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

Faculty/School/Centre:	Yr Athrofa
Campus:	SA1 Swansea
E-mail address:	1802417@student.uwtsd.ac.uk
Contact Telephone Number:	07955872996
For students:	
Student Number:	1802417
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** ☐
				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) Catherine Morgan (Senior Lecturer)		☒	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 (2018) Ethical Guidelines for Educational Research	☒

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:	Can non-verbal behaviour management strategies regain pupil attention and how do they affect pupil well-being?		
Proposed start date:	03/02/2020	Proposed end date:	07/02/2020

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 is to carry out a lesson study in order to observe an aspect within education. The observations and research will focus on behaviour management as it has been highlighted as a target to focus on within my practice.

Research Question

The research question I will be focusing on will be ‘Can non-verbal behaviour management strategies regain pupil attention and how do they affect well-being?’

Aims of Research Activity

The aim of the research is to find out how non-verbal behaviour management strategies affect the behaviour, attention, and well-being of pupils within a Reception and Year 3 Class. The research will observe the use of the ‘hands up’ and ‘clapping’ methods of behaviour management and how pupils respond to these in a classroom environment.

Objectives of Research Activity

The ‘hands up’ and ‘clapping’ strategies would be used to identify the effectiveness of these methods within Reception and Year 3. The research will look at how long the pupils take to respond to each method and how each method affects their well-being.

Proposed methods (maximum 600 words)

For the initial gathering of information, I will use the non-participant method of observation. I will observe individuals who have given previous consent whilst remaining detached from the lesson being observed. Once this observation has taken place in the morning, three pupils will be selected to attend an interview which consists of questions regarding the behaviour management strategies carried out in the lesson. The pupils will be selected from those whose parents/carers have given consent before the research is taking place. These pupils will be selected based on those who have been identified as responding well to the strategies, a pupil who did not respond as well and another pupil randomly from the class. I will be asking the questions on a one-to-one basis with my colleague taking notes on my behalf. Once this process has taken place, it will be repeated the next day with a change in roles. I will carry out my own lesson using behaviour management strategies and be the note taker for my colleague in their interviews

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

Reception and Year 3 classroom in a school within South Wales.

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

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:	☐	☒

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?	The number of pupils will depend on how many parents/carers provide consent before the research takes place. Therefore, the maximum number of pupils being observed will be up to 30. The number of pupils being interviewed will be three.
Who will the participants be?	The pupils will be those within a Year 3 class who are being observed during a morning session.
How will you identify the participants?	The participants will be pupils who has received consent from parents/carers. The three pupils will be selected from the pupils who have consent and who are happy to participate.

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*
A possible risk when selecting the three pupils for an interview is that some pupils might feel disheartened if they have not been chosen to be interviewed. This could also lower their self-esteem.	In order to reduce the risk of low self-esteem, I would reassure pupils did a good job participating and ensure that there is a high level of praise to all pupils.
Some pupils may feel pressure to give the answers that the researcher is looking for. This would not give a true reflection of the pupils' feelings towards the research topic.	I would ensure that pupils know that the research will not affect their attainment and treatment within school.
During the research, the observer could possibly encounter a safeguarding issue with the participants within the class.	I would follow the schools' safeguarding procedure if this event were to occur. I would tell the pupil that I would be unable to hold this information as it raises concerns of the well-being of a child. I would report the issue to the designated safeguarding officer within 24 hours.
A pupil might not want their names to be mentioned in the findings. If they know this, they could possibly give answers that are not true to their feelings.	No names would be included in the production of findings. I would maintain anonymity by referring to pupils by letters of the alphabet.

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

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:*
The investigator could encounter allegations from pupils and/or members of staff within the school.	To reduce the risk of allegations, I will ensure that I am not in a room on my own with a pupil, I will have another adult with me. This would prevent the risk of an allegation occurring.
There could be a conflict of interest between members of staff within the school regarding the research. This could affect the information and amount of information gathered.	To ensure that a conflict of interest does not arise, I will present my findings to my school mentor/supervisor before the research was to

A risk to the research is the pupils refusing to take part in the study. With the right to withdraw, the pupils may change their mind during the study and does not want their contribution included in the study. There is a risk that there can be bias when collecting and recording the information gathered.	take place. This would give the school mentor/supervisor enough time to raise concerns. If the pupils refuse to take part in the study, I will remove their information from the research findings. As I am required to interview three pupils, I will select different pupils who have given consent and are happy for their information to be used. In order to reduce bias when collecting data, my colleague will be attending the interview with me in order to record the information. This ensures that both adults obtain the same information and that information cannot be changed by the researcher.
University/institutional risks For example: adverse publicity, financial loss, data protection	
Risk to University: A risk to the university is falsifying the data that has been collected. If students of the university use incorrect information and this is discovered, it can give the university a bad reputation. If the researcher behaves in a poor manor whilst carrying out the research, this can have an impact on the university.	*How will you mitigate the Risk to University:* I will ensure that all the information gathered is a true reflection of the observation. I will have notes and a colleague to provide evidence of this information if they were required. Whilst carrying out the research, I will maintain a professional role within the school environment. This includes focusing on my tone of voice to members of staff and my behaviour when in the school environment.

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?
Feedback will be given to pupils verbally after the interview has taken place. I will inform them of the information they have provided in the research.
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.
All the pupils within the class being observed will be given a consent form. Parents/carers are required to sign this as the participants are under 18. Parents and carers sign the consent forms if they are happy for their child to take part. The pupils will be informed beforehand about the observation and will have the opportunity to give assent to take part. The three pupils selected for interviewing, will be sampled from the consent forms that have been returned and those who were happy to take part.
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.
I will be using codes for names of pupils, teachers, and the school. Only the researcher will know who the participants are. For documents on an electronic device, I will use password protected documents. I will be the only one who knows the password for these documents. Pupils can withdraw information from the research due to their right to withdraw. Any information that we have gathered about them or information that they have provided will be removed and will not be used further.

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:	☐	☒
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:		
I will be using codes for names of pupils, teachers, and the school. Only the researcher will know who the participants are. For documents on an electronic device, I will use password protected		

documents. Any paper-based files will be kept in a locked cupboard. This would coincide with the UWTSD Data Management Policy. Once the information has served its purpose, it will be destroyed in an effective manner.		
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):		
(this box should expand as you type)		
List all who will have access to the data generated by the research activity:		
The Researcher, myself.		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
The Researcher, myself.		
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.		
I will be using codes for names of pupils, teachers, and the school. Only the researcher will know who the participants are. For documents on an electronic device, I will use password protected documents. Any paper-based files will be kept in a locked cupboard. This would coincide with the UWTSD Data Management Policy. Once the information has served its purpose, it will be destroyed in an effective manner.		
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 *(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:	P.Cherrington	**Date:** 17/12/2019

For STUDENT Submissions:

Director of Studies/Supervisor:		**Date:** 19/12/2019
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.