

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)

Full Name:	Tilly Robinson		
Tick all boxes which apply:			
Member of staff:	☐	Student:	☒
Honorary research fellow:	☐		
Faculty/School/Centre:	University of Wales Trinity Saint David		
Campus:	Townhill Campus		
E-mail address:	Trobinson.133746@student.uwtsd.ac.uk		
Contact Telephone Number:	+44 (0) 1792 482084		
For students:			
Student Number:	P133746	Undergraduate	☐
Programme of Study:	MSc Applied social and health psychology	Taught Postgraduate	☒
Director of Studies/Supervisor:	Dr Ceri Phelps	Research	☐

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):	Research Degrees Committee	☐		
	Faculty Research Committee	☐		
	Other (write in) Approval from supervisor	☒	26.06.2017	

Approval in principle **must** be obtained from the relevant source prior to seeking ethical approval.

SECTION C: 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.	
BPS Code of Human Research Ethics (2014)	☒
Research Integrity and Ethics Code of Practice UWTSD (2015)	☒

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:				
Institution				
Contact person name				
Contact person e-mail address				

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:	Caring for Individuals with Dementia: A qualitative exploration of the importance of person centred care and how well it's understood.		
Proposed start date:	July 2017	Proposed end date:	September 2017
Purpose of research activity (including aims and objectives) Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words)			
The purpose of this project is to explore how paid professional carers in the UK perceive person-centred care for individuals with Dementia. Person centred care is ensuring each individual's qualities and needs are thought of and accounted for in their care (Alzheimer's Society, 2017). Literature has explored caring in various settings (Downes & Lord, 2017; Smythe, Bentham, Jenkins & Oyebode, 2013; Surr, Smith, Crossland & Robins, 2015) and indicates a need for more person-centred care, greater knowledge, guidance and training (Clissett, Porock, Harwood & Gladman, 2013; Edvardsson, Sandman & Borell, 2014; Edvardsson, Watt & Pierce, 2016; Kim & Park, 2017). Some carers acknowledge person-centred care but say aspects of their job prevent it (Clissett et al., 2013) with it varying considerably throughout organisations (Nguyen, Jansen, Hughes, Rasmussen & Weckmann, 2014; Smith et al., 2014). The British Psychological Society (BPS, 2016) created a policy document '<i>Psychological dimensions of dementia: putting the person at the centre of care</i>' explaining the importance of person centred care. The document portrays the need for high standards of person-centred care and highlights gaps in its provision to be addressed. Recommendations involve using psychological approaches in care plans with emphasis on individuals having a say and appropriate training and psychological research into this area.			

The aims of this study are to capture paid professional carers' perceptions of what person-centred care is, how important they consider it to be in their roles and any perceived barriers to embracing it. By capturing this, views of the carers will be able to be looked at alongside the BPS (2016) document to explore the extent to which the recommendations of this report match current experiences of paid carers in Wales. This study will provide additional insight into the current challenges of implementing person centred care in practice and provide further recommendations regarding the implementation of person centred care.

Proposed methods

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. (Maximum 600 words)

The proposed study will be a qualitative design involving the use of semi-structured interviews. The study will target paid professional carers of individuals with Dementia from various caring organisations in Wales in the UK of 18 years old and above. A qualitative approach through semi-structured interviews will allow for carers to provide an in-depth account of their views and perceptions on person centred care and will allow them to explore the discussion point in a way personal to them but still in line with the studies aims (Downes & Lord, 2017; Edvardsson et al., 2014; Kim & Park, 2017; Rokstad, Vathe, Engedal & Selbaek, 2015; Smythe et al., 2013).

Interviews will be face to face. Participants will be targeted through various caring organisations in and around the Swansea area. These organisations will be contacted via letter which will inform them that carers are being sought as participants for a Master's research study and the letter has been sent to see whether any employees would be willing to participate. Information will also be distributed using Swansea carers' centre and Dementia friendly network forum. Individuals who are willing to participate will be given an information study sheet and a consent form to fill out. Demographics of participants will also be obtained before the Interview through a short form as part of the consent, consisting of age, gender, education, role and how long the individual has worked in care. These demographics will be obtained as they could potentially impact answers given. Different roles with dementia care patients could impact on views and how an individual feels they should work, whilst the age, education and years spent working in care could impact on the knowledge and views an individual has as well as the type of training they have received (Edvardsson et al., 2014; Edvardsson et al., 2016; Kim & Park, 2017; Surr et al., 2015).

A semi-structured interview schedule will be used and interviews should take between 30-60 minutes to complete. The aim is to recruit 8-10 participants to interview for the study. With 8-10 participants, an in-depth account will be able to be taken from everyone and this number of participants allows for a diverse participant group (Steeman, Casterle, Godderis & Grypdonck, 2005).

Some of the key topic areas explored will be:

- Participants' personal definition of person centred care and its importance to them
- Participants' training on person centred care
- How participants feel the organisation they work for promotes person centred care
- Barriers to providing person centred care
- Participants' experiences with person centred care

Interviews will be analysed using thematic analysis (Boyatzis, 1998). Thematic analysis of the interviews will allow for the identification of patterns throughout the data obtained and in this case, will identify whether there is a common consensus of how carers view person centred care for dementia patients and whether there are any commonalities as to why it may not always be understood or achieved (Braun & Clarke, 2006). The analysis of the interviews will then be looked at alongside the BPS (2016) document so that results can be written in a response capturing whether participants have the knowledge and understand the necessities around providing person-centred care to individuals with Dementia.

Location of research activity

Identify all locations where research activity will take place.

Participants will be targeted through contacting caring organisations in and around the Swansea area. Participants will be given the choice as to whether they would like to meet at the university or their place of work to conduct the interview. Information of the research will also be distributed out on the Dementia friendly network forum and in the Swansea carers' centre in Swansea.

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 sensitivities or vulnerabilities of participants.

N/A

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	☐	☒

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 under 18?	☐	☒
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):	☐	☐

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited? The aim is to recruit 8-10 participants to interview for the study. Participants will be recruited through relevant organisations working with Dementia patients. These will include; Allied Healthcare, Home Instead, Helping hands home care and Mi Home care alongside network forums associated with Dementia carers. Participants will be carers aged 18 years plus living and working in Wales.
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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			

Information for participants:		NO	
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	YES		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			

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.
Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information
The Interviews carried out will consist of asking participants about their perceptions of person-centred care. What it means to them, their knowledge, the importance they believe it holds and if they feel they carry it out and if not why. Recommendations from the BPS (2016) document such as the need for appropriate guidance and training and the involvement of psychological approaches and research will also be explored throughout the interview. It is possible participants may reflect on some upsetting cases due to the nature of the topic which gives potential for upset or distress. Though it is unlikely, it will be made clear to participants that partaking in the study is fully voluntary and if at any point, they become uncomfortable the interview can be paused or stopped if they do not wish to continue with their participation. If this occurs any data collated from them will be destroyed. Participants will be fully informed that interviews will be recorded through the consent process and consent forms will clearly state participants right to withdraw at any point in the study. This is in fulfilment of the BPS ethical guidelines (BPS code of human research ethics, 2014). Following this, after each interview participants will be provided with a debrief form after completion of the study which will explain further to participants the full aims of the research study. Participants will also be verbally debriefed at the end of the study. If they have any questions these can then be answered. Second to this, details of the academic supervisor will be provided in case participants have any more serious queries or concerns about the study, though this is unlikely to occur. The study does not enquire on participant's financial status at any point, therefore financial disclosure is not seen to be a risk to participants through the study. Secondly, there are no physical requirements for participants throughout the study so no physical risks are seen to occur. Though Interviews are face to face, in the transcribing and analysis of interviews no names will be used, participants will remain anonymous and Pseudonyms will be used instead. Additionally, the information from interviewees will not be provided to their managers or organisations and during the transcribing process the organisation they work for will not be disclosed. This will ensure participants confidentiality is maintained and answers they provide are not traced back to them. After each Interview recordings will be transferred to a password protected computer and deleted off the recording device within 24 hours. Transcriptions of interviews will be kept electronically in a password protected file and will be able to be accessed only by the researcher and academic supervisor. Due to this study being carried out through interviews in-depth data will be obtained. Therefore, though unlikely participants may discuss something that makes them identifiable to others despite being given a pseudonym. To prevent this the name of the interviewee, the organisation they work for and any names they discuss during the interview will be removed. Therefore, it will be unlikely any information will be identifiable, but if it were it would be removed.
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

Due to the nature of the data collection it is unlikely anything of this nature will occur during the study. Though if in the unlikely instance it did, the academic supervisor would be informed straight away.

Risks to investigator

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

It is unlikely for any risks to occur to the researcher due to the full study aims and objectives being understood and all BPS ethical guidelines (BPS code of human research ethics, 2014) being used and followed as well as the universities ethical guidelines (Research Integrity and Ethics Code of Practice UWTSD) to ensure protection of themselves. If the researcher at any point feels any psychological or emotional distress they will contact the academic supervisor straight away to discuss what is going on. If interviews were to take place outside the university a buddy system would be used. This will involve the researcher informing the academic supervisor of the exact time and location of the interview as well as the contact details of the organisation and interviewee. The researcher will also inform the academic supervisor via text when they have arrived at the location and when the interview has finished. After each interview session, the researcher would have a debrief with the academic supervisor to ensure there are no concerns and though unlikely to ensure the researcher does not feel distressed or upset.

University/institutional risks

For example: adverse publicity, financial loss, data protection

No risks are predicted to occur to the university due to all research following ethical requirements and good research practice at all times. The universities' data protection policy will also be followed throughout ensuring data protection is upheld. Therefore, any risks are unlikely.

Adverse outcomes

List measures put in place to limit any adverse effects or outcomes of research activity where appropriate. Include any emergency protocols.

In the unlikely event of any adverse and unexpected outcomes occurring the study will be stopped immediately and referred to the supervisory team for appropriate guidance in the first instance.

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.

Has a DBS certificate been obtained?

YES

☐

NO

☐

N/A

☒

SECTION I: Feedback, Consent and Confidentiality

Feedback What feedback will be provided to participants, how will this be done and when? The debrief form will include details of how to contact the researcher if they wish to do so. This will be done by the researchers university email address being given on the debrief form. Whilst unlikely, should any participant have queries or concerns about the study the email address of the academic supervisor will also be provided on the debrief form. The researcher will not contact any participants via their personal email address. Participants will also be given the option to receive a summary of the key findings from the study at the end if they want.
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. Participants will be recruited via letter sent to the organisation they work for which will state the purpose of why they are being contacted explaining that the study is for a Masters dissertation and carers are required for interviews. Information packs will be left at each organisation and will include a consent form and short demographic survey for individuals who decide they would like to participate. The researchers email will also be provided as well as the academic supervisors in case individuals would like more information before deciding whether they would like to participate. The consent form can then be returned to the researcher and arrangements for an interview can be made via email or phone call to the participant by the researcher. The information sheet and consent form will all be in line with the BPS ethical guidelines (BPS code of human research ethics, 2014). Participants will be fully informed through the information sheet and consent form that participation is fully voluntary and they have a right to withdraw from the study at any time point. By participants reading the information sheet and signing the consent form this will be taken as informed consent from participants. Both the information sheet and consent form will state that interviews will be recorded but will be removed from the recording device within 24 hours after the interview and will be transferred to a password protected computer.
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. On the initial meeting with participants for face to face interviews all information gathered will be confidential. As consent forms will be in written form, once obtained these will be stored in a file in a locked drawer which only the researcher and academic supervisor have access to. These consent forms will be destroyed one year after the submission of the MSc dissertation in accordance with the universities data management policy. As interviews will be recorded, no personal information will be asked or stated during the interview as demographics will be captured as part of the consent process through a short survey. The recording device will be secured in a locked draw, and as stated above interviews will be deleted off it within 24 hours after being transferred to a password protected computer. Consent forms and papers which obtain participants demographics will be secured in a locked draw in separate files in the academic supervisors office. Throughout data collection these will stay here and will not be moved throughout the process. Transcription of interviews will be carried out within 48 hours and pseudonyms will be given as well as all

identifiable information being removed. All data used will be used in a way in line with the Data Protection Act 1998 so data is anonymised and un-identifiable.

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/>).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)?	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
Participant's names will be obtained by them signing the consent forms. This must be done to ensure that informed consent is obtained. These consent forms will be placed in a file, locked securely in the academic supervisors office and will only be able to be accessed by the researcher and academic supervisor. For transcription and the write up of results participants will be given a pseudonym. These transcriptions will be stored electronically in a password protected file.		
Does it involve sensitive personal data (as defined by the Data Protection Act)?	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		

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 Data Protection Act (and/or any international equivalent):		
Anonymised transcripts will be emailed to the academic supervisor for them to be stored electronically in a password protected file. This is the only time data will be shared with others at the university. Consent forms from the study will be data archived as they will need to be kept for the duration of the study. These will be archived in order and in a secure manner to ensure the Data Protection Act (1998) is being followed and they will not be able to be accessed by anyone other than the researcher and academic supervisor ensuring confidentiality is maintained.		

Will the research activity involve storing personal 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 data confidentiality, including details of password protection, encryption and anonymization:

Personal data of names will be provided from the consent forms on paper, these will be stored in a locked draw in the academic supervisors office. Transcriptions will be stored electronically in a password protected file. Recordings will be deleted off the recording device within 24 hours of the interview once transferred to a password protected computer.

List all who will have access to the data generated by the research activity:

Tilly Robinson and Dr. Ceri Phelps

List who will have control of, and act as custodian(s) for, data generated by the research activity:

Dr. Ceri Phelps

Give details of data storage arrangements, including 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 storage arrangements will all be in line with the universities data management policy which can be found at <http://uwtsd.ac.uk/library/research-data-management/>.

The consent forms will be locked securely away throughout the study for evidence of informed consent and will be stored indefinitely for the potential purposes of analysis and will be archived in line with the universities policy in the event of publication. The recordings will be held on the recording device for no more than 24 hours after each interview, they will be transferred to a password protected computer. Transcriptions and anonymization will occur within 48 hours from each interview and these will be stored electronically in a password protected file.

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: 	Date: 26.06.2017

For students:

Director of Studies/Supervisor:	
Signature:	
Date:	

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

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 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.

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 Postgraduate Research 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 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. 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.

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.