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Appendix I

Ethics Application

The University of New England THE HUMAN RESEARCH ETHICS COMMITTEE

Research involving humans includes both biomedical and behavioural research. This application form covers research dealing with non-invasive procedures such as interviews, focus groups and those questionnaires that contain sensitive information. For research involving invasive procedures (such as taking blood or urine samples) Form B is to be used.

This form is available via email from the Research Ethics Officer or may be downloaded from the web at <http://rs-nt-1.une.edu.au/Home/ethicsforms.cfm>

Proposed Research Project

Responses to the following questions must be typed

1. **Title of Project:**

Music in the Lives of Older People:

2. **Aims of Project:** *(Describe briefly)*

This study specifically aims to describe and documents the many ways older people use music in their lives. This is achieved by:

- Uncovering the diversity of ways music is used by older people in their lives;
- Identifying differences and similarities in how music provides meaning for older people;
- Examining ways music can be successfully used to improve the quality of life for older people; and
- Suggesting possible ways that health care providers might develop and foster music programs as part of a broader care delivery.

3. **Person responsible** *(This MUST be a member of staff of the University)*

Name: Professor Rod Gerber

Position: Dean/ Faculty of Education

UNE Extension: 3862

4. **Associates** *(Including Honours and Postgraduate Students):*

Terrence Neville Hays (PhD candidate, School of Health)

5. **Technicians associated with the experiment:** N/A
6. (a) **Funding: Is this application the subject of a grant proposal?**
~~YES~~/ NO
- (b) **If YES, state name of organisation:**
- (c) **This protocol been funded?** YES / NO / NOT YET
7. **Proposed date of commencement:** November 1999
8. **Duration and estimated finishing date:**
 3 years , completion expected by March 2002
9. **Approximate intended number of participants:** 50
10. **Source of participants:** Personal contacts, referrals
11. **Briefly describe the research methods to be used.** (e.g., interviews, focus groups, etc.)
 Focus Groups and In-depth Interviews
12. **Please describe any risks or serious burdens which this research might pose for your participants and how this will be rectified.**
 (e.g intrusion upon privacy, embarrassment, emotional upset)
- There should be no intrusion or risks for the participants. Each participant will be invited to participate and given the option of not participating should they so choose.
- The interviews will be held at a mutually acceptable location, preferably their own home for convenience. Again this will be the choice of the participant.
- The interviews will be tape-recorded and the participants asked to describe their own experience of using musing in their life and how this has helped them towards achieving a sense of health and well-being.
13. (a) **Does this research involve subject matter of a particularly sensitive nature?**
 (e.g issues deemed particularly sensitive by the cultural community of which the participants are members; participants' knowledge of, or participation in, illegal issues; etc.)
~~YES~~/ NO
- (b) **If YES, provide details.**
14. (a) **Does this work involve Indigenous Australians?** ~~YES~~/ NO

- (b) **If YES:**
- (i) what steps have been taken to ensure that community support has been obtained?
(Note: Proof must be attached to the application);
 - (ii) how will community members will be involved in oversight of the project?
 - (iii) what training is associated with this research project for the Indigenous participants?

15. **If the research involves interviews with participants, briefly explain what mechanisms will be in place to respond to foreseeable eventualities such as: a revelation of illegal activity by or involving the participant; disclosure of institutional mismanagement; a participant becoming distraught because of the subject matter of the interview, etc.** (e.g. Are interviewers trained for this project? Will interviewers have names and contact numbers of appropriate referral services? Is it appropriate for some arrangements to be made to respond to disclosure of harm or illegal activity involving participants? What steps have been taken to ensure that community support has been obtained?)

The subject matter of the interview will how the participant uses music in their life, and how this use contributes to their sense of health.

The content of the interview will not be confronting nor of a sensitive nature to the participant.

16. (a) **Will your participants receive any financial reward or other compensation for their time and inconvenience?**

~~YES~~/ NO

- (b) **If yes, give details.**

17. **What steps will you take to obtain the agreement of your participants to take part in the research? Please attach a copy of the Plain Language Statement / Consent Form.**

Each participant will be sent a letter outlining the nature of the research and asked to participate. The letter will state that the interview will:

- be held at a time and date mutually agreed by participant and researcher
- state that the participation in the research is totally voluntary and anonymous
- participant may discontinue the interview at any time if they choose

18. (a) **Does this research involve any impediments to obtaining the full understanding, free agreement of participants to take part in the project?** (eg Will some or all participants be young children or people of limited competence to consent?)

~~YES~~/ NO

All participants will be aged 65 and over, and of sound mind.

- (b) If so, give details of how you will negotiate an agreement for the participation of these persons through a family member, carer, legal guardian or other person.
19. (a) **Are potential participants in this research in dependant relationships which may limit their belief that they are free to refuse participation?**
~~YES/NO~~
- (b) If YES, give details of the steps you will take to preserve their right to refuse participation.
- 20 (a) **Does the project require the withholding of relevant information about the aims and conduct of the research?**
~~YES/NO~~
- (b) If YES, explain why.
21. (a) **Does this research require that participants be deceived about a relevant aspect of the aims or nature of the research or their participation?**
~~YES/ NO~~
- (b) If YES, explain why deception is required and how the interests of the participants will be protected, including what they will be told about the research and their participation.
22. (a) **Will participants be informed that they are free at any time to discontinue participation?**
~~YES/NO~~
- (b) **If YES, give details. If NO, explain why.**

In the letter of request and agreement form, participants will be reminded that they may discontinue the interview at any point should they so choose.

Who will have access to the information you collect?

Principle researcher and UNE PhD supervisors

24. Confidentiality of records

- (a) **How will the confidentiality of records be maintained during the study?**

The tapes will be coded and the contact names and addresses maintained solely by the researcher

- (b) **Given that the *UNE Code of Conduct for Research* requires that research data records are preserved for at least 5 years after the study is completed, how will the confidentiality of the records be protected during the period of their preservation?**

The recorded interviews (tapes) will be coded so that the identity of the participants remains anonymous and will remain permanently in the possession of the researcher

25. **Ethical Issues**
Please indicate which, if any, of the following ethical issues are involved in this research.
- (a) Will participants be photographed by camera or video? ~~YES~~ / NO
 - (b) Will participants be tape recorded? YES / ~~NO~~
 - (c) Does the research involve any stimuli, tasks, investigations or procedures which may be experienced by the subjects as stressful, noxious, aversive or unpleasant? ~~YES~~ / NO
 - (d) In this study are there any procedures known (or thought) to be beneficial or harmful to one group of participants (EXPERIMENTAL) being withheld from another group of participants (CONTROL)? ~~YES~~ / NO
 - (e) Are any of the subjects minors (i.e. under the age of 18 years) ~~YES~~ / NO
26. If your research involves children (i.e. under the age of 18 years), or persons with a mental or intellectual disability, what special steps have you taken to comply with the HREC Policy on Research Involving Children and Persons with a Mental or Intellectual Disability?
- (a) Accreditation from an appropriate organisation? YES/NO
If YES, please attach documentation.
 - (b) Police Clearance Check YES/NO
If YES, please attach documentation.
 - (c) Other measures YES/NO
If YES, please provide details.
27. (a) Are there any other ethical issues raised by this research?
~~YES~~ / NO
- (b) If YES, what steps will you take in response to them?
28. (a) Is anything in the conduct of the research project likely to be subject to legal constraint?
~~YES~~ / NO
- (b) If YES, what steps will you take in response?
29. How will the results of your research be presented?
- As a PhD thesis
30. **Conformation to accepted guidelines for research involving humans.**
Please indicate whether the protocol conforms to either:

- (a) **NH&MRC *Statement on Human Experimentation* and its Supplementary Notes, (1992) as appropriate, or YES / NO**
- (b) **Other principles of ethical conduct. YES / NO**

In the case of (b) please specify.

- 31. **If this protocol involves working with Indigenous Australians, which additional guidelines have been used?**
- 32. **Signatures of responsible investigator and associates:**

I/We certify:

that I/We have read the UNE HREC Guidelines and the Summary of the NH&MRC *Statement on Human Experimentation* and its Supplementary Notes, (1992);

that the proposed experiment will conform to these guidelines; and

that I/We will notify the Committee of anything that might affect ethical acceptance of this protocol, such as adverse reactions of participants, proposed changes in the protocol, and any other unforeseen events.

Person responsible _____

Date _____

Associates _____

Date _____

Head of School _____

Date _____

Additional Declaration by Head of School:

I have read this application and the accompanying Plain Language Statement(s)/ Consent Form(s) and am satisfied that the applicant(s) have fulfilled the UNE Human Research Ethics Committee's requirements, specifically those imposed by the HREC Policy on Research Involving Children or Persons with a Mental or Intellectual Disability if relevant to this application.

Head of School _____

Date _____

Appendix II

The interview schedule for the focus groups

- (i) **General information about informants**
Name, age, work experience
Musical education and general life experience of music
- (ii) **How does music play an important role in your life?**
If so, how does it?
- (iii) **How is music essential to your sense of well-being and/or health?**
- (iv) **In what particular ways do you use music in your life?**
- (v) **In what particular ways do you think music directly and/or indirectly effects you?**
- (vi) **Have the ways that you use music in your life, changed over the years?**
If so, in what particular ways?
- (vii) **Is music a way of expressing your individual/personal spirituality?**
If so, how is it in your life?
- (viii) **What personal experience have you had in your life where music has been?**

Appendix III

Letter to Participants

19th November 1999

Dear _____

Thank you for agreeing to participate in the research regarding the importance of music in the lives of older people. As discussed by phone, I am a Doctorate of Philosophy student at the University of New England in Armidale, NSW; currently conducting research on the topic of music in the lives of older people, and how music contributes to health and well-being.

Involvement in this study is voluntary and the interview will take approximately 40 minutes. The interview will involve asking you open-ended questions regarding the importance of music in your life, and for you to respond with your personal reflections on the topic. The interview will be tape recorded and then later transcribed for analysis. The data will be completely confidential with the identification of all the participants coded to preserve anonymity. The tapes will be kept in a locked filing cabinet at the University for a period of 5 years until the research is completed and will then be erased. If you decide to withdraw from participating you may do so at any time. This research has been cleared by the Ethics Committee of the University.

Attached to this letter is a consent form which I will collect at the time of interview. If you have any questions please do not hesitate to call me at the University of New England on 0267 733649, or my mobile 0411813649, or alternatively you may contact my supervisor Professor Rod Gerber (Dean of the Faculty of Education and Health) at UNE on 067 73 3862.

I shall be in contact with you by telephone shortly after you receive this letter to confirm the agreed interview time. Thank you for your support and participation in this research.

Yours sincerely

Terrence Hays
MEd Hons; BA; DSCM; DipMusEd; LMusA; AMusA; MACE
School of Health
University of New England
ARMIDALE NSW 2351

Consent Form

(To be returned to researcher at the time of interview)

I have read the information overleaf and any questions I have asked have been answered to my satisfaction. I agree to be interviewed for the research on 'The importance of music in the lives of older people'.

I understand that participation in this research is entirely voluntary, and that I can withdraw at any time without prejudice. I understand and agree that research data gathered for this study may be published, providing my name is not used.

The best time for me to be interviewed is:

Monday

Tuesday

Wednesday

Thursday

Friday

Saturday

Time: (am/pm)

My contact details are:

Home phone number:

Work phone number:

Signed Date

PS Should you have any complaints concerning the manner in which this research is conducted, please contact the Human Ethics Committee at the following address: The Secretary Research Ethics Committee, Research Services, University of New England, Armidale NSW 2351
Phone: 0267 733449