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:		Lowri Alys Powell			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐

Faculty/School/Centre:	Yr Athrofa, University of Wales Trinity Saint David
Campus:	SA1, Swansea.
E-mail address:	1900167@student.uwtsd.ac.uk
Contact Telephone Number:	07982853284
For students:	
Student Number:	1900167
Programme of Study:	PGCE Secondary Biology
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** ☐
				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	☒		**17/12/2019**
	Faculty Research Committee	☒		**17/12/2019**
	Catherine Morgan, Module Lead	☒		**17/12/2019**

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	☒
BERA Ethical Guidelines for Educational Research (2018)	☒

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?		**YES**	☐	**NO**	☒
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 peer assessment can be effectively employed to improve the learning experiences of Year 7 students, based on findings from lesson study observations and interviews of case students.		
Proposed start date:	03/02/2020	Proposed end date:	21/02/2020

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 investigate the advantages and disadvantages of peer assessment based on lesson observation and interviews with 3 selected case pupils. The purpose of the collected data is to give a better insight into how to effectively employ peer assessment in the classroom to improve learning.

Research Question

How can peer assessment can be used effectively to improve the learning experiences of Year 7 pupils?

Aims of Research Activity

The research activity aims to investigate how peer assessment can be employed effectively to improve my teaching practice and the learning experiences of students within my lessons.

Objectives of Research Activity

The research activity will involve a lesson study in order to observe and analyse how our teaching practice currently uses peer assessment in order to identify areas which could be improved. We plan to carry out interviews of case pupils in order to gain insight into their thoughts and opinions surrounding peer assessment. Following this, careful reflection upon the information gathered will inform amendments to the planned lesson. The amended lesson will then be carried out to a different class. Observation of the amended lesson and interviews with three more case students will then provide information to reflect upon whether our teaching practice involving peer assessment had improved following the amendments implemented.

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.
The research activity will involve creating a lesson plan, involving the use of peer assessment. The lesson will be delivered to a Year 7 science class while a lesson study observation will be carried out by my research partner, using an observation schedule we created using the Leuven Scale of Involvement and Well-being (Laevers, *et al*., 2003). The observation notes will remain anonymous and will not include any information which may identify any students. The observation notes will be treated sensitively. Following the lesson, my research partner and I will carry out an interview of three case pupils which will be audio recorded to aid later transcription. The interview will consist of simple questions aiming to better understand the students' perception of peer assessment. The audio recording will be treated with confidentiality and will remain anonymous. Following the use of the audio recording, it will be destroyed. It will be stored on a password protected computer, accessed only by my research partner and I, and it will not be shared electronically. After the audio recording has been used it will be deleted. My research partner and I will then reflect on the first lesson taught using the ARC reflection model, based on the observation schedule notes and based on feedback from the interviews with three case students. Following reflection, the original lesson plan will then be altered based on feedback. My research partner will then carry out the adjusted lesson to a different Year 7 science class and the same processes as before will be carried out again (lesson study observation using an observation schedule, interview of 3 different case students in the different class and reflection, based on observation notes and interviews conducted, using the ARC reflection model).

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

Mixed gender comprehensive school in South Wales, with a relatively affluent catchment area with around 6% of its pupils eligible for free school meals (Welsh Assembly Government, 2019) as opposed to the Welsh National average of around 16% (Children's Society, 2019).

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.

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.

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:	☐	☒

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:	☐	☒

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?	60 participants are expected to be involved in lesson observations. 6 participants will be involved in the interview. Selected case students will be identified as students 1, 2 and 3 respectively.
Who will the participants be?	Students in 2 different Year 7 classes within the comprehensive school.
How will you identify the participants?	Students will be identified using numbers in order to ensure that they remain anonymous, in line with the BERA anonymity guidelines.

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			

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			

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*
Very small risk of emotional distress, physical harm and transfer of sensitive organisational information.	The research project will be explained fully in lay terms before students will be given the option to give consent for participation. The participants will be reassured that they can drop out at any time. The participants will be reassured that all information they disclose will remain confidential. The participants will also be reassured that their honesty is appreciated and that what they disclose will not effect their future treatment in any way. The participants involved in the interviews will be reminded before hand not to state any transfer of sensitive organisational information (e.g. name of the school) during the audio recording. If this does happen by mistake the audio recording will be redacted.

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

The research activity focuses on the use of peer assessment to improve learning so will not involve any particularly sensitive, embarrassing or upsetting topics. However, if these do happen to arise school policy will be followed which involves explaining that any information may need to be passed on to the school safeguarding officers.

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:*
Very small risk of allegations from students and physical harm.	A member of school staff will be present at all times while the research is being carried out to ensure that should any events unfold which may compromise any of the above, correct school procedures can be implemented to prevent harm.

University/institutional risks
For example: adverse publicity, financial loss, data protection

Risk to University:	*How will you mitigate the Risk to University:*

Very small risk of data protection issues and adverse publicity.	All data will be handled sensitively and kept confidential, following BERA guidelines. I will behave in a professional manner at all times. I will not falsify data and will take appropriate steps to remove raw data once it has been analysed. Raw data will be saved on password protected laptops which will be backed up on the University drive which has sufficient firewall protection. The participants' right will be clearly explained. I will act in accordance with guidelines set out by BERA (2018) and UWTSD Research Ethics and Integrity Code of Practice.

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?

Consent forms will be given to all participants and as the research project involved inors under the age of 18 parents / guardians will be required to give their consent in order for their child's participation to be approved. Participants will be reminded that recordings carried out during interviews will be deleted after use and are kept fully anonymous. Participants will be reminded they they have the right to opt out at any time and withdraw from consenting for their data being used for the purposes of the research project. Participants will be reminded any opinions and thoughts shared during the interview will not effect their future treatment in any way and that their honesty is valued and appreciated.

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.

Potential participants will be clearly verbally informed in lay terms of the research project so that they fully understand its purposes and implications.
Potential participants will be given clearly written consent forms which detail the purposes of the research project, how they may be involved and how any data may be used. Potential participants and their parents and guardians will need to read this information before giving consent, and indicate they they have read and understood this information prior to giving consent. The consent forms will need to be returned to the school reception by a specified date in order for the students' participation to be approved.

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.

Participants will remain anonymous for the purposes of the research project. Names will not be recorded on observation forms, reflection forms, audio recordings or in the research project write up. The name of the school in which the research project will be carried out will also remain anonymous. BERA anonymity guidelines will be followed (BERA, 2018). Any data collected will be treated sensitively and with confidentiality, stored on a password protected computer that only I will have access to. Data will be backed up on the university system with has sufficient firewall protection. Data will be destroyed after use.
Participants will also have the right to withdraw from the study at any time without giving a reason. Assent will be gained again before the beginning of the lesson observation and interview of three case students. Participants will be told and reminded that if they wish to withdraw than can do so verbally asking my research partner or I at any time, without needing to give a reason and it will not effect their future treatment in any way.

Consent will be gained from parents / guardians using clearly written consent forms which need to be signed and dated. Assent will be gained from students verbally at the beginning of the lesson observations and case student interviews.

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:		
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:		

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:		
All stored data (on observation schedules, audio recordings, audio recording transcripts and reflection forms) will remain completely anonymous. Students will be referred to as students 1, 2 and 3 respectively. The school will be referred to as 'School X', in line with BERA anonymity		

guidelines. The data will be stored on a password protected computer and backed up on the university system which has sufficient firewall protection. All raw data will be destroyed after its use.

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):

In accordance with GDPR, the parents / guardians of the participants can get in contact to ask to obtain the individual data collected relating to their child.
Data shared with others the university (e.g. for university markers and my research partner) will be fully anonymised and will not contain any identifiable information. It will also remain confidential on password protected computers which will have sufficient firewall protection.
Data will only be electronically transferred via online submission of the research project write up on the university website which has sufficient firewall protection and can only be accessed by specified staff and is password protected.
All data will be deleted and destroyed upon completion of the PGCE course.

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

Lowri Powell and my research partner, both PGCE students at UWTSD.

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

Lowri Powell and my research partner, both PGCE students at UWTSD.

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.

The audio recording will be kept private on a password protected computer with sufficient firewall protection. All raw data will be destroyed after use. All data will be fully anonymised and treated with confidentiality. The data will not be archived and will be deleted upon completion of the PGCE course.

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, the data will not be stored in the UWTSD Research Data Repository.

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:	Lowri A. Powell	**Date:** **17/12/2019**

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

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PG2 / E1 FORM

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.