

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:		Dylan Bridges			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Faculty/School/Centre:		University Wales Trinity Saint David			
Campus:		SA1 Campus			
E-mail address:		1900460@student.uwtsd.ac.uk			
Contact Telephone Number:		07557057528			
For students:					
Student Number:		1900460			
Programme of Study:		PGCE Secondary			
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) Joseph Kuck Assistant Headteacher / Senior Mentor		☒	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 Guidelines	☒

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?		YES	☐	NO	☒
If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared as part of this collaboration.					
Institution					
Contact person name					
Contact person e-mail address					
Has this individual consented to sharing their details on this form?		YES	☐	NO	☐
Are you in receipt of a KESS scholarship?		YES	☐	NO	☐
Is your research externally funded		YES	☐	NO	☐
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☐
	Employed	YES	☐	NO	☐
Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)	If YES then the permission question below does not need to be answered.	YES	☐	NO	☐
Permission to undertake the research has been provided by the partner organisation	(If YES attach copy) If NO the application cannot continue	YES	☐	NO	☐

Where research activity is carried out in collaboration with an external organisation

Does this organisation have its own ethics approval system?	YES	☐	NO	☒
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E: Details of Research Activity

Indicative title:	Is the use of the traffic light feedback system an effective method of measuring pupil understanding throughout a lesson, in a secondary school context?		
Proposed start date:	3/2/20	Proposed end date:	21/2/20
Introduction to the Research (maximum 300 words) Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the three points below: • Purpose of Research Activity • Proposed Research Question • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how <u>Existing Research</u> has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
Purpose of Research Activity The purpose of the research activity is to evaluate the effectiveness of the traffic light feedback system to gauge pupil understanding throughout the lesson, within a secondary school context. The purpose of doing so is to improve our assessment for learning within the classroom, and to use this method to improve pupil understanding and base lesson progression speed upon the level of understanding that is measured (hinge questioning). (this box should expand as you type)			
Research Question Is the use of the traffic light feedback system an effective method of measuring pupil understanding throughout a lesson, in a secondary school context? (this box should expand as you type)			
Aims of Research Activity Improve repertoire of questioning techniques and hinge questioning. Develop upon the use of the traffic light system to obtain feedback of understanding from pupils. (this box should expand as you type)			
Objectives of Research Activity By the end of this research project we hope to be able to use this strategy more effectively within the classroom, and to have an understanding of its effectiveness. (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.

Both researchers will use hinge questioning at different intervals throughout their lesson, where pupils will be asked to respond using a traffic light system to provide feedback. Pupils' eyes will be closed/covered to limit any bias that their peers may potentially have upon their response.

The other researcher will observe randomly pre-selected pupils and rate their involvement and wellbeing using the Leuven Scale, and make note of their understanding and any other significant and relevant points. **Observation is where observation notes are taken whilst the other teacher takes a class, based on the observation method described below.**

The use of an adapted version of the Leuven scale will be used to measure both pupil wellbeing and involvement at 3 intervals throughout the lesson. The adaptation of this method was done in order to make the observation method more suitable in a secondary school context. In addition to this, a general notes section was added to allow the collection of information regarding the pupil's understanding, and any other significant and relevant points.

The pupils involved in each lesson will be interviewed, and asked questions regarding their thoughts and feelings towards the use of this method, and how effective think it is.

Lesson study will be used. This is where a lesson is planned with another participant, one member will observe the other teach, and modifications will be made to the plan. This process then repeats with the members switching roles.

(this box should expand as you type)

Location of research activity

Identify all locations where research activity will take place.

The research activity will take place in a secondary school within Rhondda Cynon Taff. The classrooms involved are rooms that are normal to the participants and are where their lessons normally take place.

(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: Lesson reflection (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?	55 (this box should expand as you type)
Who will the participants be?	Participants will be pupils from and year 9 and 10 (age 13-15) , within a mathematics lesson and business studies lesson respectively. (this box should expand as you type)
How will you identify the participants?	Pupils will be randomly selected by using a random name generator. Those who have returned consent forms declaring that they are not willing to participate will also be ruled out. (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			
<i>(this box should expand as you type)</i>			

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			
<i>(this box should expand as you type)</i>			

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:

They will be outside normal lessons during the interview process and will therefore miss out on usual educational support compared to their peers.

Emotional distress due to possibility of interview taking place in break/lunch times. This may cause distress due to change of the time they eat and detachment from their peers.

The layout of how the interview will be conducted may cause emotional distress, if for example. The pupils are situated directly in front of the researcher and made to feel as though they are being punished/tested.

(this box should expand as you type)

How will you mitigate the Risk to Participant

This will be mitigated by speaking to the classroom teacher who's lesson they will be taken from. The purpose of this is to remove the pupil at the time where the minimum damage to the pupils' educational support will be caused.

This will be mitigated by providing lunch passes to skip the queue to ensure food is provided before the interview is taken to minimise distress if interviews are required to be conducted during these times.

This will be mitigated by providing a more relaxed setting, with researchers and participants being sat in a circle, and participants are allowed to conduct the questionnaire where ever they feel comfortable within the room – before returning to the circle to answer qualitative questions.

(this box should expand as you type)

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

(this box should expand as you type)

Risks to investigator

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

Risk to Investigator:

Accused of favouritism

Accusations against researcher from participant

(this box should expand as you type)

How will you mitigate the Risk to Investigator:

Randomised selection of pupils.

Researchers will not interview pupils alone and will have another adult in the room to protect researcher's own safety.

(this box should expand as you type)

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University: Researchers Relationship between school and university may be tarnished Image of the university may be tarnished should the researcher act unethically or falsify data. <i>(this box should expand as you type)</i>	<i>How will you mitigate the Risk to University:</i> This will be prevented by ensuring that the school is happy with the research question before any research is conducted, and minimum invasion is caused to minimise the effect the research caused to the normal school day. The university data protection and ethical research documentation, along with the relevant BERA guidelines will be strictly followed. <i>(this box should expand as you type)</i>
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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?

participants will be allowed access to the research gathered upon completion, to allow them to see the results and understand why the research was undertaken.

Parents and the school will also be allowed access to the research that is undertaken upon completion of the study.

(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 is provided to both the participant and the guardian who will be providing their consent. This information sheet outlines the study and identifies what observation data will be gathered, and what it will be used for.

Participants are also allowed to withdraw from interviews by turning over a smiley/sad face. This alerts the researcher of their desire to stop.

(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.

Pupils will be referred to in all observation notes alphabetically, and no names are used throughout the study. An original document containing which pupils have been randomly selected will only be shared with essential parties, including the researcher, class teacher, senior mentor. This document will be stored safely within an encrypted online cloud system in accordance to university standards/guidelines.

The school itself is also kept anonymous throughout the study.

(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:		
The information is required as pupils need to provide written consent and assent forms in order to allow them to participate in the study. This will contain their names. This information will be destroyed as soon as the study has finished.		
<i>(this box should expand as you type)</i>		
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:		
<i>(this box should expand as you type)</i>		
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:		

These manual files will be stored within a school filing system that adheres to school policy.

Manual files include the consent forms from the guardians of the participants involved in the study. The security of this data will be maintained through scanning the document to create an electronic file, and the paper copy will then be destroyed.

Laptop computers will be used to store data temporarily, before transferring the files to an online university encrypted cloud-based storage. These laptops are password protected and will not be left in insecure places.

Cloud based storage facilities provided by the university will be used to store data for as long as it is required, which is encrypted and secure for data.

(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):

Electronic data transfer will occur between laptop computers and online based cloud storage. This will comply with data protection by ensuring that original copies on laptops being deleted once the file has been stored on the secure online cloud.

Data will be shared with the school itself anonymously, as the final results and research project has been requested.

Data will be shared with the university as a part of the submission of the research assignment, however the data will remain anonymous.

(this box should expand as you type)

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

The researchers only

(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:

The researchers only

(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.

Microsoft One drive on a university provision will be used to store any research data.

(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:	Dylan Bridges	Date: 16/12/19
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For STUDENT Submissions:

Director of Studies/Supervisor:	Catherine Morgan	16/12/19
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.

