Belfast School of Art

PhD Researcher Subject Handbook
(*Last updated December 2021*)

ulster.ac.uk

Faculty of Arts, Humanities and Social Sciences

Belfast School of Art

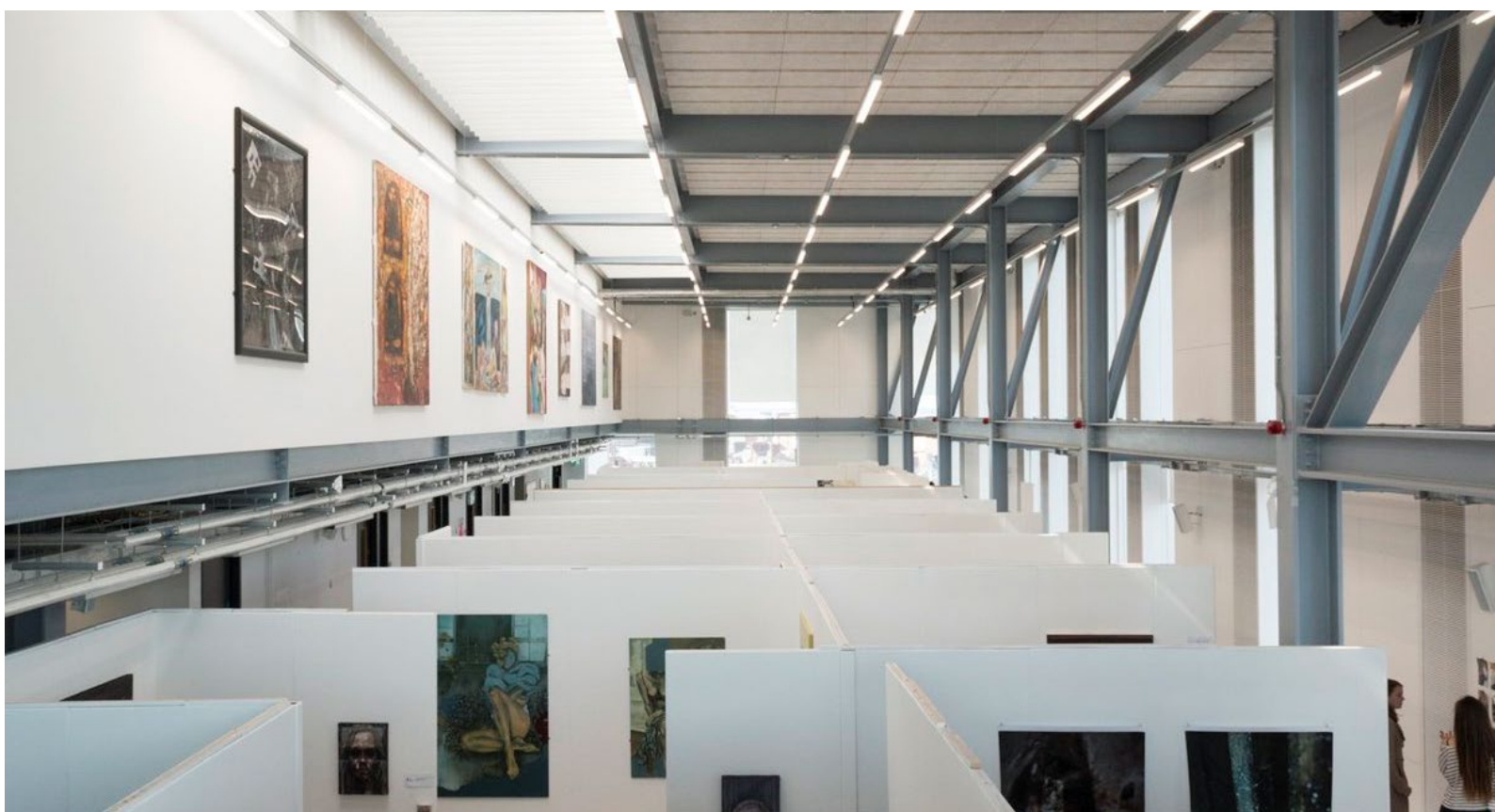## PhD Researcher Handbook UoA32 (2021)

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WELCOME NOTE

On behalf of the Belfast School of Art, we warmly welcome you to the research community at Ulster University. The Belfast School of Art (led by Head of School Louise O'Boyle) was established in 1849, making it the oldest School in Ulster University and enjoys a longstanding and rich research environment. Ulster's Art & Design Research environment for staff and PhD Researchers was judged to be 100% internationally excellent and world-leading by REF2014, with 80% at 4* and 20* at 3*. We were ranked 3rd in the UK for its world-leading 4* research. Our lecturers and professors are practising artists and designers who are actively involved in research, several of which, in collaboration with researchers from other disciplines. Our focus on practice and applied research is recognised with over 70% of our impact being rated as world leading.

The school draws on its international networks, bringing important figures in the world of art and design to Belfast to work with our Researchers. Our growing and thriving provision positions us as one of the leading providers of art and design education in the UK and the largest on the island of Ireland. We provide a centre of excellence and an environment for innovation, creativity and energy.

Our PhD community hosts more than 50 researchers at any one time. We offer approximately 6-8 Scholarships each year. Additionally, we are part of the AHRC Funded Doctoral Training Partnership through the Northern Bridge Consortium (http://www.northernbridge.ac.uk). We welcome applicants interested in researching across the spectrum of Art & Design disciplines. We encourage interdisciplinary research with other sectors. Our staff also co-supervise PhD Researchers in other research units including Computer Science, Business & Management and Arts & Humanities in particular.

Our main thematic groups map to the Faculty of Arts, Humanities & Social Sciences (Led by Executive Dean Professor Paul Seawright) and the University 5&50 strategic plan.

Research Cluster	Faculty Cluster (or a sub-group)	5&50 Themes
Art, Conflict & Society	AHSS Arts & Conflict	Social Renewal
Art, Design & Health	AHSS Arts & Health	Healthy Communities
Creative Industries	Creative Industries Institute Future Screens NI Creative Cluster	Creativity & Culture/Sustainability
Art, Space & Place	(The Painting Research Group)	Creativity & Culture

You are now part of this dynamic research group and we hope you will be challenged by your experience, which we hope leads you to new knowledge, skills, professional contacts, a career and long-lasting friendships.

Dr Catherine O'Hara **Post Graduate Tutor for Art & Design**

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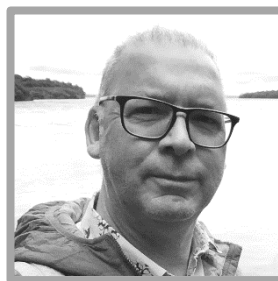Telephone: +44 7522736509
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Dr Brian Dixon   Dr Catherine O'Hara   Paul Brown   Elaine McCoubrey

THE PHD ENVIRONMENT AT BELFAST SCHOOL OF ART

The research hub on the Belfast campus is on level 4, where ADRI, RD and AEEA support reside. The Doctoral College also have a hot desk provision within the PhD Study Hub. We have more than 50 PhD researchers at any one time in Art & Design. The Hub itself has 32 desks which are for the use of Belfast School of Art PhD researchers. However, we do operate a policy, that if there is capacity, we welcome PhD researchers from across the Faculty to make use of unused space or to hot desk. This provides a richer learning environment. A desk, lockable storage and shelving are provided for researchers.

Study Hub Etiquette: The PhD Study Hub is a quiet working space. If you wish to converse with a fellow researcher please use the adjacent communal space. This provides a convenient meeting space for all our researchers and a small library of PhD theses are available to browse. This space is equipped with a small kitchen, microwave, fridge and utensils. We also supply a water cooler which is stocked regularly.

Each funded PhD researcher has access to £900 per year of funding to assist with their studies. This must be applied for and approved before utilised. Its scope covers almost any aspect of support from materials, equipment, travel and space as required for specific practice-based work (See the Access Resources section for details).

We offer a range of equipment and resources which you can access. There is a range of School subject spaces available for Researchers to use, in discussion with the respective supervisors. We have also recently developed the Screen and Media Innovation Lab is a research-led, industry-facing research facility which has been developed in response to the strategic needs of the Northern Ireland screen-based and screen-related creative sector, covering Film and Broadcast, Animation, Immersive (VR/AR/MR) and Games Development. This is on level 5.

There are several technical resources owned by research which can be borrowed. These include:

- 2 x D7200 CAMERA, 18-200mm lens, tripod and mic
- NCS Colour Scan 2.0
- Pupil Labs eye tracking kits for screen, artefact and HTC Vive
- 2 x HTC Vives (Screen & Media Innovation Lab)
- 2 x Predator High end laptops for 3D graphics processing

The PhD study space at Belfast School of Art is owned by the subject area. However, we have an inclusive policy to other researchers across the University where resources permit. This helps nourish our research environment and potential for interdisciplinary research. There are three types of desk space:

1. **Dedicated spaces** for Full time PhD researchers in Belfast School of Art. These are allocated across years 1, 2 and 3 of study in micro clusters within the space.
2. **Shared spaces** for instance where two or more part-time researchers or fractional users of space from our full-time cohort. For instance, Researchers who may use a studio part of the week and as desk space at other times. This also includes PhD researchers with cross faculty supervision, where one of those resides in Art & Design.
3. **Hot Desk spaces** are for use by guest researchers from other research units or campuses. They are also for use as spill over should two or more shared space users attend on the same day.

The use of space will be monitored (see Covid 19 guidance, p. 25). If a full-time user is not in attendance their space will become a shared space. Similarly, if on Leave of Absence or on longer term study leave (for instance in another country) we expect researchers to make their spaces tidy and suitable for hot desking.

The reverse is also applicable where perhaps in year 3 a shared desk user may need a dedicated space. All such instances should be communicated to the PhD representative or Post Graduate Tutor.

We expect courtesy and respect within this space and common sense around the use of shared and hot desk spaces, which may see various demands on space and its usage. Spaces will be reviewed at the end of each of the three semesters in an academic year.

The layout for this year (2021/22) has been circulated.

NOTE: THIS CONFIGURATION IS A RESPONSE TO COVID-19 AND IS SUBJECT TO ONGOING REVIEW.

ASSESSMENT

During your research journey, there are a number of key milestones which you will be expected to achieve within specific timeframes. This table provides you of an overview of what is expected of you. General information about these milestones can be found on the Doctoral College website. The table below provides some **rough guidelines** of when each of these assessments will take place. *The School may adjust the timing in order to better accommodate the assessments within the academic calendar.*

The following table assumes a September registration, but is scaled if start times differ (e.g. PT, Self-funded or due to a leave of absence). Communication is generally managed through PhD Manager although some documents are still processed outside of this system. See https://www.ulster.ac.uk/doctoralcollege/current-phd-researchers/forms

Process	When (full time)	When (part time)
Re-enrolment	Around mid-September, annually	Electronically, every summer
Initial Assessment	Within four months of first registration	Within ten months of first registration
Annual report	First week in May, annually	First week in May, annually
Confirmation Assessment	Between eight and twelve months of first registration	Between twelve and twenty-four months of first registration
*Final Assessment	Within thirty months of first registration	Within sixty months (PhD) or thirty-six months (MPhil) of first registration
Intention to Submit	Three months before proposed submission date	Three months before proposed submission date
Submission of thesis	Within thirty-six months (PhD) or twenty-four months (MPhil) of first registration	Within seventy-two months (PhD) or forty-eight months (MPhil) of first registration

* The Final assessment is **not a formal point of progress** but rather a check to ensure sufficient progress is being made. It may be conducted more informally or as part of another activity, for example another type of research dissemination.

The following sections provide School specific guidance for the Initial, Confirmation and Final Assessment. Dates and times for each of these assessments will be communicated to you by the School.

INITIAL ASSESSMENT GUIDELINES

Content

This assessment comprises a written and oral element and is held approximately 3-4 months post-registration at the earliest for full-time Doctoral Researchers and approximately 8-10 months post-registration for part-time Doctoral Researchers. It must be organised in close co-operation with the project supervisors, and is concerned with a precise description of the proposed programme of work.

It must include information on the:

Part 1: Written Submission

1. You are required to provide an electronic version of the written report (Research Plan). The report should not exceed four **A4 pages** and include:

    a. Project background
    b. Overall aim of the investigation
    c. Objectives to be achieved within the first 8-9 months (full-time) or 20 months (part-time) and the activities that will achieve those objectives, as well as the research methodology
    d. Training needs
    e. Risk Assessment (if applicable)

2. A **Gantt chart**

3. Any relevant additional information contained in appendices (you may want to discuss with your supervisor whether this is appropriate).

*Please submit your written documentation, via PhD Manager, by **xxxxxxxx** (usually the first Monday in January).*

Part 2: Presentation

(to be prepared for the Initial Assessment meeting, held three weeks after the written documentation is submitted)

The oral element of the assessment must be illustrated with appropriate presentation materials, e.g. PowerPoint / PDF and will be presented to the panel and should be **10 minutes** in duration. The meeting will be approximately 45 minutes, starting with the presentation, 15 mins discussion with researcher, 5 mins private discussion with supervisors, 10 mins completing report with chair & internal reviewer, 5 mins to communicate outcome.

Begin your preparations for your Initial Assessment by consulting the 'Guides' on PhD Manager. This will take you through the process and begin the workflow for your supervisors.

Assessment

Examining staff will pay particular attention to the following:

1. Is the project clearly defined?
2. Are the objectives realistic and achievable in the time available?
3. Will there be adequate research training for the Researcher to at least MPhil level?
4. Is the programme of work likely to provide a sufficient foundation for PhD study?

5. Does the research show evidence of at least a basic understanding of the problem, the nature of the approach being taken to investigate it and the relationship of the work to other research in the field?
6. Are the supervisory arrangements satisfactory?

Note: You must complete the **Research Integrity Course** prior to completing your Initial Assessment application

Procedure

The School will be responsible for making the necessary arrangements for the assessment. If the assessment meeting takes place on campus, the room and data projection equipment will be booked by the School, but the student and/or supervisors should arrange any other additional equipment required and check that everything in the room is satisfactory shortly before the assessment. If the assessment meeting is to be online, Elaine will set up MS Teams and issue invites.

In advance of the meeting the researcher will be responsible for initiating the Initial Assessment form through PhD Manager. Once submitted the system will route the documentation to the PhD Administrator, e.mccoubrey@ulster.ac.uk, within the Unit of Assessment (32) Office. This will enable Elaine to confirm the meeting details. You will be able to track the progress of your application via the Initial Assessment button on your main project dashboard.

The system will then notify the Supervisor to create their report for the Assessment Panel. Once the Supervisor has completed their report the system will notify the Chair of the Assessment Panel (This tends to be the Post Graduate Tutor or the Research Director). Once the meeting has been held, the Chair will complete the assessment report through PhD Manager. This is finally signed off by the Research Director.

For the Assessment meeting (Presentation date), an Assessment Panel will be assembled, comprised of an internal reviewer (suggestions are requested from the supervisors) and an appointed chairperson. The other individuals present at the assessment will be the researcher, at least one supervisor and, possibly, an adviser, if one has been appointed.

The Assessment Panel will provide a report on the student's progress through PhD Manager and make recommendations concerning his/her advancement and suitability for confirmation of registration status.

The internal reviewer will be attempting to answer six basic questions:

I.   Is the project clearly defined?
II.   Are the objectives realistic and achievable in the time available?
III. Will the project provide adequate research training for the student to at least MPhil level?
IV.   Is the programme of work likely to provide a sufficient foundation for PhD study?
V.   Does the researcher show evidence of at least a basic understanding of the problem, the nature of the approach being taken to investigate it and the relationship of the work to other research in the field?
VI.   Are the supervisory arrangements satisfactory?

You may also be asked about how Covid19 has affected the scope of the proposed project and what adaptations to the study you have had to consider.

CONFIRMATION ASSESSMENT GUIDELINES

All PhD and MPhil researchers will undergo a formal assessment of progress, known as the Confirmation Assessment, usually towards the end of your first year (8-10months) for full time researchers or before the end of the second year (20-24 months) for part time researchers. The assessment includes a written submission along with a presentation. You will not normally be permitted to re-enrol into your second year (for full time, funded PhD Researchers) until the Doctoral College has received notification from the Faculty of successful completion of your Confirmation, so you should take this into account as it may impact on progression and payment of your stipend.

Content

1. Purpose

Within the first year of study, at approximately month 8-10 for full-time researchers and month 20 for part-time researchers (assuming there are no exceptional circumstances), researchers shall apply to Senate for confirmation of their registration status. As a result of this assessment the researcher will either have their PhD registration status confirmed or will be invited to transfer registration and continue studying for the degree of MPhil.

This assessment is comprised of a written and an oral element and forms the basis for the confirmation of registration status.

2. Written Element

The written element comprises: a Literature Review (including project plan, in the form of a Gantt chart, and thesis outline) as a substantial piece of writing relevant to the research topic. The Literature Review must be presented using double spaced type, with any relevant additional information contained in appendices. This body of work should be approximately 10,000 words in duration. The main document should be submitted to Turnitin for a plagiarism check.

3. Oral element

The oral element of the assessment must be illustrated with appropriate presentation materials, e.g. PowerPoint, and must include information on:

- The project background
- The overall aim of the investigation/detailed research objectives
- The research methodology proposed
- Data obtained to date
- Conferences/journal publications/presentations/exhibitions to date or in hand (as annex)
- Proposed programme for future PhD work
- Proposed programme to complete practical and written work within the following 12 month period.

A maximum of 75 minutes is set aside for each confirmation assessment meeting. The presentation will normally last 15 minutes, followed by (up to) 30-40 minutes for questions & discussion with the researcher and supervisor (s). This is followed by a short private discussion between the Panel and the supervisor(s). The researcher & supervisors will return to the meeting to hear the outcome.

4. Application for Confirmation of Registration Status

In advance of the Confirmation the researcher will be responsible for initiating the completion of the Confirmation Assessment stages on PhD Manager; see the relevant section to start the process.

See 'Guides' on PhD Manager for a step by step guide through the process.

5. Assessment Panel

The presentation is given to designated senior academic staff (the Assessment Panel). The panel are required to complete a written report (in PhD Manager) on the researcher's progress and make recommendations concerning their advancement to date and suitability for confirmation of registration status.

The Assessment Panel will be responsible for completing the necessary paperwork. The Assessment Panel consists of the supervisor/s, the Chair and a reviewer from the Faculty.

The Panel may make recommendations concerning the direction of the work and are empowered to recommend re-assessment after an agreed period, or exit with or without MPhil if progress is deemed unsatisfactory.

Examining staff should pay particular attention to the following:

- Have the objectives of the first 9-12 (20-24) month period of work been achieved?
- Is the proposed programme of work a logical extension of the completed studies?
- Is the research methodology satisfactory and appropriate?
- Are the defined objectives likely to be achieved with the available resources?
- Is the work likely to produce adequate research to doctorate level by the researcher?
- Is the work sufficiently well-defined to (potentially) provide publishable work within a 12-18 (24-36) month period?
- Can the practical studies be completed within an 18 (24) month period?
- Does the researcher show evidence of ability to critically evaluate the work and place it within the context of related studies?
- Are the supervisors satisfied with the researcher's progress to date?
- Is the researcher satisfied with the current supervisory arrangements?
- Should the researcher be permitted to confirm registration status of PhD?
- Which further research training does the researcher require?

Procedure

The School will be responsible for making the necessary arrangements for the assessment. The room and data projection equipment will be booked by the School, but the student and/or supervisors should arrange any other additional equipment required and check that everything in the room is satisfactory before the assessment.

However, The Assessment meeting may well take place via MS Teams, if necessary.

In advance of the Assessment the researcher will be responsible for initiating the Confirmation Assessment form through PhD Manager. Once submitted the system will route the documentation to the PhD Administrator within the School Office, e.mccoubrey@ulster.ac.uk. This will enable them to organise the assessment meeting. You will be able to track the progress of your application via the Confirmation Assessment button on your main project dashboard.

The system will then notify the Supervisor(s) to create their report for the Assessment Panel. Once the Supervisor(s) have completed their report the system will notify the Chair of the Assessment Panel. Once the meeting has been held the Chair will complete the assessment report through PhD Manager. This is finally signed off by the Research Director.

For the Assessment, an Assessment Panel, comprising a reviewer (suggestions are requested from the supervisors) and an appointed chairperson. The other individuals present at the assessment will be the researcher, at least one supervisor and, possibly, an adviser, if one has been appointed.

The Assessment Panel will provide a report on the researcher's progress through PhD Manager and make recommendations concerning his/her advancement and suitability for confirmation of registration status. The Panel may make recommendations concerning the direction of the work and are empowered to recommend re-assessment after an agreed period, if the case for confirmation of registration status has not yet been established.

The Assessment Panel will consider the following questions:

i. Have the objectives of the first 10 (20-24) months' period of work been achieved?
ii. Was the presentation clear and informative?
iii. Is the written report appropriate to the expected standard?
iv. Is a provisional timeline for completion of the project in place?
v. Is completion of the project likely in three to four years, in light of early review and/or refinement of the original proposal?
vi. Is the methodology appropriate and clearly explained?
vii. Has the researcher demonstrated adequate development of problem solving and organisational skills?
viii. Has the researcher attended relevant training and has the Training Needs been updated? Has essential training e.g. Research Integrity Course and project related training been either completed or scheduled?
ix. Is the practice component(s) where appropriate adequately developed or planned?
x. Are all permissions in preparation or granted to authorise the PhD researcher to carry out the project (e.g. ethical approval(s), AccessNI check, risk assessment)?
xi. Does the supervisory arrangement remain appropriate?

FINAL ASSESSMENT

To help prepare for the final submission of your thesis and the examination, the final assessment of progress will take place within thirty months (full-time) and sixty months (part-time) of initial registration.

Please note at this point, the work to date is *formatively* considered. This means the panel (comprised of supervisors and PGT) will evaluate the progress of your work *during* your project, monitor the learning *process*, help improve the researcher's learning and ensure the rigour of the research, thus preparing them for the 'writing up' phase of PhD.

For their final assessment researchers can choose between the following:

- a 15-minute presentation + 15 minutes Q&A in the 1st semester of 3rd year. This will be presented as part of the seminar series with an audience of peers & supervisors. An abstract, should be sent to your supervisors one week prior to your presentation.
- an article on an aspect of your PhD research, to be published in the Faculty's postgraduate journal, *Intersections* (https://www.ulster.ac.uk/faculties/arts-humanities-and-social-sciences/research/postgrad-journal) This should be sent to your supervisors in advance for feedback.
- A public form of dissemination; that could include an exhibition, a conference paper, a talk/lecture, an article.

The former option should detail the nuts & bolts of your PhD, while the latter options are the PhD scholarship applied and disseminated.

Content and Procedure

The following describes the content and procedure for the Final Assessment within the Belfast School of Art.

1. you should begin the Final Assessment process through PhD Manager. This will allow for the assessment to be made by your Supervisors.   For the *presentation* option, you should consider the inclusion of:

    - A review of the original research plan outlined in Confirmation Assessment. Including a discussion of whether or not this has been completed, to what extent and why this is the case
    - A thesis structure - highlighting key headings and knowledge contributions for each section
    - A submission timeline- planning what work still needs to be completed, when you will begin
    - writing of your thesis, when your supervisors will receive a first draft and when you should receive feedback. This should also include a realistic submission date for the final thesis
    - We encourage those researchers with a practice-based project to bring (where practicable) art/design work to the presentation

    For the *latter* options, you should consider:

    - In discussion with supervisors, the approach and content to the article
    - The article could review your whole project or a focused aspect of your research
    - The article should be sent in advance to supervisors for feedback before submission to the journal

2. Researchers should aim to submit an abstract to your supervisors, (for those doing the presentation: at least one week in advance of your presentation).

3. Following the assessment of these materials, the Supervisor will provide some comments/ feedback through PhD Manager. This should include:

    - A description on the current state of the writing-up. Comment on how far is the student from completion and if the current plan/timetable is feasible?
    - Are there any developments that are cause for concern?
    - Is any particular action needed to ensure a timely completion?
    - Any other comments, on student or supervision?

    These comments will normally be shown to the student and discussed with the student by the supervisor.

4. Once submitted by the supervisor, this assessment will be passed to the Research Director for final approval through PhD Manager.

Any questions regarding this assessment should be discussed with your supervisors or the Postgraduate Tutor. See also: See 'Guides' on PhD Manager for a step by step guide through the process.

NOTE: Researchers should keep diaries clear when assessments have been scheduled

CITATION STYLES USED IN ART & DESIGN

When documenting research, the consistent and correct use of a single Citation Style is fundamental. There are many systems available and publishers of books and journals will outline their specific requirements within their author guidelines. For internal publications within Ulster University, such as PhD documentation, each academic department chooses a system that is most appropriate for the discipline. Following a review and discussion with the library clarification on the system for UoA32 has been defined.

There are three systems proposed, to choose from. These are Harvard (Author, date), Chicago and Modern Humanities Research Association (MHRA).

The Harvard Referencing system (Ulster University).

This is one of the most widely used systems within Ulster University. A full guide to the system can be found at the following URL. http://library.ulster.ac.uk/harvard/harvard_gen.pdf. However, when using REF Works, this system does not easily support footnotes. While footnotes are optional, some authors prefer systems which do promote their use. In such cases other alternatives may be used.

The Chicago Referencing system

This is a flexible system which permits the use of a Notes & Bibliography style or an Author-date style. The former is popular within Humanities, History and the Arts. The guide is available at the following URL: http://www.chicagomanualofstyle.org/tools_citationguide.html

The Modern Humanities Research Association (MHRA) system

is used within the modern humanities community. Their guide is published on the MHRA website, available at the following URL: http://www.mhra.org.uk/style. It permits the use of footnotes, but contextualises their use stating that they *'should be kept down to what is strictly necessary'.*

All systems can be managed and interchanged using the REF works software. The library runs training every two weeks on this software. However, the sooner you establish your Citation System the better for productivity. The software can be accessed through the Ulster University library databases available at:
http://library.ulster.ac.uk/electronic/check/eiscard.php?eisno=277 .

When using word to author your document the Cite-and-Write plugin is required. This is available at: https://www.refworks.com/refworks/wncdownload.asp .

Once you choose your citation style, remain strictly to their specific guidelines.

ACCESSING RESOURCES

Finance

We currently receive a budget from the Faculty and Research Training Support Grants (RTSG) for most funded full-time PhD researchers (currently £900 per annum per Researcher). These monies are used for day-to-day expenses such as art materials and equipment as well as to fund conference attendances, external training events etc.

Fieldwork and other research expenses are primarily funded by RTSG money, and unspent RTSG can be carried over from one year to the next, effectively allowing funded researchers to 'save' for fieldwork or an international conference, so it is important that you discuss this with your supervisors at an early stage.

We do not generally encourage use of this funding for books (which can usually be provided via the Library). Laptops can be supported if required for the research. Other technology may be required for your discipline. Any equipment purchased will remain the property of Ulster University and be on loan to you for the purpose of your Research. On completion the equipment should be returned to us.

If you would like to enquire about funding, please follow the Finance Procedures set out in **Appendix 1**. Note that the relevant forms are include in **Appendix 2 to 4**.

Please ensure when completing both your PA form and the claim form that you include your research student number (B code) and cost code of **90159U**

Printing & Photocopying

Information Services (ISD) provide information on how to print including how to access multi-function devices (MFD) that will allow you to print, copy and scan documents. More information can be found at https://www.ulster.ac.uk/isd/students/printing. PhD Researchers within the school can access £50 of printing credits.

TECHNICAL SUPPORT

We have a range of School technicians for specific subjects.

Technical Services Co-ordinator (Fashion & Textiles)	Kevin Burns	k.burns@ulster.ac.uk
Technician - Textile Art & Fashion	Heather Burgess	h.burgess@ulster.ac.uk
Technician - Knitted & Constructed Textiles & Fashion	Mary Callan	m.callan@ulster.ac.uk
Technician - Garment Construction	Rachel Blair	r.blair@ulster.ac.uk
Technician (Printed & Dyed Textiles & Fashion)	Maureen Morrow	ma.morrow@ulster.ac.uk
Technician - Photography with Video	Errol Forbes	em.forbes@ulster.ac.uk
Technician - Photography with Video	Jim McGinn	j.maginn@ulster.ac.uk
Technician - Fine Art Audio, Photography & Video	Alan Watkins	a.watkins@ulster.ac.uk
Technician- Graphic Design, Illustration & Print	Philip Gibson	p.gibson@ulster.ac.uk
Technician - Animation	Aodhan McNicholl	a.mcnicholl@ulster.ac.uk
Technician - Animation and Games Design	Daryl Randall	d.randall@ulster.ac.uk
Technician - Silversmithing & Jewellery	David Granville	d.granville@ulster.ac.uk
Technician - Wood and Metal	Ruaidhri Lennon	r.lennon@ulster.ac.uk
Technician - Ceramics	Brian McNally	b.mcnally@ulster.ac.uk
Technician - Mouldmaking, Casting & 3D form	Austyn Finnegan	ae.finnegan@ulster.ac.uk

For general issues such as IT or other University systems Faculty technicians can provide help. Keith Beckett is the main contact available at k.beckett@ulster.ac.uk. For other issues or unresolved issues contact the IT service desk. They provide a range of useful self-help resources and free software or applications available under a university reduced rate.

See the following URL: https://www.ulster.ac.uk/isd/getting-help/service-desk

RESEARCH INTEGRITY AND ETHICAL APPROVAL

Research Integrity

Integrity is fundamental to the research process and an important component of our research environment, demonstrating to partners and funders that we undertake excellent quality research to a consistently high standard. The importance of integrity is explained in this short video by Professor Cathy Gormley-Heenan (previous Deputy Vice-Chancellor): (https://www.youtube.com/watch?v=zMweTf7yOxo&feature=youtu.be)

The research integrity course is mandatory for all PhD researchers and **must be completed prior to undertaking the Initial Assessment**. This course is available via your Blackboard account.

Please note that all investigators named on applications to UREC, and via the IRAS system for studies in the NHS and HSC for which the University is sole or co-sponsor, are required to provide confirmation of successful completion before University approval will be granted.

Ethical Approval

The Research Governance and Ethical approval process can range in duration from several weeks to several months depending on its complexity and the rigour by which documentation is prepared.

The purpose is to
- Enable good research
- To avoid issues
- Protect participants and researchers
- Ensure ethical norms, fairness and inclusivity

It is relevant for all discipline subjects conducting research involving people and has been described as *"…**norms for conduct** that distinguish between acceptable and unacceptable behavior."* (Resnik 2015)*.* There are different categories of research ethics and within Art & Design, Category A is very common (require Art & Design Filter committee approval), occasionally Category B (Requires Filter committee and UREC approval) and seldom Category C (Filter committee and OREC NI Approval). We tend not to engage in Category D research.

If you are unsure if ethical approval will be required, please complete the Belfast School of Art assessment documents:

- AHSS Research Governance Assessment Form **(Appendix 5)**
- AHSS Research Governance Assessment Procedure **(Appendix 6)**
- A useful document is the RG1a Guidance **(Appendix 7)**

Category A	Category B
No NHS/HSC involvement	No NHS/HSC involvement
No new methodologies	New methodologies
No therapeutic interventions	Includes therapeutic interventions

Category C	Category D
NHS/HSC involvement	Research regulated by the Human Tissue Act 2004

There area number of useful documents you should be aware of :

- Ethical approval applications in Art & Design are managed using the online approval system https://ethics.ulster.ac.uk/portal/ethics.
- The University have an updated Policy on Research Ethics and Governance (2018)
- https://www.ulster.ac.uk/__data/assets/pdf_file/0003/331878/Policy-Human-Research-V5.pdf
- A dedicated resource has been provided by the University available once logged onto the University Portal at https://www.ulster.ac.uk/internal/research/governance-and-ethics
- For research involving Lone Working, please see the guidance on Fieldwork: https://www.ulster.ac.uk/__data/assets/pdf_file/0013/152212/Appendix14.pdf
- For General Data Protection Regulation (2018) there is a University summary to help you understand and protect data generated as part of research https://www.ulster.ac.uk/about/governance/compliance/gdpr

To make an application you should use the online ethics system (https://www.ulster.ac.uk/cherp/research/ethics-filter-committee).

You must include your supervisor as the Chief Investigator, and you should inform them when you have a draft application on the system for their review. Ultimately, they are responsible for your study. You may approach any committee member for their assistance. A current membership list is posted on our notice page. For guidance on how to use the system, select Art & Design from the drop-down menu, and follow the *'How to use this portal'* notice.

EVENTS AND LECTURE SERIES

The annual *PhD Research Festival* organised by the Doctoral College, showcases and celebrates PhD research excellence at Ulster under the University's key strategic research themes of: Creativity and Culture, Social Renewal, Sustainability and Healthy Communities. Each day of the Festival will begin with a keynote address followed by PhD Researcher Presentation sessions, Poster presentation and a Closing Reception with a Presentation of Prizes recognising the Best Presentation and the Best Poster, at each of the campuses.

Dates to be confirmed, but likely to be **early May 2022**.
https://www.ulster.ac.uk/conference/festival-of-phd-research

The Ulster University Postgraduate Journal for Arts, Humanities and Social Sciences entitled *Intersections,* was designed and launched by Belfast School of Art PhD Researchers. It is a journal for multidisciplinary exchange of new research and practice at Ulster University. It is an annual meeting place for the Arts, Humanities and Social Sciences to share reviews, processes and theories emerging from current practice-based, theoretical and historical research. The Journal is produced in Print and Digital format.
https://www.ulster.ac.uk/faculties/arts-humanities-and-social-sciences/research/postgrad-journal

There are calls annually too be part of the organising and peer review committee as well as an opportunity to publish. It is the expectation of the Research Unit (32) that our Researchers engage in some capacity.

Research and Professional Talks are provided to all staff and researchers. We have a formal talk series of 24 talks per year, organised by *Dr Aisling O'Beirn* as well as additional activities. Beyond the local scene we have had speakers from the R&D departments of Spotify and Hype Factory, Museums and International artists and researchers. These opportunities will be shared with you throughout the year.

The Ulster Research Salon seminar series runs under the direction of PhD researcher Alasdair Asmussen Doyle (2021/22). A schedule will be circulated.

Art & Design PhD seminar series* will encourage the sharing of progress with a particular emphasis on final year feedback as an option for final assessment. Occasional seminars will also be organised based around research methods and approaches in art & design (see below). These are organised by Dr Catherine O'Hara.

*online to Christmas 2021 and we'll review delivery in light of Covid19 restrictions.

OCTOBER 2021

- Library induction with Lorna Reid, Friday 15th October, 1.00-3.00pm, (1st years)
- 1st Seminar (in series) on *Impostor Syndrome*, Friday 29th October, 1.00-3.00pm, (all PhDs welcome)

NOVEMBER 2021

- Initial Assessment Briefing, Friday 12th November, 1.00 – 3.00pm (1st years)
- 2nd Seminar (in series), *Plagiarism/academic integrity, open access and maximising citations/impact* with Mick Carragher, Friday 26th November, 1.00-3.00pm, (all PhDs welcome)

DECEMBER 2021

- 3rd Seminar (in series), *Alternative | Appropriate writing modes to Art & Design PhD Research*, panel discussion, Friday 10th December, 1.00-3.00pm, (all PhDs welcome)

JANUARY 2022

- Initial Assessments, Monday 24th & Tuesday 25th January 2022 (1st years)
- 4th Seminar (in series), *Modes of Research Presentation (Conferences, symposia, publishing, exhibitions),* panel discussion, Friday 28th January 2022 (all PhDs welcome)

FEBRUARY 2022

- 5th Seminar (in series), *Post-Doctoral Opportunities in Art & Design*, Friday 25th February 2022, 1.00-3.00pm, (all PhDs welcome)

MARCH 2022

- 6th Seminar (in series), *Troubling the Practice Based PhD*, panel discussion, Friday 25th March 202, 1.00-3.00pm, (all PhDs welcome)

APRIL 2022

- Confirmation Assessment Briefing, Friday 29th April, 1.00-2.00pm, (1st years)
- 7th Seminar (in series), *Practice Led PhD Experiences | Reflections*, panel discussion, Friday 29th April 2022, 2.00-3.30pm, (all PhDs welcome)

MAY 2022

- 8th Seminar (in series), TBC - guest, Friday 29th May 2022, 1.00-3.00pm, (all PhDs welcome)

JUNE 2022

- 9th Seminar (in series), TBC - guest, Friday 24th June 2022, 1.00-3.00pm, (all PhDs welcome)
- Confirmation Assessments, Monday 20th & Tuesday 21st June, (1st years)

POST-DOCTORAL RESEARCHER POOL

As a final year PhD or a PhD graduate you may apply to be part of the HR Researcher pool. You should read the guidelines linked on the pinned column of this forum. You should also request a letter of commendation from your lead supervisor, which is a reference outlining your strengths and capacity as a researcher.

Postgraduate Research Experience Survey (PRES)

In alternate years there is an appraisal of the PhD experience nationally. We're keen to make sure PhD Researchers have the best possible experience while studying at Ulster University. To do that we need to know what you think we are doing well and what we can do better. In the first instance we hope you communicate with your supervisors, Post Graduate Tutor or Research Director.

RESEARCH TRAINING

The Researcher Development Programme is the main resource for training needs should be discussed with your supervisors and a plan set in place, in line with your research schedule. The Doctoral College offer many different training types, and we recommend that you browse these opportunities which are organised under four main categories. See the following URL https://www.ulster.ac.uk/doctoralcollege/researcher-development-programme

Engagement, Influence & Impact offers a range of writing support and effective communication courses aimed at the various stages of PhD study. Similarly preparing you for Viva and publishing. You can also undertake the *First Steps to Teaching*, contributing to the curriculum of the School and gain valuable accreditation towards an academic career. Other related support material provides support in preparing curriculum for students that you may be delivering to.

Knowledge & Intellectual Abilities covers the necessary skills you need for research. These include structural PhD content and in particular methodological approaches. We recommend that you consider your methodology and gain training in how to conduct systematic reviews, develop questionnaires, conduct focus groups or through the use of SPSS or NVivo to analyse your data accurately.

Research Governance & Organisation includes essentials in terms of preserving research integrity, which in itself is a primary responsibility for us all. In particular, ensure you complete the Research Integrity training. There is also training for working with vulnerable groups. See the Ethical Approval Section of this Induction booklet for our school processes, which are mandatory should you involve people in your research.
The Belfast School of Art also organise training sessions, for instance engagement with groups like the *NI Pain Forum* or safeguarding training with *Volunteer Now*.

Personal Effectiveness supports our Researchers in the development of their research or academic career. There are training programmes on managing stress which are recommended, as PhD research can feel isolated and challenging at times. However, remember, it's only a PhD! The Research Director, Postgraduate Tutor and supervisors are always available should you need to talk through times when you feel challenged. More often than not, self-management or stepping back for a more holistic view of the task at hand helps. However, there are times when life's challenges are greater. In this case staff they may signpost you to Student Support who have a range of expertise on campus. You may also approach Student Support without referral.

Other training may be applicable and within the Belfast School of Art, some researchers gain this through working part time in the wider Arts sector. We have links with organisations such as the MAC and National Museums NI (where a collaborative agreement exists).

PUBLISHING YOUR RESEARCH

We encourage you to submit your research dissemination through the Research portal PURE (https://pure.ulster.ac.uk). This allows us to maintain a good record of PhD publication activity. There is an internal URL to help support you with the use of PURE which also advertises when workshops will take place on campus. You must send an expression of interest should you wish to attend such workshops, as they will not run if attendees are not confirmed https://www.ulster.ac.uk/internal/research/puresupport.

Within Art & Design solo publications can be common, for instance an element of practice. However, where there is text-based research you should ensure that your supervisors have an opportunity to actively support or contribute. Where there is a significant contribution, they should be included as co-authors. There are mutual benefits where research become connected. However, we do not support honorary co-authorship.[1]

This should include a brief explanation of OA and a link to Ulster procedures. https://www.ulster.ac.uk/ref/updates/publications/ref-2021-open-access-policy-an-update

SOCIAL MEDIA POLICY AND RESEARCH PROFILE

As a PhD researcher, the same Student Social Media Policies apply to you as Students and staff.   These policies are available at https://www.ulster.ac.uk/__data/assets/pdf_file/0004/207391/Student-Social-Media-Policy-Dec-16.pdf. They deal with advice on conduct, safety and social media presence. As part of your research presence, you should record activities and research publications on the PURE system (https://pure.ulster.ac.uk/). This is a database where you can manage your research profile. Similarly as you move into the world of research beyond Ulster, you should secure an independent Research ID through ORCID (https://orcid.org/). PURE and ORCID are compatible for easy import/export of data.

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[1] "Honorary coauthorship," defined as the listing of the names of mentors, associates, and friends on articles, even when they have not been consolidated for academic purposes.

PROFESSIONAL MEMBERSHIPS

As part of Belfast School of Art you may have access to the following organisations

Institute of Designers in Ireland (IDI)

http://www.idi-design.ie/

The Art & Design Research Unit has purchased College/University Full Membership which means that BSoA colleagues can take advantage of the benefits of membership which can be seen here http://www.idi-design.ie/join/why-join/member-benefits/

Email Sorcha O 'Raw, the IDI Membership Coordinator at: info@idi-design.ie . She will handle the individual application and set up the membership. If individuals are already members (from last year) this will carry over, Paul Brown is coordinating this.

Council for Higher Education in Art and Design (CHEAD)

CHEAD is the representative body for the art, design, creative media, and related disciplines in higher education. As a corporate member we may attend events which provide networking and training opportunities to keep up to date with sector developments. See here for more information and events https://chead.ac.uk/

AHRC Creative Cluster: Future Screens NI

Staff form Belfast School of Art are Co-investigators on the Multimillion-pound AHRC Creative Cluster Research Grant (AH/S002855/1 https://gtr.ukri.org/project/DFFFA501-DCF2-422B-B6F6-8BFF0A4AE093) . This research which also attracts similar match funding from industry may be able to connect your work with the industry sector. For more information see Future Screens NI website (https://www.futurescreens.org/) and talk to Prof Justin Magee.

ATTENDANCE & ABSENCES

Attendance to University on a regular basis is expected, except by agreement of your supervisor or the Research Director. Hours should be agreed with your Supervisors. Typically, PhD Researchers will work 35-40 hours per week, between core hours of 9:00am- 5:00pm. Holidays, as approved by the Supervisor are allowed within the period of the Studentship. These must not exceed a total of eight weeks including public holidays (40 days) per year. Any periods of sickness should be notified to your Supervisors.

If you experience some health, family or other problems that make it difficult for you to continue working on your PhD research project, you may need to consider applying for leave of absence. Funded PhD researchers should be aware that they may normally only be allowed Leave of Absence (LOA) for a maximum of one year, and that their maintenance allowance is suspended during any Leave of Absence. It is also important to note that Leave of Absence is not permitted if the main reason is to take up paid employment. Should you need any advice on Leave of Absence you can ask you Supervisor. Support is also available through the Doctoral College and Student Support.

STUDENT WELLBEING

Our PhD researchers may also utilise the student wellbeing resources offered to all undergraduate and postgraduate students. See the following URL
https://www.ulster.ac.uk/wellbeing/home

Student Wellbeing offer Counselling, Triage, Disability services and needs assessment, Sexual health clinics, Financial advice, Support programmes and a chaplaincy.
The Belfast campus opens from 08:45 to 17:00 every day, but closes at 16:00 on Friday.

Room BA-02-034
York Street
Belfast
BT15 1ED

Telephone: +44 (0)28 9536 7000
email studentwellbeing@ulster.ac.uk

Counselling is offered 24/7 for all. They work in collaboration with Inspire to provide a confidential counselling service that is free to all Ulster University students. The counsellors are fully trained and experienced in working with students with a wide range of problems.
Call the 24-hour free phone number 0800 028 5510 or email
ulsterstudents@inspirewellbeing.org

Visit their website and be familiar with the range of support they can provide should you need it. As a valued member of the University, you may also wish to be proactively involved with the Mind Your Mood Campaigns in support of students and staff who from time to time need support.

Student Wellbeing Contact:

Maelisa Kennedy ,Student Wellbeing Adviser
Student Wellbeing Team
Belfast campus
Room BA-02-035
Belfast ,BT15 1ED
Telephone: +44 28 9536 7036
Email: m.kennedy1@ulster.ac.uk

Miscellaneous

[Occupational Health](#)- for information regarding occupational health and the services available https://www.ulster.ac.uk/healthandsafety/occupational-health

First Aid/ Defibrillator available from Belfast Security [(+44 2895 367251)](#). In event of an emergency requiring Police, Fire or Ambulance dial (9)999 directly then contact security immediately.

OPTION FOR RESEARCHERS TO PURCHASE LITERATURE DIRECTLY FROM SAGE

As we do not have a campus bookshop, SAGE are offering students the option to buy their core/reading list texts directly from their website (https://uk.sagepub.com/en-gb/eur/books) by entering the unique 'DTS' code (**UK13STULS**). It entitles the students to 25% discount plus free postage and packaging in the UK for any SAGE text on your reading list. This link and code can be circulated to the students and uploaded to your vle/blackboard.

However, the library will consider purchasing books that will have a broad appeal. If it is particularly specialist, speak to your supervisor who may be able to make a case for purchase.

COVID-19 GUIDANCE

The guidelines regarding our response to COVID-19 supporting your PhD studies is constantly changing as we remain as agile as possible in uncertain times. This section provides links to the most up to date information and some general guidance for your information.

See here for the latest guidance: https://www.ulster.ac.uk/coronavirus

There continue to be mitigations in place for the PhD Suite:

   i.   Wearing a mask within the University.
  ii.   Observing one way systems
 iii.   Observe social distancing
  iv.   Washing hands often
   v.   Air conditioning has been modified with no circulated air and sufficient air flow
  vi.   A partition is in place around the Apple Mac for individual use
 vii.   The entire space is treated with Electro-static control and is scheduled for re-application every 14 days.

<u>Online systems:</u>

There are several systems that are increasingly important as you work remotely for some of your activity.

   i.   **Portal:** The Portal is your main place connecting you to other systems for your University life. http://portal.ulster.ac.uk

        a.   The Student section, provides information regarding general study, including the library (and its databases), BBL, fees, and services such as IT support.
        b.   The Research section include specific information for the Research community including Research ethics, PhD manager, Research Development Programme, wellbeing and PURE

ii. **PhD Manager:** This is your record of supervision meetings and progress. It should be used for all of your engagements with your supervisors
https://phdmanager.ulster.ac.uk/

iii. **BBL:** Black Board Learn is used in some instances to share learning content with you

iv. **MS Teams:** Microsoft Teams is a communication platform. There has been a PhD Team set up for you with several channels of communication. You have been added to the Team and should have an invite in your email inbox. You may use this as a discussion forum around separate topics. The mobile app is very useful and may be downloaded from Apple or Google. If you need a specific Team set up for collaborative work with external partners this can be requested at::
https://forms.office.com/Pages/ResponsePage.aspx?id=h5QLb6hPqEKutL8uLCLU6 D7RoKD0jWVBn7UO3SxAcl9UQVE2ODg4QkY4MlcwWjNYUk1OWkZQRUZHOCQl QCN0PWcu

v. **Ethics**: Online ethical approval applications (you will have to log in to access)
http://ethics.ulster.ac.uk

Assessments: All assessments may well be conducted remotely using MS Teams. These have been done successfully this year for initial assessment, confirmation assessment and for final viva examination.

FINANCE PROCEDURES

APPLYING TO SPEND YOUR RTSG

If you are wanting to spend your RTSG allowance, then you should follow this procedure:

1. In the first instance the PhD Researcher should contact Elaine McCoubrey
   (e.mccoubrey@ulster.ac.uk) with details of what they wish to use the money for and an accurate assessment and breakdown of the costs. **At this stage PhD Researcher should show that they have the support of their lead Supervisor.**

2. Elaine will then check to see if PhD Researcher has funds available to cover the proposed expenditure. If funds are available, then Elaine will forward details to the Research Director, Art & Design for "approval in principle".

3. **APPROVAL OF PROPOSED EXPENDITURE ON A VISIT OR COURSE OF STUDY**

   If the Research Director approves the expenditure for Travel, Fieldwork, Conference attendances, external training events etc, then:

   a) Elaine will advise the PhD Researcher and ask them to complete a Prior (PA) Approval form (see Appendix 2). It is usually best to over estimate expenses on the Prior Approval to enable processing of claims.
   b) Once received Elaine will forward the PA form to the Research Director for formal approval and then to UU's Finance Payments team who issue a Prior Approval number.
   c) Once the PA number is issued, the PhD Researcher can use it to book travel, accommodation etc via UU's Travel agents Key Travel https://www.keytravel.com/country-select .

   d) Alternatively, **if the PhD Researcher doesn't have time** to contact Key Travel, then they can either:

      i. contact Elaine who should be able to make the bookings using her university purchasing credit card or
      ii. make the bookings themselves and claim back via the expenses claim form.

   e) **Claiming Expenses**

      When a PhD Researcher is on a visit or course of study, they should keep all receipts (travel, accommodation, conference booking (if appropriate) and subsistence costs) and when back at the University complete expenses claim form (see appendix 3).

      Note that:

      i. The PA number and Student number should be quoted on any expenses claim.
      ii. Original receipts must be attached to the claim form (bank or credit card statements are not accepted by the finance department).
      iii. The total of the claim made on the form should correspond with the total of the receipts attached.
      iv. Any claim made on the expenses form should correspond with the items of course/conference fees, travel, accommodation, subsistence etc on the PA

application. Claims for more than applied for are likely to be rejected by the Finance Payments team).

v. Once the claim has been satisfactorily checked it will be authorised by the Research Director and forwarded to the Finance Payments team for processing. Elaine will then process the claim and you will be reimbursed in due course.

4. **APPROVAL OF PROPOSED EXPENDITURE ON EQUIPMENT/MATERIALS**

If the Research Director approves the expenditure for laptops, equipment, materials etc, then:

a) Elaine will advise the PhD Researcher and ask them to complete an Application for Approval of Proposed Expenditure on Equipment/Materials form (see Appendix 4).
b) Once received, Elaine will forward the form to the Research Director for formal approval and proceed to purchase the items(s). Elaine may need to contact the PhD Researcher to confirm the items required, delivery address or if there are any issues with the purchasing or delivery process.
c) Please note that any equipment purchased will remain the property of Ulster University and be on loan to you for the purpose of your Research. On completion the equipment should be returned to us.

5. **NON-APPROVAL OR LACK OF FUNDS**

Elaine will contact the PhD Researcher to advise if the Research Director does not approve expenditure or if they do not have sufficient funds in their Research Training Support Grant.

UNIVERSITY OF ULSTER

APPLICATION FOR APPROVAL OF PROPOSED EXPENDITURE
ON A VISIT OR COURSE OF STUDY

NAME : ....

Claim No. ☐☐☐☐☐☐☐

Contact Address/RoomNumber (including school &
faculty where applicable) ....

Staff No. ☐☐☐☐☐☐☐☐

 ....

Contact Number Telephone/Extension…………………………………………..

Place of visit/course ....

……………………………………………………………………………………………

Purpose of Visit/Course ....

Duration of visit/course: FROM .... 20 ....   TO .... 20 ......

Estimated Cost:

	£	p
Course Fee ……………………………………………………..		
Subsistence …………………………………………………….		
Air/Boat Travel…………………………………………………..		
Coach /Taxi………………………………………………………		
Rail Travel ……………………………………………………..		
Sundries (please specify)………………………………………………		
Total		

Cost Centre ⌊_|_|_|_|_|_|_|_|_|_⌋

IF THE TOTAL IS £1000 OR MORE A BUSINESS CASE IS REQUIRED

Signed ....Applicant   Date ....

I recommend the approval of this application   ……………………………………………………………..

.... Dean/Head of Department

For use by Finance Officer   Claim No. ☐☐☐☐☐

To : ....

DESIGNATION ....

Your application for proposed expenditure on a visit / course from .... 20 ....
to ....20 .... has been considered and the amount provisionally

approved is £ .... Receipts as appropriate must be attached to final claim.

Date: ....20 .... Signed:

UNIVERSITY OF ULSTER

CLAIM FOR TRAVELLING EXPENSES AND SUBSISTENCE ALLOWANCES

ON A VISIT OR COURSE OF STUDY

NAME OF CLAIMANT: ....

DESIGNATION (Including
Faculty where applicable) ....

Visit to ....

Staff No.
PA No.

Period from .... a.m. on .... 20 .... to .... p.m. on .... 20 ....

Purpose of Visit: ....

DETAILS OF CLAIM:

Course Fee ....

Air Travel (Tourist Class)/Boat Travel (Authorised Class) ....

Rail Travel ....

Coach/Bus Fares/Car Expenses ....

Taxi Cabs ....

Meals ....

Other (please detail) ....

(Vouchers and Receipts must be attached. Failure to provide may render the claim for that item invalid).

Cost Centre ☐☐☐☐☐☐☐☐   Total

Analysis Code ☐☐☐☐☐   Less: Advances   _____

                                        Total Amount Due   _____

I certify that this expenditure was incurred solely on behalf of the University of Ulster and that the allowances claimed are in strict accordance with the prescribed Regulations.

Date:................................... Signed: ....
                                        Claimant

This claim is recommended for payment.

Date:................................... Signed: ....
                                        Authorised Signatory

TRAVELLING AND SUBSISTENCE

Travelling Expenses

Travelling expenses necessarily incurred by employees in the performance of their official duties will be reimbursed after authorisation, on the basis of actual expenditure incurred subject to the following:

Air Fare		-	Business/Economy Class
Rail and Sea Travel		-	Fares by rail (second class) and by sea (first class)
Bus, Tube and	)	-	On the basis of actual expenses
Taxi fares	)	-	incurred

(NOTE: It is expected that employees will only use taxis where no public transport is available).

Subsistence

Day subsistence allowances are payable only when an employee is absent from his normal place of work on official business and necessarily purchases a meal at greater cost than if he had been at his normal place of work.

Night Subsistence Allowances

Night subsistence allowance covers an overnight absence of 24 hours plus any additional period not reckonable for day subsistence allowance.

NOTE: Night subsistence allowances will be abated in the following circumstances:

Circumstances	**Abatement**
The employee stays at a University or other Educational Institution's Halls of Residence.	Half normal night subsistence rate.
The employee travels by sea and occupies or could have occupied a sleeping birth.	Half normal night subsistence rate.
The employee travels by rail and occupies or could have occupied a sleeping birth.	Half normal night subsistence rate.

NOTE: No subsistence allowances are payable in respect of residential conferences for which the University meets full costs.

ALLOWANCES

For each night's absence on University Business		For absences on University Business which do not extend overnight but last for a continuous period of more than 10 hours.	For absences on University Business which last for a continuous period of more than 5 but not more than 10 hours
In N. Ireland and Gt. Britain	In London	In N. Ireland and Gt. Britain	In N. Ireland and Gt. Britain
£105.00	£130.00	£9.30	£4.25

NOTE: Subsistence expenses in respect of foreign visits including the Republic of Ireland will be based on actual costs.

MOTOR CAR MILEAGE ALLOWANCES

Cars with engine Capacity	ALL
	p per mile
Up to 10,000 miles	40
Over 10,000 miles	25
Public Transport Rate	23.8

Art and Design Research Institute (UoA32)

Application For Approval of Proposed Expenditure On Equipment/Materials

Student Number B00 ………………………….

Name : …………………………………………………………………………………………………….

Email Address : ……………………………………………………………………………………………

School, Faculty & Campus : …………………………………………………………………………….

Detailed Description of Item required :

……

……

Link to item online purchase site : ………………… ....

Estimated Cost : …………………………………………………………………………………

Reason for purchase of item (brief summary/case)

……

……

……

……

……

……….

Has this purchase been supported by your lead Supervisor ?   Yes/No

Signed …………………………………………………………. Application Date …………………..............

APPROVAL

Application Approved by Research Director Art & Design (UoA32)   Yes/No

Name of Research Director ……………………………………………………………………………..

Signature ………………………………………………………………………………………………………

Date Approved ………………………………………………………………………………………………

Faculty of Arts Humanities & Social Sciences
Research Governance Assessment Form

SECTION 1: *Please complete the following details <u>in full:</u>*
Undergraduate □ **Taught Postgraduate** □

STUDENT NAME

STUDENT NO

COURSE TITLE

MODULE

DISSERTATION TITLE

ASPECT INVOLVING HUMAN CONTACT:

START DATE   **COMPLETION DATE**

SUPERVISOR

Please consult the Universities Policy on Research involving human participants and answer the following question by selecting **YES** or **NO**.

Does your project involve human participants or subjects in any way? This includes interviews, focus groups and questionnaires or observation or research interventions of any kind.	**YES/NO**

If you have answered **NO** to the question above then the research does not require Filter or Ethical Review and your project can proceed immediately. Please sign and date the declaration below. If you have answered **YES** to the question then you must proceed to section 2 of this application form.

Declaration by the Student and Supervisor: I have taken the Universities Policy on Research involving human participants into account and confirm that the assessment above is accurate and that the project does not require review by the Filter or Ethical Committee. Staff should also have completed Research Integrity Training.

Student Signature:	Date:
Supervisor Signature:	Date:

Section 1 of this form should be bound into the project, dissertation or thesis (Via BBL) and an electronic copy sent by email to the Chair of the Filter Committee, Ralph Sander r.sander@ulster.ac.uk, Belfast Campus.

Any significant change to your dissertation will require a further assessment and you should seek guidance on this from your supervisor.

Please note that the consequence of embarking on research involving human subjects without having received filter committee approval is failure of the dissertation.

SECTION 2:

*Please select either **YES** or **NO** to each of the questions in PART 1 and PART 2 below: An answer of **YES** will imply ethical and/or risk issues in the research project.*

PART 1   ETHICAL ISSUES   If YES please give details in Section 3:

Answering YES won't necessarily prevent your research from being undertaken but implies that you must discuss these aspects of your research with your supervisor and give this application careful consideration.

1. Does your research concern contact with persons aged less than 18 years?	**YES / NO**
2. Does your research involve patients/residents in nursing or residential care homes or are they currently a client in the health service? (Note an answer yes here will most likely imply that your research be reviewed by UREC)	**YES / NO**
3. Does your research involve participants who are very elderly?	**YES / NO**
4. Does your research concern any person with a learning disability of any form?	**YES / NO**
5. Does your research concern the use of psychometric tests?	**YES / NO**
6. Does your research concern the use of a test of ability or skill?	**YES / NO**
7. Does your research involve participants who are being detained for criminal, immigration or mental health purposes?	**YES / NO**
8. Does your research concern investigate topics that your participants might experience even minor fear, upset or distress? Will any probing personal questions be asked?	**YES / NO**
9. Does your research seek, collect and/or store sensitive personal or commercial information relating to your interviewees or the participants in your study?	**YES / NO**
10. Does your research collect data that means a participant can be identified in the research project? i.e. your work cannot guarantee confidentiality and anonymity to all participants	**YES/NO**

PART 2   RISK ISSUES   If YES please give details in Section 3:

11. Does your research require one to one or group interviewing in private accommodation? e.g. private housing.	**YES / NO**
12. Does your research involve significant travel beyond that which you normally would undertake?	**YES / NO**
13. Does your research involve the unsupervised use of power or workshop tools and equipment?	**YES / NO**
14. Does your research involve visiting licensed premises or private clubs?	**YES / NO**
15. Does your research involve visiting a hospital or other medical centre?	**YES / NO**
16. Does your research involve contact with persons who have committed a criminal offence?	**YES / NO**
17. Does your research involve participants testing a designed prototype, or coming into contact with a food or other chemical substances?	**YES / NO**
18. Does your research involve you or your participants undertaking any physical activities?	**YES / NO**

Please note that a separate risk assessment will be required for your project, dissertation or thesis.

PART 3a   STUDENT DESCRIPTION OF RESEARCH

Students **must** complete this section

> In a short text (50-100 words) or bullet points students should give a description outlining the nature of involvement with human participants in the research.

PART 3b   SUPERVISOR STATEMENT

Supervisors **must** complete this section

> In a short written statement the supervisor should advise the committee on the management of the research and the minimisation of any ethical or risk issues in the project.

If you have answered **NO** to all of the questions above and the ethical and risk issues are being managed well by your supervisor then the project does not require further Filter or Ethical Review and your project can proceed. Please sign and date the declaration below.

Declaration by the Student and Supervisor: I have taken the Universities Policy on Research involving human participants into account and confirm that the assessment above is accurate and that the project does not require review by the Filter or Ethical Committee. *I agree that if there is any change to my project, I will inform my supervisor immediately.*

Student Signature:	Date:
Supervisor Signature:	Date:

Section 1 and 2 of this form should be bound into the project, dissertation or thesis and a digital copy should be sent by email to the Chair of the Filter Committee, Ralph Sander r.sander@ulster.ac.uk, Belfast Campus.

Any significant change to your dissertation will require a further assessment and you should seek guidance on this from your supervisor.

If you have answered **YES** to any of the questions above in Section 2 then you must make a formal application for ethical approval using the University Research Ethics Documentation (RG1a, RG2 etc) . Forms are available at
https://internal.ulster.ac.uk/research/rg/governance.php

Declaration by the Student and Supervisor: I have taken the Universities Policy on Research involving human participants into account and confirm that this research requires Research Ethics Committee approval. I will liaise with the Chair of the committee to progress this application

Student Signature:	Date:
Supervisor Signature:	Date:

Please note that the consequence of embarking on research involving human subjects without having received filter committee approval is failure of the dissertation.

<u>Procedure for reviewing research projects by undergraduate and taught postgraduate students</u>

<u>Faculty of Arts Humanities & Social Sciences (AHSS)</u>
<u>Belfast School of Art</u>

Overview

There is a difference between Research and Market analysis. We need to ensure that Students are not conducting unnecessary research that may incur need for ethical approval. In most cases a robust literature review should be able to yield the appropriate type of data to inform an undergraduate project. There is a vast amount of research literature available, conducted with robust statistical analysis and are ethically approved. The first question to ask is do you need to conduct first hand research such as a questionnaire or focus group or is similar and perhaps better information available elsewhere. Good research involves roust literature reviews, using library databases and should be rewarded over a poorly thought out questionnaires, where better information already exists in the public domain.

The following are the guidelines for Taught programmes from the Teaching and Learning Committee

RIC Min 13.19 (2013)
Compliance with Research Governance Procedures b.
Suggestions had been made and discussed at RGSC for consideration by Research and Innovation Committee and subsequent recommendation to Teaching and Learning Committee, including –

- *Undergraduate students, except where necessary to meet the requirements of professional competence/experience, should be discouraged from undertaking studies involving direct access to human participants (or animals);*
- *Where such studies were undertaken, confirmation of ethical approval or clear evidence of exemption from review should be bound into all outputs (projects, dissertations);*
- *Where a student has carried out a study that required ethical review but this has not been obtained, marks should be deducted or discounted entirely; where necessary appropriate disciplinary action should be instigated;*
- *Consideration should be given to embedding the online integrity course into all masters research modules and undergraduate courses; It was AGREED that the four points under b. above should be recommended to Teaching and Learning Committee for consideration.*

See https://www.ulster.ac.uk/__data/assets/pdf_file/0019/250903/15-Research-Governance.pdf

It is possible that your research may involve basic market analysis or for examples a product usability survey. In these cases you need to ensure that you avoid any contact with vulnerable groups (e.g. no work directly with children, elderly, individuals with a disability or learning need etc.). Also avoid delicate issues, such as questionnaires around metal health and social or personal issues that may cause distress.

- *When collecting market analyses data, there should be <u>no</u> personal information collected of any sort and it should relate to demographic type information only. Nothing personally invasive.*
- *In product testing, there should be <u>no</u> safety risk. So, for example testing a user interface function, or opinion on the aesthetic, tactility, ergonomic function of a product is fine.*

The next section helps you decide if Research Ethical Approval is required.

Determining if Research Ethical Approval is Required

- Students are assigned a supervisor.

- In the pre-data collection stage students draft a "AHSS Research Governance Assessment Form".

- The student's Form is passed to the supervisor who reviews it and clarifies which of the following pathways through the process will apply:

PATH A The research does not involve human contact in any form and **NO** is selected as an answer to the question in Section 1. This means that the research project does not require any Filter or Ethical Review. The supervisor and the student sign and date the declaration and the research can proceed immediately. A paper copy of this section of the form is sent by email to the chair of the Filter Committee and a copy is bound into the project, dissertation or thesis (via BBL).

PATH B The research involves human contact and **YES** is selected in response to the question in Section 1. The student then proceeds to Section 2 and gives consideration to the questions in 'Part 1 Ethical Issues' and 'Part 2 Risk Issues'.

If the student answers **NO** to all the questions in this section they should proceed to PATH C1 below. If the student answers **Yes** to any one of the questions in Section 2 in 'Part 1 Ethical Issues' and 'Part 2 Risk Issues', then they should proceed to PATH C2 below.

PATH C1 The student has answered **NO** to all the questions in Section 2.

He/she should write a short statement about the nature of the human involvement in 'Part 3a Student description of research', sign the declaration at the end of this page and hand the Form to his/her supervisor. In 'Part 3b Supervisors Statement' the supervisor **must** complete a short written statement advising the committee on the management of the research and the minimization of any ethical and risk issues in the project. The Supervisor must sign the Declaration at the end of Section 2. A paper copy of this Section 1 and 2 of the form is sent by email to the chair of Filter Committee and a copy is bound into the project, dissertation or thesis (via BBL).

PATH C2 The student has answered **YES** to any one of the questions in Section 2.

He/she must complete Section 3 of the form and the Supervisor must complete this section by reviewing the Form and indicating which of the following applies:

1. No ethical or risk issues
2. Ethical or risk issues
3. Insufficient information
   If option 1 is not selected, the supervisor gives an explanation.

- **All** completed forms under this pathway (PATH C2) are returned to the Chair of the Faculty Research Governance Filter Committee by email to Ralph Sander r.sander@ulster.ac.uk, Belfast Campus for review by the Faculty Research Governance Filter Committee.

- Applications are reviewed on an ongoing basis throughout the year, but you should plan well in advance as it may take a number of weeks and in some cases months to develop and process an ethics application.

The Faculty Research Governance Filter Committee Process

- A Faculty Research Governance Filter Committee is convened soon after an application is received. Normally within 2 weeks (depending on the time of year and completeness of application)

- The filter committee reviews each of the applications and reaches one of the following decisions:
    - The project is **approved**
    - The project is **approved with conditions** – here an explanation is provided as to what the student is required to do e.g., *ensure that someone accompanies you to the locations where the data collection will take place.*
    - The project is **rejected** – here an explanation is provided and the student is required to amend the proposal/create a new proposal and resubmit to their supervisor and to the committee as outline above.

- On **approval** the chair signs the Section 4 of the Form and emails this to the supervisor advising that approval has been granted for the research to proceed.

- Notification of **approval** will be received by the supervisor within three days of the committee meeting and these dates are in the schedule at the end of this document.

- Where projects are **approved with conditions**, the student and supervisor consider any recommendations and where requested submit clarifications and amendments to the Chair directly. On receipt of appropriate clarifications, the chair grants approval, signs the Section 4 of the Form and emails this to

the supervisor advising that approval has been granted for the research to proceed.

- Where applications are **rejected**, an explanation is provided and the student is required to amend the Form or create a new Form and resubmit to their supervisor and to the committee as outline in the procedures above.

- A record - in the form of a table – is kept by the Faculty Research Governance Filter Committee of all projects and the decision reached. This is recorded and forwarded to the Research Office as part of the committee's procedures.

- In all pathways students are required to include their self-assessment or approval form as an appendix in their project, dissertation or thesis.

The Faculty Research Governance Filter Committee can only approve Category A research projects. Category B, C and D research must receive further review by UREC. Category C will also need HSC OREC approval. Please contact the Chair of the Filter Committee with regard to research in these categories.

Category A	Category B
No NHS/HSC involvement	No NHS/HSC involvement
Conducted by staff or students	Conducted by staff or students
No new methodologies	new methodologies
No vulnerable populations	includes vulnerable populations
No therapeutic interventions	therapeutic interventions
No evident risk to participants/researchers	possible risk to participants/researchers
Category C	**Category D**
NHS/HSC involvement	All research regulated by the Human
Conducted by staff or students	Tissue Act 2004
	Conducted by staff or students

Key University of Ulster Leaflets and Policy Links

- Research Governance and Research Ethics intranet:
  https://internal.ulster.ac.uk/research/office/rofficeeg.php
- Code of Practice for Professional Integrity in the Conduct of Research
  https://internal.ulster.ac.uk/research/policy/Policies&Proced/0815%20CoP%20Prof%20Integrity%202015%20-%202016%20PDF.pdf

UNIVERSITY OF ULSTER

RESEARCH GOVERNANCE

Guidance Notes on Completion of Form RG1a and associated documentation

SECTION A

Form RG1a is the University's own research ethics and governance application form. It is for use by staff and students who are conducting research studies on human subjects and which fall into research categories A, B and D (non-NHS/HPSS). It should not be used for research being conducted in collaboration with the NHS/HPSS; the national NHS application form (also known as the NRES/ORECNI form) must be used in such cases.

Chief Investigator

The Chief Investigator (CI) should normally be an appropriately experienced academic or academically trained member of staff of the University and should have experience relevant to the proposed study. The University has decided that CIs should be staff because of issues related to experience, accountability, continuity and indemnity. For student projects, the CI will normally be the first-named supervisor.

Title

The project title must be given in full. This is the title under which the project will be recorded. It must remain unchanged in all correspondence and in use. The project will also be given a reference number by the Research Governance section. If you do not have a reference number, then it is likely that your project has not been fully reviewed and recorded and does not, therefore, have the University's permission to proceed.

Other Investigators

All staff, students and any other investigators involved in the study should be named. For student projects, all supervisors (other than the first-named supervisor – see CI above) should be recorded.

Declaration

The CI should assess and indicate the category of the research (A B or D – see *Policy and Procedures*) and confirm that the research will be conducted appropriately by signing the declaration. (For definitions of research categories please see http://www.ulster.ac.uk/research/rg/governance_policy.html)

Peer Review

The application should be submitted for peer review. This should be carried out by one or more members of academic staff or equivalent who are independent of the research team involved in the study but are sufficiently knowledgeable to be able to make an informed judgement on the scientific quality and viability of the research and the suitability of the CI to conduct it. Advice on accessing a suitable reviewer is available from the chairperson or administrator of your filter committee (please see below). For student projects, peer review may be arranged by the course director or module co-ordinator.

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Filter Committee

All applications must go through a filter committee. The role of filter committees is to scrutinize applications to ensure that they are complete, properly presented, ethically sound and generally viable. A filter committee will either need evidence that peer review has been conducted (a complete RG2 form) or will conduct the peer review as part of its scrutiny. For category A research, an opinion from a filter committee is sufficient for research to proceed. For category B and D research, further ethical consideration will be required by the University Research Ethics Committee.

SECTION B

Please remember that the **form RG1a** is only part of the information required. Where relevant, you must also provide a **project description/protocol complete with pertinent references**, a **statistical model**, a **subject information sheet** and a **consent form**.

1.   Where will the research be undertaken?

        Please indicate precisely where the research will be undertaken, including an address (for example name of laboratory or other facility, room number, town, district, school etc).

2.   Prior approval and /or funding

        Please confirm whether or not the research has already received any approval from, for example, an ethics committee in another jurisdiction such as the Republic of Ireland, or funding from, for example, a charity or funding body.

        You must also disclose any commercial interest in or sponsorship of the study and bear in mind that conflicts of interest can arise.

3.   Duration

        Please provide the start and end dates and duration – this information will be used to remind you to provide progress and final reports. The start date – beginning of data collection; the end date – completion of the study.

4.   Background to and reason(s) for the project

        Please provide a brief summary description of the background to the study and the reason for conducting it. This should reflect the complete information contained in the project description/protocol and be written in language that is comprehensible to a non-expert or lay person.

5.   Aims of the project

        Please provide a brief summary of the aims of the project. These should be clear and unambiguous and should demonstrate that the potential outcomes and the uses of the information being sought have been thought through and are compatible with the reasons given for undertaking the study in the first place. This should reflect the complete information contained in the project description/protocol and be written in language that is comprehensible to a non-expert or lay person.

6.   Procedures

        a.   Methods

Please provide a brief summary the methods to be used. You should include all relevant procedures in detail but not extensive laboratory methods. Again, this should reflect the complete information contained in the project description/protocol and be written in language that is comprehensible to a non-expert or lay person.

Separate guidance on writing and presenting a **project description/protocol** is provided in Appendix 1.

       b.   Statistical techniques

Most studies will rely on an appropriate statistical model to underpin their viability and effectiveness. This is likely to include a calculation to determine the appropriate number of subjects and also techniques to analyse and present the data once it has been obtained. Advice on relevant statistical models should be sought from your research group or course director/supervisor. It is accepted that there will be some exceptions (for example, some single-case studies and certain qualitative studies). A description of the statistical model should be presented on a separate page. Guidance on preparing an appropriate **statistical model** is provided in Appendix 2.

7.   Subjects

       a.   Numbers of subjects

Please clearly state the numbers of subjects to be recruited by group where appropriate. You might have a treatment group, a placebo group and controls, for example. The rationale for the number must be clearly stated in your statistical model and protocol.

       b.   Vulnerable groups

Please clearly state whether any of the subjects are from a vulnerable population (refer to *Policy and Procedures*). Vulnerability will have implications for the viability of the study, access to subjects, insurance and other matters.

       c.   Inclusion and exclusion criteria

Please clearly describe the criteria used to determine who is eligible/ineligible to take part. This might take into account existing medical or other conditions, age, gender, socio-economic circumstances etc.

       d.   Inducements or rewards for participation

Please indicate whether or not subjects will be offered any financial or equivalent inducements or rewards. If these are to be offered, you must ensure that they are commensurate with the commitment from or inconvenience to those taking part. They should not be sufficiently large that they are likely to cause potential subjects to be attracted to take part in the study for financial gain.

       e.   Recruitment

How and where subjects are to be recruited are important. Are they to be recruited in the workplace, at school/university or on the street/at home? Who will recruit them? How will they be identified and how will their contact details be accessed? How will you make contact (please also refer to section 12 – consent form and information sheet).

8.   Ethical implications

        This is your opportunity to describe the ethical implications of the research. There is a great deal of information available about research ethics (see the full text policy and procedures and Ethical Consideration Guidelines). The usual concerns are about the risk to subjects (and researchers) of discomfort, pain and emotional upset. Vulnerability, information and consent, follow-up contact and treatment are also issues raised by ethics committees.

        Please think carefully about your project and discuss it with others to try to identify the ethical issues and, where possible, find ways to deal with them. A change of approach or even, in some cases, a change of wording might be sufficient.

        You should note that where there are serious and/or insurmountable ethical issues or objections, it is likely that the study will be denied permission to proceed.

9.   Informing subjects' GPs

        Please consider whether subjects' GPs should be informed of their involvement and also of any outcomes (with the subject's permission, of course). Your study might show an undiscovered underlying condition and there could be implications for treatment. You might also find that a subject has a pre-existing condition that is not compatible with the study.

10.   Risk Assessment

        Most studies will carry some risk. This might be relatively minor or it might be serious and substantial. The research proposal should demonstrate that the benefit expected outweighs the risk-exposure. The benefit may be partly or wholly educational. An ethics committee might not approve a study that is perceived to be high risk if the risk is not controlled. Please assess your proposed study for risk – this might be to do with potential harm to the subject, the investigator or the institution. You should try to remove as much risk as possible. Likewise, you should try to maximize the possible benefit, through dissemination of findings and consideration of implementation of systematic improvement.

11.   Precautions

        Where an element of risk remains, you should take measures to address it. This might include having qualified first aid or paramedical staff in attendance, the provision of a helpline number, access to a counselor or even a hospital, the provision of mobile phones for researchers working alone in the community etc.

        Risk and the associated precautions are closely linked to the ethical implications of the study and should be thought through in the same way.

12.   Consent

        As this is a study on human subjects, you will probably need to seek and obtain subjects' consent before proceeding. You must provide complete information on the study, using language that the subjects will readily understand. You should not use jargon and technical terminology. Remember that the average reading age of the population is approximately that of a nine year old child and 25% are functionally illiterate so you should be prepared to give an oral description of the study and the consent process.

Guides on plain English are available to help you. You must ensure that a potential subject understands what is expected of them before inviting them to sign the consent form. If they decline, you must not persist.

Separate guidance on preparing a **subject information sheet** and **consent form** is provided in Appendices 3 and 4.

13.   Personal information

Please remember that personal information is protected by the Data Protection Act. However, access to information (other than personal data) can be requested under the Freedom of Information Act. You will be expected to store raw and processed data securely but also to make it accessible to those with a legitimate requirement to view it (for example, the Data Protection Officer or the funding body).

You must provide details of how long data will be retained for and how it will be disposed of at the end of the study.

14.   Copyright

If permission has not been granted to use all copyright materials the reason should be clearly stated.

If copyright materials have been modified in any way please state in the text box whether or not permission has been granted by the copyright holder.

15.   Checklist

Please complete the checklist to confirm that you have submitted all the necessary items with your application. If you do not complete the checklist or if any items are missing, the application will be returned to you without any review having been carried out.

Appendix 1

Writing and presenting a project description/protocol

Research project descriptions/protocols will vary between disciplines, but will generally contain similar categories of information. These are likely to be:

- Background
  This section should provide basic information such as what the study is about and why it is being undertaken. 200 - 300 words should be enough to convey the information required although there might be exceptions to this for particularly complex or novel research. The background might include a short review of relevant key literature

- Aims/hypotheses
  This information can be presented as a series of short numbered or bullet points, and should list clearly the aims of the research. Again, 100 – 200 words should be sufficient.

- Methods/procedures
  A description of how the research will be carried out must be provided. This might be written as a series of chronological stages (e.g., step 1, step 2 etc) or as a narrative. This section must contain sufficient information, presented in a logical way, for those reviewing the research to be able to understand what you are proposing to do and how and when you will do it. If there are separate stages in the study, you should divide them up clearly, but also describe the relationship between them. It is expected that this section will contain information on technical aspects of the study, but it should be written in such a way that non-experts can understand it. For studies with a quantitative element your proposed statistical model will also be relevant to this section. It is expected that this section will be up to 1000 words long.

- Data analysis
  This section should be used to describe how the data you have obtained will be analysed. It should relate to the methods/procedures and to the aims. It is expected that the aims of the study will be realized fully only if the methods/procedures are carried out properly and the data analysed correctly. Again, the proposed statistical model will be relevant.

- Resources
  It is helpful to consider, identify and justify the reasonable human, physical and financial resources that will be required to initiate, recruit, analyse, report and reach a satisfactory conclusion to the study.

- References where appropriate
  Most research is not entirely novel and it is likely that some previous work will have been conducted in related areas. This means that there will be some existing relevant literature that provides additional background or supports your methodology. A short list of references will help reviewers to determine the validity and viability of your proposal and the approach you have chosen.

Overall, the document must be clearly and logically presented and, crucially, must contain sufficient information for a meaningful review to be conducted. It should be an absolute maximum of six sides of A4 and should be single spaced with an 11-point font or larger.

Please remember that this description is also the protocol for your study. This means that it illustrates an agreed version of how you will conduct the study and, once reviewed, revised, approved and recorded, it must not be changed without seeking advice and permission

If you are a student researcher, your supervisor will be able to provide you with advice and possibly even sample documentation.

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Appendix 2

Preparing a statistical model

The following is an aid to researchers completing the University's ethics application form and associated documentation.

1. **Outcome measures**

    What is/are the primary outcome measure(s) for the study; i.e. what is being tested, why and how?
    What, if any, is/are the secondary outcome measures(s)?
    Are the measures Nominal, Ordinal, Interval or Ratio?

2. **Sample size**

    Has a formal power calculation been done to determine sample size? Yes or no?

    If *yes*, please give details of how this was done, e.g.
    *   The numerical difference the study is powered to detect
    *   The justification for choosing this difference and whether it has any clinical, as opposed to statistical, significance
    *   Details of any assumptions made in the power calculations, e.g. baseline rates, effect size in previous studies and standard deviations
    *   The power of the study to detect this difference e.g. 80%, 90% etc
    *   The statistical level being tested, e.g. 5%, 1%
    *   Allowance made for non-response, dropouts, incomplete records

    The actual calculations of the sample size MUST be included in the application.

    If *no* or *n/a,* please explain how the size of the study was determined and why a formal sample size calculation is not required or not possible.

    If tabular analysis is to be the main method of analysis, please give the calculations of how the number of the smallest cell was estimated.

3. **Method of analysis**

    Describe the statistical methods and/or other relevant methodological approaches to be used in the analysis of the results taking into account the level of measurement. If quantitative, are descriptive and/or inferential procedures/tests to be used and, in the case of inferential statistics, will they be parametric or nonparametric tests. Please justify the choice and the level of significance being used to test null hypothesis. Similarly, in the case of qualitative analysis, what procedures will be used and why?

4. **Data collection**

    Copies of the proposed data collection forms, record sheets, questionnaires, etc must be attached to the application.

Appendix 3

Preparing a Subject Information Sheet

The subject information sheet is a vital component of the study. It forms the basis of the consent process and represents the best opportunity to explain the study to the potential subjects/ participants (and also to non-expert members of an ethics committee).

The subject information sheet must be presented logically and in plain English (translated where appropriate for use with other language groups). Jargon and technical terminology should be avoided unless it is explained carefully. Remember that the average "reading age" of the general population is around 9 years (year 5 of primary school). Your study might involve professional people or students who will have the ability to comprehend more complex presentation, but you should always aim for the simplest way of expressing your message.

The information provided should be structured as follows:

1. Study title
   Is the title self-explanatory to a lay person? If not, a simplified sub-title should also be provided.

2. Invitation paragraph
   Remember that you cannot expect or require people to participate; they must be asked or invited. For example:

   You are being invited to take part in a research study. Before you decide whether or not to take part, it is important that you understand what the research is for and what you will be asked to do. Please read the following information and do not hesitate to ask any questions about anything that might not be clear to you. Make sure that you are happy before you decide what to do. Thank you for taking the time to consider this invitation.

   If the study is part of an academic qualification this should be stated.

3. What is the purpose of the study?
   The background to and aims of the study should be set out here in clear language. You should include a description of the product, procedure, hypothesis or idea that is being researched.

4. Why have I been chosen?
   You should explain how the potential subject was chosen and also how many others will be involved in the study.

5. Do I have to take part?
   It should be made clear that participation is entirely voluntary. For example:

   It is up to you to decide whether or not to take part. If you do decide to take part, you will be given this information sheet to keep. You will also be asked to sign a consent form. If you choose to take part, you can change your mind at any time and withdraw from the study without giving a reason.

6. What will happen to me if I take part?
   This is probably the most important section to the potential subject. They will want to know where they will have to go, when, how often and what will happen when they are there. They will also want to know who will be carrying out the research and whether anyone else will be there. You should consider using a step-by-step guide or simple flow chart. If subjects are expected to maintain any documentation (e.g. food diaries or other self-assessments) you must make this absolutely clear. All interventions must also be

clearly described, including those of a physical nature (exercise, blood or other sampling, x-rays) and others (interviews, questionnaires, focus groups etc). Do not underestimate the commitment required by subjects, as this will probably lead to disaffection and drop out.

You might also wish to set out the methods to be used. The approach will depend upon the particular discipline (life sciences, social sciences, etc) and further appropriate advice should be sought from researchers in your own academic area.

7.   What do I have to do?
You should explain any dietary or lifestyle restrictions and also any potential risks associated with deviating from the restrictions.

8.   Are there any alternative interventions?
If the study is a therapeutic intervention (e.g., in Health Sciences, Psychology, Biomedical Sciences) you should make clear what, if any, alternatives are available.

9.   What about side effects?
Possible side effects should be explained. These might be physiological or psychological/emotional depending upon the type of study. Contact names, addresses and telephone numbers for use in case of queries and/or emergencies must be provided if there is any possibility that they will be needed.

10.   Risks and/or disadvantages?
These should be made clear. They should be considered alongside the exclusion criteria for the study and might include both psychological and physiological factors. Particular attention should be paid to a potential subject's medical or other relevant history and to any existing conditions or status (for example, medication, other treatment, physiological, psychological/psychiatric or other conditions and, of course, pregnancy). Sensitivity must be used in your approach to this information. At this point, particularly in certain physiological studies, you might also wish to ask a potential subject for permission to contact their GP either prior to the study or with information on outcomes, where appropriate. Implications for future life insurance and existing private medical cover should also be explored where appropriate.

11.   Are there any possible benefits in taking part?
Potential benefits, both to the subjects and to others in the future, should be stated but not over-emphasised. Where no benefits will be experienced by the subjects, this should be made clear.

12.   What if new information becomes available?
You should inform potential subjects that if new information becomes available during the course of the study, they will be kept informed and any options or requests/requirements fully explained. You should let them know that new information could result in termination of the study, withdrawal of certain participants or modification/amendment.

13.   What happens when the study ends?
You should describe what will happen at the end of the study, particularly if some form of treatment or therapeutic intervention is being provided or if the study is long-term or includes significant contact between the researcher(s) and the subject(s). If follow-up support or treatment is required/available, this should be made clear.

14.   What if something goes wrong?
It should be made clear to subjects that it is very unlikely that anything will go wrong, but any risks should be quantified for them as far as possible. It should also be made clear that the University has procedures in place for reporting, investigating, recording and handling adverse events. Subjects should be informed that any complaints will be taken seriously and should be made to the appropriate authority. This might be the Chief Investigator, the University or other organization, depending upon who is involved in the research.

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The University or other organization will provide an indemnity statement for research that has been approved through the appropriate governance and ethical review processes.

15.   Will my taking part in this study be kept confidential?
You should explain that data will be held securely and in confidence and that any identifiers will be removed prior to publication as required under Data Protection legislation.   However, you should also make it clear that Freedom of Information legislation will allow access to certain non-personal or generalized data.   You must also indicate that, depending upon the type of study, disclosure of personal information might be either desirable or required.   For example, it might be in a subject's best interests to have certain test results passed, with their consent, to their GP.   It should also be borne in mind that where criminal behaviour likely to harm others is disclosed, the researcher has a duty to report this to the police.

16.   What will happen to the results of the study?
You should describe to the subjects what will happen to the results.   Will they be published and, if so, when and where?   Will they lead to further research or directly to improvements/changes in procedures, treatment, established practice?

17.   Who is organising and funding the research?
You should include details of the organisations directly involved and, for those who are interested, provide some general details on the funding arrangements.

18.   Who has reviewed this study?
You should indicate that study has been reviewed by other people who are knowledgeable in the subject area and/or by a review committee/ethics committee in accordance with the University or other procedures.   You should inform subjects that they can contact the University Research Governance section for further details if they require them.

19.   Contact details
You should provide contact details for people who are likely to be available and who will be able to provide information associated with the study.

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Appendix 4

Preparing a Consent Form

A sample consent form is provided below. It is simple and straightforward and must, of course, be used in conjunction with the subject information sheet.

Consent Form

_____
Title of Project

_____
Sub Title where appropriate

_____
Name of Chief Investigator

	Please initial
• I confirm that I have been given and have read and understood the information sheet for the above study and have asked and received answers to any questions raised	[ ]
• I understand that my participation is voluntary and that I am free to withdraw at any time without giving a reason and without my rights being affected in any way	[ ]
• I understand that the researchers will hold all information and data collected securely and in confidence and that all efforts will be made to ensure that I cannot be identified as a participant in the study (except as might be required by law) and I give permission for the researchers to hold relevant personal data	[ ]
• I agree to take part in the above study	[ ]

_____   _____ _____
Name of Subject   *Signature*   *Date*

_____   _____ _____
Name of person taking consent   *Signature*   *Date*

_____   _____ _____
Name of researcher   *Signature*   *Date*

One copy for the subject; one copy for the researcher.

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