

## FACULTY OF ARTS RESEARCH ETHICS CHECKLIST

This checklist should be completed for every student research project that involves human participants and/or data not in the public domain, or where external funding is being sought. It is not necessary for staff to complete this form for their own research, but we hope some might find it useful. It is used to identify whether a full application for ethics approval needs to be submitted.

Before completing this form, please refer to the Faculty of Arts Ethics policy and procedures (<http://www.gla.ac.uk/colleges/arts/research/ethics/>). The principal investigator or supervisor (where the principal investigator is a student) is responsible for exercising appropriate professional judgment in this review. This checklist must be completed before potential participants are approached to take part in any research.

### Section 1. Research Checklist to be completed by the researcher

Please answer each question by ticking the appropriate box:	YES	NO
Does the research involve human participants?	✓	
Does the research involve data not in the public domain (i.e. still in copyright)?	✓	
Does the study involve participants who are particularly vulnerable or unable to give informed consent e.g. people under 18, people with learning disabilities, your own students? (If the research involves people under 18, you may have to apply for a Disclosure Scotland Certificate.)		✓
Will the study require the co-operation of a gatekeeper for access to participants? (e.g. teacher, local authority)		✓
Will it be necessary for participants to take part in the study without their knowledge and consent at the time? (e.g. covert observation of people in non-public places)		✓
Will the study involve discussion of sensitive topics (e.g. sexual activity, drug use)?		✓
Are there issues of safety for the investigators or subjects?		✓
Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?		✓
Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		✓

If you have answered 'no' to all of the questions in Section 1, you need take no further action before starting your research.

If you have answered 'yes' to any of the questions in Section 1, you need to submit an application

to the College Arts Research Ethics Committee before you begin the research.

This involves the following steps:

- Complete the remainder of this form.
- Fill in an Ethics Form (available at <http://www.arts.gla.ac.uk/faculty/html/ethics.htm>).
- Append your research proposal and any other supporting documents such as questionnaires, consent forms, information letter for participants etc.
- Send by email to the Ethics Officer: [Ethics@arts.gla.ac.uk](mailto:Ethics@arts.gla.ac.uk). (Currently Dr Maud Bracke, 1 University Gardens, (0141 330) 5908)

### Section 2. Project Details

Name of Researcher	Alison Eales
Status	Postgraduate Student (Research)
Project title	Examination of the Glasgow Jazz Festival from an <i>Art Worlds</i> perspective

### Section 3. For Students Only

Course name	PhD Music
Supervisor's name	Professor Martin Cloonan, Dr Björn Heile
Supervisor's email address	<a href="mailto:martin.cloonan@glasgow.ac.uk">martin.cloonan@glasgow.ac.uk</a>
Supervisor's contact address	Music, 14 University Gardens, University of Glasgow, G12 8QQ

Section 4. For Supervisors of Student Applications [supervisors may also send an email to [ethics@arts.gla.ac.uk](mailto:ethics@arts.gla.ac.uk) to confirm their endorsement of the project]

Please tick the appropriate boxes below. The study should not begin until all boxes are ticked:

The student has read the Faculty's Ethics Policy and Procedures.	✓
The topic merits further research.	✓
The student has the relevant skills to begin research.	✓
If interviewing, the student has produced an appropriate information sheet for participants.	✓
The procedures for recruitment and obtaining informed consent are appropriate.	✓

Please note that it is the responsibility of the researcher to follow the Faculty of Arts Ethics policy and procedures and any relevant academic or professional guidelines in the conduct of the study. This includes providing appropriate information sheets and consent forms, and ensuring confidentiality in the storage and use of data.

Any significant change in the question, design or conduct over the course of the research should

be notified to the Faculty Ethics Officer and may require a new application for ethics approval.

Signature of Researcher (email to <a href="mailto:ethics@arts.gla.ac.uk">ethics@arts.gla.ac.uk</a> from you GU student email address)	Date:
Signature of Supervisor (email to <a href="mailto:ethics@arts.gla.ac.uk">ethics@arts.gla.ac.uk</a> from your GU email address)	Date:

**Attachments:**

- Application form for ethical approval
- Supervisor Research Statement
- Student Research Statement
- Consent to the use of data

## APPLICATION FORM FOR ETHICAL APPROVAL

This application form should be submitted to the Ethics Officer as a Word attachment to email. All correspondence should be sent to: [Ethics@arts.gla.ac.uk](mailto:Ethics@arts.gla.ac.uk); (please do not send applications to any other email address). The current Ethics Officer is Dr Maud Bracke, 1 University Gardens, (0141 330) 5908.

All questions must be answered.

1. Name(s) of person(s) submitting research proposal: [Alison Eales](#)
  2. Position held (e.g. Lecturer, postgraduate or undergraduate student etc.): [PGR student](#)
  3. Department, Centre or School: [School of Culture and Creative Arts](#)
  4. Contact Address: [Music, 14 University Gardens, University of Glasgow, G12 8QQ](#)
  5. Email (GU email address preferred): [a.eales.1@research.gla.ac.uk](mailto:a.eales.1@research.gla.ac.uk) (alias 9903693e)
  6. If you are a student, confirm that the checklist form is attached to this application. [YES](#)
  7. Project title: [Examination of the Glasgow International Jazz Festival from an \*Art Worlds\* perspective](#)
  8. Proposed project end date: [September 2014](#)
  9. Have all investigators read, understood and accepted the Faculty Ethical Policy, a statement of which is available on the Faculty website at <http://www.arts.gla.ac.uk/faculty/html/ethics.htm>?  
[YES](#)
  10. Does your proposal involve human subjects, materials or data not in the public domain? [YES](#)
- If you answered YES to Question 10, please answer questions 11 and 12 and append a copy of your research proposal and any other supporting documents to this application.
11. Independent contact name (in case of complaints or questions from participants). This could be your head of department, line manager, dissertation supervisor, etc.: [Professor Martin Cloonan](#)

12. What in your opinion are the ethical considerations involved in this proposal? You should consult the ethical policy statements of the AHRC and/or ESRC, and you may also wish to consider some or all of the following issues:

- issues of safety, including the experience of the subjects AND the investigators
- issues of consent (It is expected that consent will be given in writing. Are the subjects students, or others in a dependent relationship? Does the research include children or people with special needs? Will payment or any other incentive be made to any research subject? How is consent to be obtained?)
- issues of confidentiality (Can subjects be identified from information held by another party? Who will have access to the data and what measures will be adopted to maintain the confidentiality of research subjects and to comply with data protection requirements, e.g. will data be anonymised?)
- issues of security (Where and how will the data be stored? Will it be destroyed after the research is done? Does the department have a policy on this and if so, who is responsible for it?)
- issues of balance (Are there any cultural, social or gender-based characteristics of the research subjects which have affected the design of the project or which may affect its conduct?)

Please continue on a separate sheet if necessary.

It is expected that this project will involve the following research methods:

- Study of the Glasgow International Jazz Festival's archive;
- Interviews with key personnel connected to the Festival;
- Focus groups with Festival performers and audience members;
- Non-participant observation.

The Festival's archive dates back to 1985 and is a collection of materials, some of which may be considered to be in the public domain (e.g. press cuttings), whilst others may be of a more commercially sensitive nature (e.g. artist contracts). The primary ethical concern in handling these

materials will be to ensure that the intellectual property rights for individual archive items are established and the relevant permissions sought for their use in research and other activities.

It is not possible at this stage to include a set of interview questions, since these will be informed by the contents of the Festival's archives and will be tailored to individual interviewees. However, the aim of these interviews will be to identify key events in the Festival's history. Similarly, whilst it is not yet possible to include a set of focus group questions, the aim of the focus groups will be to gain insight into performers' and audience perspectives on the Festival over time and in comparison to similar events. As such, it is not expected that interviews or focus groups will yield data of a personally sensitive nature.

Interviews with individuals will not be anonymised by default, but it will be made clear to interviewees that interview, or particular information within it, will be anonymised at their request. Data collected in focus groups will be anonymised at the point of collection (i.e. contributions will not be linked to individuals at any point).

Interviews will be transcribed and notes will be taken at focus groups. These data will be stored securely on a password-protected computer, and any backups of the data will also be password-protected. Hard-copy files will not be kept, and soft-copy files will be labelled in such a way that individuals are not identifiable. Data will be subject to the University's policies on data protection and freedom of information. Data collected from interviews and focus groups, including backups of electronic files, will be destroyed on successful completion of the PhD thesis.

Non-participant observation will be conducted at public events only.

None of the planned research will involve personal risk to either the subjects or the investigator. It is not envisaged that any of the subjects will be vulnerable individuals. Written consent will be obtained from all interviewees and focus group participants by way of the attached consent form. No subjects will receive any payment or other incentive for participation.

13. If applying for funding for this research, please give name of funding body:

This project is funded by the Arts and Humanities Research Council.

### End of Project Report

The Committee requires that a brief report be provided within one month of the completion of the research, giving details of any ethical issues which have arisen (a copy of the report to the funder, or a paragraph or two will usually be sufficient). This is a condition of approval and in line with the committee's need to monitor research.

In addition, any unforeseen events which might affect the ethical conduct of the research, or which might provide grounds for discontinuing the study, must be reported immediately in writing to the Ethics Committee. The Committee will examine the circumstances and advise you of its decision, which may include referral of the matter to the central University Ethics Committee or a requirement that the research be terminated.

Date of submission of form:

Signature of person making the proposal: ALISON EALES

Thank you for filling in this form. You should receive confirmation of ethical approval within two weeks of submitting it. IMPORTANT: if a decision is needed quickly, e.g. to meet a deadline, please flag this with a covering note giving an e-mail address. We will try to respond as soon as possible.

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For office use:

DECISION

Initials of scrutineers (if applicable):

Signature of Faculty Ethics Officer:

Date of decision:

## **SUPERVISOR RESEARCH STATEMENT**

### The Partnership

The partnership builds on existing links between the School of Culture and Creative Arts and Glasgow International Jazz Festival which include the Festival providing placement opportunities for students on the School's M.Litt in Popular Music Studies (Music Industries). The placements provide the opportunity for students to carry out research for the host organisation which has to be presented in a format which allows the parent to make informed business decisions.

The collaboration is both formal and informal and has been in place for around three years. It has been of mutual benefit to the University, its students and the Festival. The continuance of the relationship is based on the University's desire to give postgraduate students 'real life' experience of working in the music industries and the Festival's desire to carry out research will allow it to make informed business decisions.

The benefits of the continued collaboration centre on the Festival's access to academic expertise and the University's access to music industries practice. These will be ongoing and are expected to result in increasing interaction in the forthcoming years.

The University of Glasgow does not have Departments. However, the School of Culture and Creative Arts has extensive experience of working with external partners including in the provision of work placements and the conduct of research. Partners have included the Edinburgh International Film Festival, BBC, Glasgow Museums and T in The Park. In addition, the University has recently signed a Framework Agreement with Glasgow Life, the GIJF's main funder, which is certain to facilitate collaborations of this nature.

No other HEI is involved in this project.

### Aims and Objectives

See original application. In 2011 the Glasgow International Jazz Festival (GIJF) is 25 years old. This provides a unique opportunity for reflection upon the origins, impact, ethos and meaning of the Festival, complementing academic research with the unrivalled practical experience of the project partner, Glasgow International Jazz Festival. During a time of severe cuts and frequent questions about the value of public support for the arts, for both financial and ideological reasons, evidence-based research of the contribution made by a major music festival to the wider community is of critical importance. This may not only concern such issues as vibrancy and diversity of cultural life, which only a relatively small minority directly benefit from, but also urban



regeneration and questions of regional identity, which have an impact well beyond the immediate audiences themselves. The applicants have been granted unique access to the Festival's archives. In addition, the GIJF will provide access for interviews with key personnel involved in the planning, designing, implementing and assessing of the Festival, as well as to a range of leading performers from its history.

The project promises insight into the relationships between public policy, urban and regional development and culture and the arts. Founded with the express purpose of 'contributing to the growth of Glasgow as a cultural centre of international standing', the Festival quickly established itself as one of the leading European events of its kind, attracting the biggest stars in the field - everyone from Miles Davis, Tony Bennett, Dizzy Gillespie and B. B. King to Dionne Warwick, John McLaughlin, Al Green, McCoy Tyner, Pat Metheny, Chick Corea, Herbie Hancock and Wynton Marsalis. It is not least due to this success in attracting first-rate performers and, as a consequence, sizable audiences, that the Festival is credited with preparing the ground for the city's successful bid for the status of European Capital of Culture (1990), which in turn is regarded as a model for the role of arts Festivals in urban regeneration. More recently, the Festival proved instrumental in making Glasgow a UNESCO City of Music (2008). Coupled with related architectural projects, such as the Scottish Exhibition and Conference Centre (SECC, 1985) and the Royal Concert Hall.

The student will study the archives of the Glasgow International Jazz Festival. It is envisaged that this will require intensive study during the first year (approaching 100 per cent of the overall workload), followed by more occasional visits in the following years. Due to the proximity between the Festival office and the student's main workplace at the University, the easy accessibility of the archive and the easy availability of desk space and computing equipment there, there is sufficient flexibility however.

The student will receive on-the-job training and an introduction to the archive holdings and their organisation during their first month. Following this, it is envisaged that there will be monthly meetings with the non-academic supervisor (in addition to monthly meetings with at least one of the academic supervisors), although the frequency of the meetings is likely to decrease in the third year.

The student will gain invaluable direct experience in the administration and planning procedures as well as the practical organisation of a major international arts festival. He or she will be supervised by Jill Rodger, who has acted as the Festival's Director over many years and has thus unrivalled experience in the running of the Festival as well as in arts administration and cultural policy more generally. Ms Rodger will also facilitate access to other key decision-makers as well as festival

participants, past and present. The intersections between academia, arts administration and local government are becoming increasingly important, and career paths increasingly cross those domains ('patchwork careers'), with individuals who are fully competent in all these fields particularly sought after. Furthermore, arts and cultural institutions are frequently the subjects of academic research, yet few academics have genuine experience of the practical workings of arts institutions, while administrators often lack the in-depth insight into the wider historical and cultural context of their work that academic research can provide. The project promises to train an individual who will be equally at home in the practical and the academic aspects of arts administration and cultural policy.

In addition to the academic work on the doctoral thesis, it is envisaged for the student to curate an exhibition of interesting materials from the archives to be shown during the Festival, to provide texts for brochures and programme books and to set up an account of the Festival's history for its website. Furthermore, the general interest that the topic holds for different groups predestines it for wider discussion in the public sphere, for instance in the national press, jazz magazines and TV and radio broadcasting. Both the academic and the non-academic supervisors have relevant contacts for these purposes.

### Research Questions

See original application. While the proposed supervisors believe that the student needs to be given the freedom to develop his or her own perspective and approach, it is anticipated that the research will consider some of the following questions

- How has the Festival negotiated the tensions between international, national and regional levels in its programming policy?
- How has the Festival sought to maintain a balance between traditional and cutting-edge as well as between popular and high-art styles?
- How has the programming reflected or constructed an image for the city and Scotland?
- What changes can be observed over time, notably pre- and post-devolution?
- Has the Festival furthered something like a recognisable and distinctive Scottish style and scene within jazz and how does this relate to wider British, European and international jazz networks?
- What impact have different forms of funding had?
- What role did and does the Festival play in the rebranding and regeneration of Glasgow?
- What role did it play in the awards of European City of Culture and Unesco City of Music?
- How did and does the Festival fit into the City's and region's overall policy?

## Proposed Methodology

See original application: While the analysis of the Festival's archive will without doubt be central to the study, this could and should be complemented by other forms of enquiry. The precise methodological approach to be adopted depends on the qualification, experience and aptitude of the student herself and needs to be developed in collaboration with his or her supervisors. Nevertheless, we envisage a combination of interviews with key participants and non-participant observation. The project partner will contribute free tickets to the Festival for the duration of the studentship, and the support of the Festival's Board for the CDA guarantees the student access to key decision-makers, past and present. In addition, Jill Rodger's contacts to other festival organisers will allow a comparative dimension, in that the student will also be given the opportunity to interview important figures behind the jazz festivals in London, Cheltenham, Gateshead and Wigan as well as to attend these festivals in person (free tickets should also be provided).

The internal supervisors are based in Glasgow University's School of Culture and Creative Arts which, through its constitutive former departments, has a distinguished record in attaining comparable funded research projects and in PGR supervision. The project will also benefit from the unique expertise of the School's Centre for Cultural Policy Research (CCPR). The University offers research training for PGRs, including workshops on oral history and interviewing.

## Timescales

The provisional timetable is as follows:

### Year One:

- archive study, primarily at GIJF office Induction and introduction to archive (one month)
- weekly meetings with non-academic supervisor Exploration of overall archive holdings (five months)
- monthly meetings with non-academic supervisor In-depth study of selected materials (six months)
- monthly meetings with non-academic supervisor

### Year Two:

- comparative study of other UK jazz festivals Interviews with key decision-makers and artists, past and present, both at the GIJF and at other UK jazz festivals
- provision of material for documentation (brochures and programme booklets, Festival website, exhibition)
- during this period the student is likely to work predominantly at the University, although monthly meetings with the non-academic supervisor are envisaged.

### Year Three: Writing-up phase

- During this period, the student is expected to work predominantly at the University with only occasional visits at the archive and meetings with the non-academic supervisor.

### Plans for Dissemination

See original application: In addition to traditional academic publications, such as the thesis itself, peer-reviewed journal articles and book chapters, the topic and the nature of the collaboration lend themselves to other forms of dissemination. For instance, it is envisaged for the student to curate an exhibition of interesting materials from the archives to be shown during the Festival, to provide texts for brochures and programme books and to set up an account of the Festival's history for its website. Furthermore, the general interest that the topic holds for different groups predestines it for wider discussion in the public sphere, for instance in the national press, jazz magazines and TV and radio broadcasting. Both the academic and the non-academic supervisors have relevant contacts for these purposes.

### Expected Outcomes

The expected outcome is a PhD which makes a highly original contribution to knowledge and provides insight in to a number of areas including Jazz Studies, Popular Music Studies, local identity and urban regeneration. It is also expected to result in a closer working relationship between the University of Glasgow and the GIJF which has the potential to grow further in forthcoming years.

## STUDENT RESEARCH STATEMENT

I am adopting a sociological approach, examining the Festival from the perspective of Howard Becker's *Art Worlds*. Examining the Festival in this way will provide an excellent opportunity to advance understanding of art worlds and, in particular, to develop a theory of how art worlds change. This will also allow for speculation about what the Festival might look like in the future.

In terms of methodology, as well as analysis of archive material and participant interviews, I expect this project to require some demographic analysis of the Festival's participants, and commentary on any notable changes during its history. This commentary will be contextualized by examining changes in Glasgow during the corresponding period, drawing on studies of tourism and urban regeneration; I intend to investigate whether cartography might be incorporated into the study, along the lines of the University of Liverpool's *Musicscapes* project. I also expect to undertake ethnographic research during the 2012 and 2013 Festivals in the form of non-participant observation and focus groups.

## CONSENT TO THE USE OF DATA

### About this research

This data is being collected as part of a research project concerned with the history of the Glasgow International Jazz Festival by the School of Culture and Creative Arts of the University of Glasgow, in collaboration with Glasgow International Jazz Festival and supported by the Arts and Humanities Research Council.

The information that you supply and that may be collected as part of this research project will be entered into a secure filing system and will only be accessed by authorised persons of the University of Glasgow or its agents or its collaborators in this research project. The information will be retained by the University and will only be used for the purpose of (a) research, and (b) for statistical and audit purposes. By supplying such information you consent to the University storing the information for the stated purposes. The information is processed by the University in accordance with the provisions of the Data Protection Act 1998.

### Participant statement of consent

I understand that Alison Eales is collecting data in the form of interviews and focus groups for use in the project detailed above. I give my consent to the use of data for this purpose on the understanding that:

- Material from individual INTERVIEWS will NOT be anonymous unless I request anonymity for the interview in part or in whole;
- Material from FOCUS GROUPS will be FULLY anonymous (i.e. contributions will not be linked to individuals at any point);
- The material will be treated as confidential and kept in secure storage at all times;
- The material may be used in future publications, both print and online.

I understand that I may withdraw my consent at any time.

Signed by the contributor:

Date:

Researcher's name: Alison Eales

Supervisor's name: Professor Martin Cloonan

Department address: Music, 14 University Gardens, University of Glasgow, G12 8QQ