

APPLICATION FOR ETHICAL APPROVAL

In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.

The University follows the OECD Frascati manual definition of **research activity**: "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications". As such this covers activities undertaken by members of staff, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the "principal researcher".

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

Please read the notes for guidance before completing ALL sections of the form.

This form must be completed and approved prior to undertaking any research activity. Please see Checklist for details of process for different categories of application.

Delete the Guidance Notes at the end of the form BEFORE submitting your application

SECTION A: About You (Principal Researcher)

Full Name:		Jessica Alice Jones			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Faculty/School/Centre:		University of Wales Trinity Saint David, Yr Athrofa			
Campus:		SA1 Swansea Campus			
E-mail address:		1900106@student.uwtsd.ac.uk			
Contact Telephone Number:		07960656533			
For students:					
Student Number:		1900106			
Programme of Study:		PGCE Secondary, English			
Director of Studies/Supervisor:		Stephen Hadley			

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		YES	☒	NO	☐
					Date
If Yes, please indicate source of approval (and date where known): Approval in principle must be obtained from the relevant source prior to seeking ethical approval	Research Degrees Committee		☐		
	Faculty Research Committee		☐		
	Other: Catherine Morgan (Module Lead)		☒	17/12/19	

SECTION C: Internal and External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice BERA Guidelines	☒
UWTSD Research Data Management Policy	☒
	☐

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?		YES	☐	NO	☒
If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared as part of this collaboration.					
Institution					
Contact person name					
Contact person e-mail address					
Has this individual consented to sharing their details on this form?	YES	☐	NO	☐	
Are you in receipt of a KESS scholarship?	YES	☐	NO	☐	
Is your research externally funded	YES	☐	NO	☐	
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☐
	Employed	YES	☐	NO	☐
Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)	If YES then the permission question below does not need to be answered.	YES	☒	NO	☐
Permission to undertake the research has been provided by the partner organisation	(If YES attach copy) If NO the application cannot continue	YES	☒	NO	☐

Where research activity is carried out in collaboration with an external organisation

Does this organisation have its own ethics approval system?	YES	☐	NO	☐
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E: Details of Research Activity

Indicative title:	How Can We Develop Pupils' Written Responses to an End of Main Activity Extension Task in a High Ability Group?		
Proposed start date:	3 RD February 2020	Proposed end date:	Feb 2020
Introduction to the Research (maximum 300 words) Ensure that you write for a Non-Specialist Audience when outlining your response to the three points below: • Purpose of Research Activity • Proposed Research Question • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
Purpose of Research Activity The purpose of this study is to look at pupils' responses to the end of main activity extension tasks and note their impact on a pupils' education. I hope to ascertain the impact of such extension tasks and improve the responses given by pupils through a range of activities in class. (this box should expand as you type)			
Research Question "How Can We Develop Pupils' Views on the Effectiveness of English Extension Tasks for Those of a Higher Ability" (this box should expand as you type)			
Aims of Research Activity I aim to look at pupils' responses to end of main activity extension tasks and note their impact on a pupils' education. Their responses to the extension task will be recorded and any improvements or changes that they suggest will be considered for implementation. I hope to ascertain the impact of such extension tasks and improve the responses given by pupils through a range of activities in class. (this box should expand as you type)			
Objectives of Research Activity Lesson study on the chosen class and year group. Semi-structured interview with a select number of pupils from the chosen class. These will be used to decide the impact of extension tasks on the pupils and state how their responses can be improved. (this box should expand as you type)			

Proposed methods (maximum 600 words)

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed.

There will be two main methods used for this research project. The first will be a lesson study, where a select number of pupils will be analysed and observed. The data collected on the individuals will be kept on observation sheets. The pupils will be in their natural classroom environment and their daily education will not be disrupted. Pupils will participate in a planned lesson that will continue in the SoW that they have been taught. My research partner will be located in the back of the classroom, and will be observing the whole class. However, the notes that they will be taking will be specific to the pupils under analysis. These selected pupils will receive a differentiated extension task where their behaviour and their responses will be recorded. These pupils have been selected as they frequently receive differentiated extension tasks, therefore by having my research partner observe these pupils will allow for a greater analysis of their response to the extension tasks that are set. The information that will be collected will inform the questions posed in the interview that will follow. While there is a structure to the questions and a basic outline, this is open to change depending on the behaviour and responses of the pupils.

Secondly, the other research method used will be a semi-structured group interview with the pupils. This will be used in an attempt to glean a greater understanding of extension tasks from the pupils' perspective. The interviewees will be the pupils that were observed completing the extension tasks. The ten questions that will be asked of the pupils will help to inform the conclusions of this observation. There will be both myself and my research partner interviewing the pupils. Additionally, pupils will be fully aware that they can choose to not participate and leave the interview whenever they so wish. The interview will hopefully only take 20 minutes or so, in order to not cause too much disruption to the pupils' school day. The interview will not take place during break or lunch time, as that would not be fair to the pupils.

After conducting both the lesson study and group interview the reflection sheets will be completed following the BERA guidelines. The notes taken during observations and the interview will be destroyed after the completion of the study. Any digital information will be stored on a password protected memory stick.

Furthermore, after both the lesson study and group interview, there will be a reflection form that will be completed. This form will follow Gibbs' 1988 Model of Reflection process. Again, this reflection form will be kept in a locked cupboard on school grounds.

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

A rural, English speaking, but with significant Welsh, secondary school in Carmarthenshire.

(this box should expand as you type)

Research activity outside of the UK

If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants.

N/A

(this box should expand as you type)

Use of documentation not in the public domain: Are any documents NOT publicly available?	NO	☒
	YES	☐

If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with prevailing data protection law of the country in question and England and Wales.

(this box should expand as you type)

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☐	☒
Use of interviews?	☒	☐
Use of diaries?	☐	☒
Participant observation with their knowledge?	☒	☐
Participant observation without their knowledge?	☐	☒
Use of video or audio recording?	☐	☒
Access to personal or confidential information without the participants' specific consent?	☐	☒
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
Investigation of participants involved in illegal activities?	☐	☒
Use of procedures that involve deception?	☐	☒
Administration of any substance, agent or placebo?	☐	☒
Working with live vertebrate animals?	☐	☒
Other primary data collection methods, please explain in this box For example, 'focus groups'. Please indicate the type of data collection method(s) in this box and tick the accompany box.	☐	☒
Details of any other primary data collection method: (this box should expand as you type)		

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☐	☒
Vulnerable adults?	☐	☒
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☒	☐
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.	☐	☒
Other – please indicate here: (this box should expand as you type)		

Participant numbers and source	
Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	Approximately thirty students will be observed in the lesson study, but less than five will be considered for the group interview. <i>(this box should expand as you type)</i>
Who will the participants be?	Students from the class that is being taught. These students are aged between 12-13. <i>(this box should expand as you type)</i>
How will you identify the participants?	By their previous academic attainment. <i>(this box should expand as you type)</i>

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
Will you tell participants that their participation is voluntary?	☒	☐	☐
Will you obtain written consent for participation?	☒	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	☒	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	☒
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
If NO to any of above questions, please give an explanation			
<i>(this box should expand as you type)</i>			

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	☒	☐
Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
If YES to any question, please provide full details			
<i>(this box should expand as you type)</i>			

SECTION H: Anticipated Risks

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.

If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.

Full risk assessment completed and appended?

Yes

☐

No

☒

Risks to participants

For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information

Risk to Participant:

- Pupils may feel under pressure
- Potential safeguarding issue with regards to anonymity and data collection
- Pupils' self-esteem and confidence may be affected by not being selected.

(this box should expand as you type)

How will you mitigate the Risk to Participant

- Ensure pupils that the observation is purely voluntary and that they are free to leave the group if and when they choose to do so.
- Ensure all data collected is kept on secure password protected accounts.
- Pupils will be told that their decision to participate, or their non-participation will in no way effect their education and the attitude of the teacher towards them.

(this box should expand as you type)

If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities

N/A

(this box should expand as you type)

Risks to investigator

For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest

Risk to Investigator:

- Allegations of favouritism from pupils in the class.
- Accusation or fabrication of data
- Possible bias with recording data due to teacher-pupil relationships within the class.
- The risk to the researcher is relatively low.

(this box should expand as you type)

How will you mitigate the Risk to Investigator:

- Ensure that all pupils are aware that everyone can participate in the lesson study and that there is only a small number of pupils required to participate in the group interview.
- Data will be collected by two independent researchers who will be writing their individual reports.
- The additional research partner will be able to note any potential bias by acting as a neutral observer.

(this box should expand as you type)

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University:

How will you mitigate the Risk to University:

- Potential risk to university's name or image.
- Potential impact on the University, school network and student relationship.

(this box should expand as you type)

- The researchers will act in a professional manner throughout the entirety of the research project.
- The research could have the potential to reflect poorly on the practice of the university, but this is unlikely and will be considered throughout the research.

(this box should expand as you type)

Disclosure and Barring Service

If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
Does your research require you to hold a current DBS Certificate?	☒	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback

What de-briefing and feedback will be provided to participants, how will this be done and when?

Since the participants are minors, the permission will be obtained from their parents or guardians. A copy of the observation results can be made available to the participants per their request. The same will also be considered for parents and the school.

(this box should expand as you type)

Informed consent

Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.

Pupils will be informed of the lesson study that will be conducted in their lesson. The pupils will also be informed that their participation is entirely voluntary and that they can choose to not participate in either the lesson study and/or group interview at any time. Pupils will be informed that they will be observed by a fellow student teacher. Permission for participation in the observation will be obtained through a consent form sent to parents and guardians via pupils.

(this box should expand as you type)

Confidentiality / Anonymity

Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.

The identity of pupils will be protected through the university's guidelines as well as BERA's guidelines. Specific information on pupils such as their names, ages, class set etc. will be kept on a secure password protected OneDrive account. Any hard paper copies of data collected will be destroyed after the research project has concluded.

(this box should expand as you type)

SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (<http://uwtsd.ac.uk/library/research-data-management/>).

Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
"Personal data" means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		
Does it involve special category data (as defined by the GDPR)?	YES	NO
"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	☒
If YES, provide a description of the special category data and explain why this data needs to be collected:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☒	☐
University computers?	☐	☒
Private company computers?	☐	☒
Home or other personal computers?	☐	☐
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☒	☐
"Cloud" storage or websites?	☐	☒
Other – specify:	☐	☒
For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of password protection, encryption, anonymisation and pseudonymisation:		
The data that will be collected following the lesson study, group interview and reflection will be stored in a locked cupboard on school grounds.		

(this box should expand as you type)

All Data Storage

Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☒	☐
Sharing of data with others at the University?	☒	☐
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☒	☐

If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):

The storing of pupils' details will be shared with the marker of this research proposal as well as the module leader. This will be in accordance with the university's confidentiality guidelines.

(this box should expand as you type)

List all who will have access to the data generated by the research activity:

Myself (Jessica Jones)
Research partner
Class teacher
University Moderator/marker
(this box should expand as you type)

List who will have control of, and act as custodian(s) for, data generated by the research activity:

Myself (Jessica Jones)
Research partner

(this box should expand as you type)

Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.

Encrypted memory sticks and a password protected OneDrive file will be kept for the duration of the research study.
Hard paper copies of the collected data will be destroyed after the conclusion of the research study.

(this box should expand as you type)

Please indicate if your data will be stored in the UWTSD Research Data Repository (see <https://researchdata.uwtسد.ac.uk/>). If so please explain. (Most relevant to academic staff)

(this box should expand as you type)

Confirm that you have read the UWTSD guidance on data management (see https://www.uwtسد.ac.uk/library/research-data-management/)	YES	☒
	NO	☐
	YES	☒

Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	NO	☐
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SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's [Research Ethics and Integrity Code of Practice](#)

Signature of applicant:	Jessica Jones	Date: 17/12/19
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For STUDENT Submissions:

Director of Studies/Supervisor:	Stephen Hadley	Date: 17/12/19
Signature:		

For STAFF Submissions:

Head of School/Assistant Dean:		Date:
Signature:		

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate) ONLY TICK IF YOU HAVE ATTACHED A FULL RISK ASSESSMENT
☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.
☒	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY

All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk, with the title 'Ethical Approval' followed by your name.

You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

This form is available electronically from the Academic Office web pages:

<http://www.uwtsd.ac.uk/academic-office/>

Application Process

All staff research projects and all research students must submit the Ethical Approval Form to the **University Ethics Committee** via the Academic Office (pgresearch@uwtsd.ac.uk). Staff research directly in relation to personal study for taught undergraduate or Masters programmes should be submitted via the Faculty procedures explained below.

Taught masters and taught undergraduate research Ethical Approval Forms are considered **within Faculties**. Faculties will provide details of the specific processes for this. Where the Ethical issues within any single ethical application are of particular concern the Faculty will refer these to the University Ethics Committee. Any student activity that involves the collection of primary data needs to undergo Ethical approval, this includes assignment work as well as dissertations.