6?	YES	☐	NO	☐

Section K

1	Are your participants selected due to their health or social care needs?	YES	Click to continue to appendix 7	NO	Continue to the next section
2	Have you completed appendix 7?	YES	☐	NO	☐

Section L: Types of Personal Data





Personal Data		YES	NO
Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
1	Personal data means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants and transcription of such are considered to be personal data.	☐	☐
If you ticked YES, provide a description of the data and explain why this data needs to be collected:			

'Personal data' includes audio/video data of interview participants:
"to one or more factors specific to the physical...identity of that natural person"

Special Category Data		YES	NO
Does the research involve the processing of special category data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
2	Racial or ethnic origin	☐	☐
3	Political opinions	☐	☐
4	Religious or philosophical beliefs	☐	☐
5	Genetic, biometric or health data	☐	☐
6	Sex life or sexual orientation	☐	☐
7	Trade union membership	☐	☐

If you ticked **YES** to any of questions L2-L7, provide a description of the data and explain why this special category data needs to be collected to support the research and that it is in the public interest to do so:

8

(this box should expand as you type)

9

Please describe how the research has been designed to gather the minimum amount of personal data necessary for the specified research purpose:

Example:

Personal information will be limited to basic demographic details that are essential for contextualising classroom interaction. No names, student ID numbers, contact details, or other identifiable information will be recorded in the dataset. Interview recordings will be anonymised during transcription. Any data not directly relevant to the research objectives will be excluded from analysis.

The Data Protection Act (2018) requires you to collect as little personal data as possible. Explain how your project has been designed to do this. Highlight what data will be collected and what will NOT be collected.

(this box should expand as you type)

10

Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded:

Is there any way that participants could be affected by how you process their data? If not then say this. If there is, then say how you're going to protect them from harm.

(this box should expand as you type)

11

Demonstrate that the data will not be used to take any action or make decisions in relation to the individuals concerned:

Explain that your research will have no direct impact on your participants, for instance if it is educational research then no decisions about the student will be made on the basis of this data.

(this box should expand as you type)

12

Data should be anonymised wherever possible, either at point of capture or once collated. If the data cannot be anonymised, and if pseudonymisation is not possible, demonstrate why that is possible. If special category data cannot be anonymised, explicit consent to share that data must normally be obtained.

Anonymisation – irreversibly removing all personal identifiers. Once data is fully anonymised GDPR no longer applies. Pseudonymisation – replacing personal identifiers with codes or fictitious names but having a separate key that allows re-identification if necessary. This provides improved privacy but does not exempt the data from GDPR regulations. Pseudonymisation is often used for longitudinal studies.

(this box should expand as you type)

13

If special category data cannot be anonymised, will you obtain explicit consent to share that data?

YES

NO

N/A

☐☐☐

Q10 Example: The research is designed to minimise any risk of harm, distress, or discomfort to participants. Participation is entirely voluntary, and participants may withdraw before data has been anonymised or aggregated without providing a reason. Students who choose not to participate will not be recorded and their academic standing will not be affected. Similarly, teachers' professional standing will not be affected by their decision to participate or withdraw. Data will be securely stored on an encrypted, password-protected university device accessible only to the researcher and supervisors.

Q12 Example: Wherever possible, data collected in this study will be anonymised, particularly interview transcripts and written analytical materials. Classroom video and audio recordings cannot be fully anonymised but will be treated as confidential and securely stored.

Section M: Participant Information and Consent



SECTION M: Participant Information and Consent



Information for participants		YES	NO	N/A
1	Will you obtain written consent for participation?	☐	☐	☐
2	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☐	☐	☐
3	Will you tell participants that their participation is voluntary?	☐	☐	☐
4	Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☐
5	If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☐
6	Will you tell participants that they may withdraw from the research at any time and for any reason?	☐	☐	☐
7	Will participants be made aware of how you will treat any information that may reasonably <u>by</u> considered as confidential?	☐	☐	☐
8	If your research requires your participants to sign up for a service provided by an external company or <u>organisation</u> will you inform them that their data may be stored and processed outside UWTSD?	☐	☐	☐
9	Will you give participants the UWTSD Privacy Notice for Research?	☐	☐	☐
If you have answered NO to any of questions M1-M8, please provide justification detailing why this is necessary for the research.				
10	Justify your decisions, particularly if written consent will not be obtained or if participants will not be fully informed in advance. <i>(this box should expand as you type)</i>			

(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 the research begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded.

11

(this box should expand as you type)

You should discuss:

- *Your consent process

- *The way in which you will inform participants of their right to withdraw and the way in which you will manage this process should it occur.

If you have more than one research tool, discuss each one separately.

Confidentiality: Confidential information refers to information that can be related to an identifiable individual, whether living or deceased, which is not in the public domain and which is given with the expectation that it will be kept confidential. Under Common Law when an individual entrusts a researcher or research team with confidential information, the team must handle this in line with ‘reasonable expectations’. In other words, confidential information should only normally be shared when there would be ‘no surprises’ for the individuals concerned. Where participants would not expect the researcher to be sharing their confidential information with others, researchers can manage their expectations by informing them of their intentions (e.g. in the participant information sheet or during discussions about participation) and asking them if they are happy with these plans. They should understand what is being proposed and what this might mean for them, before they decide whether the researcher can share their confidential information with others.

Please detail how you will treat confidential information:

12

Describe how you will protect your participants confidential data, including how you will store and manage it securely, who will have access, and how you will inform your participants if the data will be shared. If the data is to be shared, explain how will you make sure that your participants understand and agree to this.

(this box should expand as you type)

Copies of any written consent form, written information and all other explanatory material should accompany this application. If you have included these then please list the documents included here.

13

Sample information sheets and consent forms are available from the University ethical review intranet page at <https://intranet.uwtsd.ac.uk/research/research-integrity-and-ethics>

14

Consent form attached?

YES

☐

NO

☐

N/A

☐

Confidentiality and Anonymity



Confidentiality means that **only the researcher** can identify the responses of individuals.



Anonymity means that **neither the researcher** nor another person can identify the participant from the information provided.

Anonymisation of data

- The process of anonymising data requires that identifiers are changed in some way.
- This might mean that identifying information is removed, substituted or generalised.
- Remember that a person's identity can be disclosed from:
 - **Direct identifiers** such as names, postcode information or pictures.
 - **Indirect identifiers** which, when linked with other available information, could identify someone, for example information on workplace, occupation, salary or age.

Confidentiality: Confidential information refers to information that can be related to an identifiable individual, whether living or deceased, which is not in the public domain and which is given with the expectation that it will be kept confidential. Under Common Law when an individual entrusts a researcher or research team with confidential information, the team must handle this in line with 'reasonable expectations'. In other words, confidential information should only normally be shared when there would be 'no surprises' for the individuals concerned. Where participants would not expect the researcher to be sharing their confidential information with others, researchers can manage their expectations by informing them of their intentions (e.g. in the participant information sheet or during discussions about participation) and asking them if they are happy with these plans. They should understand what is being proposed and what this might mean for them, before they decide whether the researcher can share their confidential information with others.

Please detail how you will treat confidential information:

12

Write about your approach to confidentiality here.

(this box should expand as you type)

In 13, write down the titles of any documents you have added at the end of the form.

Copies of any written consent form, written information and all other explanatory material should accompany this application. If you have included these then please list the documents included here.

13

Sample information sheets and consent forms are available from the University ethical review intranet page at <https://intranet.uwtsd.ac.uk/research/research-integrity-and-ethics>

14

Consent form attached?

YES



NO



N/A



Information Sheets

These **should/could** include:

- what the research is trying to find out;
- the purpose of the research;
- who is carrying it out;
- exactly what will be asked of participants;
- how the information they provide will be recorded;
- what will then happen to the data;
- what degree of confidentiality and anonymity is afforded;
- how the information will be analysed;
- how the findings will be reported;
- who will see the results of the study.

Section N

SECTION N: Research with Potential Military Application

1	Does your research have any potential military application?	YES	Click to continue to appendix 8	NO	Continue to the next section
2	Have you completed appendix 8?	YES	☐	NO	☐

Section O: Use of Artificial Intelligence Tools

Use of generative AI and other AI-based tools There are a number of ethical issues relating to the use of generative AI and other AI-based tools, including data security, output bias, and output errors. In general you should assume that any generative AI or other AI-based tool that you pay to use is more secure and accurate than one which is free to use.		YES	NO	N/A
Will the research use AI tools to do any of the following:				
1	Capture data?	☐	☐	☐
2	Generate and/or edit text?	☐	☐	☐
3	Generate graphics?	☐	☐	☐
4	Generate video?	☐	☐	☐
5	Generate sound/music?	☐	☐	☐
6	Generate code?	☐	☐	☐
7	Generate synthetic data?	☐	☐	☐
8	Analyse data?	☐	☐	☐
9	Analyse personal or sensitive data?	☐	☐	☐
10	Classify data?	☐	☐	☐
11	Do you intend to use the free version of any AI tools?	☐	☐	☐
If you have answered YES to any of questions O1-O11, please provide justification detailing why this is necessary for the research.				
12	State which AI tool or tools you will be using, and where they are based (or store their data – you may need to check their webpages or user agreement for this). If you are planning to use Copilot then say if you're using the UWTSD version of it or the public version. You should also show how you are complying with current UWTSD guidance/policy of the use of AI. <i>(this box should expand as you type)</i>			

Section P: Research Data Management Plan

1	Data Summary
Briefly introduce the types of data the research will create or access.	
2	Responsibilities
- Who will be responsible for data management? - Outline responsibilities for data management within research teams at all partner institutions	
3	Assessment of existing data
Provide an explanation of the existing data sources that will be used by the research project (if applicable).	

Q2 Example:

I (name) will take full responsibility for data management, including collection, storage, anonymisation, and disposal, under the supervision of my supervisor/module lead. Data will be securely stored on encrypted, password-protected devices, accessible only to the researcher and supervisor/module lead. No external partners are involved.

	Provide an analysis of the gaps identified between the currently available and required data for the research.
4	Management and curation of data
	Outline your plans for preparing, organising and documenting data.
5	Quality assurance of data
	Describe the procedures for quality assurance that will be carried out on the data collected at the time of data collection, data entry, digitisation and data checking.

Q4 Example:

Data will be systematically organised and documented.

Data Preparation and Organisation:

1. Each classroom video and interview recording will be assigned a unique identifier (e.g., *T1_ClassA* for Teacher 1, Class A observation).
2. Corresponding transcripts will use the same coding system to maintain consistency between datasets.

Documentation:

Detailed notes will document any data cleaning, transcription conventions, and coding decisions used in analysis.

Curation and Quality Control:

1. During transcription and annotation, the researcher will pay attention to ensure accuracy and consistency between audio/video materials and text files.
2. Interim backups will be made on encrypted drives, following the University's data management guidelines.
3. Once analysis has been completed, the dataset (anonymised interview transcripts) will form the final archive for long-term retention in accordance with institutional policy. Raw classroom video recordings will not be archived but will be securely stored only for the duration necessary to complete data analysis, examination and institutional requirements, after which they will be permanently destroyed in accordance with UWTSD's Research Data Management Policy.

Q5 Example:

Quality assurance procedures will be implemented at every stage of the research to ensure that all data are accurate, reliable, and consistent with ethical and academic standards.

All classroom video and interview audio recordings will be checked immediately after each session to ensure clear sound and image quality. Before each session, the researcher will make a short test recording to confirm technical settings.

During digitisation, all files will follow a standardised naming convention (e.g., *ClassA_Teacher1_Obs1.mp4*). Furthermore, backups of all digital files will be created on encrypted storage devices after each data collection event.

Supervisors will periodically review data samples (e.g., transcript excerpts) to verify transcription accuracy and anonymisation procedures.

Section P: Research Data Management Plan

6	Short-term data storage
- How will the data be stored in the short term during the research. - Describe the data access, security and backup procedures you will adopt to ensure the data and metadata are securely stored during the lifetime of the project.	
7	Long-term data storage and preservation
- Which data are of long-term value and should be retained, shared, and/or preserved? - How the data will be stored in the long term? - Are the plans for preparing and documenting data for sharing and archiving with an external data repository (e.g. the UK Data Service) or the UWTSD data repository? - How long will it be stored for and why?	

Q6 Example:

All data will be securely stored and managed in accordance with the UWTSD Research Data Management Policy. Video and audio recordings will be stored on an encrypted, password-protected external hard drive, while transcripts will also be stored on the researcher's secure university cloud storage (OneDrive - UWTSD). Access to the data will be restricted solely to the researcher and the supervisor. The consent forms and participant contact details will be stored separately from the research data to ensure confidentiality and prevent re-identification. The devices used for storage (laptop) is password-protected and equipped with up-to-date antivirus and firewall software. Textual data, including interview transcripts, will be anonymised as soon as possible after collection. Raw classroom video recordings cannot be fully anonymised and will therefore be securely stored with restricted access only for the duration necessary to complete analysis, examination, and institutional requirements, after which they will be permanently destroyed. Then, video and audio files will be labelled only with anonymised codes (e.g., *T1_ClassA_Obs1*).

Q7 Example:

The data of long-term academic value will consist of anonymised interview transcripts and anonymised analytical extracts derived from classroom observations. These materials provide valuable quantitative and qualitative evidence of [topic under investigation] and may support future research or methodological comparison. The original video recordings contain identifiable information (e.g., faces, voices, gestures), so to protect participants' privacy, they will not be retained beyond the completion of the research.

The anonymised textual data will be securely archived in the UWTSD research repository in accordance with institutional guidance. Access to these archived materials will be managed through the repository's controlled-access procedures. Any data shared for academic purposes will be anonymised and stripped of all direct and indirect identifiers prior to upload.

There are currently no plans to deposit the raw recordings in external repositories (e.g. UK Data Service) due to confidentiality. Anonymised research data and outputs will be stored for a period of ten years after the completion of the project, in accordance with the UWTSD Research Data Management Policy. The retention period ensures that anonymised research outputs remain available for academic verification and potential secondary analysis while upholding ethical obligations to participants.

Section P: Research Data Management Plan

9	Data sharing
	• If you plan to share your research data explain how it will be shared and the value it will have to others • If you are planning to share the data, please advise when you will be releasing it. • Are any restrictions on data sharing required? • Identify any potential obstacles to sharing your data, explain which and the possible measures you can apply to overcome these • If the data will have value to different audiences, how these groups will be informed? • Will the data need to be updated? Include future plans for updating if this is the case. • Will the data be open or will you charge for it? Justify if charging to access the data.
10	Copyright and intellectual property ownership
	• Who will own the copyright and Intellectual Property Rights (IPR) of any new data that you will generate?
11	Resources

Q9 Example:

The research data will be used for academic purposes within the scope of the researcher's professional doctoral study.

The anonymised findings and analytical frameworks will be shared through the doctoral thesis, academic publications, and conference presentations. The thesis will be made accessible via the UWTSD repository, reaching relevant audiences in linguistics and language education.

The dataset will not require regular updating, as it reflects a specific research period.

The data will not be sold or monetised.

Q10 Example:

I (name) will hold the copyright and intellectual property rights for all new data generated during the study, analyses, and written materials. UWTSD will hold a non-exclusive licence to archive and make accessible the thesis and anonymised data.

Copyright of publications will follow the respective publisher agreements.



Section Q: Risk Assessment

SECTION Q: Risk Assessment



Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.			
If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.			
1	Full risk assessment completed and appended?	YES ☐	NO ☐
Risks to participants, researchers, and the University			
2	Social risks: <i>disclosures that could affect participants standing in the community, in their family and their job.</i>	YES ☐	NO ☐
Risk: Write risks here. Number each one. (this box should expand as you type)		How will you address any risks? Number each response. Begin with 'I will...'	
3	Legal risks: <i>activities that could result in the participant, researchers and / or University committing an offence; activities that might lead to a participant disclosing criminal activity to a researcher which would necessitate reporting to enforcement authorities; activities that could result in a civil claim for compensation</i>	YES ☐	NO ☐
Risk: (this box should expand as you type)		How will you address any risks?	
4	Economic harm: <i>financial harm to participant, researcher and / or University through disclosure or <u>other</u> event.</i>	YES ☐	NO ☐
Risk:		How will you address any risks?	

See the annotated form for examples.

SECTION Q: Risk Assessment



Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.			
If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.			
1	Full risk assessment completed and appended?	YES ☐	NO ☐
Risks to participants, researchers, and the University			
2	Social risks: <i>disclosures that could affect participants standing in the community, in their family and their job.</i>	YES ☐	NO ☐
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
3	Legal risks: <i>activities that could result in the participant, researchers and / or University committing an offence; activities that might lead to a participant disclosing criminal activity to a researcher which would necessitate reporting to enforcement authorities; activities that could result in a civil claim for compensation</i>	YES ☐	NO ☐
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
4	Economic harm: <i>financial harm to participant, researcher and / or University through disclosure or <u>other</u> event.</i>	YES ☐	NO ☐
Risk: Example: The research does not involve any form of payment, financial transaction, or disclosure of sensitive financial information. Therefore, there is no direct risk of economic harm to participants or organisations.		How will you address any risks?	

Social risks

Can involve:

- *social risks, public embarrassment or stigma;
- *power dynamics or perceived coercion;
- *damage to reputation or relationships;
- *emotional impact linked to the material being discussed (i.e. in an interview).

(this box should expand as you type)			
5	Reputational risk: damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.	YES	NO
		☐	☐
Risk:		How will you address any risks?	
(this box should expand as you type)			
6	Safeguarding risks: Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a compromising situation, in which there might be accusations of improper behaviour.	YES	NO
		☐	☐
Risk:		How will you address any risks?	
Allegations while conducting interviews			
(this box should expand as you type)			
7	Sensitive, embarrassing or upsetting topics. If research activity may include sensitive, embarrassing or upsetting topics or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered.	YES	NO
		☐	☐

Reputational risk - researcher:

- Accusations of fabrication or falsification of data
- Concerns of coercion
- Possible conflict of interest between the researcher and participants

Reputational risk – researcher & university:

i.e. a potential complaint against the researcher for causing emotional distress or embarrassment that could, in turn, cause reputational damage to the university

e.g.

- * loss of data
- * non-compliance with relevant legislation
- * discrimination
- * workplace health and safety
- * inappropriate use of social media

<i>(this box should expand as you type)</i>			
5	Reputational risk: <i>damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.</i>	YES	NO
		☐	☐
Risk: <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i>	
6	Safeguarding risks: <i>Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a compromising situation, in which there might be accusations of improper behaviour.</i>	YES	NO
		☐	☐
Risk: <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i>	
7	Sensitive, embarrassing or upsetting topics. <i>If research activity may include sensitive, embarrassing or upsetting topics or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or <u>actually illegal</u> is discovered <u>in the course of a project</u>, it may need to be disclosed to the proper authorities.</i>	YES	NO
		☐	☐

Sensitive, embarrassing or upsetting topics

Consider including information about any available support that may be relevant to the participant group; e.g.

Local Education Authority helpline/ University Support Services/ Samaritans

(this box should expand as you type)

	Health and safety risks		
8	Location hazards: for example: fire; visiting or working in participant’s homes; working in remote locations and in high crime areas; overseas travel; hot, cold or extreme weather conditions; working on or by water. <u>Also</u> hazardous work locations, such as construction sites, confined spaces, roofs or laboratories. For overseas travel, researchers will need to check country / city specific information, travel health requirements and consider emergency arrangements as part of their research planning. In all cases the University’s International Travel Policy must be followed.	YES	NO
		☐	☐
Risk: (th Example: The research will take place in classrooms in xxx. Risks are minimal as the locations are secure and well-regulated academic environments. The research locations are regular teaching spaces within university premises, which are considered low-risk environments.		How will you address any risks?	
9	Activity hazards: for example: potentially mentally harmful activities; distressing and stressful work and content; driving; <u>tripping, or slipping</u> ; falling from height; physically demanding work; lifting, carrying, pushing and pulling loads; <u>night time and weekend working</u> .	YES	NO
		☐	☐
Risk: (this box should expand as you type)		How will you address any risks?	
10	Machinery and equipment: for example: ergonomic hazards, including computer workstations and equipment; contact with electricity; contact with moving, rotating, ejecting or cutting parts in machinery and instruments; accidental release of energy from machines and instruments.	YES	NO
		☐	☐
Risk:		How will you address any risks?	

Physical harm:

e.g. pain or injury that could result from the study’s procedures.

If this is unlikely within the context of your research, you may note that no such risk is anticipated.

(this box should expand as you type)			
11	Chemicals and other hazardous substances: <i>the use, production, storage, waste, transportation and accidental release of chemicals and hazardous substances; flammable, dangerous and explosive substances; asphyxiating gases; allergens; biological agents, blood and blood products.</i>	YES ☐	NO ☐
Risk: (this box should expand as you type)		How will you address any risks?	
12	Physical agents: <i>for example: excessive noise exposure, hand-arm vibration and <u>whole body</u> vibration; ionising radiation; lasers; artificial optical radiation and electromagnetic fields</i>	YES ☐	NO ☐
Risk: (this box should expand as you type)		How will you address any risks?	
13	Environmental risks: <i>for example: accidental spillage of pollutants, damage to local ecosystems</i>	YES ☐	NO ☐
Risk: (this box should expand as you type)		How will you address any risks?	

Possible environmental risks in educational research

- Use of paper
- Travel to interviews - carbon footprint
- Energy use
- Waste Generation
- Digital Storage

Environmental Risks in scientific contexts

- The release of chemicals or organisms into the environment.
- The removal or damage of resources from the environment.
- The permanent leaving of detrimental or uncommon materials in an environment.
- Actions that impact on the workings of ecosystems.
- Actions that impact on the wellbeing or livelihoods of people, including the potential bringing of uncommon diseases with researchers into protected communities.
- Aesthetic damage, including visual, noise, and odour pollution.
- Actions that enhance indirect risks by others, for example the disclosure of the location of rare resources, nesting sites, or growing locations.
- Actions that impact on future environmental research, including oversampling, permanently changing an environmental system, and causing a deterioration in relationships with organisations or communities.
- Actions that have the potential to raise public concerns, even when those concerns are unjustified, for example, the obvious carrying of chemicals through public spaces.

Section R: Disclosure and Barring Service

Disclosure and Barring Service				
1	If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
	Does your research require you to hold a current DBS Certificate?	☐	☐	☐
2	If YES, please give the certificate number. If the certificate number is not available please write "Pending"; in this case any ethical approval will be subject to providing the appropriate certificate number.			

If your study involves researching with children or vulnerable people, you should say yes and add your DBS number here.

SECTION S: Declaration

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

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Policy which is published on the website: <https://www.uwtsd.ac.uk/research/research-ethics/>

1	Name of applicant	
2	Electronic or written signature of applicant:	Add your name, signature and date here.
3	Date	
4	Name of Director of Studies	Ask your Module Lead (Part 1) OR DoS (Part 2) to add their name, signature and date here.
5	Electronic or written signature of Director of Studies:	
6	Date	

Checklist

1	☒	I have read the guidance notes supplied before completing the form.
2	☒	I have completed all relevant sections of the form in full.
3	☒	I have attached a copy of the Participant Information Sheet (PIS) or Consent Form
4	☐	I have attached a completed copy of the Trusted Research and Innovation Checklist (where applicable)

If your research is being carried out outside the UK = appendix 3.
If your research involves children or people with whom you have a relationship = appendix 4.

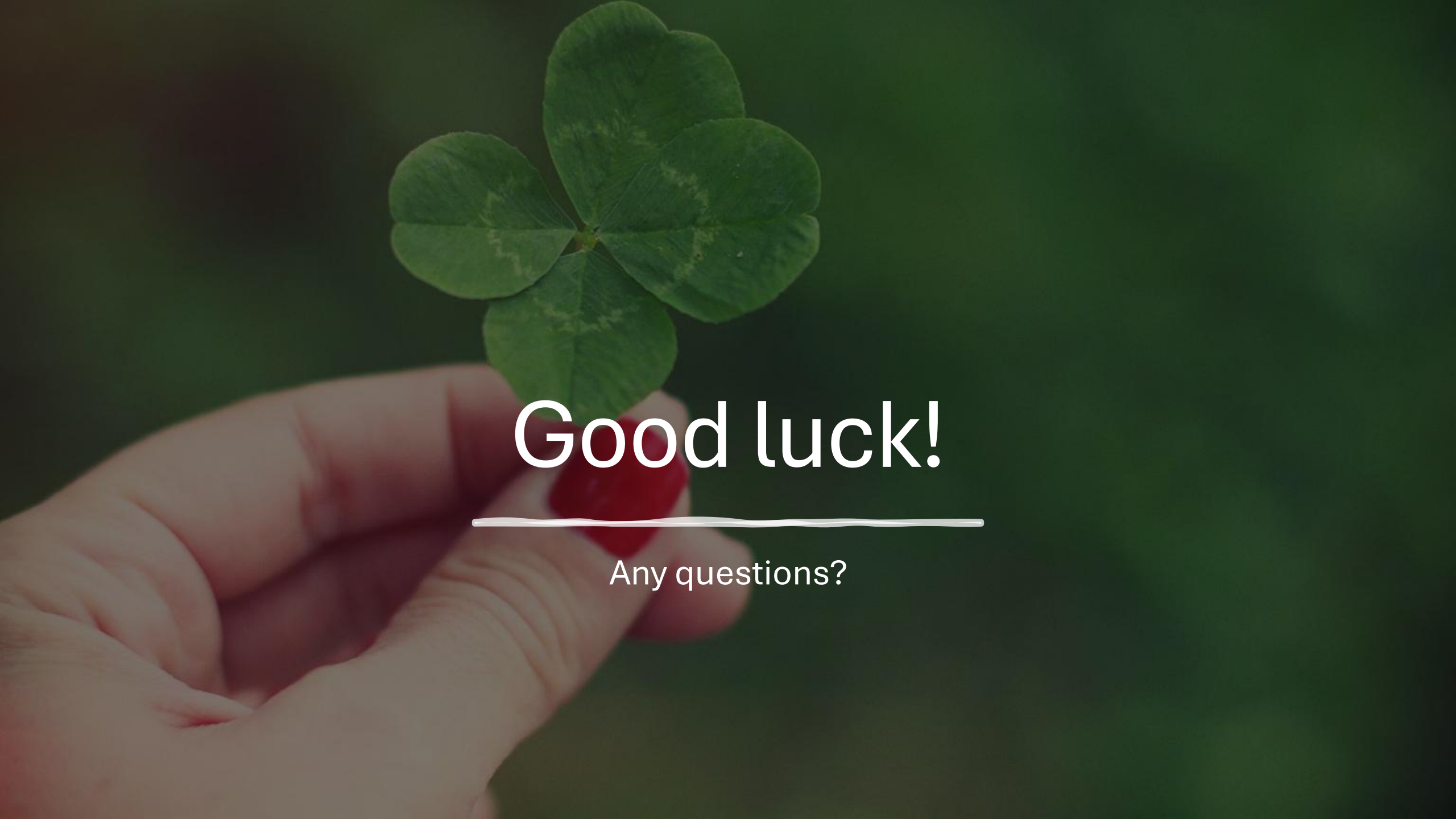
5	☐	I have attached a full risk assessment (where appropriate)
6	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice
7	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Data Management Policy
8	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Export Control Policy
9	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Open Access Research Policy

10	I have completed the following appendices:	1	☐	2	☐	3	☐	4	☐
		5	☐	6	☐	7	☐	8	☐

At the end of the form...

after the appendices (if relevant), you should place your:

- Information Sheet(s)
- Consent Form(s)

A close-up photograph of a hand holding a four-leaf clover. The hand is positioned in the lower-left corner, with the thumb and index finger visible. The clover is green and has four distinct leaves. The background is a dark, out-of-focus green. The text "Good luck!" is overlaid in white, centered horizontally and slightly above the middle vertically. A thin white horizontal line is positioned below the text.

Good luck!

Any questions?