

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

SECTION A: About You (Principal Researcher)

1	Full Name:	Wenrui Yin			
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:	Education and Humanities			
4	Campus:	Swansea, SA1			
5	E-mail address:	yinwenruimm@163.com			
6	Contact Telephone Number:	07538577271			
For students:					
7	Student Number:	2319170			
8	Programme of Study:	Doctorate in Education (EdD)			
9	Director of Studies/Supervisor:	Catherine Morgan			

SECTION H: Anticipated Risks

	Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them. If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.					
1	Full risk assessment completed and appended?	<table border="1"> <tr> <td>Yes</td><td>☐</td></tr> <tr> <td>No</td><td>☒</td></tr> </table>	Yes	☐	No	☒
Yes	☐					
No	☒					
2	Risks to participants For example: sector-specific health & safety, emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information					
	Risk to participants: Risk to participants: Potential emotional distress due to the sensitive nature of discussing language policies and educational experiences. <i>(this box should expand as you type)</i>	How you will mitigate the risk to participants: Ensure anonymity and confidentiality of responses, provide clear information about the study's purpose, and offer access to counseling services if needed. <i>(this box should expand as you type)</i>				
3	If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities					
	• If the research involves sensitive topics, provide details of the procedures to handle such issues, including support or advice to be offered to participants. • Establish protocols for handling sensitive information, offer participants clear guidelines on confidentiality, and ensure that any illegal activities disclosed will be reported to the appropriate authorities. <i>(this box should expand as you type)</i>					
4	Risks to the investigator For example: personal health & safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest					
	Risk to the investigator: Possible emotional distress from engaging with participants' challenging experiences. <i>(this box should expand as you type)</i>	How you will mitigate the risk to the investigator: Provide the researcher with access to debriefing sessions and mental health support, and ensure they are trained in ethical research conduct. <i>(this box should expand as you type)</i>				
5	University/institutional risks For example: adverse publicity, financial loss, data protection					
	Risk to the University: Potential adverse publicity if the findings are controversial. <i>(this box should expand as you type)</i>	How you will mitigate the risk to the University: Implement a communication plan to manage the release of findings, and ensure all research is conducted in accordance with the university's ethical guidelines. <i>(this box should expand as you type)</i>				
6	Environmental risks For example: accidental spillage of pollutants, damage to local ecosystems					



	Risk to the environment: Minimal risk as this study involves qualitative data collection through interviews. <i>(this box should expand as you type)</i>	<i>How you will mitigate the risk to environment:</i> Use digital tools for data collection and storage to reduce paper usage, and ensure all electronic waste is disposed of responsibly. <i>(this box should expand as you type)</i>
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SECTION I: Feedback, Consent and Confidentiality

1	Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
	Participants will receive a thorough de-briefing at the conclusion of their interview, which will include a detailed summary of the topics discussed and an explanation of how their input will contribute to the study's objectives. Additionally, participants will be offered the opportunity to receive a detailed feedback report of the study's findings, including recommendations for policy improvements in English language education. This feedback will be provided in a written format, either digitally or in print, depending on the participant's preference, and will be disseminated approximately six months post the completion of data collection. <i>(this box should expand as you type)</i>
2	Informed consent Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.
	Potential participants will be provided with comprehensive information about the study through an informational brochure and a consent form. This information will cover the study's aims, methods, potential risks and benefits, and the voluntary nature of participation. Participants will be made aware that they have the right to withdraw from the study at any time without any negative consequences. Informed consent will be obtained during a pre-interview meeting, where the researcher will be available to answer questions and address any concerns. The consent form will be signed by the participant, or, in the case of illiteracy, a witness will sign on their behalf, with a record of verbal consent made in the research log. The study will comply with all relevant data protection legislation, including the GDPR. <i>(this box should expand as you type)</i>
3	Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.
	To ensure the anonymity of participants, all personal identifiers will be stripped from the data, and participants will be assigned unique identifiers that are not linked to their personal information. Confidentiality will be maintained throughout the research process and in all outputs by not disclosing any personally identifiable information. Data will be stored securely, with access restricted to the research team only, and will be encrypted to prevent unauthorized access. If anonymity cannot be guaranteed, such as in a small community study, this will be clearly communicated to participants during the consent process, and their express consent will be sought to participate with the understanding that their contributions may be identifiable to some extent. In such cases, additional measures will be taken to protect their identity, such as using pseudonyms or aggregating data to prevent identification. These detailed descriptions provide a comprehensive overview of the feedback process, informed consent procedures, and confidentiality/anonymity measures that will be implemented in the study. They ensure that participants are well-informed about their involvement and that their rights are protected throughout the research process, in line with the ethical standards of research conduct. <i>(this box should expand as you type)</i>

SECTION J: Data Protection and Storage

	Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 “GDPR” and the Data Protection Act 2018 “DPA”)?	YES	NO
1	“Personal data” means any information relating to an identified or identifiable natural person (‘data subject’). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants is considered to be personal data.	☒	☐
	If YES, provide a description of the data and explain why this data needs to be collected:		
2	The research involves collecting personal data such as participants’ names, identification numbers, and online identifiers. This data is necessary to track and attribute responses to individual participants accurately. Additionally, video or audio recordings of interviews will be used to capture the nuances of participants’ experiences and perspectives on public English policies in Chinese universities. <i>(this box should expand as you type)</i>		
	Does it involve special category data (as defined by the GDPR)?	YES	NO
3	“Special category data” means sensitive personal data consisting of information as to the data subjects’ – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	☒
	If YES, provide a description of the special category data and explain why this data needs to be collected:		
4	<i>(this box should expand as you type)</i>		

	Will data from the research activity (collected data, drafts of the thesis, or materials for publication) be stored in any of the following ways?	YES	NO
5	Manual files (i.e. in paper form)?	☐	☒
6	University computers?	☒	☐
7	Private company computers?	☐	☒
8	Home or other personal computers?	☒	☐
9	Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
10	“Cloud” storage or websites?	☒	☐
11	Other – specify:	☐	☐
12	For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of backup procedures, password protection, encryption,		

	anonymisation and pseudonymisation:
	• Data stored on university computers will be protected by the university's IT security policies, which include firewalls, antivirus software, and restricted access based on user roles. • Cloud storage will be used for backup and additional security. The chosen cloud service provider adheres to strict data protection standards and offers encryption at rest and in transit. • All personal data will be anonymized before storage, ensuring that participants cannot be identified from the data set. • Password protection will be enforced for all accounts with access to the data. • Regular backups will be performed to prevent data loss. • Encryption will be used for data at rest and during transfer. • Anonymization and pseudonymization will be applied to any data used in publications or presentations to protect participants' identities. <i>(this box should expand as you type)</i>

Data Protection			
	Will the research activity involve any of the following activities:	YES	NO
13	Electronic transfer of data in any form?	☒	☐
14	Sharing of data with others at the University outside of the immediate research team?	☐	☒
15	Sharing of data with other organisations?	☐	☒
16	Export of data outside the UK or importing of data from outside the UK?	☐	☒
17	Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☒	☐
18	Publication of data that might allow identification of individuals?	☐	☒
19	Use of data management system?	☒	☐
20	Data archiving?	☒	☐
21	If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and Data Protection Act (2018) (and any international equivalents, where appropriate):		
	• Electronic data transfers will be conducted using encrypted email services and secure cloud storage providers that comply with GDPR standards. • Personal identifiers will be used in accordance with GDPR, ensuring that data is anonymized and used only for research purposes. • Data management systems will have strict access controls and will be regularly audited to ensure compliance with data protection regulations. • Archived data will be stored in a secure, off-site facility with restricted access, and will be destroyed after the 10-year period in a manner that ensures the data cannot be reconstructed. <i>(this box should expand as you type)</i>		
22	List all who will have access to the data generated by the research activity:		
	The research team, including the principal investigator, research assistants, and any contracted data analysts. <i>(this box should expand as you type)</i>		

23	List who will have control of, and act as custodian(s) for, data generated by the research activity:		
	The principal investigator will have control and act as the custodian for the data. <i>(this box should expand as you type)</i>		
24	Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
	• Data will be stored on university-provided secure servers with restricted access. • Security measures include firewalls, regular software updates, and encryption of data at rest and in transit. • Data will be stored in digital form, with backups performed weekly and stored off-site. • Data will not be archived after the 10-year period due to the sensitive nature of the information; instead, it will be securely deleted. <i>(this box should expand as you type)</i>		
25	Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtسد.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
	• The research data, following the completion of the study and initial analysis, will be stored in the UWTSD Research Data Repository. This repository is a platform that supports Open Access Initiative 2.0 (OAI 2.0) and provides a base URL for data accessibility. • Explanation: • Storing data in the UWTSD Research Data Repository aligns with the university's policy, which encourages researchers to make their work available online, free to the reader, as soon as possible after publication. This is subject to proper attribution and any conditions set by the publisher. • By depositing research data in the repository, it will be accessible to a wider academic community and the public, promoting transparency and reproducibility of research findings. This aligns with the principles of open science and can enhance the impact of the research. • The data will be prepared in accordance with the repository's guidelines, ensuring it is well-documented and easy to understand for end-users. Any sensitive or personally identifiable information will be removed or anonymized to protect the privacy of research participants. • The repository offers a secure and stable storage solution, ensuring the longevity and integrity of the research data. It also provides a mechanism for citing and linking to the stored data, which is beneficial for academic recognition and collaboration. <i>(this box should expand as you type)</i>		
26	Confirm that you have read the UWTSD guidance on data management (see https://www.uwtسد.ac.uk/library/research-data-management/)	YES	☒
27	Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	YES	☒