

APPLICATION FOR ETHICAL APPROVAL

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

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

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

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

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

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

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

SECTION A: About You (Principal Researcher)

Full Name:		Jessica Evans			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☒	Taught Postgraduate Student	☐	Postgraduate Research Student	☐
Faculty/School/Centre:		The Centre of Childhood Youth and Education			
Campus:		Carmarthen			
E-mail address:		2113365@student.uwtsd.ac.uk			
Contact Telephone Number:		n/a			
For students:					
Student Number:		2113365			
Programme of Study:		Early Years Education and Care: Early Years Practitioner status (Year 2)			
Director of Studies/Supervisor:		Natalie MacDonald			

SECTION B: Approval for Research Activity

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

SECTION C: Internal and External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice	☒
UWTSD Research Data Management Policy	☒
BERA Ethical Guidelines for Education Research 2018	☒

SECTION D: External Collaborative Research Activity

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

Where research activity is carried out in collaboration with an

external organisation

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

SECTION E: Details of Research Activity

Indicative title:	How to incorporate effective digital technology within young children's play?		
Proposed start date:	12 th May 2022	Proposed end date:	15 th May 2022
Introduction to the Research (maximum 300 words) Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the three points below: • Purpose of Research Activity • Proposed Research Question • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how <u>Existing Research</u> has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
Purpose of Research Activity There are three cross-curricula responsibilities in education in Wales, Numeracy, Literacy and Digital Competence. The focus is to achieve higher standards in these three areas, for pupils to attain transferrable skills in adulthood and their working life. The Welsh Government in 2018 devised a Digital Competence Framework Guidance. Which can be referred to as DCF. This guidance is there for practitioner information and support in their professional development along with the Carmarthenshire County Council (2022) Digital Schools Strategy. Siraj-Blatchford (2003) wrote about the importance of digital technology in early years and how to incorporate this during play-based activities. As the study by Marsh et al (2016) suggests a new play type of transgressive play, which means to step over boundaries, annoy, harass or punish others, more commonly found in digital gaming. However, use of digital technology can help to develop collaboration, communication, exploration and socio-dramatic play according to Siraj-Blatchford 2003. Arguably the constant use of iPads, mobile phones, tablets and computers can impede on children's development by pre-occupying their brains with repetitive use and games, alone. When a child is bored, they can start to get creative, imaginative and physical, which then improves their cognitive and physical development, by allowing them to have access to a device when they are bored can have an impact on these stages of development according to Austin Children's Academy (2016). However, Digital			

Competence is a transferrable skill and by educating children from a young age gives them the knowledge and understanding for further development. A study carried out by Dashti and Habeeb in (2020) looked at the collaboration and engagement of children working on a shared iPad or paper. There was no defined conclusion, the children working with the shared iPads did not collaborate well, this may be due to their lack of knowledge and understanding or that they find it difficult to share. There was no adult support during this study, so by using Vygotsky theory of scaffolding could enhance the children's development by the adult being present and sharing their knowledge and understanding, thus allowing the children to gain a higher level of cognitive development. Supporting Vygotsky's theory of scaffolding in the Zone of Proximal Development are Social Robots, a study carried out by Neumann (2019) that believes Social Robots can assist language and literacy development within the Early Years. However, this study was carried out for a few weeks therefore, not looking at the novelty factor of these robots. In both studies the majority of children would have chosen the iPads or Social Robot to work with. This can be viewed as obstructing their creative development.

A study carried out in 2018 by Dashti and Yeteem shows that the children they included had a considerable amount of usage on mobile devices, however, the knowledge of full use of a mobile phone was more apparent in one country than another, thus highlighting the guidance of adult support required to oversee usage and enhance children's full knowledge and understanding of the device.

In an early year setting, practitioners have to be confident and have the knowledge and understanding of how to incorporate digital technology into their sessions. Gilchrist 2020 found that some practitioners in Europe found this very challenging to carry out, as they felt their I.T. skills were not up to standard and had little support for their professional development. Concurring that was a study carried out by Ilomaki and Lakkala, (2019) found that the school with adequate facilities did not promote the best practise, as the practitioners were not fully engaged. This could be due to many reasons which were not stated.

In Wales digital competence is one of the three main cross-curricula aims, therefore, we need to identify how Early Years Practitioners feel today.

Is it down to the individual practitioners and how they preserve digital technology?

Tecce DeCarlo et al (2017) looked at a digital programme designed to assist Kindergarten staff and students complete a project, Extensive training was given to staff before the study was carried out. Out of the five practitioner who took part, only one supplied detailed results and feedback from the students. It was evident that they were fully immersed in the project. However, a study carried out in Swedish preschool did not have the results they were expecting and stated that they could not represent all Swedish schools, as practitioners there

were hesitant about introducing digital play as a means to develop children's literacy, and therefore, did not fully immerse in the study according to Marklund (2016).

(this box should expand as you type)

Research Question

How confident are practitioners using digital technology to enhance children's development in the Early Years?

(this box should expand as you type)

Aims of Research Activity

Send questionnaires to all staff in the four chosen schools to obtain quantitative data about how practitioners feel about using digital technology as part of their daily activities.

To interview two practitioners from each school to gain knowledge and understanding about their digital competence.

(this box should expand as you type)

Objectives of Research Activity

Research will be conducted in line with the UWTSD Research and integrity ethical guidelines section 19.3, (2022), BERA ethical guidelines sections 3, 8 and 20, (2018) and UWTSD Research Data Management Policy, section 3.6, (2022).

Informing participants of their rights, explaining the process and how data will be collected and stored before they consider giving their written consent will be imperative.

Email the questionnaire to all practitioners within the four schools along with a covering email stating information about why the questionnaire has been devised, what the data will be used for and completing the questionnaire is done anonymously.

Sending an invitation to each of the four schools for a volunteering teaching assistant and teacher, within the early years' classes, to attend an interview.

The interview will be semi-structured, so practitioners are able to speak open and honestly about their views and experiences with digital technology in their setting
How they incorporate it, if any, into their activities, to enhance children's development.

(this box should expand as you type)

Proposed methods (maximum 600 words)

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed.

This research project will adopt the mixed method approach in collecting data, questionnaires and interviews will be carried out. According to Robert-Holmes, (2018) mixed method approach allows flexibility with developing the research, although Cohen, Manion and

Morrison, (2018) suggest that you can not mix methods, quantitative and qualitative data can not be mixed, it would be like mixing the gym and pizza, however, multi-methods was a terminology they used to describe as using the strengths for one method along with the strengths from another.

This study will firstly conduct a questionnaire to gain mainly quantitative data. The questionnaire is a method that is used to gather information from a large number of people, therefore, increasing the data collected, states Jones, Baxter, and Khanduja, (2013).

Statistics and some qualitative data from the results of the questionnaire, will guide the questions for the interviews, thus obtaining a greater amount of qualitative data to gain the knowledge of where practitioners believe to be with their digital competence (Robert-Holmes, 2018, and Queiros, Faria, and Almeida, 2017). This information can then, if required, direct further training and support for practitioners' professional development. Continuous Professional Development can give practitioners confidence in their work, knowledge and understanding of new and changing situations and help to reach personal and professional targets according to Nottinghamshire County Council (n.d.) and the Care Council for Wales (2016).

The questionnaire is devised mainly on a closed format using the likert-type responses, this is where a response is selected from an array of strongly agree through to strongly disagree. It can give clear feedback on the scale, as long as participants have fully engaged. A selection of open-ended questions at the end of the questionnaire can give participants scope to voice their opinion as suggested by Arthur, *et al* (2013).

The interview process will be semi-structured by asking open-ended, in-depth questions. The volunteers for the interview will be informed of the topic and type of questions that will be asked, thus allowing a freer flowing interview. Which in turn, can enhance the knowledge and understanding of the researcher from different perspectives, as life experiences are unique, (Arthur, *et al*, 2013). However, practitioners' attending the interview with this knowledge, could then alter their behaviour and answers, to what they think, the researcher would like to see and hear, this is called the Hawthorne effect according to Oswald, Sherratt, and Smith (2014) and Mostafazadeh-Bora (2020).

The sample questionnaire will be available for all staff in the four selected schools, this is between 120 – 150 practitioners. Two schools in the most deficit and two schools with sufficient surplus within their budgets, this is to explore the option of if finance can be a problem. This is Purposive sampling, we have chosen the schools at the opposite ends of the financial scale for the initial study, this is called Critical Case Sampling according to Etikan, Musa, and Alkassim, (2016), although, we do not know the conclusion for the study, this research can determine whether or not further research needs to happen as digital

competence is a cross-curricula key skill. A large number of practitioners will have the opportunity to take part in the study, there are no assurances that all, if any, will complete the questionnaire. The positive aspects, like the anonymity, which can therefore give practitioners the confidence to answer all closed and open-ended questions honestly and freely, can be the fault as to why practitioners feel they do not need to complete,

why would their answers matter?

No one would know who they were!

They may not feel confident in answering the different array of questions.

Anonymity can be an ethical requirement, however, can be a crutch for the researcher according to Lambert, (2019).

The questionnaire will be constructed on a secure package, therefore, the link to access this can be sent directly to the participants with a covering email which will have details explaining why the questionnaire has been devised, what will happen to the information collected and IF they decide to participate all information given is anonymous in line with UWTSD Research Data Management Policy, (2022). According to University of Oxford (n.d.) consent needs to be given by each participant after they have all the relevant information, and by completing the questionnaire, that can be taken as their consent.

There will be an invitation for the interview sent to each of the four schools. A volunteering Teaching Assistant and Teacher from the early year classes will be asked to attend an interview after the data has been collected from the questionnaire. Each practitioner will have the opportunity to speak open, honestly, and anonymously about their opinion, however, with the interview being semi-structured time can be a challenge, allowing the time for the practitioners to voice their opinions, allowing time to transcribe after the interview are all factors that need to be considered states Arthur *et al* (2013). The interviewer needs to stay impartial, by making a judgement about a person based on a characteristic or a previous experience can affect the questions being asked, the atmosphere and the professionalism therefore, not sustaining a fair study. Making a positive judgement about a person is referred to as the Halo effect suggest Sherbino and Norman, (2017) and Gabrieli, *et al* (2021).

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

The Four schools are in the County of Carmarthenshire, Llanelli area.

(this box should expand as you type)

Research activity outside of the UK

If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants.

n/a

(this box should expand as you type)

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

If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with prevailing data protection law of the country in question and England and Wales.

(this box should expand as you type)

SECTION F: Scope of Research Activity

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

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.	☐	☒
Other – please indicate here: (this box should expand as you type)		

Participant numbers and source	
Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	120 – 150 Questionnaire surveys. Eight practitioners for interviews. (this box should expand as you type)
Who will the participants be?	Practitioners in the four selected schools. (this box should expand as you type)
How will you identify the participants?	Purposive sampling, two schools in deficit and two schools with surplus budget. (this box should expand as you type)

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

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

SECTION H: Anticipated Risks

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

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

Full risk assessment completed and appended?

Yes

☐

No

☒

Risks to participants

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

Risk to Participant:

During the interview process the practitioner may feel embarrassed or uncomfortable with a question. When questioning a professional about their role can be a sensitive subject.

Loss of Audio data.

Withdraw from the questionnaire after completion.

(this box should expand as you type)

How will you mitigate the Risk to Participant

The researcher will discuss with the practitioner again before the interview of their rights, to refuse to answer a question, withdraw at any time, (section 2 of UWTSD, 2017 and section 8 of BERA, 2018). Also address the subject of anonymity and confidentiality, the information provided is confidential between the researcher and the practitioner, (unless there is a disclosure where action needs to be taken) and will be used anonymously. (section 19.6 of UWTSD, 2017, and section 40, 52 and 53 of BERA, 2018).

All data will be stored on university computer which is firewall and password protected. Data will be pseudonymised as soon as possible to protect anonymity, (section 4.2 of UWTSD, 2022, and section 50 of BERA, 2018).

The covering email with the questionnaire will state, that upon completion, the questionnaire is returned anonymously. Therefore, withdrawal is not possible. A clause in the results could be added, to say the results were accurate as of the date completed, (section 32 of BERA, 2018).

(this box should expand as you type)

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

(this box should expand as you type)

Risks to investigator

For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest	
Risk to Investigator: Conflict of interest Do not have enough responses. <i>(this box should expand as you type)</i>	<i>How will you mitigate the Risk to Investigator:</i> All research information will be given to participants before and during the study, by being open, honest and allowing scrutiny follows the ethical codes in BERA (2018) section 57 and UWTSD, (2017) section 2. The research can be stopped at any time, therefore, if an issue arises, the participant is reminded of their right to withdraw. The sample size for the questionnaire is more than adequate for the amount of quantitative data required to assist with the in-depth, semi-structured interviews. We will be turning the quantitative data into qualitative Data, this is called Transformation according to Wyse, <i>et al.</i> (2016). Interviews are requested from volunteers, if we do not have at least 1 member of staff from each school, we would have to look at adding other schools into the project, which will affect the results. (Wyse, <i>et al.</i> 2016) <i>(this box should expand as you type)</i>
University/institutional risks	
For example: adverse publicity, financial loss, data protection	
Risk to University: Discredit the university. Financial loss due to data breach. <i>(this box should expand as you type)</i>	<i>How will you mitigate the Risk to University:</i> Adhering to the UWTSD (2017) and BERA (2018) ethical guidelines and the UWTSD (2022) data management policy should limit the possibility of any discredit to the university. The UWTSD data management policy (2022) will be adhered to at all times, the audio recording will be pseudonymise (using numerical coding) and transcribed as soon as possible. The original data will be destroyed, (section 6.9, UWTSD 2022). The data collected will only be available for the researcher to access on the coded university computer. <i>(this box should expand as you type)</i>

Disclosure and Barring Service			
If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
Does your research require you to hold a current DBS Certificate?	☒	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback

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

Participants will be initially informed of the findings, where their feedback will be welcomed, this is in line with the BERA (2018) ethical guidelines section 5.

(this box should expand as you type)

Informed consent

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

An email will be sent to all invited participants along with the questionnaire. The email will detail, why the research is being conducted, what the study involves, what will happen to the information collected and where the information will be stored. Consent can be given by completing the questionnaire anonymously or written consent would be preferred.

The volunteers for the interview's will have to provide written consent before the interview date, and verbal consent will be required before and during the interview. (BERA (2022) section 8 & 9 and UWTSD (2017) section 19.3).

(this box should expand as you type)

Confidentiality / Anonymity

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

The questionnaire responses will be anonymous. The volunteers for the interview, will be an email between the researcher and the practitioner detailing the interview. The audio of the interview will be stored on a secure, coded computer, and be pseudonymise as soon as possible. The only person to have access to the audio will be the researcher, and the raw audio will be destroyed, this is in line with the UWTSD, (2022) data management policy section 6.9, UWTSD, (2017) Ethical guidelines section 19.6 and BERA ethical guidelines section 28 & 50).

(this box should expand as you type)

SECTION J: Data Protection and Storage

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

Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
"Personal data" means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.	☐	x ☐
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		
Does it involve special category data (as defined by the GDPR)?	YES	NO
"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	x ☐
If YES, provide a description of the special category data and explain why this data needs to be collected:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☐	☒
University computers?	☒	☐
Private company computers?	☐	☒
Home or other personal computers?	☐	☒
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☒
"Cloud" storage or websites?	☒	☐
Other – specify:	☐	☒
For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of password protection, encryption, anonymisation and pseudonymisation:		
All information from the research will be stored on a university computer which is password protected, this is in line with BERA (2018) section 50, UWTSD (2017) section 2 and UWTSD (2018) section 6.8.		

<i>(this box should expand as you type)</i>		
All Data Storage		
Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☒
Sharing of data with others at the University?	☐	☒
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☒	☐
Data archiving?	☐	☒
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):		
The research will be anonymised upon completion of the questionnaire and the audio of the interview will be pseudonymised as soon as possible and stored into the managed stored environment this is in line with section 5.5 of the UWTSD (2018) data management policy <i>(this box should expand as you type)</i>		
List all who will have access to the data generated by the research activity:		
Jessica Evans		
<i>(this box should expand as you type)</i>		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Jessica Evans		
<i>(this box should expand as you type)</i>		
Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
Data will be stored in the university computer which is password protected. The data will be anonymised therefore, stored for as long as the information is necessary, this is principle 5 of the UWTSD (2022) data management policy. <i>(this box should expand as you type)</i>		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
Yes, as the study will be guided by the university, this storage facility is there to protect and manage the use of the research in line with the UWTSD (2017) section 5.6. <i>(this box should expand as you type)</i>		
	YES	☒

Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	NO	☐
Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	YES	☒
	NO	☐

SECTION K: Declaration

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

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

Signature of applicant:	Jessica Evans	Date: 14 th May 2022
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For STUDENT Submissions:

Director of Studies/Supervisor:		Date:
Signature:		

For STAFF Submissions:

Head of School/Assistant Dean:		Date:
Signature:		

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

☐	I have read the guidance notes supplied before completing the form.
☐	I have completed ALL RELEVANT sections of the form in full.
☐	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate) ONLY TICK IF YOU HAVE ATTACHED A FULL RISK ASSESSMENT
☐	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☐	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.
☐	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY

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

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

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

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

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

Application Process

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

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

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

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

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

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

Section C: External Ethical Guidance materials

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

Section D: External Collaborative Research Activity

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

Section E: Details of Research Activity

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

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

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

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

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

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

Section F: Scope of Research Activity

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

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

Section G: Intended Participants

Please tick all categories that might apply.

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

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

Section H: Anticipate Risks

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

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

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

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

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

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

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

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

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

Section I: Feedback, Consent and Confidentiality

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

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

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

Section J: Data Protection and Storage

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

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

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

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

Section K: Declaration

Ensure the appropriate countersignatures have been provided

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

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