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:		Nikita Marie Thomas			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☐	Postgraduate Research Student	☒

Faculty/School/Centre:	Yr Athrotha UWTSD
Campus:	Swansea
E-mail address:	1500427@student.uwtsd.ac.uk
Contact Telephone Number:	07495473053
For students:	
Student Number:	1500427
Programme of Study:	Secondary PGCE
Director of Studies/Supervisor:	Angella Cooze

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**	☐ 13/12/19	**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 Mrs Angella Cooze (module tutor)		☒	**13/12/19**

SECTION C: Internal and External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice	☒
UWTSD Research Data Management Policy	☒
BERA 2018	☒

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:	**Does pairing actions with speech improve retention of key quotes?**		
Proposed start date:	29/1/20	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

To investigate how techniques from different curriculum areas can best be used to develop skills.

(this box should expand as you type)

Research Question

Does pairing actions with speech improve retention of key quotes?

(this box should expand as you type)

Aims of Research Activity

To analyse the data collected to achieve a firm conclusion for the research question.

(this box should expand as you type)

Objectives of Research Activity

To collect data to work out if actions can help to improve the retention of key quotes for pupils.

(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.

Lesson study which will include two lesson study observations across two subject areas (Drama and English). Three research instruments will be piloted before the research: The lesson observation form, the focus group interview schedule and a bespoke reflective model.

Participants will consist of two cohorts of students. One cohort will attend a drama lesson with the researcher and the other will attend an English lesson with the partner researcher. The researchers will observe each other's lessons in order to obtain notes to aid the research on the observation form. Each lesson will take 1 hour and will not deviate from the prescribed curriculum for the class. Students in both lessons will participate in a range of tasks and activities relating to memorisation of key quotes. Three students from each class selected by the researchers will participate in a focus questionnaire. In this document these students will be referred as the focus group. The researchers will further gather specific performance data for these six students during the lesson study observations.

(this box should expand as you type)

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

The school is situated in a low socio-economic area in south wales. It is an English medium secondary school.

(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: Focus group interview schedule. Lesson study observation form. Reflective model (this box should expand as you type)	☒	☐

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

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

SECTION G: Intended Participants

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

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	Approximately 50-60 students with a research focus on six pupils. *(this box should expand as you type)*
Who will the participants be?	The participants will consist of two separate mixed ability year 8 classes. The focus group will be selected to represent a wide range of abilities. The focus group pupils will consist of one MAT pupil. One lower ability pupil with a low reading ability and one that ranges in the middle ability wise to offer a fair data reading. *(this box should expand as you type)*
How will you identify the participants?	Non focus group will not be identified in the research. The focus group pupils will be identified using an assigned number and letter combination (for example 1A). *(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*
• Performance anxiety in regard to speaking or performing actions in front of class- self esteem • Data not transferred- kept secured • Risk to students' self-esteem if not selected for focus group. • Feeling under pressure/ stressed as the subject of research *(this box should expand as you type)*	• Students will be advised that they may opt out of speaking allowed and performing actions in front of the class. • Full measures will be taken to ensure data is anonymised and secure. • The focus group will be kept confidential in the context of the classroom. • Students will be advised that they may opt out of the research at any time. *(this box should expand as you type)*

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

N/A
(this box should expand as you type)

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

Risk to Investigator:	*How will you mitigate the Risk to Investigator:*
• Pupils may be absent or withdraw from research. • Allegations from pupils in the classroom whilst completing the research. • Being accused of favouritism by pupils not selected for the focus group. • Possible conflict of interest. • Being accused of fabrication/falsifying data. *(this box should expand as you type)*	• Researchers will select reserve participants for the focus group in the event of a withdrawal or absence.7 • I won't show favouritism. • I will ensure that I write true and accurate reflection. • I will adhere to BERA guideline. *(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:*
Reputational harm through unprofessional conduct or falsification of data.	Researchers are aware of the professional standards for teachers and researchers in regards to UWTSD and BERA (2018).

Risk of data being falsified which could impact the representation of the university along with the standards. Possibility of the relationship between the school and university being impacted from behaviour of student. *(this box should expand as you type)*	Be professional in the school environment to maintain the university good name Not falsifying data *(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?
A Verbal debrief will be provided for each class following the conclusion of the lessons. The participants will be informed about what will happen to the gathered data. *(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.
An information sheet will be provided to students and parents in conjunction with the consent form. The information sheet will include details of the proposed research activity including methods and instruments that will be used. It will also include full details on measure that will be taken by the researchers to ensure full anonymity. *(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.
Following the BERA guildelines 2018 the focus group will be offered complete anonymity and will be referred to in research by an assigned number (for example pupil 1A).The school will be identified as school X. All possible steps will be taken to ensure that the focus group will be unidentifiable by any incidental data gathered in the course of research. *(this box should expand as you type)*

SECTION J: Data Protection and Storage

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

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

(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):		
Data will be transferred securely via Turnitin to authorised individuals for the purpose of assessment in compliance with GDPR. *(this box should expand as you type)*		
List all who will have access to the data generated by the research activity:		
Only the researchers and assessors will have access to the data. *(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:		
Only the researchers will act as custodian. *(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.		
Digital data will be stored on encrypted password protected flash drives. Hard copy data when not in transit will be stored in a locked file cabinet to which only the researchers have access. Hard copy data will be securely destroyed by shredded. All digital data contained on flash drives will be securely purged using data purging software after a period of 12 months following the conclusion of the research. *(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)*		
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:	N THOMAS (1500427)	**Date:17/12/2019**

For STUDENT Submissions:

Director of Studies/Supervisor:	Angella Cooze	**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.