Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David

PG2 / E1 FORM

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:		Jack Conway			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐

Faculty/School/Centre:	University of South Wales Trinity Saint David
Campus:	SA1 Campus, Swansea.
E-mail address:	1100345@student.uwtsd.ac.uk
Contact Telephone Number:	07785100245
For students:	
Student Number:	1100345
Programme of Study:	PGCE Primary
Director of Studies/Supervisor:	Catherine Morgan

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** ☐
				13/12/19
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 (write in) Gari Stephens Placement school subject mentor	☒		

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	☒
UWTSD Research Data Management Policy	☒
British Educational Research Association Ethical guidelines	☒

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:	What is the impact of the strategy 'see 3 before me' in learners' engagement within a foundation phase class which is participating within a continuous provision task?		
Proposed start date:	6/1/20	Proposed end date:	21/2/20

Introduction to the Research (maximum 300 words)

Ensure that you write for a <u>Non-Specialist Audience</u> 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 **<u>Existing Research</u>** 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 the research activity is to identify the impact of this strategy upon the pupils' engagement within a continuous provision activity.

(this box should expand as you type)

Research Question

What is the impact of the strategy 'see 3 before me' in learners' engagement within a foundation phase class which is participating within a continuous provision task?

(this box should expand as you type)

Aims of Research Activity

- To see how often the strategy is used.
- To observe the impact on engagement of the strategy.
- To see how learners behave during a continuous task.
- To witness the impact of the strategy on the pupils' production.

(this box should expand as you type)

Objectives of Research Activity

- To demonstrate the impact that AFL strategies can provide within a foundation phase class.

(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.

A lesson study is a collaborative method of research where teachers analyse results gathered from a particular observation. The idea originated in Japan, and has increasingly been used in different countries across the world. We as teachers will work in a pair focusing on a particular area of learning and development. The lesson study will consider a 'research question' that can give insight into the area of engagement within a foundation class. The method consists of a cycle where the members plan together before one delivers the lesson with the other observing. The three learners are then interviewed for their thoughts and feelings on the lesson to add to the research. The researchers then have to consider the results of the observations and evaluate. They can then plan in accordance to the results to carry out a further lesson study to increase the research. A lesson study aids in providing evidence of seeing pupil learning in sharper detail and potentially changing teaching approaches to support the learning. Dudley (2014) explains how Lesson study opens the 'black box' of the classroom because it provides teachers with 'new eyes' that can observe and see in great detail the micro-level, inter-relationships between their pupils' learning and their own teaching.
We will be using Leuven scales during the observation, which gives insight into the engagement and behaviour of the children being observed. The reliability of the data provided from the Leuven scale provides a view of the involvement of learners that can be observed within the pair carrying out the research (Laevers and Declerq, 2018). The scale is based on a score of 1 to 5, 1 being the lowest engagement, working their way to 5 being the highest engagement.
During the interview process, it is set as a semi-structured approach. This will allow us as the researchers to add additional probing questions to promote further discussion and insight into the learners' experiences and feelings.
For reflection, we will be using the ARC model, which will aid in breaking down what we have observed into feelings, next steps and positives and negative of the entire experience.

(this box should expand as you type)

Location of research activity
Identify all locations where research activity will take place.

The research and observations will take place in School 1, located in south west Wales which has an age range of pupils between 3 to 11 years of age. There are approximately 471 current pupils and as a school they take huge pride in the sense of community within the school and have also created strong links with the community. The class size will be 27 pupils with 3 of the children being observed.
"School Two" is located in South West Wales. The school has pupils ranging from 3 to 11 years old. As of 2018, there were 179 pupils attending the school. The school is in the green support category and is continuing to grow in numbers annually. The class currently has 24 pupils where 3 children will be randomly selected to be observed.
(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.

(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: - Leuven scales - Observation notes - Focus group questions - (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?	6 pupils (3 children from a class in school one, 3 children from a class in school two) *(this box should expand as you type)*
Who will the participants be?	Participants will be three pupils from a class of 27 pupils within school one. Participants will be three pupils from a class of 24 pupils within school two. All pupils will be selected from a foundation phase class. *(this box should expand as you type)*
How will you identify the participants?	The pupils will be chosen at random within their attainment groups. These groups have been chosen by the class teacher and explained to us by the mentors. One pupil from each group will be picked at random, as there are three attainment groups and three children being observed. *(this box should expand as you type)*

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			
(this box should expand as you type)			

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			
(this box should expand as you type)			

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:	*How will you mitigate the Risk to Participant*
- Participants potentially feeling pressured to perform differently during the observation and interview. - Other pupils' self-esteem at not being selected. - Safeguarding issues. - Anonymity. *(this box should expand as you type)*	- Ensure participants know that it will be a normal lesson and clarity of what will happen during the observation. - Ensure honesty and repeatedly remind there are no wrong answers for the feedback. - Behave in a professional manner. - By ensuring observers make no judgments. *(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.

(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:	*How will you mitigate the Risk to Investigator:*
- Allegations from pupils during the observation and interview. - Accusation of favouritism to particular pupils. - Accusation of tampering or altering data to specific results. *(this box should expand as you type)*	- Ensuring research partner or other staff are present at all times. - Ensure research is carried out in a professional manner at all times. - To approach with open eyes recording as accurately as possible to what is observed. *(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:*
- Observers performing unprofessionally by not upholding the good name of the university. - Altering data which can lead to false results impacting the standards set by the university. - Poor data protection by researchers. *(this box should expand as you type)*	- By acting in a professional manner as a representative of the university at all times. - Ensure the university code of conduct is followed. - Ensuring all data collected is anonymous and clearly protected to a high degree. *(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?
There will be a focus group interview following the lesson including both researchers and the three participants. Before the interview questions we will be thanking all participants for their involvement and willingness in the observation. We will ensure they will understand all personal details will stay anonymous and how their contribution is valued. *(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.
The lesson structure and plan will be described and explained as thoroughly as possible to the whole class in order to gauge interest in participation. We will take names appropriately of who is happy to be involved by a show of hands. We will then discuss the levels of attainment with the class mentor before preparing to randomise the three pupils selected from each group. When participants are selected, we will ensure clarity and explanation of the randomisation approach and that chosen pupils may not take part. Therefore, keeping the potential of participation open to pupils who wish to do so. The three participants selected will be given a letter of information about the research and parental consent form. There will also be a letter of assent to be signed by the child. When these are received the data will be stored appropriately and professionally. Each student when asked to participate will then be given emoji face sheets which displays “happy” or “unhappy” to participate in the research. The children will be given time to think if they are happy to participate or not. Following the time allocated, the sheets will be checked and appropriate steps taken. *(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.
No names will be used within the demonstrated results. This includes name of the school, participants, observers and any other individuals who may be considered. *(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.*	☐	**X**
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),*	☐	**X**
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: *University one drive*	☒	☐
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 university one drive is password protected and encrypted. This will be used to store the majority of the data following the research. This data will be anonymised and shared only between myself and the research partner until being submitted to the university. *(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 data will be shared with the university markers for submission however this will be anonymised. The data could be shared with the school or parents if it is requested to be viewed. *(this box should expand as you type)*		
List all who will have access to the data generated by the research activity:		
University markers. Myself and my research partner. *(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 and my 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.		
We are aware of the importance of keeping data safe and anonymised. We will ensure all work is saved on a password protected device and is only shared on university protected platforms. *(this box should expand as you type)*		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.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.uwtsd.ac.uk/library/research-data-management/)	**YES**	☒
	NO	☐
Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	**YES**	☒
	NO	☐

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:	Jack Conway	**Date:** **17/12/19**

For STUDENT Submissions:

Director of Studies/Supervisor:		**Date:**
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.