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POLICY INFORMATION SHEET / CHECKLIST

Policy Title:	*HE Academic Research & Ethics Policy*
Policy Owner:	*James Nelson*
Responsible Executive Director:	*James Nelson*
Purpose:	The overarching aim of the policy is to ensure that all research carried out at Grŵp Llandrillo Menai (GLlM) conforms to the general principles of striving to do good (beneficence) and avoiding harm (non- maleficence). The policy aims to promote excellence in ethical practice, encourage high quality research and prevent misconduct. All research activities undertaken by staff and students should demonstrate respect for all those involved and adhere to the ethical principles outlined below.
Review Cycle:	*Bi-Annually*
Approval Checklist (to be instigated by Owner):	Date:
• First draft uploaded to Grŵp Portal for initial consultation with staff (via ELD)	19/02/2024 - 01/03/2024
• First draft sent to JCC for initial 2 week consultation (via AAH)	19/02/2024 - 01/03/2024
• Impact Assessments completed	21/09/2023
• Final draft presented to TS	HEQASG - 04/03/2024
• Final draft presented to JCC (if applicable)	13/03/2024
• Final draft presented to SHE (if applicable)	N/A
• Union Approval at JCC / SHE	YES / NO
• Policy presented to Committee*	12/03/2024
• Policy presented to Board	25/04/2024

GRŴP LLANDRILLO-MENAI (GLlM) HIGHER EDUCATION ACADEMIC RESEARCH ETHICS POLICY

Contents

1. Introduction

The overarching aim of the policy is to ensure that all research carried out at Grŵp Llandrillo Menai (GLlM) conforms to the general principles of striving to do good (beneficence) and avoiding harm (non-maleficence).

The policy aims to promote excellence in ethical practice, encourage high-quality research and prevent misconduct. All research activities undertaken by staff and students should demonstrate respect for all those involved and adhere to the ethical principles outlined below.

For the purpose of this policy, the term "research" refers to the definition used by the Research Excellence Framework 2021 and includes any activity which involves the gathering of data from or about human or non-human animal participants, including small-scale investigations conducted as part of formative or summative assessment within a module.

The Policy provides

- Principles which should guide all research activity
- Standards for the conduct of research
- Procedures for the review of proposed research

1.1 Scope

The policy applies to all GLlM staff and all GLlM undergraduate and postgraduate students following HE programmes validated through GLlM or other HEIs/Awarding Bodies. This policy also applies to any external party seeking to conduct research within GLlM.

1.2 Principles

GLlM adheres to the UK Research Integrity Office Code of Practice for Research (2009). These principles should guide all those identified as coming under the scope of this policy in the conduct of their research. The Principles as defined by UK RIO (2009) are included in Appendix 3 and may be summarised as follows;

EXCELLENCE: The design, implementation and dissemination of research should aim to be of the highest standard.

HONESTY: researchers should demonstrate honesty in all aspects of their research, taking care to ensure the accuracy of results and the dissemination of findings. A researcher should not engage in any misconduct or conceal the misconduct of others.

INTEGRITY: researchers should be conversant with the specific legal and ethical criteria related to their own particular area of study and adhere to those principles in the conduct of their research.

CO-OPERATION: the opportunity to disseminate good practice and promote the sharing of research and scholarship should be provided by GLlM and researchers should be encouraged to contribute to this discussion.

ACCOUNTABILITY: all research should be subject to oversight by appropriately qualified staff and the researcher must adhere to any guidelines laid down by their own professional body in their area of research including members of regulated profession who must adhere to their professional regulations.

TRAINING & SKILLS: GLlM should provide appropriate levels of support for staff including the opportunity to identify specific training needs and the provision of staff development to address

such needs. Researchers also must ensure that they are competent and qualified to conduct the research they intend to undertake.

SAFETY: the safety of all those involved in research (including the researcher) is of paramount importance and researchers must demonstrate that their research will produce benefits which outweigh any justifiable risks.

1.3 Standards

GLlM expects students, staff and others conducting research under its authority to be familiar with and comply with the Standards set out in the UKRIO Code of Practice. The following notes of guidance summarise the key points within the UK RIO Code.

1.4 General Guidance on Good Practice in Research:

The UK RIO specifies that researchers should:

a) recognise their responsibility to conduct research of high ethical standards;
b) be aware of their organisation's (i.e. GLlM) policies and procedures on good practice in research;
c) make sure that their research complies with these policies and procedures, and seek guidance from their organisation when necessary;
d) work with their organisation to ensure that they have the necessary training, resources and support to carry out their research; and
e) suggest to their organisation how guidance on good practice in research might be developed or revised.

(UK RIO, 2009, p.10)

1.5 Links to other GLlM policies and procedures

This policy signposts to the following GLlM policies and procedures:

- GLlM Data Protection Policy
- GLlM Health and Safety Policy
- GLlM HE Intellectual Property Rights Policy
- GLlM Copyright Policy
- GLlM Unfair Practice Policy
- GLlM Staff Disciplinary Policy
- GLlM Learner Disciplinary Policy

Students can access some policies here:
https://www.gllm.ac.uk/our-policies
https://www.gllm.ac.uk/our-policies/higher-education-policies-and-procedures

Staff and supervisors can access other policies here:
https://gp.gllm.ac.uk/policies.aspx

2. Overall Responsibilities

2.1 Supervision

GLlM Staff responsible for the supervision of research (for staff and/or students) should ensure that they are fully conversant with the GLlM HE Academic Research Ethics Policy and are aware of their responsibilities. These include:

- Ensuring that they have the necessary skills, training, time and resources to act in a supervising capacity;
- Asking for support and professional development when necessary;
- Advising their supervisee of the need to adhere to the HE Academic Research Ethics Policy;
- Ensuring that the supervisee is informed of the location of all relevant documentation;
- Act as 'gatekeeper' for student submissions to the Academic Ethics Committee (AEC).

2.2 Staff/ student training and development

Researchers should ensure that they have the necessary skills, training, time and resources to conduct their research. Any development needs required by students should be discussed with their supervisor. Staff should discuss their development needs with their line manager and apply for training and/or staff development as appropriate.

2.3 Collaborative Working

Particular care is required when engaging in collaborative working e.g. collaboration between two or more researchers or between two or more organisations.

Key areas for consideration include

- Individual organisational research ethics policies, procedures and practices;
- Appropriate organisational consent;
- Using participants from other countries or undertaking work in other countries (searchers must be fully conversant with additional legal and ethical issues);
- Clearly defined standards and procedures for conducting collaborative research as set out in the UK RIO guide;
- Clarification on roles, responsibilities, attribution of authorship and intellectual property rights of those involved before research commences;
- Clarity regarding levels of confidentiality of research findings.

2.4 Conflicts of Interest

Any conflicts of interest must be declared and addressed before the commencement of research. Research should not proceed if the conflict of interest would affect the reliability, validity and integrity of the research unless designated safeguards are in place and clearly documented within a risk assessment to ensure that the conduct of the research and reporting are not adversely affected.

2.5 Research involving human participants (including human data)

The primary consideration in any research involving human participants is that participation in research should not cause harm and should, where possible, benefit participants. The dignity, rights, safety and well-being of participants should be safeguarded at all times.

All research undertaken must comply with the legal and ethical requirements set out in the UK RIO Principles. Researchers who are members of a regulated profession must comply with any standards set by their profession.

In addition, all research undertaken should conform to the ethical guidelines and codes of practice associated with the relevant specific subject discipline. It is the duty of the researcher to ensure that they are conversant with subject-specific guidelines and adhere to them.

If researchers feel that human participants in research could experience risk beyond that expected in everyday life, this must be included in a risk assessment. This imperative should also include the inappropriate storage of personal data (as detailed in the GLlM Data Protection Policy).

Compliance with GDPR is paramount, see https://www.gllm.ac.uk/gdpr/

The UK Research Integrity Office (RIO) have produced a research checklist which includes the key points of good practice in research and is applicable to all subject areas (included in Appendix 1).

No research should be undertaken until the departmental AEC has reviewed and approved the application.

The application authorised by the AEC must be adhered to during the course of the research. If it becomes necessary to change any aspect of the research from that which was originally approved by the AEC, e.g. aims, location, procedure, sample type, etc, another (Research Ethics Application Form (REA)) must be submitted to the departmental AEC, detailing the proposed changes and the AEC must approve this before any changes are implemented to approved research.

3. Consent

3.1 Participant consent

Participants must give informed consent to take part in research. In practical terms, this will mean the provision of information written in a language and style appropriate for the participants, which includes the reasons for the research. Participants must be informed of:

- Details of what participation will entail;
- A realistic summary of any associated benefits which may accrue from participation;
- An appropriate statement that the participant has the right to withdraw from participation without giving a reason and with no penalty;
- An assurance about the anonymity of their contributions;
- How data will be used and information about the secure storage of the data.

Researchers must also consider that the participants' willingness to volunteer may be influenced by fear of the consequences of refusal or the desire to win approval if a pre-existing relationship exists between them e.g. family member, student, tutor, employee, friend, colleague etc. It is the researcher's responsibility to assure participants and ensure that in practice, their consent is wholly voluntary.

3.2 Gatekeeper consent

In addition to the informed consent required from participants, the permission of a gatekeeper may also be required for access to participants, e.g. a college, a school, a youth club, a business or organisation, etc. Initial permission must be sought from the appropriate gatekeeper to obtain access to the participants, providing the details as identified above.

3.3 Research involving children, young people (under 18) and vulnerable adults

A Disclosure and Barring Service (DBS) enhanced check may be required in these cases. Staff must discuss this with their line manager and students must seek the advice of their supervisor before conducting research with these groups.

Informed consent (as specified above) is required from the parent or legal guardian as well as the child/young person/vulnerable adult (if appropriate).

The researcher must justify using children, young people or vulnerable adults in their research and explain why the research question could not be addressed if these groups were not engaged in participation. The use of vulnerable adults requires great care, and research that involves their participation should only be undertaken if the AEC is assured that their participation is essential to address the research question and that all legal and ethical guidelines will be adhered to during the research. Advice might also be obtained from relevant gatekeepers or statutory authorities in these instances.

3.4 Confidentiality and anonymity

Participants need to be assured of anonymity and the confidentiality of their data. Researchers should not reveal the identity of participants or organisations either directly or by inference through reference to details relating to the participant or an organisation that would compromise anonymity. In the same way, the confidentiality of data obtained from participants should be clearly specified in a participant information sheet and adhered to unless there are exceptional requirements to disclose information, e.g. safeguarding or preventing concerns. In such cases, researchers should report their concerns to their supervisor or manager in the first instance.

Appropriately secure collection and storage of data must ensure that the confidentiality and anonymity promised to the participant is maintained, and the storage of research data must adhere to the GLlM Data Protection Policy.

Participants should be informed about the ways in which their data will be used and disseminated, including access to the findings and/or published reports of the research. This information should be included in the information given to participants before they participate in the research.

3.5 Health and Safety

All research must comply with the GLlM Health and Safety Policy. The safety of participants and researchers is of paramount importance. An assessment of risks should be included in the REA1 form.

4. Further considerations

4.1 Intellectual Property

Intellectual property rights relating to research carried out by staff and students of Grŵp Llandrillo Menai are set out in the GLlM HE Intellectual Property Rights Policy, See also the GLlM Copyright Policy.

4.2 Monitoring and audit

Research conducted will be subject to review and scrutiny by a departmental Academic Ethics Committee (AEC). If any aspect of the research gives cause for concern, it is the responsibility of those involved in the research (researchers and supervisors) to report their concerns to the Chair of the relevant AEC. It is essential that the application authorised by the AEC is adhered to during the course of the research.

4.3 Peer review

GLlM recognises that peer review is an integral part of the research process and supports this process in a number of ways. Appropriately qualified staff may be co-opted onto the departmental AEC to advise on approval for Research Ethics Applications. In addition, researchers are advised to obtain the support of appropriately qualified colleagues to act as peer mentors to review their ongoing research. If any aspect of the research gives cause for concern, these concerns should be

discussed with the researcher and reported to the Chair of the departmental AEC.

4.4 Publication and authorship

Researchers have a duty to report their findings and GLlM provides the opportunity for research to be published in its in-house Journal of Scholarship and Research ('Insight'). Researchers are encouraged to submit papers for inclusion in the GLlM Journal and should consult the GLlM Intellectual Property Rights Policy when considering publication of findings in Journals external to the college.

Issues relating to authorship should be resolved before research begins and all identified as legitimate authors should be appropriately consulted before the submission of findings for publication.

5. Research misconduct

Misconduct in research includes but is not limited to the following:

a) Fabrication;
b) Falsification;
c) Misrepresentation of data and/or interests and/or involvement;
d) Plagiarism;
e) Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for avoiding unreasonable risk or harm to:
    - humans;
    - animals used in research; and
    - the environment;
f) The improper handling of privileged or private information on individuals collected during the research. (UK RIO 2009)

It is the responsibility of the researcher to be aware of the nature of research misconduct. Any person associated with research (i.e. researcher, participant, peer mentor, supervisor etc.) has a duty to report suspected research misconduct, in confidence, to the appropriate manager or senior manager, or Chair of their relevant AEC. Such allegations are dealt with according to the GLlM Unfair Practice Policy, the GLlM Staff Disciplinary Policy and/or the Learner Disciplinary Policy as appropriate.

REFERENCE

UK Research Integrity office, 2009. Code of Practice for Research. [Online]London: Aldridge Press. Available at: http://ukrio.org/publications/code-of-practice-for-research/1-0-introduction/

Monitoring and Impact Measurement

Each AEC Admin Assistant will safely store records of all submissions, feedback and outcomes in line with GLlM GDPR. An annual summary monitoring report will be completed by each AEC Chair and will feed into the HE update reports to GLlM Senior Leadership.

Publication of Policy

This policy will be made publicly available bilingually on the Grŵp website, on HE programme VLEs and will be available to all members of staff via the Grŵp Portal.

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PROCEDURES, TEMPLATES AND GUIDANCE

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Responsibilities

1. Assistant Principals or the Director of Higher Education are responsible for chairing AECs. They will ensure that:
   - an Academic Ethics Committee is established with appropriate membership and that this appropriately meets the needs of their programme area/s;
   - Terms of Reference and clearly documented processes for monitoring and review (including expedited review as appropriate) and are adhered to.

2. Programme Area Management are responsible for ensuring that:
   - all relevant academic staff are aware of the local ethical review arrangements and their own responsibilities;
   - and that these and the student responsibilities are communicated appropriately to staff and students;
   - They adequately support and oversee research tutors and supervisors in their academic areas with a focus on student experience, staff development needs and capacity for staff to provide appropriate student support.

3. Research tutors and supervisors are responsible for ensuring that:
   - the researcher is made aware of the Research Ethics Procedure, documentation and requirements (and location of relevant documents);
   - providing high quality and timely support and supervision to students that they have academic responsibility;
   - reporting any concerns promptly to the AEC or their Programme Mrea manager;
   - they arrange dates with the AEC admin assistant when their students will be ready to submit their research proposals to the AEC and ensuring that the students are aware of and work towards these dates;
   - advising the student researcher regarding their proposed methodology and application of ethical principles;
   - supporting and provisionally approving the student research proposals and passing each on to the AEC admin assistant within the agreed timescales for the attention of the AEC.
   - receiving, supporting and promptly passing on AEC feedback to individual student researchers.

     When the tutor is satisfied that a proposal is ready, they (or the Programme Area Manager) will present it to the appropriate AEC for consideration. Following consideration at the AEC, the outcome is fed back to the tutor or supervisor, who will discuss this as appropriate with the researcher, ensuring that in instances where resubmission is required, the researcher understands what they need to address and what the timescale is.

4. Researchers are responsible for:
   - obtaining advice from their Research Methods tutor or supervisor on the planning, conduct and completion of their research;
   - submitting their research proposal to their Research Methods tutor by agreed deadlines for this to be considered at the relevant AEC;
   - where appropriate, and after gaining AEC approval, further approval (which may include ethical approval) may be needed from an organisation e.g. the Health Board, where a researcher is proposing to collect research data from staff, patients, carers of patients or service users;
   - taking the initiative in raising concerns or resolving problems in line with the AEC-approved plan and risk assessment;
   - always adhering to relevant health and safety procedures;
   - conducting research in an ethical and professional manner.

Academic Ethics Committees (AEC)

The Academic Ethics Committee (AEC) is an appropriate group within each assistant principal / Director of Higher Education 'area' that is responsible for reviewing research proposals to ensure that the dignity, rights and welfare of participants and all others involved or potentially involved with the research, are upheld. An 'area' is typically aligned with the GLlM Higher Education Award Board structure. However, proposed research can be submitted to an AEC chair who has senior leadership responsibility or Welsh language fluency. A chair must also chair HE exam boards. Any AEC chair who has not chaired an AEC previously will undergo training with the Director of Higher Education before chairing an AEC.
External research or proposed research outside of the award board structure will be directed to the AEC chaired by the Director of Higher Education.

AECs are responsible for:

- the ethical review process for research;
- appointing AEC members to ensure that the group contains appropriate expertise, coverage and diversity for the research areas within its remit;
- ensuring that clear meeting timelines are fit-for-purpose and are known;
- ensuring that relevant policies, guidance and forms appropriate for that AEC are readily available;
- keeping records of all submissions, resubmissions and outcomes.

The AEC process requires researchers to submit their proposals in line with the agreed and communicated deadlines, and feedback will be passed back to the relevant tutor to pass on to the researcher within one week following the AEC meeting.

Possible outcome decisions from the AEC are:

- Research proposal is Approved
- Research proposal is Approved with Recommendations
- Research proposal is Not Approved with Conditions (for resubmission to the AEC)
- Research proposal is Not Approved with Conditions but can be resubmitted to the Chair of the AEC for Expedited Review

If a student needs to resubmit their proposal, this should be addressed together with their tutor for resubmission, ensuring that the resubmission format requirements are adhered to (see conditions section of AEC feedback form as returned to the student).

If at resubmission, expedited review is indicated, the proposal should be resubmitted (adhering to the resubmission format requirements) and will be looked at by the Chair of the AEC within two weeks of submission.

No research can be undertaken until the research proposal has been formally approved by the AEC.

GLlM Academic Ethics Committee (AEC)

Membership

- Assistant Principal / Director of Higher Education (Chair)
- Relevant PAM(s) / PA Management
- Presenting PL or Module Tutor
- Additional member of Grŵp Tîm Rheoli not linked to the academic area
- Other relevant academic staff as applicable

- Administrative Assistant to the AEC

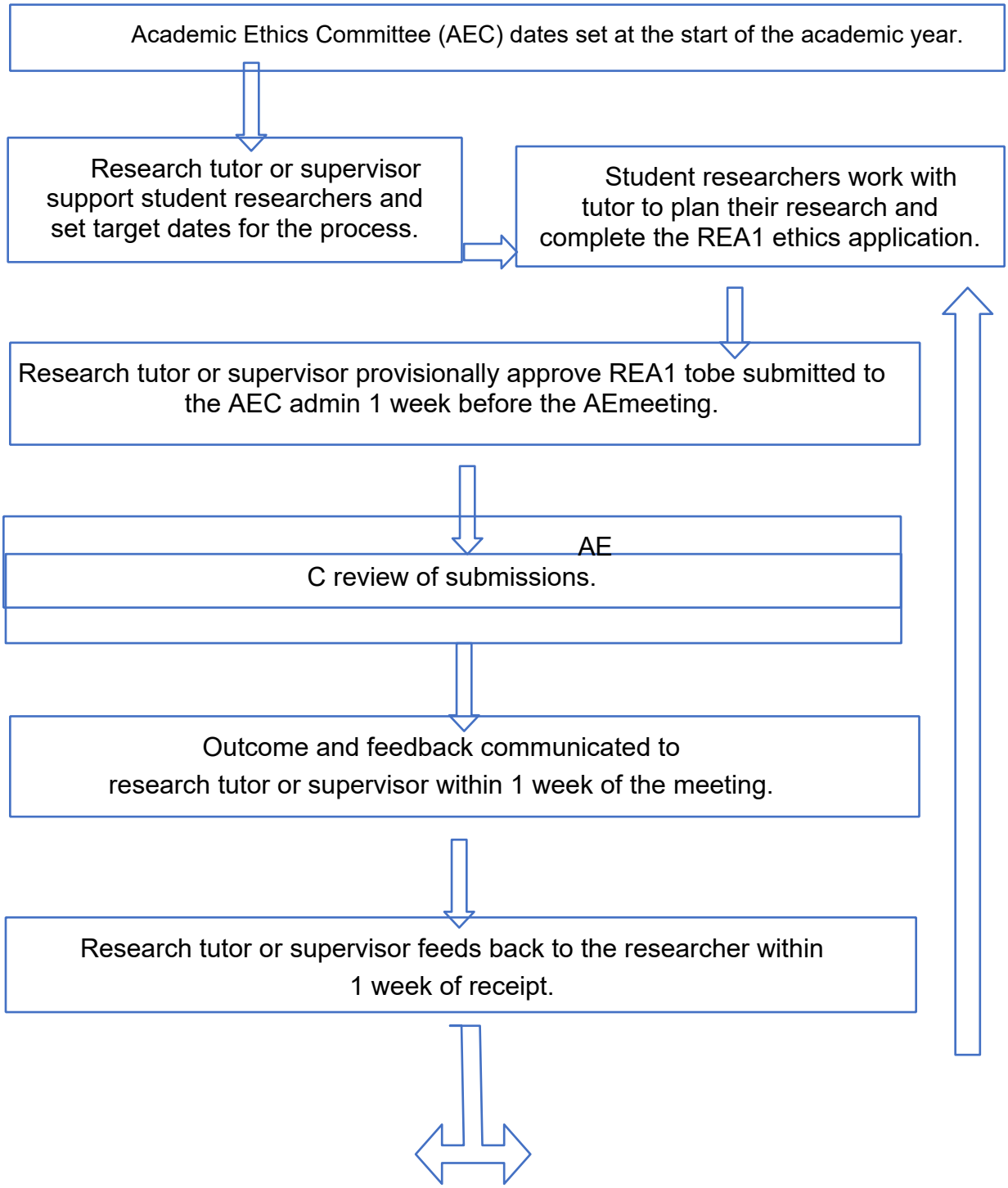
Frequency of meetings

- Regular meetings throughout the academic year to effectively facilitate the processing of REA1s from relevant programme areas
- Dates of meetings to be set by the start of the first HE teaching term, each academic year

Terms of Reference

1. To ensure research integrity within GLlM practice.
2. To review all research proposals submitted from within the AEC areas of responsibility
3. To ensure that all approved research proposals adhere to GLlM Research Ethics principles, policies, procedures and processes.
4. To ensure that areas proposing research have efficient and effective review and monitoring of REA1s.

Example of programme area ethical review process



Guidance notes to assist in completing the Research Ethics Application form (REA1)

The Academic Ethics Committee (AEC) are principally ensuring that your proposal is not likely to breach any ethical guidelines for conducting research. The AEC will comment and occasionally decline research proposals when it deems the quality of the proposed research is not acceptable.

The Ethical Review of all research proposals is necessary to ensure that risks to all are minimised. The risks to be considered may involve:

- The participants.
- Those associated with the participants.
- Other groups or individuals connected with the study.
- Any organisation involved with or the subject of the research.
- The researcher.
- GLlM

You need to ensure that your submission information is detailed and clear enough for the committee to fully understand what you intend to do to make a judgement.

In particular, the following need to be considered fully:

- Protection of Participants from harm (including any psychological distress).
- Informed consent.
- Right to Withdraw.
- Anonymity and Confidentiality.

Ensure that you address each item on the Research Ethics Application form (REA1). If any do not apply to your proposed research then write 'not applicable'.

Question 1

- Make sure that a) and b) link to one another appropriately.
- As a general principle avoid research questions to which you believe you know the answer from a personal experience as this is likely to lead to researcher bias.

Question 2

- Include the method(s) you are using, e.g. experiment, interview, questionnaire, observation.
- Explain exactly what you are going to do
- Include links to all the documentation linked to your research
- This could include the proposed questions (e.g. for interview or questionnaire), recording sheets (e.g. for observation), and instructions to participants (e.g. for an experiment).
- Include any additional information about how you are recording your results, e.g. long hand notes, tick boxes, tape recorder, etc. If participants are returning written questionnaires to you, you need to make clear the method of return.

Question 3

Detail here is vital; be specific about who the participants will be, how you will recruit them and how many there will be.

- Note: If you plan to do your research at college, you need to remember most students are aged 16-18, so if you are studying those aged 18+, you will need to explain how you will ensure this.
- If your sample is restricted by the place where you are carrying out the study e.g. the staff of a particular organisation, explain this in this section.
- Do not be overambitious with sample size, ask your tutor/supervisor

Question 4

- This is particularly important if you 'know' the participants (much better in general if you don't) but not insurmountable. Ask your tutor for advice.
- Do not ask for people's names (or other identifying information) if you have told them they will be anonymous.
- Do not identify an organisation and do not include any information that could potentially lead to the identification of an organisation.
- Do not promise complete confidentiality, as the research write-up will be seen by several people. Ensure participants are anonymous and no detail could potentially identify them.

Question 5

- You need to give people enough information for them to be able to make an informed opinion about whether they want to take part. They do not need every detail but enough to make an informed decision. See Appendix 1 example of a participant information sheet for a questionnaire.
- Participants may need to be able to decide to withdraw later without any negative consequences. Consider this in your planning; if they are genuinely anonymous, they will not be able to withdraw once their data has been collected.
- Consider the most appropriate way to get consent for your particular investigation and participants. This is likely to involve signed consent from the participant and may include manager and/or gatekeeper consent.
- For questionnaires or online surveys, e.g. Survey Monkey, completion may assume consent.

Question 6

- You need to ensure that you get appropriate permission from a 'gatekeeper' to carry out a study e.g. at College, in a Sports Centre, on employer premises, in a library etc. Ensure you have an appropriate letter/ form for this and that you have given the gatekeeper enough information for them to make an informed judgement.
- Double-check that there are no typos in any external communications.
- Third-party consent will always be needed from an appropriate authority if you are studying children or vulnerable adults.

Question 7

- Where will you do this? For example, over the internet, at work etc, full details are needed.

Question 8

- This is vitally important, for example, if you are researching topics such as social class, academic attainment, obesity, parenting, workplace attitudes (to almost anything), gender, or approaches to care.
- Action research may present particular challenges as potential consequences (including intended and unintended consequences) of an intervention need to be considered, e.g. in educational settings, in business, HRM topics, Health Care, and Social Services.
- You need to think seriously about this and how you can minimise sensitivity and ensure protection from harm– and this/ these should be included in your Risk Assessment.
- Your Risk Assessment is where you identify the risks of the research and manage those risks effectively to ensure that risks are minimised. Consider risks that may affect:
    - The participants
    - The researcher (i.e. you)

- The organisation (if appropriate)
- Disclosure - Could be safety or quality See

example Risk Assessment proforma in appendix 2.

- For certain research areas, e.g. involving practical exercise, additional risk assessments may also be needed.

Question 9

- Right to withdraw is important – but it is no use promising anonymity and telling participants that they can withdraw their results at any time afterwards as you may not be able to identify their individual responses. So, where relevant, think carefully about how you can ensure that participants can withdraw without any negative consequences once they have agreed to take part, e.g. classroom research.

Other Guidance

- Do not include theoretical or other information beyond that which is asked for above.
- Ensure that all additional documents are submitted (if not needed for your study check with your tutor/supervisor and write 'not applicable').

Common reasons that ethical approval is not granted at first submission:

Ethical reasons –

- Lack of relevant consent being sought (and lack of associated documents).
- Risk assessment is superficial and does not address the specific risks involved (e.g. consists only of paper cuts and staple wounds regarding questionnaires to parents about additional learning needs).
- The research question is just too sensitive to justify at this level.
- Planning details give rise to concern in practice that needs to be addressed.

Other reasons –

- Lack of adaptation of example documents so they refer to a different piece of research e.g. risk assessment, participant information.
- Biased or leading questions that clearly identify the researcher's views.
- Lack of necessary documents included.
- Lack of complete information e.g. about participants, or about information to be given to participants.
- Difficult for the committee to understand what the researcher is actually going to do – through lack of detail or contradictory information, e.g. aims and research questions do not link/or do not link to questions in a questionnaire.
- The research method is flawed and cannot, therefore be justified.
- Too ambitious proposal – not doable.

Next Steps

- Your tutor/supervisor will assist with the Research Ethics application form (REA1).
- When completed, submit your REA1 to your tutor/supervisor (who will have given you guidance about the submission due date and format of submission).
- Once your tutor approves a submission they will submit it to the AEC for consideration.

Research Ethics Application form (REA1)

Important

1. Please complete sections A, B and C of the REA1.
2. Ensure that you use the Guidance Notes (pages 13-16) to assist with the process.
3. You will need to submit the REA1 form to your relevant Tutor/Supervisor by the agreed date.

Research Ethics Application Form

(Form REA1)

SECTION A	
Researcher Name:	
Student ID:	
Academic year:	
Tutor/ Supervisor:	

SECTION B	
1a)	What is the research question(s) that you plan to investigate?
1b)	What are the aims of your study?

2a)	Which method(s) are you planning to use?

2b)	Explain what you plan to do:

2c)	Include a copy of all documentation linked to your research List the document(s) included here:

Please indicate the additional documentation included:	Yes	Not Applicable
Copy of relevant documents e.g. proposed questions, observation schedule, experimental instructions, interview draft questions		
Response/ data sheets		
Information to participants		
Consent Form (participants)		
Consent form (other if applicable)		
Risk Assessment		
Other, please specify		

2d)	How will you collect and record your data?

Participant Information						
3a)	Who will the participants be?					
3b)	Will any of the participants be:					
	Under 16	Yes		No		
	16-18	Yes		No		
	Vulnerable Adults	Yes		No		
	Do you have DBS clearance	Yes		No		
3c)	How will you recruit your participants?					
3d)	How many participants will be in your sample?					

4a)	How will you ensure that your participants are kept anonymous?
4b)	How will you keep the participant responses confidential?

5a)	How will you gain consent from your participants?
5b)	If no consent form is needed, explain how you will get consent from participants

How will you ensure that you have the correct consent/ permission that you need as well as consent from your participants?	
6a)	Organisational consent?
6b)	Parent/ guardian consent?
If either of the above, include a consent form for each	

7a)	Where will this research take place?

8a)	Are there any particular sensitivities associated with your research area or methods of collecting data? If so, explain here:
8b)	How will you control these to ensure that you protect your participants from harm, including any possible or potential distress (include these in your risk assessment)?
8c)	Ensure that you include a Risk Assessment.
8d)	Do you have a conflict of interest in carrying out this research? (please tick)

Yes	
No	

If yes, please elaborate.

9a)	How will you ensure that your participants are aware of their right to withdraw and that they can exercise this if they wish?

SECTION C			
Personal statement:			
I have read the GLLM Academic Research Ethics Procedure and to the best of my knowledge and ability confirm that the appropriate ethical considerations are addressed. I am aware of and understand the GLLM procedures on Research Ethics and Health and Safety. I confirm that I will abide by all applicable codes of ethics.			
Signature of researcher/student:	TYPE NAME	**Date:**	
I confirm I have reviewed the application and support the evidence and work provided.			
Signature of Tutor/Supervisor:	TYPE NAME	**Date:**	

SECTION D: AEC Feedback Form						
Grŵp Llandrillo Menai Ethics Committee						
COLEG	Llandrillo:		Meirion Dwyfor:		Menai:	
Student Name:						
Programme Area:						
Date of Ethics Committee:						
Presenting Supervisor:						
Approved:		Approved with Recommendations (go to number 2):				
Not Approved:						
Comments:						

If not approved:					
Expedited resubmission and review:	Yes		No		
1.	Conditions to be fulfilled before resubmission:		Conditions met:		
You can use the same paperwork but MUST highlight any changes made to meet these conditions					
Resubmit on email through your module tutor who will forward this to the AEC Administrative Assistant					
2.	Recommendations (it is recommended that these are fulfilled)				
Signature:			Date:		
Chair of Academic Ethics Committee					

APPENDIX 1: EXAMPLE PARTICIPANT INFORMATION SHEET FOR QUESTIONNAIRE

Example of Participant Information Sheet for Questionnaire	
(You are being invited to take part in a research project. Before you decide whether or not to participate, it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully.)	
Research Project Title:	XXXXXXXXXXXXX
Name of the researcher(s):	XXXXXXXXXXXXX
What is the purpose of this study?	*(The purpose of this research project is to…).*
Why have I been invited to participate?	*(You have been invited to participate as…).*
Do I have to take part?	*(No, your participation in this research project is entirely voluntary. You are not obliged to participate. If you do not wish to take part, you do not have to give a reason. If you do agree to participate you are free to withdraw up to the point of submission, without giving a reason and with no penalty. As your participation is anonymised, once you have submitted your questionnaire, your responses cannot be withdrawn.)*
When and where will the research take place?	*(At Coleg Llandrillo (Rhos on Sea site). You will be asked to come to room G45 at 10.00 on Tuesday, Feb 25th…).*
What will I have to do if I agree to take part?	*(Once you have read the information sheet, you will be asked to:* *1. ** *2. *** *3. ****)
How much of my time will participation involve?	*(It will take approximately 10 minutes for you to fill in the questionnaire/ etc).*
Will my participation in the project remain confidential if I was to participate?	*(If you agree to participate, your name will not be disclosed to other parties. Your responses to the questions will be used for the purpose of the research project only. You can be assured that if you do participate, you will remain anonymous).*
What are the advantages of taking part?	*(You may find the research project interesting and gain a further understanding of the subject).*
Are there any disadvantages to taking part?	*(There are no identified disadvantages associated with participation in this research OR possible disadvantages include …).*
What will happen with the results?	*(Your results will be included in a report/ will contribute to a written assignment for a degree course on…).*
How will my data be stored?	*(Your questionnaire/interview data will be kept in a secure location under the terms of GLIM Data Protection Policy and will be disposed of using a confidential waste service. …).*
What if I have questions about the research project?	*(You have the opportunity to ask questions at any time during the research and at the end…….).*

APPENDIX 2: EXAMPLE PARTICIPANT CONSENT FORM FOR INTERVIEW

EXAMPLE OF PARTICIPANT CONSENT FORM FOR INTERVIEW	
Project Title:	
Researcher's Name:	
Supervisor's Name:	

- I have read the Participant Information Sheet and the nature and purpose of the research project has been explained to me.
- I understand the purpose of the research project and my involvement in it.
- I understand that while the information gathered during the study may be published, I will not be identified, and my personal results/details will remain confidential.
- I understand that data will be stored on a password-protected computer, and only the researcher will have the password.
- I understand that I may withdraw from the research project up to the point of submission without giving a reason and that this will not affect my status now or in the future.
- I understand I am unable to withdraw after submission.
- Any questions I had about the research have been answered
- I understand that I may contact the researcher if I require further information about the research or have any other queries relating to my involvement in the research.
- I agree to take part in the above research project.

Signed:			
Print Name:		Date:	

APPENDIX 3: EXAMPLE OF A GATEKEEPER CONSENT LETTER FOR QUESTIONNAIRE STUDY

Gatekeeper Consent Letter

Dear Head Teacher,

I am currently in the final year of my [ADD TITLE OF COURSE]. As part of my studies, I am required to undertake a piece of research related to the course. I have decided to investigate whether there is any relationship between the meal children have at lunch time in school and their ability to concentrate in the classroom during afternoon sessions. I am therefore writing to ask for your permission to conduct the research in your school.

The purpose of my study is to see whether there is a relationship between the meal that a child has at midday and their ability to concentrate during afternoon sessions. I am therefore asking for your permission to observe 21 children's lunch choices over a period of three weeks as well as being able to conduct a small recognition test twice a week over the same three-week period. This will enable me to collect data that might highlight any differences in concentration that may occur due to their lunch choice.

If you are willing to give your permission for me to conduct this research, I would need a letter or email of consent (or you could return this letter to me indicating your permission) from you stating your consent to the research taking place within your school. I will then inform you of the weeks I intend to conduct my research. The school and pupils themselves will be anonymous and no records will be taken that contain the names of pupils or the name of the setting. Should you have any comments or questions regarding this research, please feel free to contact me.

Please see the questionnaire attached / the questionnaire link.

Yours faithfully
[Name]
[BA Childhood Learning Support Studies]
[Coleg Llandrillo]

APPENDIX 4: RISK ASSESSMENT PROFORMA

Risk Assessment			
Identified Risk	Likelihood	Potential Impact/Outcome	Risk Management
Identify the risks/hazards present	*High/ Medium/ Low*	*Who might be harmed and how?*	*Evaluate the risks and decide on the precautions, e.g. Health & Safety*

Equality Impact Assessment

Assessment completed by:	Siân Pritchard / Angharad Roberts	Dated:	21.09.2023

Consideration	Response	Special requirements / controls
Which protected groups might be disadvantaged by the policy/process?	The policy has had very minor amendments so there is no need to change the equality impact assessment as below. This policy will disadvantage no protected groups. The policy aims to promote excellence in ethical practice, encourage high-quality research and prevent misconduct. The policy aims to ensure all research activities undertaken by staff and students demonstrate respect for all those involved and adhere to the ethical principles outlined within and that the dignity, rights, safety and well-being of participants are safeguarded at all times.	
Which protected groups might benefit from the policy/process?	The policy will benefit all protected groups. The policy ensures additional safeguards where informed consent is required from a child, young person or vulnerable adult.	
Does the policy advance equality and foster good relations?	Yes. The policy ensures all research carried out by staff/students at GLLM adheres to ethical principles for such research.	
Could any part of the process discriminate unlawfully?	Not if the policy is fully adhered to	
Are there any other policies that need to change to support the effectiveness of this one?	No	
Conclusion	Continue the policy or procedure	

SIGNED:	Angharad Roberts Siân Pritchard	Dated:	21.09.2023

Welsh Language Impact Assessment

Assessment completed by:	Siân Pritchard / Angharad Roberts	Dated:	21.09.2023

Consideration	Response	Special requirements / controls
What positive effects, if any, will the policy decision have on opportunities for people to use the Welsh language, and not to treat the Welsh language less favorably than English?	The overarching aim of the policy is to ensure that all research carried out at Grŵp Llandrillo Menai conforms to the general principles of striving to do good (beneficence) and avoiding harm (non-maleficence). The content of the policy doesn't impact directly on the Welsh language. The policy itself will be available bilingually. The policy / procedure is closely linked to other policies relating to disciplinary procedures (GLlM Unfair Practice Policy, the GLlM Staff Disciplinary Policy and/or the Learner Disciplinary Policy) - all of these policies include information about learner and staff rights to be taken through the disciplinary process in Welsh if they wish.	
What adverse effects, if any, will the policy decision have on opportunities for people to use the Welsh language, and not to treat the Welsh language less favorably than English?	It is not anticipated this policy will have any negative effects on the use of the Welsh language.	
Are there enough Welsh-speaking staff available to implement the policy or procedure? If not, what steps will be taken to ensure that sufficient staff are available, and when?	Yes, there are sufficient Welsh-speaking staff.	
Does the policy or procedure comply with the Llandrillo Menai Welsh Language Policy and Welsh Language Standards compliance notice?	Yes.	
Conclusion	Continue the policy or procedure	

SIGNED:	Angharad Roberts	Dated:	21.09.2023