

The Approval of Statistical Surveys

*This form should be filled in by the survey manager.*

Please fill in this form and send it to the Survey Approval Team at:   
[**SurveysAdvice@gov.wales**](mailto:SurveysAdvice@gov.wales)

*Please fill in the boxes*

**1. Survey title**

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**2. Date of submission for approval**

**3. Short description of what the survey aims to do**

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**4. Welsh Government department or sponsored body responsible for the survey**

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**5. Survey manager details (from Welsh Government or partners: not a contractor)**

|  |  |  |  |
| --- | --- | --- | --- |
| name |  | address |  |
| phone |  |  |  |
| email |  |  |  |

**6. Who is the survey aimed at?**

*Tick one or more boxes*

|  |  |  |  |
| --- | --- | --- | --- |
| WG staff |  | the general population |  |
| businesses |  | local authorities |  |
| schools |  | hospitals or health boards |  |
| farms |  | Other (*please specify)* |  | |

**7. What kind of person do you mainly expect to answer the questions?**

*Tick one of the boxes*

|  |  |
| --- | --- |
| Director (e.g. *civil service Grade 5, chief constable,*  *doctor)* |  |
| Senior manager (e.g. *civil service Grade 6 or 7, head teacher, head of university department)* |  |
| Middle manager (e.g. *civil service Higher Executive Officer,*  *police sergeant, teacher, hospital ward manager)* |  |
| Junior manager (e.g. *civil service Executive Officer, fire fighter, nurse)* |  |
| Clerical (e.g. *civil service Administrative Officer, hospital receptionist, school secretary)* |  |
| A member of the public |  |

**8. How many people will be asked to take part in the**

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**survey?**

**9. Is the survey voluntary or statutory?** *Tick one of the boxes*

|  |  |  |  |
| --- | --- | --- | --- |
| Voluntary |  | Statutory |  |

**10. Approximately how long will it take to answer the survey questions?**

|  |
| --- |
| minutes |

*Before a survey is carried out by (or on behalf of) the Welsh Government there must be a submission to the Minister with responsibility for the survey subject area, with copies to the First Minister and Finance Minister. (Reference to the survey may form part of the submission for a wider project brief.)*

**11. How will the survey be conducted?**

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| --- | --- | --- | --- |
| Telephone |  | Interview |  |
| Email |  | Street Collection |  |
| Post |  | Other(*Please Specify)* |  | |

**12. When do you want to run the survey?**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *Day* | *Month* | *Year* | to | *Day* | *Month* | *Year* |

**13. Is the survey needed?**

**I have checked that:**

|  |  |  |
| --- | --- | --- |
| * The data doesn’t already exist |  | |
| * there isn’t similar data which exists, and which could be used instead |  | |
| * a survey is the best (or only) way to get the data. |  | |
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**I have checked this with: *(i.e. named Statistics or Research lead)***

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**14. Does the survey meet the required standards?**

***(a) Does the survey comply with the*** [***Data Protection Act***](https://www.gov.uk/data-protection)***?***

Anyone processing personal data must stick to the eight enforceable principles of good practice. “Personal data” means both facts and opinions about someone.   
The [principles](http://www.legislation.gov.uk/ukpga/1998/29/contents) say that data must be:

* fairly and lawfully processed
* processed for limited purposes
* adequate, relevant, and not excessive
* accurate

1. not kept longer than necessary
2. processed in accordance with the data subject’s rights
3. secure
4. not transferred to countries without adequate protection.

**Have you ensured that your survey complies with the Data Protection Act?** *Tick one of the boxes*

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

***(b) Is the survey ethical?***

Anyone running a survey should make sure (as far as they can) that the survey is conducted using sound research methods, where participation is based on informed consent and cannot cause any personal harm, social harm or offence - for more information see: [Ethics guidance](http://webarchive.nationalarchives.gov.uk/20140305122816/http:/www.civilservice.gov.uk/wp-content/uploads/2011/09/ethics_guidance_tcm6-5782.pdf)

* The people asked to take part in the survey should be clearly told what the survey is for and if it is voluntary, and what will happen to the answers they give (in an easy-to-read letter, if it is a postal survey).
* No-one should feel under pressure to take part in a voluntary survey.
* Interviews should not be too long, forms should not take too long to fill in,   
  and people should not be misled about the time it is likely to take to fill in the form.
* There should be no questions which are likely to offend people.

**Have you ensured that your survey is ethical?** *Tick one of the boxes*

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| --- | --- | --- | --- |
| Yes |  | No |  |

A survey must be approved by an [ethics committee](https://www.healthandcareresearch.gov.wales/gaining-ethical-approval/) if:

* it is of NHS patients (that is, people picked because of their past or present contact with the NHS)
* it means using the records of past or present NHS patients
* NHS staff or buildings would be used.

If you think that this applies to your survey you should check the [guidelines](https://www.hra.nhs.uk/).

**Has your survey got ethical committee approval?** *Tick one of the boxes*

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| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

***(c) Have you considered all relevant language aspects?***

Anyone running a survey should make sure that the [Welsh language](http://www.comisiynyddygymraeg.cymru/English/Organisations/Pages/What-are-standards.aspx) is treated no less favourably than English.

For any survey you must ensure that:

* the questionnaire is available in English and Welsh before the survey starts
* respondents have equal access to the survey in English and Welsh.

You must also consider whether there are any Welsh language-specific perspectives that need to be covered in your survey e.g. could the particular experiences of Welsh speakers, or those using a Welsh language service, need to be captured in your survey?

**Have you ensured that all relevant language aspects have been considered?** *Tick one of the boxes*

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| --- | --- | --- | --- | --- |
| Yes |  | No |  |  |

**15. Has the questionnaire been well designed and the questions fully thought out?**

***Are the right questions being asked?***

* Are all the questions that are being asked needed?
* Are the responses balanced and appropriate?
* Has clear, non-technical language been used?
* Can any open-ended questions be changed to closed ones?  
  An open question is one which people fill in using their own words: a closed question is one which is filled in by picking from a set of possible answers.
* Will the answers to all the questions be valid (that is, will they measure what they are expected to measure)?
* Will the answers to all the questions be reliable (that is, would the same answers be given to the same questions at different times)?

**Are the questions needed, easy to answer, valid and reliable?**

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

**Will the results be reported and/or used to produce official statistics?**

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| --- | --- | --- | --- |
| Yes |  | No |  |

**I have checked this with: *(i.e. named Statistics or Research lead)***

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**16. Have the questions been tested?**

* Has the questionnaire been piloted: (that is, has it been tested on some people like those who will be expected to fill it in)?

**Will the survey be piloted?**

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| --- | --- | --- | --- |
| Yes |  | No |  |

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**If Yes, on how many people?**

**17. Are the right people being selected to take part in your survey?**

Do you have a ‘sampling frame’? – A sampling frame is a list of people, addresses, organisations or businesses from which to select your sample of potential respondents from.

If the survey will be asked of everyone (or everyone in a particular situation/area), then it is a census. If it’s a census then a sampling frame is not required as a sample is not selected.

If the survey is done properly your conclusions will apply to the people or organisations that make up the sampling frame—but not usually to anyone else.

**Is your survey a census or will you use a sampling frame? Please describe how you will obtain your respondents.**

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**I have checked this with: *(i.e. named Statistics or Research Lead)***

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**18. Will the right people reply?**

* Not everyone who is asked will take part in the survey, but it is important that enough people fill in the survey forms.
* If those who reply to the survey make up fewer than half of those asked to take part, then the survey results may not be that useful.
* If more than half reply it does not guarantee reliable results, but it is a good start.   
  It is important to have plans of what will be done if fewer than half reply.
* The people who do not reply should not be different from those who do. If they are different then the survey results can only be applied to the people who reply, not to the whole population.

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**If fewer than half of all those asked to take part actually reply, I agree not to use the survey results without first checking with the relevant Welsh Government subject statistician/researcher.**

**19. Will enough people reply?**

* The aim of many surveys is to estimate a number which cannot be known without asking people (for example, the number who are satisfied with some service).
* A sample of people is usually used because it is just not possible (or it would cost too much) to ask everyone.
* So the number worked out from the survey answers will not be exactly right: it will be an estimate which (to be useful) should be close to the true number.
* The more people who reply, the more accurate the estimate: but the bigger the sample, the more expensive the survey.
* It is important to decide how close the survey estimates should be to the true values.

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**How many people do you expect to fill in and return the survey forms?**

**20. What happens next?**

When this form has been sent to the Survey Approval Team they will tell you one of three things:

* the survey has full approval and you can go ahead with it
* the survey has conditional approval and you can go ahead with it   
  provided you make some changes (which will be explained)
* the survey has not been approved (you will be told why).

# Please return this form to:

[SurveysAdvice@gov.wales](mailto:SurveysAdvice@gov.wales)

or

Survey Approval Team

Knowledge and Analytical Services

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