

Ysgol Bryn Teg

Trallwm Road, Llwynhendy, Llanelli, Carmarthenshire SA14 9ET

Tel: 01554 776168

Headteacher: Mr. Geraint Jones

Email: admin@brynteg.ysgolccc.org.uk www.brynteg.amdro.org.uk



11.02.19

Dear Parents,

We are working with a third year BA Primary Education (QTS) student at University of Wales Trinity St Davids in Carmarthen. Miss S Davies is undertaking a research project to see how smells effect memory within a classroom setting. The aim will be to use essential oils (lavender, peppermint, rosemary, bergamot, lemon, ylang-ylang and sweet orange) to determine if having a smell present at the time of learning will help the children to recall what they have seen on a tray of items at a later time.

Your child has the opportunity to take part in this research project as we have decided to work with pupils in Year 1. They will have the right to withdraw from the research project at anytime and all information will be anonymised, and confidentiality will be adhered at all times. We would be grateful if you would allow your child to take part in the research project.

Thank you in advance for continued support

Yours sincerely

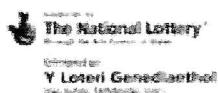
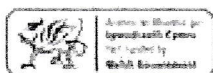
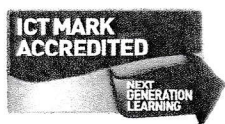
Miss C Phillips
Year 1 teacher

Please delete as appropriate:

I am willing / I am not willing for my child to take part in this research project.

Name of child

Signed (Parent / Guardian) _____ Date: _____



Ysgolion Iach Sir Gaerfyrddin



Carmarthenshire's Healthy Schools Scheme

Questionnaire.

1. How old are you?
2. Do you like memory games?
3. Do you find it easy to remember things?
4. What can you see on the tray?
5. How many items / things are on the tray?
6. What items can you remember from the tray and what colour they were?
7. What can you smell?
8. Do you like the smell?
9. Does the smell remind you of anything?
10. Do you think the smell help you remember things on the trray



Consent form

Trainees must gain the following written consent of the head teacher before taking photographs, filming or audio recording learners.

I agree to Samantha Davies as a representative of Yr Athrofa to:

Take photographs ✓	Interview ✓
Take video ✓	Quote school policy documents ✓
Tape-record ✓	Questionnaires ✓

(Tick accordingly)

Name of Head teacher Geriaint Jones Signed [Signature]

Name of school Ysgol Brynteg

To be completed by the trainee:

If I am granted such permission, I agree to abide by the ethics embodied within the EWC Code of Conduct and will not distribute any such material to audiences beyond the University authorities without their permission.

Name of trainee: Samantha Davies

Signed: [Signature]

Telephone number: 07533587099

Email address: Sam.davies0105@gmail.com

Programme (e.g. BA Ed/ PGCE Primary/PGCE Secondary):

Date: 11/2/19

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:	Samantha Alexandra Margaret Davies				
Tick all boxes which apply:					
Member of staff:	☐	Student:	☒	Honorary research fellow:	☐
Faculty/School/Centre:	SWWCTE: Yr Athrofa				
Campus:	Carmarthen				
E-mail address:	1600020@student.uwtsd.ac.uk				
Contact Telephone Number:	07533587099				
For students:					
Student Number:	1600020	Undergraduate	☒		
Programme of Study:	BA Primary Education (QTS)	Taught Postgraduate	☐		
Director of Studies/Supervisor:	Dr Sioned V Hughes	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) Module Coordinator, ECAD6003, ITET.	☒	08/02/19	

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.	
The research is within the bounds of the normal classroom and in accordance with the SWWCTE school guidelines for parental consent as per SWWCTE letter / Yr Arthofa, and EWC Guidelines.	X
The research will be conducted within BERA (British Educational Research Association) guidelines – Ethical Guidelines for Educational Research (2018).	X
The research will adhere to the University research guidelines.	X

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☐	NO	X
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	X
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E: Details of Research Activity

Indicative title:	Do smells influence memory within a classroom setting?		
Proposed start date:	11/02/2019	Proposed end date:	29/04/2019
Purpose of research activity (including aims and objectives) The purpose of the research is to investigate if having a smell present while carrying out a memory test will help recall when the test is carried out. Research shows that certain smells can influence memory when recall is asked for and the smell is introduced to help recall. The investigation will consist of a tray of objects that will be covered and the children will be asked to recall the items without smell and the amount of items recalled will be documented. Different smells will be introduced and the amount of item recalled will then be documented to see if the amount have increased and what smells work better than others.			
(this box should expand as you type)			
Proposed methods A group of children will be asked to recall a tray of items that they have seen and with a five minute interval where the children will be stimulated by other thoughts, they will be asked to return and recall the items on the tray without a smell being present. I will repeat this process with different smells and document the amount of items that can be recalled and which smell will effect memory recall.			

Interviews – a group of children from FP will be involved in a semi-structured interview where they will be invited to respond to key questions: For example do you how many items can you remember? Do you like the smell? Did that smell help you remember more items? Does the smell remind you of anything? **Exit:** All children will be asked if they wish to take part. The children will use their traffic lights system and if at any point they want to leave the interview or withdraw then they may do so. I will check on the children's feelings regularly. No names will be used in the writing. I will interview teachers in the FP to see if they have seen any difference in the subject group in their recall after using the smells.

Observations / Field Notes – I will observe different groups undertaking the memory recall investigation. I will make a note of the children's engagement during the session and record the information in my observational book / diary. Both children and the class teacher will have access to the diary. **Exit:** All children will be asked if they wish to take part. The children will use their traffic lights system and if at any point they want to leave the interview or withdraw then they may do so. I will check on the children's feelings regularly.

Video or Audio Taping – I will record the sessions that we take part in with the groups of children. I will also record the interviews that will take place. Photographic evidence may be used however none of the faces of the children will be used and that a consent form is signed before this is done. Recording of good practice and interviews with the class teachers may also be used as evidence to reflect and look back on. I will ask for permission from all participants for recording before doing so. **Exit:** All children will be asked if they wish to take part. The children will use their traffic lights system and if at any point they want to leave the interview or withdraw then they may do so. I will check on the children's feelings regularly.

Questionnaire – Depending on the children's responses throughout the research period I may create and administer a questionnaire if I believe this will assist me to gather quality data. Throughout the creation of the questionnaire. I will adhere to and follow the training provided by the University during my second year of study when the design and distribution of a questionnaire was necessary for a specific module. The questionnaire may focus on qualitative or quantitative data, or both, depending on its focus. Furthermore, the questionnaire may be administered to learners, staff or both. If the questionnaire is necessary then participants will not be required to list their names or personal information. However, they may be asked to share their status in the school (ie: pupil or teacher) if the questionnaire is completed by both learners and staff and a participant's role is significant to the analysis. A cover letter will accompany the questionnaire which will explain to the participant the reason for and nature of the research questionnaire. The questionnaire will be distributed via physical means only. Once the participants have completed the questionnaire, their responses will be gathered and placed within the response pool for analysis. For the questions posed within the questionnaire, there will be numerous ways for the individual to respond. This includes provided answers to questions to gather quantitative and qualitative data with option, if necessary, for the individual to respond. This includes provided answers to questions to gather quantitative and qualitative data with the option if necessary, for the individual to further comment their opinion or experience. **Exit:** Before the participant submits their questionnaire, they have the right to retain their responses. However, once I receive the participants response and it is added to the pool there will be no fair means of identifying their response in order to return to them. This will be explained in the cover letter.

Learning Walk – To support my research I may conduct a learning walk through the school to observe displays and discuss certain aspects of provision with members of staff or pupils. These learning walks may be self-directed or facilitated by a learner, group of learners, member of staff. Prior to conducting the learning walk. **Exit:** I will obtain consent from a member of staff. Prior to evidencing the walk (by means of written, photographic or audio methods) I will ask the participant who hosted the walk for their consent to use the information they provide in my research.

Examples of pupils' work – Where I feel examples of pupils' work would support my research, I may request samples. **Exit:** Prior to gathering samples of work, I will ensure that I have the class teachers consent and the consent of the pupil to which the work belongs. Upon gathering samples, I will take responsibility of the work and ensure confidentiality and security is upheld.

Location of research activity Identify all locations where research activity will take place.
Ysgol Brynteg, Trallwm Road, Llwynhendy, Llanelli, SA14 9ET and the partnership school in which PTE3 will be conducted (TBC).
Research activity outside of the UK N/A

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	X	☐
Use of interviews?	X	☐
Use of diaries?	X	☐
Participant observation with their knowledge?	X	☐
Participant observation without their knowledge?	☐	X
Use of video or audio recording?	X	☐
Access to personal or confidential information without the participants' specific consent?	☐	X
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?	☐	X
Investigation of participants involved in illegal activities?	☐	X
Use of procedures that involve deception?	☐	X
Administration of any substance, agent or placebo?	X	☐
Working with live vertebrate animals?	☐	X
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 estimated expected number of participants will be 30 children aged between 5 and 8 in a Foundation phase class, 2 teachers, 3 support assistants may also be interviewed. I will gain consent from the Head teacher or senior mentor prior to undertaking research on the electives and professional teaching experience class.

(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			
(this box should expand as you type)			

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	X	☐
Is specialist electrical or other equipment to be used with participants?	☐	X	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	X	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	X	☐
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 X
Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information The risk to the participants is that they be involved in the research without consent. Therefore, I will ensure that all consent procedures are in place by informing children and staff of my research. I will explain to the children and staff that they have the right to withdraw and can leave the research or express that they do not wish any data to be used, at any time. For example I will ask the children if I can use their answers from their interviews in my research and share my notes. I will also monitor the children's well-being and stop any activity if any child is becoming upset / uncomfortable. The children will be exposed to different essential oil smells, such as lavender, jasmine, rose etc. (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
N/A (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 The risk to the researcher is that I may be accused of unprofessional practice. I will manage the risk by adhering to the BERA guidelines and follow my plan of ethical practice.

University/institutional risks

For example: adverse publicity, financial loss, data protection

There should be no risk to the University if I manage the risk to the participant and the researcher as detailed above. I will conduct the research and represent the results honestly. I will always comply with ethical, legal and professional frameworks, obligations and standards as required by the statutory and regulatory authorities, as well as the University's Research Integrity and Ethics Code Of Practice.

(this box should expand as you type)

Adverse outcomes

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

I will manage the risk by adhering to BERA guidelines and following my plan of ethical practice. I will always comply with ethical, legal and professional frameworks, obligations and standards as required by the statutory and regulatory authorities, as well as with the University's Research, Integrity and Ethics Code of Practice.

Loss of Data – upon collection of research I will assume full responsibility or the safekeeping of the data. To ensure the participants response is safe it will be kept in a folder on my person until the research has been analysed and utilised at which time the data will be destroyed. A password protected USB and laptop will also be used and the data will be removed once the data has been analysed and utilised.

(this box should expand as you type)

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

X

☐

☐

SECTION I: Feedback, Consent and Confidentiality

Feedback

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

I will not be providing feedback to participants as it is not relevant for the research. If the participants request feedback from the responses then I, as the author, will provide a summary of the data collected.

(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.

Participation Consent – Children: I will converse with my class teacher and senior mentor and inform them of the research I will be undertaking, providing reason and rationale behind the research. However, I will verbally ask children identified to participate whether they wish to participate, e.g: use traffic light fans to support the children. If they show a green face I will know they are happy to take part. If they show a red face, then I will know they are not willing. This will be an individual exercise so that the children are encouraged to respond honestly with their interest and well-being in mind. Children will also be informed that they can approach me at any time and discuss their contribution to the research project and explain whether they wish to participate.

Participant Consent – Teachers: For the class teacher, I will ask them to sign a document if they agree to take part in the research. If they are not willing to sign this document, then I shall not use

them in my research. The consent form will include a box for the participant to tick if they agree with the statements, e.g: I confirm that I have read and understood the information sheet 11/02/19 for the above study. I have had the opportunity to consider the information, ask questions and had these answered satisfactorily. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason. I understand that any information given by me may be use in the future report, articles or presentations by the research team. I understand that my name will not appear in any report, articles or presentations. I agree to participate in the above study.

(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.

I will ensure that no individual data (raw, scores, individual identifiable performance outcomes) are made available to schools / parents etc. Only non-identifiable summary / aggregate data can be provided in this way.

I will also place a statement on the consent form indicating that 'if you decide to remain anonymous maintaining your anonymity will be a priority and every practical precaution will be taken to disguise your identity / if you prefer anonymity, there will not be ant identifying information on audiotapes and transcriptions without prior consent. All materials generated from this or any interview will remain confidential'.

(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/>).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)? "personal data" means data which relate to a living individual who can be identified— (a) from those data, or (b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.	☐	☒
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 sensitive personal data (as defined by the Data Protection Act)? "Sensitive personal data" means personal data consisting of information as to – (a) the racial or ethnic origin of the data subject, (b) his political opinions, (c) his religious beliefs or other beliefs of a similar nature, (d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) his physical or mental health or condition, (f) his sexual life, (g) the commission or alleged commission by him of any offence, or (h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings.	☐	☒
If YES, provide a description of the 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 on one of the following:	YES	NO
Manual files (i.e. in paper form)?	x	
University computers?	☐	X
Private company computers?	☐	X
Home or other personal computers?	☐	X
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	X	
"Cloud" storage or websites?	☐	X
Other – specify:	☐	X

For all stored data, explain the measures in place to ensure data confidentiality, including details of password protection, encryption and anonymisation:

Confidentiality will be upheld by not requesting participant names on an piece of data collected. Date will be stored in a locked cupboard and password protected computer. Any correspondence between my tutor and myself will be through a password protected email account.
(this box should expand as you type)

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	X
Sharing of data with others at the University?	☐	X
Sharing of data with other organisations?	☐	X
Export of data outside the European Union or importing of data from outside the UK?	☐	X
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	X
Publication of data that might allow identification of individuals?	☐	X
Use of data management system?	☐	X
Data archiving?	☐	X

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):

(this box should expand as you type)

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

The researcher.

(this box should expand as you type)

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

The researcher - Samantha Davies

(this box should expand as you type)

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.

Participants that provide responses will have their data stored securely by the researcher. Once the data has been analysed by the researcher then it will be destroyed so that there is no physical trace of the data. This process will also be in accordance to the Data Protection Act (1998).

The data collection period will range from the 11/02/2019 – 29/04/2019. Following the 29/04/2019, there will no longer be a use for the data and all data will be destroyed at this point in time.

(this box should expand as you type)

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: S.Davies

Date: 08/02/2019

For students:

Teacher / Senior Mentor / Headteacher:	
Signature:	
Date:	

Supervisor:	
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:

X	I have read the guidance notes supplied before completing the form.
X	I have completed ALL RELEVANT sections of the form in full.
X	I confirm that the research activity has received approval in principle
X	I have attached a copy of final/interim approval from external organisation (where appropriate)
X	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate)
X	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.
X	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 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 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. 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.