

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:		Bethan Leahy			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Faculty/School/Centre:		University of Wales Trinity Saint David			
Campus:		SA1 Swansea Campus			
E-mail address:		1901050@student.uwtsd.ac.uk			
Contact Telephone Number:		07891095031			
For students:					
Student Number:		1901050			
Programme of Study:		PGCE Secondary English			
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) Senior Mentor – Ian Gimbeth		☒	13/12/2019	

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 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:	How effective are regular progress checks in terms of AFL within the lesson study?		
Proposed start date:	03/02/2019	Proposed end date:	21/02/2019
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 this research activity is to assess progress checks within an hour lesson and their effectiveness.			
Research Question How effective are regular progress checks in terms of AFL within the lesson study?			
Aims of Research Activity The aim of this research activity is to identify if regular progress checks within an hour lesson work and how beneficial they are for both the learner and the teacher.			
Objectives of Research Activity To ensure this research activity is carried out accurately, the objectives will include a three-person semi-structured interview, consisting of questions relating to the usefulness of progress checks. Observational sheets are also included to record evidence within the lesson study.			
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 method that will be used during this research activity is a lesson study, conducted by two researchers over the duration of 2 1-hour lessons. A lesson study is a process that enhances teaching practice. It originates from Japanese education where it is used as an improvement process in the educational environment. The lesson study is best described as a cycle consisting of four sections: 1. 'Study curriculum and formulate goals.' 2. 'Plan.' 3. 'Conduct research lesson,' and lastly, 4. 'Reflect.' Lesson studies consist of 'teachers focus on student thinking' (Lewis, C. 2011: 3) showing an investigation into the learner's performance rather than the tutors. Lesson studies are			

effective due to the data being gathered to enhance improvement within the classroom and values the 'long-term learning and development of students' (Lewis, C: 2011: 2).

The reflection model that will be used after this lesson study is Brookfield's Four Lenses. Brookfield states that every effective teacher must critically reflect their practice, suggesting that reflection is a process of investigation that involves teachers who are attempting to discover and research the frame in which they work within (Brookfield, S. 2005). This model uses four lenses for the critical reflection though the 'use of the autobiographical', 'students' eyes'; 'our colleagues' experiences' and 'theoretical literature.' This will take place after a semi-structured interview within the focus group of three pupils of different attainment levels. The use of semi-structured interview allows there to establish a rapport with the interviewee which will then enable them to be able to talk in-depth and any issues can be clarified with the structure of the interview. A limitation of this could be that as the interviewers, we could allow unconscious signals to the interviewees. It can be time-consuming should the topic shift and it produce much information that would be difficult to analyse (Drever, 2006).

Location of research activity

Identify all locations where research activity will take place.

School X is in a small, affluent area of south Wales. School X's age range is between 11-16. I have chosen to call it school X because of the BERA, 2018 guidelines that state that 'both institutions and individual participants' have an entitlement to privacy, and they have 'rights to confidentiality and anonymity' (BERA, 2018: 41). School X was awarded excellent in all 5 key areas of learning by Estyn in 2017 according to the new inspection framework (Estyn, 2017, pg2). School X is below the national average for ALN/SEN learners attending by 0.5% with their intake being 20.5% and was awarded green in the category of support. School X has above average at 4% of statement learners whereas the national average being 2%.

The school will be referred to as School Y as accordance with the BERA guidelines that state the institute have the right 'of privacy, confidentiality and anonymity' (BERA, 2018:41). School Y, located in a Welsh town, is an English-medium school educating mixed genders that range from eleven to eighteen years of age. School Y had inspections from ESYTN from 1994 – 2017 and all reports have been consistently good. School Y is a 'digital pioneer school' (ESTYN, 2017: 4) meaning that it is in partnership with the Welsh Government to improve children and young people's digital competency in the educational environment.

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: (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?	6
Who will the participants be?	'Student 1, 2, 3, 4, 5' and '6.'
How will you identify the participants?	Two learners from each attainment group, i.e. low, middle and high will be identified as participants for this research activity.

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:

1. By not choosing participants to get involved within the research you are potentially harming learner's self-esteem.
2. Pupils may feel pressure put on them to answer the 'correct answer.'
3. The risk of anonymity.

How will you mitigate the Risk to Participant

1. Plenty of reassurance will be given to those not selected to participate – they will be explained to that it was not a personal selection and that the limited scope of this research means that only a very few number can be selected.
2. It will be explained to pupils that this research activity does not have right or wrong answers and that they are to give feedback purely based on their own opinion.
3. BERA Guidelines will be strictly followed to ensure confidentiality and anonymity.

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:

1. There is a possibility of being accused of favouritism by pupils who are not involved in the research activity.
2. Possibility of biased recording of data perhaps due to the teacher's relationship with the learner.
3. Allegations could arise from pupils in the classroom whilst completing the research.

How will you mitigate the Risk to Investigator:

1. Make it clear to all learners that this selection of participants is not personal and due to the limitations of this activity not everyone can be involved.
2. Record all data honestly and professionally, if learners have given you consent to store data, you have the obligation to do this fairly.
3. Follow the school's policies and procedures on this issue – if allegations do arise ensure a member of staff at the school is aware of this.

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University: 1. There is a possibility that research could damage the good name of the university. 2. Behaviour of the investigator could impact the relationship between the school and the university.	How will you mitigate the Risk to University: 1. Behave professionally and act in accordance with the guidelines set out in BERA and UWTSD Research Ethics and Integrity Code of Practice. 2. Behave professionally and conduct yourself in a polite manner by remembering you are representing the University.
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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? It will be explained to participants that this research activity is a one off and that there will be no de-briefing and feedback provided.
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. As participants involved are considered minors (under 18 in line with UWTSD Ethics Code) consent from parents or guardians is needed for this research to be conducted. Arrangements are also in place to inform participants that it is their right to decline involvement within this research activity and this can be done when crossing either Yes or No in the consent section on the sheets handed out. If they accept involvement, their consent will be stored manually and then images of this will be recorded, all participants will be made aware of this before proceeding. All participants will remain anonymous so it will be explained to them that there is no need for them to provide their names. No photos will be taken during this research activity. It will also be explained to participants that confidentiality will be obtained throughout the lesson study and aftermath and that all learners will remain nameless.
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. Confidentiality will be obtained in this research activity through the notion that no feedback will be shared amongst anyone other than the investigators. Anonymity will be achieved through the nameless feedback sheets – all participants will be explained to that there is no need for them to provide their names within their interview records. In accordance to BERA guidelines the organisations that this research activity will be conducted in will be titled as Schools 'X' and 'Y.' Participants involved will be named as Pupils 1-6 in align with the ethical guidelines that state both institutes and people have the right of privacy 'confidentiality and anonymity' (BERA, 2018: 41). All data collected will remain confidential, this will be done by anonymises all names on records and research information. The participants involved will also be made aware that his research activity will be conducted through confidentiality and anonymity and they have the right to remain unnamed during this process.

SECTION J: Data Protection and Storage

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

Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
<i>"Personal data" means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.</i>	☐	x
If YES, provide a description of the data and explain why this data needs to be collected:		
<i>(this box should expand as you type)</i>		
Does it involve special category data (as defined by the GDPR)?	YES	NO
<i>"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),</i>	☐	x
If YES, provide a description of the special category data and explain why this data needs to be collected:		
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 researcher will only have access to these files.		

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 recorded and stored on manual files. However, when using this data in the research write up, data will be electronically transferred from manual reports to laptop files.		
As this research activity will be conducted in pairs, data will be shared with the second person in the pair to ensure accuracy within the investigation.		
List all who will have access to the data generated by the research activity:		
Bethan Leahy Anastarsia Davies		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Bethan Leahy Anastarsia Davies		
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 two researchers will only have access to data. This will be stored manually first then put onto a password encrypted memory stick.		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
No <i>(this box should expand as you type)</i>		
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:	B.G.Leahy	Date: 17/12/2019
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For STUDENT Submissions:

Director of Studies/Supervisor:		Date:
Signature:		

For STAFF Submissions:

Head of School/Assistant Dean:		Date:
Signature:		

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

☒	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