

PG1 - FULL RESEARCH PROPOSAL

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

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

This document is also available in Welsh.

Student Details

Student Family / Surname:	Liu		
Student Given / First name:	Jianan		
Student Number	2507323		
Start Date	01/10/2025	End Date	30/09/2029

PhD by Research	PhD Practice Based	PhD by Published Works	Professional Doctorate (including DBA, DProf, Ed D)	MPhil by Research	MPhil Practice Based
☐	☒	☐	☐	☐	☐
MA by Research	MSc by Research	MRes			
☐	☐	☐			

Proposed Research

Current Proposed Title (20 / 30 words):
Developing Design Principles for Communicating Intangible Cultural Heritage Through Digital Games: A Practice-Based Study Using Chinese Shadow Puppetry
Background & Context (approx. 500 words)
Intangible Cultural Heritage (ICH) refers to cultural practices, knowledge, skills, and forms of expression that are transmitted through social participation and cultural practice rather than through physical objects alone (UNESCO, 2003). As cultural participation increasingly takes place within digital environments, questions have emerged regarding how intangible heritage can remain accessible, meaningful, and relevant to contemporary audiences (UNESCO, 2022). Digital technologies have created new opportunities for heritage preservation and communication. However, many existing digital heritage projects continue to prioritise documentation, visualisation, and archival access, often focusing on what heritage looks like rather than how it is experienced and transmitted through participation (Alivizatou, 2022; Giaccardi, 2012). This challenge is particularly significant for intangible cultural heritage, where performance, interaction, and cultural practice are central to its continued vitality. At the same time, digital games have increasingly been recognised as cultural and educational media capable of supporting active engagement and experiential learning (Champion, 2021). Recent research has explored the use of games in heritage interpretation, public engagement, and cultural storytelling. Nevertheless, much of this work remains focused on the representation of heritage content through visual aesthetics, narrative themes, or historical settings. Comparatively less attention has been given to how gameplay systems and

design mechanics themselves might contribute to the transmission of cultural knowledge, values, and practices.

My interest in this topic originates from both academic and practical experience. During my master's studies, I explored the relationship between digital games and Chinese intangible cultural heritage through a series of design projects and critical reflections. Through this work, I became increasingly aware that many heritage-themed games successfully reproduce visual symbols and cultural imagery but often struggle to communicate the underlying cultural logic, practices, and meanings embedded within heritage traditions. This observation led me to question whether game design could move beyond cultural representation and become a more effective medium for cultural transmission.

This research investigates that question through the design and development of a digital game informed by Chinese shadow puppetry. Shadow puppetry provides a particularly valuable case study because it combines visual symbolism, narrative performance, craftsmanship, and community-based cultural knowledge. Rather than focusing solely on the preservation of a single heritage form, the project uses shadow puppetry as a research context through which broader approaches to heritage-centred game design can be explored.

Through practice-based research, iterative game development, and user-centred evaluation, this study aims to examine how game design can support the communication and transmission of intangible cultural heritage and to develop a design framework that may inform future heritage game projects.

Aims and Objectives (approx.. 250 – 500 words)

Aim

The aim of this research is to investigate how digital games can function as a medium for the transmission of intangible cultural heritage and to develop a practice-based game design framework that supports meaningful cultural engagement.

Objectives

1. To critically review existing literature on intangible cultural heritage, digital heritage, serious games, cultural game design, and practice-based research.
2. To identify key cultural characteristics, values, and transmission mechanisms associated with selected forms of intangible cultural heritage, with Chinese shadow puppetry serving as the primary case study.
3. To analyse existing heritage-related digital games and evaluate their approaches to cultural representation and player engagement.
4. To design and develop a playable game prototype informed by the cultural principles of shadow puppetry and relevant heritage practices.
5. To conduct iterative playtesting and user evaluation in order to examine how players interpret and engage with cultural elements embedded within the game.
6. To reflect upon the design process and generate insights into the opportunities and challenges of translating heritage into interactive media.
7. To develop a transferable design framework that can guide future game-based approaches to intangible cultural heritage transmission.

Proposed plan of work including timetable

Proposed plan of work

Period	Key Activities	Expected Outcomes
Year 2 (first half year)	Refine research questions and conceptual framework. Conduct further literature review on intangible cultural heritage, game studies, digital heritage, and practice-based research. Analyse Chinese shadow puppetry and relevant heritage case studies.	Clear theoretical framework and refined research focus.
Year 2 (second half year)	Begin first cycle of practice-based research. Develop initial game concepts and low-fidelity prototypes. Document design decisions through reflective journals and iterative evaluation	Initial prototype(s) and preliminary findings from design practice
Year 2 (end of year)	Conduct exploratory playtesting and gather qualitative feedback. Reflect on findings and identify areas for further development	Completed first design cycle and methodological refinement
Year 3 (first half year)	Develop and refine the main game prototype. Conduct structured user testing, interviews, and observational studies to examine player engagement with heritage content	Refined prototype and collected research data
Year 3 (second half year)	Analyse findings from practice and user research. Identify key design principles and strategies for transmitting intangible cultural heritage through digital games	Draft design framework and research conclusions
Year 3 (end of year)	Complete thesis writing, integrate practical and written components, revise chapters, and prepare for submission	Final game artefact, completed thesis, and submission-ready research project
Proposed methodology (approx. 500 words): This research adopts a practice-based research methodology situated within the fields of digital heritage and game design. The study is informed by interpretivist and constructivist perspectives, recognising that knowledge is generated through interaction, interpretation, design practice, and cultural engagement. The research will begin with a comprehensive literature review examining theories of intangible cultural heritage, cultural transmission, digital heritage, game studies, and practice-based research. This stage will establish the theoretical foundation for the project and identify areas where current heritage game design approaches may be further developed to support the communication of intangible cultural heritage. The second phase will involve qualitative cultural investigation. Data will be collected through documentary analysis, cultural texts, visual materials, and semi-structured interviews with heritage practitioners where appropriate. Chinese shadow puppetry will serve as the primary case study, providing a culturally rich context through which design principles can be explored. The third phase will focus on game design and development. Drawing on Research through Design (RtD) and practice-based inquiry, a series of game prototypes will be developed and iteratively refined. The design process will be documented through reflective journals, design records, sketches, prototype iterations, and development notes. These materials will serve as research data alongside the final game artefact. The fourth phase will involve user testing and evaluation. Think-aloud protocols, observation, questionnaires,		

and semi-structured interviews will be used to explore how players understand, interpret, and engage with cultural content embedded within the game. Particular attention will be given to player perceptions of cultural meaning, engagement, and learning.

Data generated from interviews, observations, and user studies will be analysed using thematic analysis following Braun and Clarke (2022). Themes emerging from participant responses and design reflections will inform ongoing design iterations and contribute to the development of the final framework.

The research ultimately combines qualitative cultural research, practice-based design inquiry, and user-centred evaluation. Through this integrated methodology, the project seeks to generate new knowledge regarding the role of digital games in supporting the transmission of intangible cultural heritage and to produce a practical framework for future heritage game development.

Introductory bibliography:

Alivizatou, M. (2022) *Intangible Heritage and Participation: Encounters with Safeguarding Practices*. London: Routledge.

Bogost, I. (2007) *Persuasive Games: The Expressive Power of Videogames*. Cambridge, MA: MIT Press.

Borgdorff, H. (2012) *The Conflict of the Faculties: Perspectives on Artistic Research and Academia*. Leiden: Leiden University Press.

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Candy, L. (2020) *The Creative Reflective Practitioner: Research Through Making and Practice*. London: Routledge.

Champion, E. (2021) *Virtual Heritage: A Guide*. London: Ubiquity Press.

Deng, X. (2025) 'AIGC-enabled Digital Transformation of Intangible Cultural Heritage Shadow Puppetry', *Screen Printing*, 2025(2).

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Fullerton, T. (2019) *Game Design Workshop: A Playcentric Approach to Creating Innovative Games*. 5th edn. Boca Raton: CRC Press.

Hafstein, V. (2018) *Making Intangible Heritage: El Condor Pasa and Other Stories from UNESCO*. Bloomington: Indiana University Press.

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Liu, Y., Williams, R.M., Xie, G., Wang, Y. and Zuo, W. (2024) Promoting the Culture of Qinhuai River Lantern Shadow Puppetry with a Digital Archive and Immersive Experience. *arXiv Preprint*.

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- Salen, K. and Zimmerman, E. (2004) Rules of Play: Game Design Fundamentals. Cambridge, MA: MIT Press.
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- Shen, Y., Hsu, C.-C., Yue, W. and Luo, H.-Y. (2025) 'From "Hand-Puppet" to "Human-Machine-Puppet": Digital Mediation and the Transformation of Glove Puppetry Heritage', Global Media and China.
- Stefano, M.L. (2022) Practical Considerations for Safeguarding Intangible Cultural Heritage. London: Routledge.
- Sungkono, A.P. (2025) 'Wayang Kulit Shadow Puppetry as an Influence on Indonesian Video Game Character Design', Art and Society, 4(2), pp. 1–7.
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- Wang, X. (2024) Research on the Design of Shadow Play Teaching Aids from the Perspective of Intangible Cultural Heritage in Campus. Master's thesis. Guangdong University of Technology.
- Zhou, Y. and Jong, S.J. (2026) 'Reconfiguring Chinese Shadow Puppetry in Digital Media', SN Social Sciences, 6(216), pp. 1–25.
- Zhu, B. and Talwanna, W. (2026) 'Contemporary Chinese Shadow Puppet Character Design Inspired by Traditional Shadow Puppetry Culture', Business and Social Sciences Proceedings.

Facilities and resources available for the investigation: please indicate if you expect to need any special resources
This research will primarily utilise the facilities and resources available through my University, including library databases, digital academic resources, and research software. The practical component of the project will be conducted using standard game development tools, such as Unity, Ue5, Adobe Creative Suite, and qualitative data analysis software where appropriate. The study is not expected to require specialised laboratory facilities or highly technical equipment. However, access to standard computing facilities capable of supporting game development, prototyping, and user testing will be necessary. Limited participant recruitment may be required during the evaluation stages of the project, primarily involving voluntary users for playtesting and feedback sessions. Where appropriate, access to online heritage archives, museum collections, and digital cultural resources relating to Chinese shadow puppetry and other forms of intangible cultural heritage will support the research.
Special Issues
Ethical approval will be required prior to any user testing, interviews, or participant-based evaluation activities. The research will ensure informed consent, voluntary participation, confidentiality, and secure data management in accordance with university ethical guidelines. As the research involves the representation of Chinese intangible cultural heritage, particular attention will be given to issues of cultural sensitivity, authenticity, and responsible interpretation. The project does not involve vulnerable participants, sensitive personal data, or high-risk research activities. At present, no significant legal, safety, or technical issues are anticipated.
Language in which submitted
The thesis will be written in [please tick as appropriate]: Welsh ☐ English ☒

Use of Generative Artificial Intelligence

In line with [UWTSD guidance](#), Generative AI will be used in this thesis for the following purposes:

	Tick ☒	YES	NO
RESEARCH	I intend to use Generative AI to support my research, including searching for bibliography, using tools to summarise, compare and interrogate materials.	☐	☒
STRUCTURE	I intend to use Generative AI to support structuring my thesis submission, including creating a draft argument structure, identifying parts and headings, etc.	☐	☒

PROOFREADING	I intend to use Generative AI to check my own text/creation for grammatical and syntactical mistakes, including translation and rephrasing of my own work within specific standards.	☐	☒
WRITING	I intend to use Generative AI to create text for submission.	☐	☒
CREATIVE	I intend to use Generative AI to create creative materials, such as images.	☐	☒
PROGRAMING	I intend to use Generative AI to create and check code.	☐	☒
NONE	I do not intend to use any type of Generative AI support. This includes research support, structure support, writing/proofreading support and creative support.	☐	☒

Note: any use of Generative Artificial Intelligence will need to be considered and noted in the research ethics application.

Intellectual Property IP

Tick ✓

	YES	NO
It is anticipated that Intellectual Property (IP) will be produced as a result of this research, other than copyright.	☐	☒
If yes, is the IP already subject to a separate agreement with a third party (e.g. employer, sponsor or external funder)? If so please provide details below	☐	☐
Is the research dependent upon background IP owned by: If so, please provide details below	UWTSD ☐	A third party ☐
Text box will expand		

Tick ✓

I understand that:	YES	NO
If any party other than the student is likely to be involved in the development of IP a separate IP agreement will be needed and it may be necessary for the student to assign the IP rights to the University.	☐	☐
If there are no third parties involved in the creation of the IP the student is deemed to own the IP, however should the student wish to commercially exploit their IP and require the assistance of the University to do so, they will be required to assign their IP to the University. https://www.uwtsd.ac.uk/iiced/protecting-innovation-and-creativity---intellectual-property/	☐	☐

Student Signature

Signature or Print Name:	Jianan Liu	Date: 30/06/2026
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Supervisory Team

Has the student proposed a viable research project that is appropriate for this programme that should be supported by the Institute?	
Supported: ☐	Not Supported: ☐

Authorisation

Director of Studies	Print Name and Signature:	Date:
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Institute Manager of Research Degrees	Signature or Print Name:	Date:
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**Once complete, submit this form via the MyTSD Doctoral College Portal at
(<https://mytsd.uwtsd.ac.uk>).**

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:	Jianan Liu			
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:	Swansea College of Art			
4	Campus:	Swansea Campus			
5	E-mail address:	2507323@student.uwtsd.ac.uk			
6	Contact Telephone Number:	+44 7947025606			
7	Project Title	Developing Design Principles for Communicating Intangible Cultural Heritage Through Digital Games: A Practice-Based Study Using Chinese Shadow Puppetry			
8	Proposed Start Date	01/10/2025	Proposed End Date	30/09/2029	
For students:					
9	Student Number:	2507323			
10	Programme of Study:	Professional Doctorate Art & Design - Swansea (October - Full Time)			
11	Director of Studies/Supervisor:				

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	☒
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]	✕
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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
The aim of this research is to investigate how digital game design can support the communication and transmission of intangible cultural heritage (ICH) through meaningful player engagement. Using Chinese shadow puppetry as the primary case study, the research seeks to explore how cultural values, symbolic systems, and traditional knowledge can be translated into game design, and to develop design principles that may inform future heritage game projects. To achieve this aim, the research has four objectives. First, it will review literature on intangible cultural heritage, game studies, and design research to establish a theoretical foundation. Second, it will analyse Chinese shadow puppetry to identify cultural elements that are appropriate for translation into gameplay. Third, it will design, develop, and iteratively refine a playable game prototype through a practice-based research process. Finally, it will evaluate the prototype through interviews, playtesting, and thematic analysis to understand how players experience and interpret cultural content, leading to a set of evidence-informed game design principles. (this box should expand as you type)	
2	Vision
This research contributes to the growing field of digital heritage by investigating how game design can function not only as a medium for presenting cultural content but also as a process for communicating cultural knowledge and values. Rather than focusing solely on visual representation or historical storytelling, the study examines how gameplay design may encourage active cultural engagement. The research is timely because digital technologies are increasingly being adopted within heritage communication, while interest in games as cultural and educational media continues to grow. At the same time, many forms of intangible cultural heritage face challenges in attracting younger audiences and sustaining public engagement. By combining practice-based research with game design, the project aims to contribute new understanding of how design practice can support heritage communication. The resulting design principles may be valuable for researchers, designers, museums, cultural organisations, and educators interested in developing future digital heritage experiences. (this box should expand as you type)	
3	Approach

This study adopts a Practice-Based Research methodology supported by Research through Design. The research combines creative practice with qualitative inquiry, allowing knowledge to emerge through the iterative process of designing, developing, testing, and refining a digital game prototype.

Data will be collected through literature review, analysis of Chinese shadow puppetry, reflective design documentation, semi-structured interviews with shadow puppetry practitioners and game design specialists, and playtesting sessions with participants. Qualitative data, including interview transcripts, observation notes, think-aloud comments (where appropriate), and researcher reflections, will be analysed using thematic analysis to identify recurring themes relating to cultural communication and player experience.

This approach is appropriate because it enables the prototype to function both as a creative outcome and as a research instrument. Potential risks include delays in prototype development or participant recruitment. These risks will be managed through iterative project planning, staged prototype development, and recruiting participants from multiple appropriate sources. The findings will be translated into evidence-informed design principles that may support future heritage game design projects.

(this box should expand as you type)

4	Location of research activity	Identify all locations where research activity will take place.
		- University of Wales Trinity Saint David (UWTSD), Swansea Campus, UK - Online interviews conducted via Microsoft Teams - Public or university spaces in Swansea for participant playtesting sessions - Researcher's home workspace for game design, prototype development, and reflective documentation - China (online collaboration and interviews with shadow puppetry practitioners where appropriate) - Other agreed locations for interviews or playtesting, subject to participant convenience and ethical approval

(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: The above list covers most common data collection methods. If you will use other types of data collection for all or some of your data collection then please describe them here. <i>(this box should expand as you type)</i>			

SECTION G: 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?	Approximately 25–35 participants will be recruited across three participant groups. Approximately 3–5 shadow puppetry practitioners will participate in semi-structured interviews to provide insights into the cultural practices, values, and traditions of shadow puppetry. Approximately 15–20 players will participate in prototype playtesting sessions and follow-up interviews to explore player experience and perceptions of cultural communication. Approximately 5–10 game design researchers or professionals may be invited to provide expert feedback on the design and development of the prototype. The proposed sample size is appropriate for qualitative, practice-based research. Rather than seeking statistical representativeness, the study aims to collect rich, in-depth data from participants with relevant knowledge or experience. The final number may vary depending on participant availability and data saturation. <i>(this box should expand as you type)</i>

2	Who will the participants be?	Participants will be recruited from three groups according to the purpose of each stage of the research. Shadow puppetry practitioners will include individuals with experience in performing, teaching, or preserving Chinese shadow puppetry. Their participation will support the cultural understanding that informs the game design. Players will be adults aged 18 or above who have experience playing digital games. A range of gaming experience will be welcomed in order to explore different responses to the prototype. Game design researchers or professionals may also be invited where appropriate. Their expertise will help evaluate the design decisions and the translation of cultural content into gameplay mechanics. These participant groups provide complementary perspectives that support both the creative development and the evaluation of the research. <i>(this box should expand as you type)</i>
3	How will you identify the participants?	Participants will be recruited through a combination of purposive and convenience sampling. Shadow puppetry practitioners will be identified through existing professional contacts, recommendations, cultural organisations, and publicly available information relating to recognised practitioners. Players will be recruited through the University of Wales Trinity Saint David and social media where appropriate. Game design researchers or professionals will be identified through academic networks, conferences, and professional contacts. All participants will receive an invitation and participant information sheet before deciding whether to participate. Participation will be entirely voluntary, and no participant will be placed under any obligation to take part. <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?	Participants must be aged 18 years or above and able to provide informed consent. Individuals who are unable to understand the participant information or consent materials sufficiently to provide informed consent will not be recruited. Children and other vulnerable groups are excluded because they are not necessary to address the research questions, and their inclusion would introduce additional ethical considerations beyond the scope of this study. Individuals who have previously participated in pilot testing may be excluded from later evaluation sessions where prior familiarity with the prototype could influence the findings.

		<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 deception or withholding information from participants. Participants will receive clear information about the purpose of the research, the activities involved, the type of data being collected, and how their data will be used before providing informed consent. Participants will also have the opportunity to ask questions before, during, and after their participation. <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.	Participation is entirely voluntary. Participants may withdraw from the research at any time without giving a reason and without any negative consequences. Participants may also choose not to answer individual interview questions or discontinue a playtesting session at any stage. Participants may request that their data be removed from the study up until the point at which the data have been anonymised and incorporated into the analysis. After anonymisation, it may no longer be possible to identify individual data for removal. <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 normally be given at least one week to consider the invitation before deciding whether to participate. This allows sufficient time to read the participant information sheet, ask questions if necessary, and make an informed decision without pressure. If participants choose to participate sooner, this will be entirely their own decision. <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?	Participant information sheets and consent forms will be written in clear and accessible language. Where appropriate, materials will be provided in either English or Chinese, depending on the participant's preferred language. Interviews may also be conducted in either English or Mandarin Chinese where appropriate. Participants will be encouraged to ask questions at any stage of the research, and additional explanations will be provided if required. Where participants have particular communication needs, reasonable adjustments will be made where possible, such as

		allowing additional time, adapting the pace of interviews, or providing information in alternative formats. <i>(this box should expand as you type)</i>
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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:		

Any use of personal data must be justified.

(this box should expand as you type)

Special Category Data		YES	NO
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	Any use of special category data must be fully justified. <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 in accordance with the principle of data minimisation under the UK GDPR and the Data Protection Act 2018. Only personal data that are necessary to conduct the research will be collected.

The study will collect basic contact information (such as name and email address) solely for the purposes of arranging interviews or playtesting sessions. During data collection, participants' interview responses, playtesting observations, and audio recordings (where consent has been given) will be collected. Basic demographic information, such as age range, gender (optional), occupation or role (e.g., shadow puppetry practitioner or player), and previous gaming experience may also be collected where relevant to the research.

The research will not collect unnecessary personal information such as home addresses, financial information, medical records, government identification numbers, or other unrelated personal details. Only information directly relevant to the research objectives will be collected.

(this box should expand as you type)

10	Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded:			
The processing of personal data is not expected to cause substantial damage or distress to participants. The study involves low-risk research activities, including interviews, prototype playtesting, and observation. Participants will receive a Participant Information Sheet explaining the purpose of the study, the types of data collected, how the data will be stored, and how it will be used. Written informed consent will be obtained before participation. Participants will be reminded that participation is voluntary, that they may decline to answer any question, and that they may withdraw from the study at any time before data are anonymised. Personal data will be securely stored on password-protected university-approved storage systems, and access will be restricted to the researcher and supervisory team where appropriate. <i>(this box should expand as you type)</i>				
11	Demonstrate that the data will not be used to take any action or make decisions in relation to the individuals concerned:			
The data collected in this study will be used solely for academic research purposes. No decisions will be made about participants on the basis of the data collected, and participation will have no effect on participants' employment, education, professional status, or relationship with the University. The research seeks to understand participants' experiences, opinions, and interactions with the game prototype rather than to evaluate or assess individual performance. Findings will be reported in an aggregated or anonymised form and will not be used to make decisions about any individual participant. <i>(this box should expand as you type)</i>				
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.			
Data will be pseudonymised as soon as practicable following collection and anonymised wherever possible before analysis and publication. Participants will be assigned unique identification codes or pseudonyms, and identifying information will be stored separately from the research data in a secure location. Only the researcher will have access to the key linking participant identities to research codes. Interview transcripts, observation notes, and research reports will use pseudonyms or participant codes rather than real names. Any quotations used in publications or the doctoral thesis will be anonymised to prevent identification unless explicit written consent has been obtained to attribute quotations to named individuals. Where complete anonymisation is not possible, for example when referring to publicly recognised shadow puppetry practitioners who have agreed to be identified, explicit informed consent will be obtained before any identifiable information is used. <i>(this box should expand as you type)</i>				
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-M9, please provide justification detailing why this is necessary for the research.				
10	Justify your decisions, particularly if written consent won't be obtained or if participants will not be fully informed in advance. <i>(this box should expand as you type)</i>			
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	If you will be using any apps or other software to collect data and that software is based outside of the UK/EU then you should mention this and confirm that you will follow the instructions given in the guidance for using non-UK/EU digital platforms when creating your participant information sheet/consent form. <i>(this box should expand as you type)</i>			

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

Please detail how you will treat confidential information:

12	Describe how you will protect your participants confidential data, including how you will store and manage it securely, who will have access, and how you will inform your participants if the data will be shared. If the data is to be shared, explain how will you make sure that your participants understand and agree to this. <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 Doctoral College Portal.			
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 There are a number of ethical issues relating to the use of generative AI and other AI-based tools, including data security, output bias, and output errors. In general you should assume that any generative AI or other AI-based tool that you pay to use is more secure and accurate than one which is free to use.		YES	NO	N/A
Will the research use AI tools to do any of the following:				
1	Capture data?	☐	☒	☐
2	Generate and/or edit text?	☐	☒	☐
3	Generate graphics?	☐	☒	☐
4	Generate video?	☐	☒	☐
5	Generate sound/music?	☐	☒	☐
6	Generate code?	☐	☒	☐

7	Generate synthetic data?	☐	☒	☐
8	Analyse data?	☐	☒	☐
9	Analyse personal or sensitive data?	☐	☒	☐
10	Classify data?	☐	☒	☐
11	Do you intend to use the free version of any AI tools?	☐	☒	☐
If you have answered YES to any of questions O1-O11, please provide justification detailing why this is necessary for the research.				
12	State which AI tool or tools you will be using, and where they are based (or store their data – you may need to check their webpages or user agreement for this). If you are planning to use Copilot then say if you're using the UWTSD version of it or the public version. You should also show how you are complying with current UWTSD guidance/policy of the use of AI. <i>(this box should expand as you type)</i>			

Section P: Research Data Management Plan

1	Data Summary
Briefly introduce the types of data the research will create or access.	
2	Responsibilities
- Who will be responsible for data management? - Outline responsibilities for data management within research teams at all partner institutions	
3	Assessment of existing data
- Provide an explanation of the existing data sources that will be used by the research project (if applicable). - Provide an analysis of the gaps identified between the currently available and required data for the research.	
4	Management and curation of data
Outline your plans for preparing, organising and documenting data.	
5	Quality assurance of data
Describe the procedures for quality assurance that will be carried out on the data collected at the time of data collection, data entry, digitisation and data checking.	
6	Short-term data storage

	- How will the data be stored in the short term during the research. - Describe the data access, security and backup procedures you will adopt to ensure the data and metadata are securely stored during the lifetime of the project.
7	Long-term data storage and preservation
	- Which data are of long-term value and should be retained, shared, and/or preserved? - How the data will be stored in the long term? - Are the plans for preparing and documenting data for sharing and archiving with an external data repository (e.g. the UK Data Service) or the UWTSD data repository? - How long will it be stored for and why?
8	Documentation and metadata
	- What documentation and metadata will accompany the data? - How will the data be documented during research to provide high quality contextual information and/or structured metadata for secondary users?
9	Data sharing
	- If you plan to share your research data explain how it will be shared and the value it will have to others - If you are planning to share the data, please advise when you will be releasing it. - Are any restrictions on data sharing required? - Identify any potential obstacles to sharing your data, explain which and the possible measures you can apply to overcome these - If the data will have value to different audiences, how these groups will be informed? - Will the data need to be updated? Include future plans for updating if this is the case. - Will the data be open or will you charge for it? Justify if charging to access the data.
10	Copyright and intellectual property ownership
	Who will own the copyright and Intellectual Property Rights (IPR) of any new data that you will generate?
11	Resources
	- What resources will you require to deliver your plan? - Costs of storage – why are these appropriate? - How will these be met? (costs related to long term storage will be normally permitted by funders providing these are fully justified and relate to the project)

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?	<table border="1"> <tr> <td>YES</td><td>NO</td></tr> <tr> <td>☒</td><td>☐</td></tr> </table>	YES	NO	☒	☐
YES	NO					
☒	☐					
Risks to participants, researchers, and the University						

2	Social risks: disclosures that could affect participants standing in the community, in their family and their job.	YES ☐	NO ☒
<i>Risk:</i> <i>Below you will find examples to help you consider these sections, but these are just pointers. Many of the risks will not be noted here, and much will depend on the specifics of your research project.</i> Example 1: Participants may fear that their responses could affect their employment, promotion or workplace relationships if disclosed. Example 2: Power dynamics or perceived coercion if the researcher holds a position of authority (example, manager or senior colleague), and participants may feel pressured to take part. Example 3: Social conflicts, potential stigma, or damage to reputation or relationships if opinions become known to others. <i>(this box should expand as you type)</i>		<i>How will you address any risks?</i> <i>Outline and explain any mitigation strategies that you will adopt to minimise the risks. Below you will find examples / pointers to help you consider these. But much will depend on the specifics of your research project.</i> Example 1: -All data will be de-identified and stored securely. -Results will be reported in anonymised form. -Can you ensure that taking part in the research or withdrawal will not impact their employment or performance evaluation? If so, include this in a Participant Information Sheet as part of the consent process. Example 2: -Participation will be entirely voluntary, with no penalties for declining. -Consent materials will explicitly state that participation is not linked to employment decisions. Example 3: -Ensure strict confidentiality by removing identifying information from transcripts and reports. -Store all data securely. How will do this? Explain. -Report findings in an anonymised form so opinions cannot be linked to participants. -Conduct interviews in private settings. -Remind participants that they may skip any questions they feel uncomfortable answering. -Obtain informed consent, making it clear how confidentiality will be maintained and the limits of that confidentiality.	
3	Legal risks: 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	YES ☐	NO ☒
<i>Risk:</i> Example 1: Researcher or participant could inadvertently engage in activities that breach legal or institutional requirements (example, recording without consent, data misuse, or violation of privacy laws). Example 2:		<i>How will you address any risks?</i> Example 1: -Explain (in Participant Information Sheet and consent form) the limits of confidentiality (example, that certain disclosures, such as criminal acts or threats of harm, cannot remain confidential). -Avoid directly asking questions that would elicit illegal or incriminating information, unless explicitly approved by the ethics committee. -Seek guidance from the University's ethics or legal team immediately if a disclosure occurs.	

Interview content or reporting could lead to a civil claim (example, defamation, breach of privacy or emotional harm). (this box should expand as you type)		Example 2: -Written informed consent will be obtained prior to any recording or data collection. -All interviews will comply with data protection laws (example, GDPR). -Audio or written data will be stored securely on password-protected devices or encrypted drives. -Access to identifiable data will be restricted to authorised research team members only. -Researchers will follow University guidelines for collecting and storing data.	
4	Economic harm: financial harm to participant, researcher and / or University through disclosure or other event.	YES ☐	NO ☒
Risk: Example 1: Participation may reduce profit or income if business owners spend time in interviews instead of conducting business operations. Example 2: Damage, theft or loss of personal equipment (example, laptop) used during fieldwork or interviews could result in financial loss. Example 3: Legal or contractual liabilities (example, breaches of data protection, or confidentiality) could result in financial consequences for the researcher or University. (this box should expand as you type)		How will you address any risks? Example 1: -Flexible scheduling of interviews. -Reasonable duration: Interviews will be kept as brief as possible while still achieving research objectives. -Clear communication: Participants will be informed in advance about the expected time. -Explain the level of commitment and inform that they may reschedule or withdraw at any time without penalty. -If appropriate and approved, participants may be offered a small reimbursement or honorarium to acknowledge their time and offset potential income loss. Example 2: -Ensure personal devices are covered by insurance and used with proper data security measures (example, password protection, encryption). -Avoid carrying unnecessary valuables or cash during fieldwork. Example 3: -Follow all institutional ethical, legal and contractual requirements. -Seek advice from the University's ethics or legal office if uncertain about obligations or potential risks. -Explain how you will mitigate risks related to breaches of data protection or confidentiality.	
5	Reputational risk: damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.	YES ☐	NO ☒
Risk: Example 1: Perception of researcher negatively impacted and / or institutional bias due to funding		How will you address any risks? Example 1: -Disclose all funding sources and potential conflicts of interest in ethics application and publications.	

sources or conflicts of interest. Example 2: Damage to the University's or researcher's reputation if participants or stakeholders feel misrepresented, disrespected or harmed. <i>(this box should expand as you type)</i>	-Maintain academic independence in analysis and reporting, regardless of funder interests. -Include peer or supervisory review of analysis to ensure impartiality. Example 2: -Obtain informed consent that explains how data will be used and reported. -Allow participants to review or clarify their statements if appropriate (example, in qualitative interviews). -Report findings objectively and without bias, ensuring cultural sensitivity and confidentiality. -Provide participant debriefing where appropriate to maintain trust and transparency. -Always follow rules of professional conduct. Explain how you will uphold high standards of conduct and integrity, or what you will do to mitigate misconduct.		
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: Example 1: Improper behaviour, abuse, or exploitation of young people or vulnerable adults during participation can occur if appropriate safeguarding procedures are not put in place. What is the risk of this in relation to your research? Example 2: Risk to the researcher of being in a compromising or misinterpreted situation, leading to accusations of improper behaviour. What is the risk of this in relation to your research? <i>(this box should expand as you type)</i>	<i>How will you address any risks?</i> Example 1: -All researchers will hold a current DBS check or country equivalent. -Interviews will be conducted in safe, visible locations, never in private or isolated settings, with a supervisor / third party present. -Participants will always have the option to have a parent, guardian, or support person present during interviews. -The research will comply fully with institutional and legal safeguarding policies for working with minors and vulnerable groups. Provide detail here. -A clear reporting protocol will be in place for managing any disclosure of harm, abuse, or risk (reported to relevant authorities and University). Example 2: -Will not conduct meetings one-on-one in private settings with young or vulnerable participants, and maintain visibility at all times. -Where in-person interviews are required, ensure the presence of a third party (example, teacher, guardian, or colleague). -Uphold clear professional boundaries (no physical contact, personal relationships or communication outside research purposes). -Keep detailed records of all interactions (date, time, location and purpose) to provide accountability. -Conduct online interviews using approved University platforms where appropriate, ensuring transparency, and have a supervisor present and visible in the online meeting.		

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 ☒
Example 1: Participant may feel upset, embarrassed or anxious when discussing sensitive topics (example, personal experiences, business failures, financial issues or trauma). Mitigation: -Clearly explain in the Participant Information Sheet that questions may be sensitive. -Remind participants they may skip questions or withdraw at any time. -Monitor participant reactions; pause or stop the interview if distress is observed. -Provide referral information for professional support (example, helplines, counselling services). Example 2: Risk to researcher from emotional impact: exposure to distressing content may cause acute stress or burnout in the long-term. Mitigation: -Researchers will receive supervisory support and debriefing after interviews. -Gain access to wellbeing resources (example, counselling or employee support programs). -Schedule interviews to avoid excessive consecutive sessions, reducing emotional strain. <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: This is particularly required for projects that will include time spent in labs, workshops, or field sites, or that will include time spent on working sites with fluctuating sometimes unpredictable environmental and travel hazards. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
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: This is particularly relevant for projects that will involve exposure to emotionally (and sometimes unpredictable) challenging content, as well as physically demanding or potentially hazardous conditions. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
10		YES	NO

	Machinery and equipment: for example: ergonomic hazards, including computer workstations and equipment; contact with electricity; contact with moving, rotating, ejecting or cutting parts in machinery and instruments; accidental release of energy from machines and instruments.	☐	☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where machinery is used. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
11	Chemicals and other hazardous substances: 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.	YES ☐	NO ☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where chemical are used. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
12	Physical agents: for example: excessive noise exposure, hand-arm vibration and whole body vibration; ionising radiation; lasers; artificial optical radiation and electromagnetic fields	YES ☐	NO ☒
Risk: This is particularly required for projects that will include time spent in labs or workshops, or that will include time spent on working sites where such systems are used. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	
13	Environmental risks: for example: accidental spillage of pollutants, damage to local ecosystems	YES ☐	NO ☒
Risk: This is particularly required for projects that will include time spent on working sites or where activities may impact habitats, heritage, or protected environments. <i>(this box should expand as you type)</i>		How will you address any risks? Ideally a full risk assessment document should be submitted with this form. You can also include qualifications and training courses completed as appropriate.	

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	Jianan Liu
2	Electronic or written signature of applicant:	Jianan Liu
3	Date	
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.

END OF MAIN FORM

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.
If you are working outside the UK provide details of the location(s) in terms of country and city/town. Where you are working with organisations such as museums, schools, universities, or government departments include them here together with details of the contact person involved. Where there are specific local legal codes covering your research, e.g. for child protection or data protection, list them here and state how you will ensure that you comply with them. If you plan to work outside your home country then check your government's recommendations for the country in which you will be working. For the UK this information is available at https://www.gov.uk/foreign-travel-advice. It is also a good idea to make sure that you have the contact details of your nearest embassy or consulate in case of emergency. Travel insurance that covers working outside of your home country is recommended. <i>(this box should expand as you type)</i>	
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):
Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>	

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.
Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>	
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).
Contact INSPIRE for support on this section. <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?		
Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>			
A3.11	What are they expecting in return for their financial support or involvement?		
Contact INSPIRE for support on this section. <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 ☐
Contact INSPIRE for support on this section. <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 ☐
Contact INSPIRE for support on this section. <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 ☐
Contact INSPIRE for support on this section. <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
		☐	☐
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.16	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.	YES	NO
		☐	☐
Contact INSPIRE for support on this section. (this box should expand as you type)			

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?	☐	☐
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.19	Who will own any IP that is generated?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.20	What plans do you have in place for protecting the resulting IP?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.21	What contractual requirements are you able to put in place to protect the interests of your academic institutions?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.22	What access will the research partner have to your IT network? If they do have access, what broader visibility might this provide?		
Contact INSPIRE for support on this section. (this box should expand as you type)			
A3.23	Is there any physical separation or protection required between research in similar fields?		
Contact INSPIRE for support on this section. (this box should expand as you type)			

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
		☐	☐
Contact INSPIRE for support on this section. <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
		☐	☐
Contact INSPIRE for support on this section. <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
		☐	☐
Contact INSPIRE for support on this section. <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
		☐	☐
Contact INSPIRE for support on this section. <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	Any inclusion of vulnerable people must be fully justified. (this box should expand as you type)		
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	How will you protect your participants from any negative impacts caused by your research process? This might include physical or emotional harm or discomfort. If vulnerable participants will be giving consent themselves then explain the steps you will take to ensure that they are not coerced into giving consent. If consent is to be obtained from a legal representative then how will you identify the appropriate person? (this box should expand as you type)		
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	Contact INSPIRE for support on this section. <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	Contact INSPIRE for support on this section. <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 Contact INSPIRE for support on this section. (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 to be the case and sponsorship by a third party will be required. This can be checked via the Health Research Authority's Decision Tool : <https://www.hra-decisiontools.org.uk/research/>

A7.18	Does the research meet the HRA definition of research?	YES ☐	NO ☐	N/A ☐
A7.19	Is the Research being sponsored by a collaborating partner?	YES ☐	NO ☐	N/A ☐
A7.20	Has NHS ethics approval been granted?	YES ☐	NO ☐	N/A ☐
A7.21	Has INSPIRE undertaken an initial due diligence exercise?	YES ☐		NO ☐
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. If you have not contacted INSPIRE, please do immediately.				
A7.22	Contact INSPIRE for support on this section. <i>(this box should expand as you type)</i>			

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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