

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

Delete the Guidance Notes at the end of the form BEFORE submitting your application

SECTION A: About You (Principal Researcher)

Full Name:		Sarah Elizabeth Holborn			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☒	Taught Postgraduate Student	☐	Postgraduate Research Student	☐
Faculty/School/Centre:		Centre of childhood youth and education			
Campus:		Carmarthen			
E-mail address:		2107845@student.uwtsd.ac.uk			
Contact Telephone Number:		N/A			
For students:					
Student Number:		2107845			
Programme of Study:		Early years education and care: Early years practitioner status (2 year)			
Director of Studies/Supervisor:		Natalie Macdonald			

SECTION B: Approval for Research Activity

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

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, 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.	
UWTSD Research Ethics & Integrity Code of Practice	☒
UWTSD Research Data Management Policy	☒
BERA Ethical Guidelines For Educational Research 2018	☒

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☐	NO	☒	
If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared as part of this collaboration.					
Institution					
Contact person name					
Contact person e-mail address					
Has this individual consented to sharing their details on this form?	YES	☐	NO	☐	
Are you in receipt of a KESS scholarship?	YES	☐	NO	☐	
Is your research externally funded	YES	☐	NO	☐	
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☐
	Employed	YES	☐	NO	☐
Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)	If YES then the permission question below does not need to be answered.	YES	☐	NO	☐
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

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

SECTION E: Details of Research Activity

Indicative title:	Exploring the strategies used to support young children with ALN in the early years settings.		
Proposed start date:	15 th May 2022	Proposed end date:	1 st September 2022
Introduction to the Research (maximum 300 words) Ensure that you write for a Non-Specialist Audience when outlining your response to the three points below: • Purpose of Research Activity • Proposed Research Question • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
Purpose of Research Activity This review examines the current literature regarding strategies used to support young children with ALN within the early years settings. Wales is currently undergoing changes to its education system. The new curriculum for Wales and the regulations are key to these changes and both recognise an ambition for the need for a more inclusive education system in Wales states Knight and Crick, 2021. As schools prepare and design their own curricula from the curriculum for Wales guidance released in 2020, one of the main aims is that the framework reflects diversity, promoting equality, inclusion, social cohesion and a feeling of being valued (Welsh Government, 2020). The additional learning needs code for Wales 2021 states that the code is aimed at ensuring that children and young people's needs are identified early and addressed quickly to enable them to achieve their full potential, states Welsh Government, 2021. Going on to say how learners with ALN need extra support to help them. Estyn (2016) did a report of how a school in Wales used strategies on helping children with additional needs reach their potential by doing fine motor skills, dyslexia, speech and language and social communication groups which involved the relevant practitioners. For example, Education Psychologists or speech and language therapists depending on the child's needs. It concluded that there was a satisfactory impact on pupils' provision and standards were achieved. The additional learning needs and education tribunal (Wales) act 2018 states this new statutory framework for supporting children with ALN and that a review of special educational needs undertaken between 2003 and 2007 concluded that the needs were often identified late, and it was insufficiently child centred. Sani Bozkur and Vuran (2014) states that social skills is one of the main deficit areas of children diagnosed with ASD, going on to stress that lifelong implications can be the result if children on the autistic spectrum do not have intervention to enhance their social skills. Studies included in the Welsh Government report (2019), 'support for children and young people with ASD', showed that delivering peer-mediated interventions and group activities proved effective in everyday settings. For example, lunchtime clubs. The report also says how social skills training helps to promote more positive interactions by including instruction, involving groups or individuals on role playing to help with communication skills. However, as a child with ASD struggles to make eye contact, social skills therapy is unlikely to make the autistic child appear more 'typical' especially as we are brought up to look at a person's face when in conversation stresses Rudy, 2020. Social stories are short descriptions of a particular event activity or situation and helps a child develop self-care and social skills or can be used as a behavioural strategy according to the National Autistic Society (2022). The primary research paper from Movahedazarhouli (2018) stresses how children			

with ASD demonstrate social interaction difficulties with play as they demonstrate fewer pretend play than typical children. Children with ASD produce less symbolic play behaviours says Kasari *et al* (2013). Movahedazarhouli (2018) did a study and looked at how peer implemented interventions to the typically developing child helps them to prompt, initiate and reinforce social interactions with their peers with ASD, resulting in the improvement of their social play. Barnett (2018) identified in their research how a child with ASD doing play activities with their peers provides benefits as they develop a sense of friendship and belonging. However, systematic intervention in social skills is needed for the child to continue to progress in play skills, also suggesting how, by using evidence-based strategies for example, scripts and video modelling helps a teacher create an environment where play skills can be developed. Barton (2016) suggests that adult modelling increased play behaviour. Movahedazarhouli (2018) through research says that systematic interventions should be characterised by child focused play behaviour and have instruction which is individualised to help increase play and social skills.

(this box should expand as you type)

Research Question

What are teachers views on appropriate methods to support social interactions for children with ASD.

(this box should expand as you type)

Aims of Research Activity

To compare teachers views on methods to support social interactions for children with ASD and from those results have a more in-depth view and discussion from Sencos from various schools who will be interviewed for more insights to be gained.

(this box should expand as you type)

Objectives of Research Activity

To interview a sample of Sencos from each setting to explore their views on the appropriate methods to support social interactions for children with ASD in the early years' settings.
To send out questionnaires to a sample of teachers by email so a record of the views is available to analyse.

(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.

The primary research I am conducting will be a mixed method approach. I have decided to use this approach as it produces a more comprehensive and complete understanding of the research study topic than just using the one approach, also allowing for different viewpoints to be conveyed (Roberts-Holmes, 2018). The joining of evidence taken from a mixed method approach helps enhance the validity and strength of research findings, developing from the idea of triangulation according to Coe *et al* (2021). A questionnaire is one research tool that will be used for this study. Teachers will be sampled, and 60 questionnaires have been sent out by email to teachers from 15 different schools in the West Wales area. A range of open and close ended questions have been asked regarding various views on how they feel regarding the methods to support social interactions at their setting. Questionnaires are typically designed to find out information on a particular topic and is an effective way for collecting primary qualitative data, as well as being a cost-effective tool and anonymous for the participants according to Mukhergi and Albon (2015). Questions need to be written to be unbiased and designed to reduce a biased response states Kumur (2014), who goes on to say that data can be quickly collected. However. It can be notorious for their low response rates. A range of open and closed questions are being asked to encourage the participants to answer and be able to go in depth if needed. Mukhergi and Albon (2015) stresses this. The reason open ended questions were chosen was for the practitioners to be able to express themselves freely, giving the

researcher qualitative data to work from. Kumar (2014) explains how closed questions give ready-made categories which does help to ensure that the information is easily obtained, giving the researcher quantitative data to work from.

The second method used will be interviews and Sencos from schools across West Wales will be sampled. 15 emails have been sent out separately to schools. The settings which will be used for the interviews to take place have already been approached and a discussion has been made about the involvement of the practitioners and a private room has been arranged in the settings. I am just awaiting ethical approval to start. I purposefully selected 15 Senco teachers as case studies to be able to further investigate the viewpoints and findings given from the questionnaires from the teachers. The interview will be a qualitative study to produce a deeper understanding of the methods of the social strategies used in the early year's classroom. Interviews do have limitations, as it may not go as planned. If the participant was to cancel the appointment for example or may not get the desired information, according to Coe *et al* (2021).

The interviews will be semi structured which is beneficial as the Senco can go more in depth with the answers as prompts to further the questioning can be done by the researcher. The Senco's in depth knowledge of ALN will be beneficial.

Semi structured interviews have been chosen as more can be learned from the topic than through focus groups for example, according to Coe *et al* (2021). Oswald *et al* (2014) explains how some people can change their behaviour when they feel they are being watched which is called the Hawthorne effect. Telling the participants about anonymity is essential as well as giving them the option that the interview can be stopped immediately if it gets too upsetting, for example, according to the regulations in BERA (2018). Coe *et al* (2021) states that open ended questions being asked can be used to explore participants understanding and feelings as well as considering the challenges faced. Robert-Holmes (2016) states how the flexibility of the use of probing style questions in semi structured interviews develops any key issues that may arise.

The interview will be recorded with a Dictaphone for 30 minutes. Informing the participants of this will be done at the start of the interview, giving the researcher more time to focus on the discussion rather than the time-consuming task of writing notes (Robert-Holmes,2018). A more reflective analysis will be carried out as everything that was said will be recorded and can be listened back to. Getting informed consent is vital states Roberts-Holmes (2016). The participants need to be informed that the questionnaire will be anonymous, hence having more honest responses, which is what has been done in this research. The participants in the interviews will be told that they can stop at any time as research needs to do no harm to those taking part according to the regulations of BERA (2018).

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

In the 15 early years settings, indoors. All settings are based in the county of Carmarthenshire.

(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.

(this box should expand as you type)

Use of documentation not in the public domain: Are any documents <u>NOT</u> publicly available?	NO	☒
	YES	☐

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 prevailing data protection law of the country in question and England and Wales.

(this box should expand as you type)

SECTION F: Scope of Research Activity

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

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.		
Other – please indicate here: (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?	
How many participants are expected?	Approximately 60 (from an online questionnaire) Approximately 15 Senso teachers from across West Wales (interviews at the setting). Practitioners over 18. (this box should expand as you type)
Who will the participants be?	Teachers and Sencos from primary schools. Practitioners over 18. (this box should expand as you type)
How will you identify the participants?	The participants have indicated if they wish to be involved in the research and the settings have been identified. (this box should expand as you type)

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
Will you tell participants that their participation is voluntary?	☒	☐	☐
Will you obtain written consent for participation?	☒	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	☒	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☒	☐	☐
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
If NO to any of above questions, please give an explanation			
 (this box should expand as you type)			

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

SECTION H: Anticipated Risks

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

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

Full risk assessment completed and appended?

Yes

☐

No

☒

Risks to participants

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

Risk to Participant:

Participant does not fully understand the purpose of the research.

Participant may feel uncomfortable during the research. The interviews could cause stress as the practitioner feels they are a set up to judge their practice.

Unforeseen incident occurs which may cause harm.

Confidentiality and anonymity

Loss of data (recordings taken or shared more widely than the research team).

How will you mitigate the Risk to Participant

The researcher will ensure that all participants have given voluntary informed consent in line with section 8 of the BERA guidelines (BERA,2018) and section 19.3 of the UWTSD ethical guidelines (UWTSD,2017).

As part of the voluntary informed consent, participants are advised of their right to withdraw at the start of the interviews and where researchers observe they may feel uncomfortable, as in 19.3 of the UWTSD research guidelines (2017). Also, in line with section 31 of the BERA guidelines (BERA,2018: UWTSD, 2017). Before submitting, participants will be advised. Once the questionnaire is submitted though, the participants will not be able to withdraw according to section 32 of the BERA guidelines. There will be a discussion before the interviews to ensure that the participants know that the interview is to share ideas and is not an assessment of their practice.

If this occurs, the researcher will stop the research immediately and seek appropriate support and report through appropriate channels. For example, if there was a whistle-blower as interviews are given.

Section 19.6 of the UWTSD research guidelines and BERA, sections 40-41 will be adhered to.

GDPR and UWTSD data management policy (2022) will be adhered to preventing loss of data. Only the researcher will have access to the raw research data (UWTSD,2022: GDPR,2018).

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

To complete

(this box should expand as you type)

Risks to investigator

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

Risk to Investigator:

A researcher being accused of inappropriate behaviour.

Interview questions may trigger an emotional response from participants directed at the investigator

The investigator may not get sufficient data of research.

There may be a conflict of interest or power imbalance.

The researcher could be affected if data is lost, audio recordings or if confidentiality is breached.

How will you mitigate the Risk to Investigator:

The researcher would ensure they have an up-to-date DBS in line with section 16 of the UWTSD ethical guidelines. As the researcher is an early year's student, best practice is known and will ensure that they are aware of the setting policy and adhere to them. The participants will be made aware that there is a procedure for making complaints according to section 19 (BERA, 2018).

According to UWTSD ethics code (2017), section 19, researchers will have made sure that participants will have signed a written consent form protecting the researcher from subsequent accusations and before the interview, the potential aims, benefits and potential discomfort it may entail. Researcher recognises the sensitivity of talking about children with ASD.

The researcher must make sure that the sample size is appropriate, sending out questionnaires to settings that have good provision and gain informed consent from headteachers for example (Roberts-Holmes, 2016).

The participant will be made aware that anonymity and confidentiality will be adhered to according to section 19.3, and the participant has the right to withdraw anytime (UWTSD, 2017). BERA, (2018) states how researchers should not undertake any work where a conflict of interest can be perceived.

UWTSD (2022) Research Data management policy, section 5.5 states that all data will be stored safely on university computers (for the questionnaire results) on personal memory space that will be protected against Data breach.

<i>(this box should expand as you type)</i>	
University/institutional risks For example: adverse publicity, financial loss, data protection	
Risk to University: If the researcher does not maintain confidentiality and data protection of the data collected, the result would be negative publicity for the university and financial loss. If the researcher acts unprofessionally or fails to adhere to settings policies, unwanted publicity could arise. . <i>(this box should expand as you type)</i>	<i>How will you mitigate the Risk to University:</i> Following BERA (2018), sections 48 and 50, will be aligned to GDPR and UWTSD (2022) data management policy, data will unlikely go missing as it will be stored on university computers on personal memory space which only has password access only, is encrypted and firewall protected. The Dictaphone used for interviews will be stored safely in a locked cabinet. The researcher would adhere to the guidelines of BERA (2018), which advises that they would have to be made aware of the setting policy and to take time to discuss with the setting leader, ensuring that the setting policies will be adhered to. <i>(this box should expand as you type)</i>

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
Does your research require you to hold a current DBS Certificate?	☒	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback

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

After the research has been completed, findings of the study will be shared and fed back to the staff involved, demonstrating how their views have been listened to and acknowledged by the researcher and will be invited to a presentation to discuss the findings, also using this opportunity to thank the participants involvement as it marks the end of the research (Roberts-Holmes,2016).

(this box should expand as you type)

Informed consent

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

This research will follow the BERA ethical guidelines (BERA,2018) and the UWTSD research and integrity ethical guidelines (2022), following the 'do not harm' approach. The researcher will ensure that all ethical considerations have been adhered to. Voluntary informed consent will be obtained for all participants, and they will be informed of their right to withdraw. All data will be collected and stored in line with GDPR regulations and following the UWTSD research data management policy (2022).

(this box should expand as you type)

Confidentiality / Anonymity

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

The participants will be given pseudo-names so that their identities will not be known in any publications (UWTSD,2017). Section 50

(this box should expand as you type)

SECTION J: Data Protection and Storage

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

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
"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.	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		
Does it involve special category data (as defined by the GDPR)?	YES	NO
"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:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☐	☒
University computers?	☒	☐
Private company computers?	☐	☒
Home or other personal computers?	☐	☒
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
"Cloud" storage or websites?	☒	☐
Other – specify:	☐	☐
For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of password protection, encryption, anonymisation and pseudonymisation:		
The university one drive, memory sticks where the data will be stored is password protected in accordance with UWTSD GDPR policy (2017), and the cloud storage used is aligned in section 5.5 of the policy.		

<i>(this box should expand as you type)</i>		
All Data Storage		
Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☒	☐
Sharing of data with others at the University?	☐	☒
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☒	☐
Data archiving?	☐	☒
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):		
Recorded interviews will be transferred onto university computers, adhering to section 5 of the UWTSD (2017) data management plan where all university computers are encrypted, and password protected.		
<i>(this box should expand as you type)</i>		
List all who will have access to the data generated by the research activity:		
Sarah Holborn		
<i>(this box should expand as you type)</i>		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Sarah Holborn		
<i>(this box should expand as you type)</i>		
Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
All findings will be stored in university computers which are encrypted and password protected adhering to section 5 of UWTSD data management policy, section 40 of the BERA(2018) guidelines and section 48 which states complying with the data act will be adhered to.		
<i>(this box should expand as you type)</i>		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwt.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
Yes, it will. Adhering to section 5.6 of the UWTSD data management policy, data created by university researchers will be deposited upon completion or publication of the research, whichever is sooner and will be available to view. Appropriate safeguards will be put in place to protect participants and to ensure that access conditions are met.		
<i>(this box should expand as you type)</i>		
Confirm that you have read the UWTSD guidance on data management (see https://www.uwt.ac.uk/library/research-data-management/)	YES	☒
	NO	☐



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	☒
	NO	☐

SECTION K: Declaration

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

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

Signature of applicant:	Sarah Holborn	Date: 9 th may 2022
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For STUDENT Submissions:

Director of Studies/Supervisor:		Date:
Signature:		

For STAFF Submissions:

Head of School/Assistant Dean:		Date:
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 (and have NOT completed Section H of this form) (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 Head of School.
☒	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY

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

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

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

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

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

Application Process

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

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

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

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

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

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

Section C: External Ethical Guidance materials

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

Section D: External Collaborative Research Activity

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

Section E: Details of Research Activity

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

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

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

Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. This section must explain how the methods described will lead to the collection of necessary and sufficient data, but not excessive data. Please be specific.

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

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

Section F: Scope of Research Activity

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

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

Section G: Intended Participants

Please tick all categories that might apply.

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

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

Section H: Anticipate Risks

All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory

work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.

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

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

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

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

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

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

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

Section I: Feedback, Consent and Confidentiality

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

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

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

Section J: Data Protection and Storage

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

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

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

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

Section K: Declaration

Ensure the appropriate countersignatures have been provided

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

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