

APPLICATION FOR ETHICAL APPROVAL – INTRODUCTORY NOTES

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**:

"[C]reative 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 (academic staff or support staff);
- Individuals holding honorary title from the University;
- Postgraduate research students;

In all of these cases ethical review is required regardless of discipline.

The individual undertaking the research activity is known as the **lead researcher**.

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

For most projects you will only need to complete sections in the main part of the form. A few projects will need more detailed ethical consideration and will need you to fill in sections in an appendix. At some points in this form you will be asked questions about your research in the following way:

1	Does your research involve <<something specific>>?	YES	Click to continue to appendix <<N>>	NO	Continue to the next section
2	Have you completed appendix <<N>>?	YES	☐	NO	☐

Clicking in the appropriate box will take you to the appropriate location in the text. At the end of each appendix is a box. Clicking on this will return you to the question that originally took you to the appendix.

Return to the main form

NB These clickable links will only work if you are editing the document in the desktop version of Word, not the browser version. Please download and save the form before editing it.

Guidance notes are provided as comments or as text **IN GREEN** throughout this form. Please ensure that the comments are removed and that the green text is replaced by your own text or removed as appropriate BEFORE submitting this form.

Please ensure that you have read the UWTSD Research Ethics and Integrity Policy and the UWTSD Research Data Management Policy BEFORE submitting this form.

APPLICATION FOR ETHICAL APPROVAL

SECTION A: About You (Lead Researcher)

1	Full Name:	Tekle Kiflemiichael Atobrhan			
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:	UWTSD Swansea			
5	E-mail address:	22104272@student.uwtsd.ac.uk			
6	Contact Telephone Number:	07449508805			
7	Project Title	The Impact of Digital Marketing Strategies on Customer Loyalty			
8	Proposed Start Date		Proposed End Date		
For students:					
9	Student Number:	2210427			
10	Programme of Study:	Postgraduate dissertation			
11	Director of Studies/Supervisor:	Alan Mumby			

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

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: 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?	
1	Research aims and objectives Aim: How do different digital marketing strategies impact customer loyalty, and which strategies most effectively enhance long-term customer relationships? Objective: 1. To identify and categorise the key digital marketing strategies currently employed by organisations. 2. To empirically investigate the relationship between different digital marketing strategies and customer loyalty. 3. To determine which digital marketing strategies, exert the strongest and most consistent influence on customer loyalty. 4. To develop evidence-based recommendations for enhancing customer loyalty through the more selective and strategic use of digital marketing. (this box should expand as you type)
2	Vision

This research is important because it examines how digital marketing strategies influence customer loyalty, an issue that matters to businesses across many sectors. It goes beyond surface metrics like likes and clicks to focus on long-term outcomes such as repeat purchase, commitment, and word-of-mouth.

The study can advance current understanding by showing which digital strategies are most effective in building loyalty, especially in digitally saturated and competitive markets. It adds new knowledge by comparing different strategies rather than treating digital marketing as one broad concept.

It is timely because organisations are investing heavily in digital marketing but need clearer evidence of what really works. The findings could help managers use budgets more effectively, improve customer retention, and strengthen brand relationships. In this way, the research may create impact in business practice and support more responsible, evidence-based marketing decisions.

(this box should expand as you type)

3 Approach

The study will use a quantitative, cross-sectional survey design. Primary data will be collected through a structured online questionnaire using Likert-scale items to measure digital marketing strategies such as social media marketing, email marketing, personalisation, and online promotions, as well as customer loyalty outcomes including repeat purchase intention, brand commitment, and word-of-mouth. The data will then be analysed using descriptive statistics, correlation analysis, and multiple regression analysis in SPSS to identify the strength and direction of relationships and to determine which strategies have the strongest influence on loyalty.

This approach is appropriate because it matches the study's aim of examining relationships between variables and identifying the relative impact of different digital marketing strategies. A survey is feasible because it allows data to be gathered from around 150–200 digitally active customers within limited time and resources. The statistical methods are effective because they provide measurable, comparable results and allow the researcher to test associations systematically. They are also proportionate, since the study does not require the depth of interviews or the extended time of longitudinal or experimental designs.

There are some risks to delivery, including low response rates, sample bias, and the limitations of self-reported data. These will be managed by distributing the survey through multiple online channels, keeping the questionnaire short and clear, and using convenience sampling carefully while acknowledging its limits. The study will maximise impact by producing practical findings that can help managers focus on the most effective digital strategies for building genuine customer loyalty. This will support better marketing decisions, improved customer retention, and stronger long-term brand relationships.

(this box should expand as you type)

4 Location of research activity

Identify all locations where research activity will take place.

The research activity will take place online. Data will be collected through a structured questionnaire distributed digitally to respondents via social media, email, online communities, and other digital platforms. There will be no single physical research site, as participation can occur from any location where respondents have internet access.

(this box should expand as you type)

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: 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: <i>(this box should expand as you type)</i>			

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

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?	The study will use a convenience sample of approximately 150–200 respondents who are active digital customers and have experience interacting with brands through online channels such as social media, email, websites, or mobile apps. Participants will be recruited online through social media posts, email invitations, and online communities to ensure access to individuals who regularly engage with digital marketing content. If relevant, basic subgroup information such as age, gender, or frequency of online shopping may be collected to describe the sample and check whether the responses reflect a range of digital customer experiences. This sample is appropriate because the study aims to examine the relationship between digital marketing strategies and customer loyalty among digitally active consumers, and online recruitment is practical, efficient, and proportionate to

		the project's scope. To improve the quality of the sample, the questionnaire will include a short screening question to ensure participants are customers with digital marketing experience. The survey link will be shared broadly rather than with a dependent or tightly controlled group, helping reduce the risk of bias. Potential pitfalls such as coercion, dual roles, or pressure to participate will be managed by making participation fully voluntary, anonymous, and confidential. No incentives will be used if they could unduly influence participation, and respondents will be clearly informed that they may withdraw at any time without consequences. The researcher will avoid recruiting individuals in situations where there is a power relationship or personal dependency that could compromise free consent. These steps will help ensure ethical participation and a sample that is suitable for meeting the study's aims. <i>(this box should expand as you type)</i>
2	Who will the participants be?	The participants will be digitally active customers who interact with brands through online channels such as social media, email, websites, and mobile apps. They are likely to be consumers who regularly engage with digital marketing content and may make repeat purchases from brands online. <i>(this box should expand as you type)</i>
3	How will you identify the participants?	Participants will be identified through online recruitment methods. The survey link will be shared on social media platforms, in email invitations, and through online communities or digital customer groups. A short screening question will be used at the start of the questionnaire to confirm that respondents are digitally active customers who

		interact with brands online. This will help ensure that only relevant participants take part in the study. <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?	Yes. The study will exclude individuals who do not regularly interact with digital marketing channels, as the research focuses specifically on customers with experience of online brand engagement. It will also exclude respondents who are unable to complete the questionnaire independently, since the study relies on self-reported perceptions and attitudes. The rationale for this exclusion is to ensure that participants are able to provide relevant and informed responses about digital marketing strategies and customer loyalty. Excluding people without sufficient digital exposure helps improve the validity of the findings and keeps the sample aligned with the study's aims. <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	No, the research will not involve any element of deception. Participants will be fully informed about the purpose of the study, what their participation involves, and how their responses will be used before they take part. Because the study uses a straightforward online questionnaire about digital marketing strategies and customer loyalty, there is no need to withhold information or mislead participants. At the end of the study, participants will not need to be debriefed about any deception, since none will be used. <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.	Yes, participants will be able to withdraw from the study at any time before submitting the questionnaire. Because the survey will be anonymous and responses will not be linked to personal identifiers, withdrawal may not be possible after submission, as it would not be possible to identify and remove

		an individual's data. This will be explained clearly in the participant information so that respondents understand their rights before taking part. <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?	Participants will be given enough time to read the study information and decide whether to take part before completing the questionnaire. Since the survey is online and self-administered, they can review the information at their own pace and choose to participate only when they are comfortable doing so. There will be no pressure to respond immediately. <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?	The study will use a simple, clear questionnaire written in plain language to make the information easy to understand. Because participation is online, respondents can read the instructions at their own pace, and any unclear or complex wording will be avoided where possible. If a participant has difficulty understanding the information or has particular communication needs, they may choose not to take part, as the study does not involve face-to-face interviewing or verbal explanation. The participant information will clearly explain the purpose of the study, what participation involves, and who to contact if they need further clarification before deciding. No special arrangements beyond clear written information are planned, because the study is designed to be brief, self-administered, and accessible to digitally literate participants. <i>(this box should expand as you type)</i>

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	☐

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: 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: Health and Social Care Research

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:	☐	NO

(this box should expand as you type)

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	<i>(this box should expand as you type)</i>		
9	Please describe how the research has been designed to gather the minimum amount of personal data necessary for the specified research purpose:		
The research has been designed to collect only the minimum personal data necessary to meet its purpose. The questionnaire focuses mainly on participants' views and experiences of digital marketing strategies and customer loyalty, rather than on identifying information. Any personal data collected will be limited to basic, non-sensitive details needed for analysis, such as general demographic information if required to describe the sample. No unnecessary identifiers such as names, addresses, or contact details will be requested unless they are needed for consent or follow-up purposes, and even then they will be kept separate from survey responses where possible. This design ensures that the study remains focused on the research objectives while reducing privacy risks and supporting confidentiality and data protection principles. <i>(this box should expand as you type)</i>			
10	Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded:		

The processing of data in this study is not likely to cause substantial damage or distress to individuals because the research involves a low-risk, anonymous online questionnaire about general digital marketing experiences and customer loyalty. The study does not ask about highly sensitive topics, and participation is entirely voluntary, with respondents free to skip any question they do not wish to answer.

Participants' interests will be safeguarded through clear information about the study, informed consent, confidentiality, and secure handling of data. Personal data will be minimised, anonymised where possible, and used only for the purposes of this research. Access to the data will be restricted to the researcher, and the results will be reported in summary form so that no individual can be identified.

These measures ensure that the research is proportionate, respectful of participants' privacy, and unlikely to create harm or distress.

(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:
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The data collected in this study will be used only for academic research purposes and will not be used to take any action or make decisions about the individuals concerned. Responses will be analysed in aggregated form to identify general patterns and trends in digital marketing and customer loyalty, not to assess, profile, or evaluate any participant personally.

No individual-level decisions, interventions, or follow-up actions will be based on the questionnaire responses. This ensures that the data are used solely to support the research objectives and not for any administrative, commercial, or personal decision-making involving participants.

(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.
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The data will be anonymised wherever possible, ideally at the point of capture. The questionnaire will not request names, addresses, or other direct identifiers, and responses will be analysed in aggregated form so that individuals cannot be identified from the results.

If any limited personal data are collected for administrative purposes, such as consent confirmation or optional follow-up contact, this information will be kept separate from survey responses and removed as soon as it is no longer needed. Because the study does not involve special category data, there is no need to collect information that would require explicit consent for sharing.

Pseudonymisation is only likely to be used if a small amount of contact information is needed temporarily for participation management, but even then it will be stored securely and separately from the research dataset. Overall, the study is designed to minimise identifiability and protect participants' privacy throughout the research process.

(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
		☐	☒	☐

SECTION M: Participant Information and Consent

Information for participants It is normally expected that those participating in research should do so having given their informed consent. If this is not appropriate or practical, explicit justification must be provided, in line with prevailing disciplinary conventions. Please note however, that informed consent to participate in the research is separate from consent to process (e.g. collect, analyse, store, reuse or share) personal data, as the University's lawful basis for processing personal data in research activities is part of its 'public task'.		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 be considered as confidential?	☒	☐	☐
8	If your research requires your participants to sign up for a service provided by an external company or organisation 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	(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	Potential participants will be informed about the study before deciding whether to take part through a participant information sheet at the start of the online questionnaire. This will explain the purpose of the research, what participation involves, the type of questions they will be asked, how long the survey is likely to take, how their data will be used, and their right to withdraw before submission. The information will be written in clear, plain language so that participants can make an informed choice. Full consent will be obtained before the research begins by asking participants to confirm that they have read and understood the information and agree to take part. Consent will be recorded electronically through a mandatory tick-box or consent statement before access to the questionnaire is given. If a participant does not agree, they will not be able to continue. This method is appropriate because the study is anonymous, online, and self-administered, making written face-to-face consent unnecessary. (this box should expand as you type)			
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	Any confidential information collected during the study will be handled with strict care and used only for the purposes of the research. The questionnaire will not request unnecessary identifying details, and where any limited personal information is collected, it will be stored separately from survey responses and accessed only by the researcher. All data will be stored securely, protected by passwords or other access controls, and reported only in aggregated or anonymised form so that no participant can be identified in the findings or any related outputs. Confidential information will not be shared with third parties except where required for legitimate research, ethical, or legal reasons. Once the data are no longer needed, they will be securely deleted or destroyed in line with data protection requirements. <i>(this box should expand as you type)</i>			
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 ☐

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		YES	NO	N/A
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.				
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	<i>(this box should expand as you type)</i>			

Section P: Research Data Management Plan

1	Data Summary
The research will create primarily quantitative data from the online questionnaire, including Likert-scale responses on digital marketing strategies and customer loyalty. It may also create limited demographic data, such as age range or gender, if included for sample description. Any optional open-ended responses would create qualitative text data, but these would be secondary to the main numerical data.	
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		included for sample description. Any optional open-ended responses would create qualitative text data, but these would be secondary to the main numerical data.
2	Responsibilities	
The researcher will be responsible for data management throughout the study. This includes collecting the questionnaire responses, storing the data securely, ensuring confidentiality, organising the dataset for analysis, and deleting or archiving the data in line with ethical and data protection requirements. If the research involves partner institutions, each institution will be responsible for managing any data they collect or access within their own systems and in accordance with their local policies and procedures. Responsibilities should be clearly assigned in advance, including who can access the data, who will oversee secure storage, and who will be responsible for sharing or transferring any data between institutions. This helps ensure that data management is consistent, secure, and compliant across the research team.		
3	Assessment of existing data	
This research will not rely on existing organisational data sources. Instead, it will generate primary data through an online questionnaire distributed to digitally active customers. Any supporting material used for the study will be secondary literature, such as journal articles, books, and published reports, which will		

inform the research design and interpretation but will not form part of the dataset for analysis.

The main gap is that there is currently no direct, study-specific data on how the selected digital marketing strategies influence customer loyalty in the target population. Existing published research provides useful background, but it does not capture the exact context, sample, or combination of variables needed for this project. This research is therefore designed to collect new data that specifically measures respondents' experiences of social media marketing, email marketing, personalisation, and online promotions, alongside their loyalty behaviours and intentions. In this way, the project fills the gap between broad existing knowledge and the precise empirical evidence required to meet the study's objectives.

4 Management and curation of data

The data will be prepared, organised, and documented in a structured way to support accurate analysis and secure handling. Once the survey responses have been collected, the dataset will be checked for completeness, errors, duplicates, and any inconsistent entries. Any unusable responses will be removed, and the remaining data will be coded and entered into a spreadsheet or statistical software such as SPSS.

The data will then be organised into clear variables corresponding to the questionnaire sections, such as digital marketing strategies, customer loyalty measures, and any basic demographic characteristics. A coding guide or data dictionary will be created to document the meaning of each variable, response category, and scale value. This will make the dataset easier to interpret, analyse, and, if necessary, verify later.

All files will be clearly labelled, dated, and stored securely in folders with restricted access. The final dataset, questionnaire, consent information, and any analysis outputs will be kept in an orderly format so that the research process is transparent and well documented. This approach will help ensure data quality, consistency, and traceability throughout the project.

5	Quality assurance of data
Quality assurance will be built into each stage of the data process. At the time of data collection, the questionnaire will use clear wording, a logical structure, and mandatory consent screening to reduce confusion and prevent incomplete or irrelevant responses. Where possible, the survey will also be kept concise to reduce respondent fatigue and improve response quality. During data entry and digitisation, responses will be entered directly into an electronic format to reduce the risk of transcription errors. The dataset will then be checked for missing values, duplicate submissions, inconsistent answers, and out-of-range responses. Any errors or unusual patterns will be reviewed carefully and corrected only where there is clear evidence of a mistake. Further data checking will include basic validation of coding and variable labels before analysis begins. A codebook or data dictionary will be used to ensure that all responses are recorded consistently and can be traced back to the original questionnaire items. These procedures will help maintain accuracy, reliability, and consistency throughout the research process.	
6	Short-term data storage
In the short term, the data will be stored electronically on a secure, password-protected device or cloud storage space controlled by the researcher. Survey responses will be downloaded and saved in organised folders, with files clearly labelled and dated to avoid confusion. No paper copies will be retained unless absolutely necessary. Access to the data will be restricted to the researcher and, where required, relevant supervisors or authorised members of the research team. Password protection and access controls will be used to prevent unauthorised access. Any identifying information, if collected at all, will be stored separately from survey responses to protect confidentiality. Regular backup copies will be created and stored securely in a separate protected location to reduce the risk of data loss. Data and metadata will be kept	

in a structured format with clear file names, version control, and a simple data dictionary or codebook so the dataset can be understood and managed safely throughout the project lifetime.

7	Long-term data storage and preservation
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The data of long-term value will be the anonymised questionnaire responses, the coded dataset, and the final data dictionary or codebook. These materials may be retained because they support verification of the study, allow for possible future academic reference, and provide evidence for the findings reported in the project. Any identifying information, if collected at all, will not be retained long term and will be deleted once it is no longer needed.

In the long term, the data will be stored securely in an anonymised digital format on password-protected systems or institutional storage in line with university data protection requirements. If required by the institution, the cleaned and anonymised dataset may be prepared for archiving in an external repository or the UWTSD data repository. Before any sharing or archiving, the data will be checked, fully anonymised, and documented with a clear codebook and brief metadata to ensure it can be understood and used appropriately.

The data will be retained for the period required by the institution or research policy, typically several years after completion of the project, to support academic integrity, potential verification, and any legitimate follow-up use. After this retention period, the data will be securely deleted or destroyed. The retention period is necessary to meet ethical, legal, and academic requirements while maintaining participant confidentiality.

8	Documentation and metadata
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The data will be accompanied by clear documentation and metadata to make the dataset understandable and usable for future reference or secondary analysis. This will include a data dictionary or codebook explaining each variable, the questionnaire used to collect the data, details of the sample and recruitment method, the date of collection, and a brief description of the study purpose and methodology.

During the research, the data will be documented through organised file naming, version control, and notes on how responses were cleaned, coded, and analysed. This will provide high-quality contextual information and make it clear how the data were generated and processed. If the data are archived or shared later, this documentation will help secondary users understand the meaning of the variables, the structure of the dataset, and any relevant limitations.

This approach ensures that the data are transparent, well structured, and suitable for responsible long-term use.

9	Data sharing
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If the research data are shared, they will be shared in anonymised form only, together with supporting documentation such as a codebook and brief metadata. This would make the dataset useful to other researchers, students, and practitioners interested in digital marketing, customer loyalty, and quantitative survey analysis. The value of the data lies in its potential to support comparison, replication, and further academic discussion.

The data would normally be released only after the project is complete, the findings have been analysed, and any identifying information has been removed. Sharing may be restricted if there are confidentiality, consent, or institutional requirements that prevent open release. Because the study uses human participants, strict anonymisation and ethical approval conditions will be applied before any sharing takes place.

Possible obstacles to sharing include privacy risks, incomplete anonymisation, and the small convenience sample, which may limit how broadly the data can be reused. These risks can be reduced by removing identifiers, providing clear documentation, and sharing only the cleaned dataset rather than raw responses. Different audiences, such as academic researchers and students, can be informed through repository records or project summaries describing the dataset's scope and limitations.

The data are not expected to require regular updating because the study is cross-sectional and captures responses at one point in time. If future updates

are needed, they would be made by adding new survey data under a clearly versioned dataset. The data should be open only if institutional and ethical requirements allow; otherwise, access should be restricted to protect participant confidentiality. Charging for access would not normally be necessary, because the dataset is intended for academic and research use rather than commercial sale.

10	Copyright and intellectual property ownership
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The copyright and intellectual property rights in any new data generated by the study will normally belong to the researcher and/or the host institution, in line with university policy and any funding or contractual agreements that apply. The participant responses themselves will be used for research purposes, but ownership of the compiled dataset, analysis materials, and any resulting outputs will follow the relevant institutional and ethical requirements.

Participants will not retain ownership of the anonymised research dataset once they have provided their responses, although their contributions will be treated confidentially and used only for the stated research purpose. If any specific institutional policy applies, that policy will take precedence in determining final ownership arrangements.

11	Resources
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The main resources required to deliver the plan will be access to online survey tools, secure digital storage, statistical software such as SPSS, and time for data cleaning, coding, analysis, and documentation. Basic administrative support may also be needed to organise files, maintain version control, and prepare the data for any future archiving or sharing.

Storage costs are expected to be minimal because the data will be collected electronically and stored in anonymised digital form. Any cost for secure long-term storage is appropriate because it helps protect participant confidentiality, preserve the integrity of the dataset, and ensure compliance with ethical and institutional requirements. Where possible, these costs will be met through

existing institutional storage systems or university-supported repository services, so no major additional expense should be needed.

If any extra long-term storage charges arise, they will be justified as necessary project costs linked directly to secure retention, data protection, and responsible research practice.

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 other event.</i>	YES ☐	NO ☒
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
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>		How will you address any risks?	
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>		How will you address any risks?	

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 actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities.</i>	YES ☐	NO ☒
<i>(this box should expand as you type)</i>			
Health and safety risks			
8	Location hazards: <i>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. Also 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.</i>	YES ☐	NO ☒
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
9	Activity hazards: <i>for example: potentially mentally harmful activities; distressing and stressful work and content; driving; tripping, or slipping; falling from height; physically demanding work; lifting, carrying, pushing and pulling loads; night time and weekend working.</i>	YES ☐	NO ☒
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
10	Machinery and equipment: <i>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.</i>	YES ☐	NO ☒
Risk: <i>(this box should expand as you type)</i>		How will you address any risks?	
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: <i>(this box should expand as you type)</i>		How will you address any risks?	
12	Physical agents: <i>for example: excessive noise exposure, hand-arm vibration and whole body 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: for example: accidental spillage of pollutants, damage to local ecosystems	YES ☐	NO ☒
Risk: (this box should expand as you type)	How will you address any risks?		

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.			

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	Tekle Atobrhan
2	Electronic or written signature of applicant:	Tekle Atobrhan
3	Date	08-06-2026
4	Name of Director of Studies	
5	Electronic or written signature of Director of Studies:	
6	Date	

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

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)							
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	☐

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.

APPENDIX 1 – Grant or Contract Funding

A1.1	Has your research been awarded external funding?	YES	☐	NO	☒
A1.2	Have you applied for funding / awaiting decision?	YES	☐	NO	☒
A1.3	Are you intending to apply for funding?	YES	☐	NO	☒
A1.4	Funding Body				
A1.5	Lead institution (grant holder)				
A1.6	If awarded, grant reference				
A1.7	If awarded, grant value				
A1.8	If awarded, start date and duration				

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APPENDIX 2: External Collaborative Research Activity

INSTITUTION 1					
A2.1	Name				
A2.2	Researcher name and position				
A2.3	Role in project (e.g. co-investigator)				
A2.4	Contact e-mail address				
A2.5	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO	PENDING
			☐	☐	☐

INSTITUTION 2					
A2.6	Name				
A2.7	Researcher name and position				
A2.8	Role in project (e.g. co-investigator)				
A2.9	Contact e-mail address				
A2.10	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO	PENDING
			☐	☐	☐

INSTITUTION 3					
A2.11	Name				
A2.12	Researcher name and position				
A2.13	Role in project (e.g. co-investigator)				
A2.14	Contact e-mail address				
A2.15	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO	PENDING
			☐	☐	☐

Add additional collaborators as needed

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APPENDIX 3: Research Undertaken Outside of the UK

A3.1	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. Describe the measures you have taken to comply with these and provide evidence of approvals etc. If you live in the country where you will do the research then please state this. If you have a local research supervisor or research advisor then please give their contact details here.
(this box should expand as you type)	
A3.2	Responsible Research and Innovation If research is taking place overseas please refer to the UWTSD Trusted Research and Innovation Policy and complete the Trusted Research and Innovation Checklist and submit it with this form.
A3.3	Confirm that you have read the Trusted Research and Innovation Policy
☐	

If you are a postgraduate research student working with a research supervisor or research advisor at your local university then you do not need to fill in any more sections of this appendix.

If you are working in a research collaboration with an overseas partner please complete the remaining sections of this appendix.

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Organisational Details	
A3.4	Name of Organisation
A3.5	Country where organisation is based:
A3.6	Registration number and name of registration body (examples of relevant registration bodies are government, tax, corporation, charity, educational authority):
(this box should expand as you type)	
A3.7	What is the legal status of the organisation? (for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation) Please include the date of foundation. Note: We may be required to ask for evidence of this at a later stage.
(this box should expand as you type)	
A3.8	Is your organisation affiliated to any other organisation? (i.e. is the organisation legally part of a larger organisation or a group of larger organisations).

<i>(this box should expand as you type)</i>	
A3.9	Name(s) of investigators in the organisation who will be responsible for the collaborative research and innovation
<i>(this box should expand as you type)</i>	

About New Partners			
A3.10	Why does a partner want to work with you?		
<i>(this box should expand as you type)</i>			
A3.11	What are they expecting in return for their financial support or involvement?		
<i>(this box should expand as you type)</i>			
A3.12	Is the organisation associated with a country which may be viewed as hostile to the UK or one which has different democratic and ethical values from our own? If you have ticked YES, please briefly describe below how you will maintain the UK's democratic and ethical values within the research.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.13	Has due diligence into the partner identified any involvement in research on behalf of the military or police with links to a hostile state? If you have ticked YES, please summarise below how you will prevent information from this research from being released to these organisations.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.14	Set within the context of any information gained from due diligence, could your research be misused or have unintended applications which would be negative? If you have ticked YES, please summarise below how this might occur.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.15	Are there any legal, regulatory or university policy constraints on undertaking your research with this partner? If you have ticked YES, please summarise these below.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.16		YES	NO

	Having considered the answers to questions A3.10-A3.15, are there potential reputational or ethical risks to you or the university? If you have ticked YES, please summarise these risks below.	☐	☐
<i>(this box should expand as you type)</i>			

About Research Relationships		YES	NO
A3.17	Are the terms of any proposed Memorandum of Understanding (MoU) in keeping with the expectations of your department and university?	☐	☐
A3.18	Are you providing existing intellectual property (IP), research data, confidential or personally identifiable data to the project? If so, how is this going to be protected?	☐	☐
<i>(this box should expand as you type)</i>			
A3.19	Who will own any IP that is generated?		
<i>(this box should expand as you type)</i>			
A3.20	What plans do you have in place for protecting the resulting IP?		
<i>(this box should expand as you type)</i>			
A3.21	What contractual requirements are you able to put in place to protect the interests of your academic institutions?		
<i>(this box should expand as you type)</i>			
A3.22	What access will the research partner have to your IT network? If they do have access, what broader visibility might this provide?		
<i>(this box should expand as you type)</i>			
A3.23	Is there any physical separation or protection required between research in similar fields?		
<i>(this box should expand as you type)</i>			

About Existing Partners			
A3.24	Would proceeding with the research raise potential conflicts of interest with existing research partners? If you have ticked YES, please explain these conflicts below.	YES	NO
		☐	☐

<i>(this box should expand as you type)</i>			
A3.25	Have you spoken with your existing partners about any potential conflict of interest? If you have ticked YES, please briefly summarise their response(s) below.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.26	Does any non-disclosure agreement for this project include an expectation that you will need to provide visibility to existing partners? If you have ticked YES, please explain below how this will be managed.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			
A3.27	Will this research breach any existing contractual agreements that you, your department or university already have? If you have ticked YES, please explain below how this will be managed.	YES	NO
		☐	☐
<i>(this box should expand as you type)</i>			

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APPENDIX 4: Research with Vulnerable People

Will the research involve data processing involving the following data subjects:		YES	NO
A4.1	Children under 16	☐	☐
A4.2	Adults with learning disabilities	☐	☐
A4.3	Adults with other forms of mental incapacity or mental illness	☐	☐
A4.4	Adults in emergency situations	☐	☐
A4.5	Prisoners or young offenders	☐	☐
A4.6	Those who could be considered to have a particularly dependent relationship with the investigator, e.g. members of staff, students	☐	☐
A4.7	People who have not given their explicit consent to participate in the project	☐	☐
A4.8	People engaged in illegal activities	☐	☐
A4.9	Any other people who can be considered vulnerable in the context of this project	☐	☐
Please justify the inclusion of the above people (if applicable), explaining why the research cannot be conducted on non-vulnerable people.			
A4.10	<i>(this box should expand as you type)</i>		
Please give details of extra steps taken to assure the protection of vulnerable people participating in the research. You should describe any arrangements to be made for obtaining consent from a legal representative.			
A4.11	<i>(this box should expand as you type)</i>		
It is the researcher's responsibility to check whether a DBS check (or equivalent) is required and to obtain one if it is needed. Please confirm:			
A4.12	DBS Check required?	YES	NO
		☐	☐
A4.13	DBS certificate obtained?	YES	NO
		☐	☐
		N/A	☐

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APPENDIX 5: Research Involving Animals

The use of animals in research is tightly governed and monitored by law and by the Home Office, specifically under the Animals (Scientific Procedures) Act 1986 and its accompanying codes of practice and processes. The Act regulates procedures that are carried out on protected animals for scientific or educational purposes that may cause pain, suffering, distress or lasting harm. Under the Act, a protected animal is 'any living vertebrate, other than man, and any living cephalopod'. The University does not hold a Home Office issued Establishment Licence and therefore researchers must ensure that any proposed work involving animals is either exempt from the Act or falls outside of its scope. Exempted research, for example involving routine veterinary practice or clinical veterinary research, may still require external ethical approval from the Royal Society of Veterinary Surgeons. When undertaking collaborative research involving animals, the UWTSD Research Ethics Committee must be assured that the partner institution(s) conform to the appropriate regulatory framework or legislation, and have approval from their local Research Ethics Committee. Any such work must follow the guidance of the National Centre for the Replacement, Reduction and Refinement of Animals in Research, known as the 3Rs. In all cases, advice must be sought from INSPIRE for any proposed research involving animals, either at UWTSD, or by research collaborators in partnership with UWTSD. This should be at the very early stages of research design, so that an appropriate due diligence exercise can be undertaken.

Will the research involve any work with any of the following animals (including observation in their natural habitat)		YES	NO
A5.1	Any living vertebrates, other than humans?	☐	☐
A5.2	Any living cephalopods?	☐	☐
A5.3	Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A5.4	Due diligence assessment appended to this application?	☐	☐
Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.			
A5.5	<i>(this box should expand as you type)</i>		

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APPENDIX 6: Research with Staff or Offenders in Prison Establishments and Probation Services

Research with staff and/or offenders in prison establishments, the Probation Service or within His Majesty's Prison and Probation Services requires additional approvals.			
Will the research involve any of the following?		YES	NO
A6.1	Staff in prison establishments	☐	☐
A6.2	Offenders in prison establishments	☐	☐
A6.3	The Probation Service	☐	☐
A6.4	His Majesty's Prison and Probation Services	☐	☐
All researchers wanting to conduct research with staff and/or offenders in prison establishments, the Probation Service regions or within HM Prison and Probation Service (HMPPS) Headquarters are required to formally apply for research approval to the HMPPS National Research Committee (NRC). Before doing so, INSPIRE must undertake an initial due diligence exercise. If you have not contacted INSPIRE, please do so immediately. If YES to any of the above, please confirm:			
A6.5	Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A6.6	Have you applied to the HMPPS National Research Committee (NRC)?	☐	☐
A6.7	Has HMPPS National Research Committee approval been granted? If yes, please append to this application.	☐	☐
A6.8	Due diligence assessment appended to this application?	☐	☐
Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.			
A6.9	<i>(this box should expand as you type)</i>		

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APPENDIX 7: Health and Social Care Research

All health and social care research must have a sponsor as defined by the Health Research Authority UK Policy Framework for Health & Social Care. The University will under no circumstances act as the sponsor of health and social care research (i.e. that which requires approval by a NHS Research Ethics Committee). In all cases, therefore, an appropriate collaborating partner must lead the research. Any health and social care research therefore requires an initial due diligence exercise, which will be undertaken by INSPIRE. The purpose of the due diligence exercise is to ensure that the University has the capability to undertake the research, either independently or in collaboration with research partners. This will include advice on suitable collaborative arrangements and the appropriate involvement of UWTSD researchers in the proposed research study. This is likely to apply to the following areas:

Will the data processing involve:		YES	NO
A7.1	Participants who have been recruited on the basis of medical and health conditions, life stage or other physical or mental attribute.	☐	☐
A7.2	Participants who will engage in physical exercise, activity or exertion of any kind, or who use exercise equipment, assistive devices or other apparatus for the purposes of the research study. This includes interventions that are minimally invasive.	☐	☐
A7.3	Patients and users of the NHS (including NHS patients treated in the private sector).	☐	☐
A7.4	Individuals identified as potential participants because of their status as relatives or carers of patients and users of the NHS.	☐	☐
A7.5	Patients who are cared for in private and voluntary sector nursing homes.	☐	☐
A7.6	Confidential patient information.	☐	☐
A7.7	Clinical trial of a medicinal product or medical device.	☐	☐
A7.8	Access to organs or other bodily material of past and present NHS patients, or any material consisting of or containing human cells.	☐	☐
A7.9	Use of human tissue (including non-NHS sources) where the collection is not covered by a Human Tissue Authority licence.	☐	☐
A7.10	Foetal material and IVF involving NHS patients.	☐	☐
A7.11	The recently deceased under NHS care.	☐	☐
A7.12	NHS staff or premises.	☐	☐
A7.13	Practising midwives conducting a clinical trial.	☐	☐
A7.14	Investigational medicinal product.	☐	☐
A7.15	Medical devices that are not CE-marked or CE-marked medical devices that have been modified or are being used for a new purpose.	☐	☐
A7.16	Exposure to ionising radiation.	☐	☐
A7.17	Other health and social care related research.	☐	☐
Please specify		☐	☐
(this box should expand as you type)			

Researchers proposing to work on projects involving health and social care research must check whether their study meets the HRA definition of research and whether it should undergo ethics review by a NHS Research Ethics Committee. If you have answered **YES** to any of questions A7.1-A7.17 then this is likely

		YES	NO	N/A
A7.18	Does the research meet the HRA definition of research?	☐	☐	☐
A7.19	Is the Research being sponsored by a collaborating partner?	☐	☐	☐
A7.20	Has NHS ethics approval been granted?	☐	☐	☐
A7.21	Has INSPIRE undertaken an initial due diligence exercise?	YES	NO	
		☐	☐	

A7.22	(this box should expand as you type)
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A7.23	Have you been granted NHS ethical approval?	YES	Click to continue to Section R	NO	Return to the main form
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APPENDIX 8: Export Control for Research with Potential Military End Uses

Export controls apply to the physical, electronic or oral transmission outside the UK of applied research, sensitive technology, software and equipment that could potentially be misused, either directly or indirectly, for military purposes. These legal controls are a serious obligation and UWTSD researchers must actively manage the risks of these being misused to fuel conflict, threaten national security, support terrorism and crime, violate human rights or proliferate Weapons of Mass Destruction. UWTSD's Export Control Policy provides a clear six step process to determine if your research is covered by export controls. Please complete the following screening to judge if you need to complete a full export control assessment. If you are in any doubt, then please contact INSPIRE. Any research in UWTSD involving the following high-risk areas must be screened.

Will the research involve:

Defence		YES	NO
A8.1	Military equipment and munitions	☐	☐
A8.2	Defence equipment, including satellites	☐	☐
A8.3	Technical data, including some border and port information	☐	☐
A8.4	Dual use research	☐	☐
Materials and Technologies		YES	NO
A8.5	Nuclear materials, facilities and equipment	☐	☐
A8.6	Chemicals, microorganisms and toxins	☐	☐
A8.7	Electronics design, development and production	☐	☐
A8.8	Computers	☐	☐
A8.9	Telecommunications	☐	☐
A8.10	Sensors and lasers	☐	☐
A8.11	Navigation and avionics	☐	☐
A8.12	Marine technology	☐	☐
A8.13	Composite materials	☐	☐
A8.14	Aerospace and propulsion	☐	☐
Sensitive Information		YES	NO
A8.15	Cryptology	☐	☐
A8.16	Counterterrorism	☐	☐
A8.17	Counternarcotics	☐	☐
A8.18	Cyber-related	☐	☐
A8.19	Non-proliferation	☐	☐
A8.20	Transnational criminal organisations	☐	☐

Genetic Resources		YES	NO
A8.21	Genetic material of actual or potential value	☐	☐
A8.22	Organisms, or parts thereof	☐	☐
A8.23	Populations (or organisms)	☐	☐
A8.24	Other biotic components of ecosystems	☐	☐
A8.25	Domesticated or cultivated species in which the evolutionary process has been influenced by humans	☐	☐

Will you be exporting military or dual-use technology, now or possibly in the future? This information may take many forms, including:		YES	NO
A8.26	Physical transfer of goods, technologies, material or equipment	☐	☐
A8.27	Blueprints	☐	☐
A8.28	Plans	☐	☐
A8.29	Diagrams	☐	☐
A8.30	Models	☐	☐
A8.31	Formulae	☐	☐
A8.32	Tables	☐	☐
A8.33	Engineering designs and specifications	☐	☐
A8.34	Manuals and instructions	☐	☐
A8.35	Software	☐	☐
A8.36	Know-how	☐	☐

Will your project transfer technology using any of the following physical methods?		YES	NO
A8.37	USB flash drives	☐	☐
A8.38	Portable hard drives	☐	☐
A8.39	Laptops	☐	☐
A8.40	Tablets	☐	☐
A8.41	Intangible forms by using electronic media, such as email, phone storage and cloud file sharing	☐	☐
A8.42	Physical exports	☐	☐

Will your project involve any of the following?		YES	NO
A8.43	Oral transfer by phone or videoconferencing or presentations	☐	☐
A8.44	Travelling overseas for any purpose, while unintentionally carrying any of the above.	☐	☐
A8.45	Will you be hosting foreign visitors?	☐	☐



If you answer YES to any of questions A8,1-A8.45 then you should complete a full export control assessment and append that to this application. Before doing this please contact INSPIRE who will advise further.		YES	NO
A8.46	Full export control assessment required?	☐	☐
A8.47	Full export control assessment completed?	☐	☐
A8.48	Full export control assessment appended?	☐	☐

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