

Professional Doctorate in Education (EdD) (full-time pathway)

Introduction to Research Methods in Education

ECDE7002

Assessment Component 3 – (10%)

***Practical Completion of 3 Sections of Ethics Form – equivalent
to 800 words***

Student: **Miss Olga Horvathova, BSc, MSc**

Student ID: **165 10 25** / or 151771

Start: October 2023

Deadline: 17 January 2024

UWTSD

Swansea, SA1 Campus, IQ Building

APPLICATION FOR ETHICAL APPROVAL

SECTION A: About You (Principal Researcher)

1	Full Name:	Miss OLGA HORVATHOVA, BSc, MSc			
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 Education, Education for Wales /Professional Doctorate in Education / UWTSD			
4	Campus:	Swansea Campus, IQ Building			
5	E-mail address:	ohorvathova.151771@student.uwtsd.ac.uk			
6	Contact Telephone Number:				
For students:					
7	Student Number:	165 10 25			
8	Programme of Study:	EdD Professional Doctorate in Education			
9	Director of Studies/Supervisor:				

SECTION H: Anticipated Risks

	Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them. If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.		
1	Full risk assessment completed and appended?	Yes No	☐ ☒
2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
	<u>Risk to participants:</u> Psychological harm: Due to the sensitive nature of the study, related to the promotion and support of mental health, wellbeing and the experience-based evidence, reported by the participants, some level of possible discomfort, distress or further emotional or mental harm to both, participants and the researcher, might occur. The sub-questions of the interview capturing the experience-based measures are directly linked to individual experiences, feelings or beliefs which might cause additional stress or pressure leading to anxieties or depression within sensitive or unwell participants. Social harm: Due to the sensitive nature of the questions involving the mental health and wellbeing experience, there is a possibility of social harm by misunderstanding, judgement or labelling, if the participant discusses any details from the interview with a third party. Physical harm: No greater than minimal physical risk of harm is expected to be caused during the study.	<u>How you will mitigate the risk to participants:</u> - The researcher should closely observe any emotional, behavioural or physiological responses of the participants. This can be crucial due to the possible display of emotional distress or discomfort exhibited by the participant during the face-to-face interview. This can be mitigated for example, by offering to take a 5-minute break, offering a drink or tissue, or withdrawing from the interview, the researcher should suggest seeking professional advice in serious cases and the supervisor should be immediately informed if any concern occurs. - The Information Sheet and Informed Consent Form should contain a note with contact details to local contact centres, charities or clinics offering help and professional advice to people that facing difficult times. For example, <i>Mind Swansea, Samaritans Swansea, The Mental Health Forum or NHS Direct.</i> - The interview should be conducted in a quiet, safe and neutral environment. - The participants must be given the information sheet and consent form to ensure that they fully understand and agree with the nature of the study, and the type of questions and they know what to do if they feel uncomfortable during the interview.	
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		
	The information sheet and consent form should clearly state that the questions given during the interview will be closely related to mental health, wellbeing, individual experience, personal feelings and beliefs. Therefore, the questions might be emotionally upsetting, distressing, or uncomfortable. The participants will be informed, that their participation is voluntary, and they have the right to skip any uncomfortable question, take a 5-minute break, or withdraw from the study at any time or point during the face-to-face interview. There will be provided contacts to local contact centres, charities or clinics offering help and professional advice to people that facing difficult times. For example, <i>Mind Swansea, Samaritans Swansea, The Mental Health Forum or NHS Direct.</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. Allegations while conducting interviews (linked to safeguarding) 2. Accusations of fabrication or falsification of data 3. Concerns of coercion 4. A confidentiality breach due to data being released accidentally	How you will mitigate the risk to the investigator: 1. Meet with the participant in a safe, neutral place, the supervisor should be aware of when the interview is happening. Ensure anonymity, and confidentiality but ensure a safe distance and place for both the researcher and participant, for example, keep some curtains open or keep a jar in the door. 2. Make sure that only information that has been agreed upon, consented and provided by the participants is used, if in doubt do not interpret specific information 3. Ensure that the consent form and information sheet are read, fully understood, and accepted, any questions answered by the researcher, and provide reassurance that the participation is voluntary and the participant has the right to withdraw from the study at any time. 4. Data protection and anonymity should be ensured by keeping any documents, notes, and interview transcripts in a safe, lockable unit or via online storage such as password-protected Cloud digital storage. No names, addresses, or other identifiable details will be collected for the purpose of this study.	
5	University/institutional risks For example: adverse publicity, financial loss, data protection		
	Risk to the University: 1. Reputation damage	How you will mitigate the risk to the University: 1. Behave in tact with BERA ethical guidance for educational research, follow the UWTSD Code of Conduct, Code of Ethics, UWTSD Ethics Code of Practice	
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems		
	Risk to the environment: 1. Use of paper copies 2. Traveling to meet the participants 3. Eco and proper recycling of the Printer Ink	How you will mitigate the risk to environment: 1. Only use the required amount of copies 2. If possible walk to the meeting, due to the advantage of the population sample being in the same town as the home/workplace of the researcher 3. Use all means to correctly recycle any waste created or gathered during and after the interviews and during each stage of the research process	

	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.	
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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? De-briefing will be done immediately after every face-to-face interview, with each participant individually. The researcher will thank the participants for their time and valuable contribution to the research. The researcher will probe the immediate feelings, emotions and overall state of the participant after the interview, to ensure that nobody is in a bad mental or emotional state once done with the interview. If any concerns occur or any distress has been displayed, the supervisor should be immediately informed, and consideration of seeking professional help or advice should be discussed with the participant. The researcher should have prepared before each interview a list of possible emergency or help contacts, for example, the NHS Direct, Samaritans Swansea or Mind Swansea. Feedback regarding the outcomes and findings from the proposed study can be provided upon request by the participants, via email, once the study ends and once the results are published or stored within the UWTSD Data Research Repository. The student's academic email will be provided within the Information Sheet and Informed Consent Form as well.
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. To meet the principle of transparency regarding the qualitative question <i>'What do the terms wellbeing and mental health mean to teaching practitioners in secondary schools in Swansea, Wales'?</i>, there will be created a detailed "Participation Information Sheet" and "Informed Consent Form". These documents will be printed and handed to each participant, involved in the face-to-face interview. The Information Sheet will contain detailed information regarding the researcher's position, the institution behind the study, the rights of the participant, the main purpose and aim of the study, and who to contact in case of any issue, misconduct or concerns (Biggam, 2021; Creswell and Plano Clark, 2017).
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. To limit possible risks of breaching the Data Protection legislation for example, the Data Protection Act 2018, or GDPR 2016, there will be provided a clear and reassuring statement within the Information Sheet and Informed Consent Form, regarding the procedures of the data protection. The participants will be informed about anonymity and the data protection approach, with a statement that the study is voluntary with the right to withdraw at any time. Furthermore, no personal data such as names or addresses will be collected during the research process. A specific coding system regarding participant identification will be provided where organisation names or identifiable data will be altered and re-coded to ensure anonymity and personal data protection. Lastly, any paper documents, notes,

	interview transcripts or recordings will be stored in a lockable unit with strictly limited access or electronically via password-protected Cloud storage (BERA, 2018; Smith, Flowers and Larkin, 2009; Wellington, 2015).
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SECTION J: Data Protection and Storage

	Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 “GDPR” and the Data Protection Act 2018 “DPA”)?	YES	NO
1	“Personal data” means any information relating to an identified or identifiable natural person (‘data subject’). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants is considered to be personal data.	☐	☒
	If YES, provide a description of the data and explain why this data needs to be collected:		
2	(this box should expand as you type)		
	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	The qualitative questions given to the participants will capture the Experience-based measures related to individual mental health, wellbeing and other subjective factors such as experience, feelings or beliefs of individual participants. Such focus and topic might affect the mental and emotional state of sensitive individuals.		

	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:
	No personal data such as names or addresses will be collected during the research process. A specific coding system regarding participant identification will be provided where organisation names or identifiable data will be altered and re-coded to ensure anonymity and personal data protection. All voice recordings gained during the interviews, digital interview transcripts, or any PC documents related to the data analysing process will be kept in an appropriate manner for electronic data storage via the Cloud online platform. Any paper documents, handwritten notes, and printed versions of consent forms with signatures will be kept in a specific file and stored in a lockable unit within UWTSD facilities / or in the researcher's home office, with strictly limited access to the padlock code of the lockable unit. Any disposal, destruction or removal of the electronic data will be done via permanent delete from the device. Any paper files or forms will be destroyed in the UWTSD Library paper shredder in accordance with UWTSD data protection internal policy (BERA, 2018; Smith, Flowers and Larkin, 2009; Wellington, 2015).

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):		
	Every interview will require voice recording, for the future purpose of a digital interview transcript, all done via the researcher's HP computer. Any recordings will be stored in a password-protected device in a password-protected file, so the risk of personal data breach is limited to very low. The data related to the proposed study will be archived in accordance with the UWTSD Research Data Repository policy.		
22	List all who will have access to the data generated by the research activity:		
	The researcher The research supervisor		
23	List who will have control of, and act as custodian(s) for, data generated by the research activity:		
	The researcher only		
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.		

	No personal data such as names or addresses will be collected during the research process. A specific coding system regarding participant identification will be provided where organisation names or identifiable data will be altered and re-coded to ensure anonymity and personal data protection. All voice recordings gained during the interviews, digital interview transcripts, or any PC documents related to the data analysing process will be kept in an appropriate manner for electronic data storage via the Cloud online platform. Any paper documents, handwritten notes, and printed versions of consent forms with signatures will be kept in a specific file and stored in a lockable unit within UWTSD facilities / or in the researcher's home office, with strictly limited access to the padlock code of the lockable unit. Any disposal, destruction or removal of the electronic data will be done via permanent delete from the device. Any paper files or forms will be destroyed in the UWTSD Library paper shredder in accordance with UWTSD data protection internal policy (BERA, 2018; Smith, Flowers and Larkin, 2009; Wellington, 2015).		
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>)		
	The data related to the proposed study will be archived in accordance with the UWTSD Research Data Repository policy.		
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	☒