

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:		Shaniece Lauren Jacobs			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	X	Taught Postgraduate Student	☐	Postgraduate Research Student	☐
Faculty/School/Centre:		University of Wales Trinity Saint David			
Campus:		SA1			
E-mail address:		2105737@studentuwtsd.ac.uk			
Contact Telephone Number:					
For students:					
Student Number:		2105737			
Programme of Study:		Bachelor of Arts:Early Years Education and Care:Early Years Practitioner Status			
Director of Studies/Supervisor:		Jessica Pitman			

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	X	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 (write in)	☐	Tutor-Jessica Pitman	

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	X
UWTSD Research Data Management Policy	X
	☐

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☐	NO	X
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:	Developing Social Skills through Play for children with ALN		
Proposed start date:	October 3rd 2022	Proposed end date:	March 24th 2023
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: • <i>Purpose of Research Activity</i> • <i>Proposed Research Question</i> • <i>Aims of Research Activity</i> • <i>Objectives of Research Activity</i> Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • <i>What the research activity will add to the body of knowledge</i> • <i>How it addresses an area of importance.</i> Article 31 of the UNCRC states all children have the right to play (Unicef, no date). Play is an important aspect to children's social skills and how they interact with others. Play provides opportunities for children to form bonds, build friendships with other children and feel a sense of belonging. (Gleave and Hamilton, 2012; Barnet, 2018. Literature views by Orfanos,P. and Orfanos,D. (2022) and also by Lindsey, Hounsell and Cassaiani (2016) both state children with ASD have difficulty with their social skills and maintaining friendships. The purpose of this research is to expand more on prior knowledge of children with ASD and how they respond to peers and to also implement fun interventions to see which is most successful to achieve the outcome of children with ASD developing their communication and social skills. The proposed research activity in this form intends to carry out a qualitative study which will record and observe children in their natural environment, playing in an early years setting and also undertake interviews with the children to get an understanding from their perspective what friendship is and how they feel about it.			
Research Question How can practitioners support children with ALN to engage in play and develop their communication and social skills?			
Aims of Research Activity To observe children with ALN, how they play and interact with other children. To find conclude what interventions are successful strategies to support and develop their communication and social skills.			

Objectives of Research Activity

To carry out observations on children during play (indoors/outdoors)
 To take notes on how the children behave and interact and to film the observation to reflect and make deeper analysis.

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.

Should the setting that has been approached wish to participate in this research study (regarding the ethics proposal has been accepted), once that has been accepted a visit or a phone call with senior leadership/ALNco will be arranged to discuss the procedure of the research. The setting has been chosen as they are a Learning Support Unit adjacent to a mainstream setting school within the local county. After all has been discussed with the setting and they agree to participate, consent forms will be sent home to parents and legal guardians for those who will be involved. Visits will also be arranged for parents/legal guardians and their children to discuss and answer any questions regarding the consent and research and any other ethical issues. They will be ensured the research is completely voluntary and will follow the BERA ethical guidelines (2018).

Methods chosen include visiting the setting over two terms, as to not disrupt the schools normal daily routine too much. Starting in September (Autumn term) and finishing in March (Spring term). There will be two sessions a week, in the afternoon on days children would usually have interventions in place as that would be their normal routine. A change in an ASD child's routine could be distressing for them and may cause behaviours to change (National Autistic Society, 2022; Canete, R. and Peralta, E. 2022). Sessions will gradually increase in time to an hour when interventions regarding the research are introduced. Children will not be expected to participate for a full hour there will be a carousel of activities in the classroom as to follow the BERA (2018) guidelines.

Observations, video recordings and interviews will be carried out starting with short observations (10 Minutes) to see what the children are initially like and so the children are comfortable with a new adult in the room. Following the initial observation will be interviews with the children lasting 5 minutes for each child, researchers will organise with the setting for convenient times to conduct the interviews. Notes will be taken for the children's responses. In person observations will be carried out and recorded for the duration of the research to note any changes to children's communication and social skills after interventions have been introduced to them in week 4 of the research study. These observations will last 30 minutes in total and for those who do not wish to be recorded or are unable to be recorded only notes will be taken. Recording observations allows researchers the opportunity to be in amongst the children and be in the moment with them which can help create a more relaxed environment for the children. At the end of the research study children will be interviewed again (5 minutes for each child) to see if their impression and opinion on friendships has changed. For the children who are non-verbal interviews will not be carried out only observations. Following the NSPCC guidelines (no date) those involved will be asked if they would like to take part in the interviews and other activities.

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☐	x

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?	☐	x
Adults (over the age of 18 and competent to give consent)?	☐	x
Vulnerable adults?	☐	x
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	x	☐
Prisoners?	☐	x
Young offenders?	☐	x
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	x
People engaged in illegal activities?	☐	x
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:	☐	x

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?	Children 20 Ages 5-10
Who will the participants be?	Children Age 5-10
How will you identify the participants?	The setting has been identified and have responded stating they would like to participate in the research. The researcher will work with the setting ALNco/Leader of the unit to identify the children involved.

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?	☐	x	☐
Will you tell participants that their participation is voluntary?	x	☐	☐
Will you obtain written consent for participation?	x	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	x	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	x	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	x	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	x
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☐	x	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	x	☐	☐
If NO to any of above questions, please give an explanation			

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

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 T:

Vulnerable children may find it upsetting and cause distress to them (NSPCC, no date) due to the fact there are people they are unfamiliar with in the room and potential disruptions to the daily routine could cause upset.

Having cameras and researchers observing the children may make them feel uncomfortable which could lead to having an effect on their emotional well-being.

Interviews may also cause the children some distress, they may not understand what is going on which may cause them some distress.

Notes of the observations or the video recording could be lost or shared outside the research team.

How will you mitigate the Risk to Participant

Discussion with the setting prior to starting the research to decide on appropriate times as to not cause so much disruption. An introduction period where researchers come in one morning where children can meet and get used to the new people. practitioners can remind the children then of who is coming in the afternoon so it becomes known in their routine visitors in the afternoon (this can be displayed on the visual time table). If children show signs of distress such as crying, behaviours change or withdrawn research will stop.

The camera will only be small however the children will be aware of it being there which may cause them to feel uncomfortable. As previously mentioned if children show signs of distress they can withdraw from the research, this decision will be respected.

Again the researcher will be vigilant to ensure the children feel happy however if at any point the show sign of distress they can withdraw.

All data that is not stored on a university computer, protected by firewalls and anti-virus, passwords and encrypted, should be stored in a locked cabinet, in a locked office (BERA,2018; UWTSD Safeguarding Policy, 2021).

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:

If data is lost such as video recordings, notes of observations or failure to maintain confidentiality and follow policies it could have a negative effect on the Researcher. The position of the researcher may be misunderstood. The researcher is there to observe and not a practitioner. issues could arise if there is such misunderstandings. An early years setting will have clear policies and procedures outlined for well-being and safeguarding. The researcher could accidentally violate these policies which could lead to accusations about the researcher.	To limit the risk of lost data and failing to maintain confidentiality, video cameras and notes should be locked away securely in a cabinet in a locked room. Data stored electronically should be done on a university computer which is password protected, encrypted and has fire wall and virus protection (BERA,2018; UWTSD Safeguarding Policy, 2021). The role of the researcher is to observe the children, they should not be counted in the staff ratio. The researcher is not able to carry out parts of a practitioners role such as intimate care. To ensure this does not happen the researcher will be aware of these policies to ensure best practice and they will have a full, up to date DBS check. (Safeguarding Policy, 2021). Before the research starts the researcher will arrange a time to discuss with the setting the policies and procedures. The researcher will also be aware of best practice.
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University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University: Failure to adhere to the settings policies and procedures or acting inappropriately/unprofessionally, could lead to adverse publicity arising. Negative publicity would be the result of the researcher failing to maintain confidentiality and data protection	<i>How will you mitigate the Risk to University:</i> Adhere to the university's policies and procedures and the settings policies and procedures (Early Education, 2011). The researcher will ensure to be aware if the university's and the settings policies and procedures before starting the research. The researcher will discuss the with settings policies and procedures to ensure she works in accordance to their normal practice. Data will be stored safely and correctly in a locked cabinet in a locked room (paper research records/video camera). Alternatively data will be stored on a university computer which will have fire wall and virus protection, password protected and encrypted. This will ensure the data is secure and less likely to be misplaced. (BERA,2018; UWTSD Safeguarding Policy, 2021)
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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?

The research report will be shared with the participants and the setting. Parents/legal guardians, the children and staff from the setting will be invited to a presentation discussing the findings and if the strategies were successful. It will also be an opportunity for the parents/legal guardians or staff members to ask any questions .

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.

Consent forms will be sent out to the parents/legal guardians of the children who will be involved to sign. The consent form will have in detail the premise of the research. A detailed description of what methods are involved, day and times which were agreed with the setting and data protection. Consent forms will be signed and sent back to the setting. Children will be monitored through out for signs of distress and asked for verbal consent if they are happy to participate or if they would like to withdraw. If children are non-verbal and present signs of distress or naturally withdraw then themselves and do participate it will be received as they do not wish to be involved. This follows the guidelines presented by BERA (2018).

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.

Appropriate measures will be in place to ensure the setting and pupils involved remain confidential in line with safeguarding legislations (UWTSD Safeguarding Policy, 2021). The recording will only be used to analyse the content, it will not be published. Therefore the recording will be kept confidential. children will be referred to as 'Child A, Child B' so they are not identifiable.

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
<i>"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.</i>	x	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
The video recordings may be able to identify the children involved.		
Does it involve special category data (as defined by the GDPR)?	YES	NO
<i>"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),</i>	☐	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)?	x	☐
University computers?	x	☐
Private company computers?	☐	x
Home or other personal computers?	☐	x
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	x
"Cloud" storage or websites?	☐	x
Other – specify:	☐	x
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:		
Non-digital data will be stored in a locked cabinet in a locked room until the data is uploaded with the rest onto a university computer. Once it has been uploaded paper recordings of data can be		

shredded following the university's confidential waste policy. Video cameras used will also be locked in the same cabinet on the same locked room. The videos will also be downloaded onto a university computer and will be password protected and encrypted.

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?	☐	x
Sharing of data with other organisations?	☐	x
Export of data outside the European Union or importing of data from outside the UK?	☐	x
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	x
Publication of data that might allow identification of individuals?	☐	x
Use of data management system?	☐	x
Data archiving?	☐	x

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):

(this box should expand as you type)

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

The researcher Shaniece Jacobs and her tutor Jessica Pitman

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

The researcher- Shaniece Jacobs and if required the tutor- Jessica Pitman

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.

Non-digital data will be uploaded as soon as possible to the University's managed environment (UWTSD Research Data Management Policy, 2022) as well as all other research data. Non-digital research notes will then be shredded following the university's confidential waste policy. Research data will be stored on a university computer with the appropriate security measures in place such as encryption, fire wall and virus protection (Data Protection Policy, 2021; BERA, 2018). Data will be stored for a minimum of 10 years then they will be deleted.

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)*

No

Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	YES	x
	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	x
	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:	Shaniece Jacobs	Date: April 15th 2022
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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:

x	I have read the guidance notes supplied before completing the form.
x	I have completed ALL RELEVANT sections of the form in full.
x	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
x	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.
x	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.
x	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.

Reference

List

ECEY5007

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Cassiani,C., Hounsell,K. and Lindsey, S. (2017) 'A scoping review of the role of LEGO® therapy for improving inclusion and social skills among children and youth with autism', *Disability and Health Journal*, 10(2), pp-173-182.

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