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:		Zoe Cottle			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	X	Postgraduate Research Student	☐

Faculty/School/Centre:	University of Wales, Trinity Saint David Yr Athrofa
Campus:	Swansea
E-mail address:	1903031@student.uwtsd.ac.uk
Contact Telephone Number:	07902865103
For students:	
Student Number:	1903031
Programme of Study:	Primary PGCE with QTS

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**	X 17.12.19	**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		☐	
	Catherine Morgan		X	**17.12.19**

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	X
UWTSD Research Data Management Policy	X
BERA (2018)	X

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?		**YES**	☐	**NO**	X
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 email address					
Has this individual consented to sharing their details on this form?		**YES**	☐	**NO**	☐
Are you in receipt of a KESS scholarship?		**YES**	☐	**NO**	X
Is your research externally funded		**YES**	☐	**NO**	X
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	**YES**	☐	**NO**	X
	Employed	**YES**	☐	**NO**	X
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**	X	**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:	Research into questioning in the classroom		
Proposed start date:	3rd February 2020	Proposed end date:	21st February 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 this research activity is to explore levels of participation amongst pupils using two different methods of questioning.

Research Question

Can 'basketball questioning' increase pupil participation during a lesson?

(this box should expand as you type)

Aims of Research Activity

To ascertain levels of pupil participation during lessons which involve different questioning techniques.

Objectives of Research Activity

To observe levels of pupil participation during 'basketball' questioning techniques.
To observe levels of pupil participation during 'ping-pong' questioning techniques.
To gain pupil perspective following the lessons.

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.
Within this research activity, I propose to use a lesson study method of observation to collect data around the research question. I will be working with two colleagues within the school. I will observe two lessons whilst they teach and in turn my two colleagues will observe my lesson. This therefore will mean that a total of nine pupils will be observed for this research activity. I intend to also use semi-structured group interviews to ascertain pupil feedback after the lesson has occurred. Following this, I may record audio data from the group interviews and transcribe this. I will be using a reflective model following Gibb's 'Model of reflection' to create a reflective tool which I may use following the classroom observation. I intend to pilot an observation schedule to facilitate the collection and structure of data from the observation. I will create the observation schedule based on research into other researcher's successful observation schedules. I intend to formulate a series of questions to support the semi-structured interview. These questions may facilitate discussion and feedback from the pupils being observed.

Location of research activity Identify all locations where research activity will take place.
I propose to conduct my research in a local primary school within Key Stage 2.
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. *(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?	X	☐
Use of interviews?	X	☐
Use of diaries?	☐	X
Participant observation with their knowledge?	X	☐
Participant observation without their knowledge?	☐	X
Use of video or audio recording?	X	☐
Access to personal or confidential information without the participants' specific consent?	☐	X
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	X
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	X
Investigation of participants involved in illegal activities?	☐	X
Use of procedures that involve deception?	☐	X
Administration of any substance, agent or placebo?	☐	X
Working with live vertebrate animals?	☐	X
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 accompanying box.		
Details of any other primary data collection method: (this box should expand as you type)	☐	X

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?	☐	X
Adults (over the age of 18 and competent to give consent)?	☐	X
Vulnerable adults?	☐	X
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	X	☐
Prisoners?	☐	X
Young offenders?	☐	X
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	X
People engaged in illegal activities?	☐	X
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)	☐	X

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?	Three pupils are expected to participate in each class, in total up to nine pupils. *(this box should expand as you type)*
Who will the participants be?	Upon consent from guardians/guardians, three pupils aged 7-9 years will be selected to participate based on previous levels of participation. *(this box should expand as you type)*
How will you identify the participants?	Pupils be chosen based on observed participation levels, which will vary between the pupils. Pupils will be anonymised and given a non identifiable code. *(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?	X	☐	☐
Will you tell participants that their participation is voluntary?	X	☐	☐
Will you obtain written consent for participation?	X	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	X	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	X	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	X	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	X
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	X	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	X	☐	☐
If NO to any of the above questions, please give an explanation			
(this box should expand as you type)			

Information for participants:	**YES**	**NO**	**N/A**
Will participants be paid?	☐	X	☐
Is specialist electrical or other equipment to be used with participants?	☐	X	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	X	☐
Will the research activity involves deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	X	☐
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 the 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*
1. There is a potential risk of emotional discomfort- the child may find it uncomfortable/nervous/anxious being observed or interviewed. This may lead to pupils feeling pressured to perform in a certain manner.	1. Pupils will be reminded they have the option to opt-out at any given point in this research activity. Pupils will also be reminded that their data will be confidential and anonymous. Pupils will be reassured and reminded to respond in their normal manner. Pupils will be reassured the study will not affect their treatment or education.
2. There is a potential risk of neglecting the needs of the rest of the class.	2. The researcher will be mindful that the whole class are encouraged to participate. The researcher will behave in a professional manner to ensure that they have a duty to address any pupils needs.
3. There is a potential risk surrounding pupil data not being anonymised correctly leading to data being breached.	3. The researcher will ensure that BERA's (2018) guidelines and that data will be stored in a secure and encrypted storage.

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

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:*
1. There is a potential risk that no pupils will consent to participation.	1. I will ensure that guardians/parents are provided with an information sheet and have the opportunity to discuss the study in further if required.
2. There is a potential risk that the three selected pupils will be absent on the day of the lesson study.	

3. There is a potential risk that pupils involved in the study will report negative findings. 4. There is a potential risk of being accused of favouritism by the pupils. 5. There is a potential risk of unconscious bias, based on my previous relationship with pupils.	2. I will ensure that I have a back up of other selected students who have given consent. 3. I will ensure that that I adopt a professional manner being prepared for this situation. 4. I will treat all pupils in an equal manner and remain in a professional manner. 5. I will ensure that I am aware of bias and aim to remove any bias assumptions throughout.
University/institutional risks For example: adverse publicity, financial loss, data protection	
Risk to University:	*How will you mitigate the Risk to University:*
1. There is a potential risk to the university regarding data protection breach. 2. There is a potential risk of damaging the university's reputation	1. I will ensure that only essential data is captured. I will encrypt and safely store all data. Data will not be shared, unless consent is given. Upon completion of the research project, data will be destroyed. I will also ensure that I conform to BERA's (2018) guidelines. 2. I will behave in a professional manner at all times, following the university's code of conduct.

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?	X	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback What debriefing and feedback will be provided to participants, how will this be done and when?
The class being observed will be de-briefed following the lesson. During this debrief, I will ensure that I thank all pupils and participants for their participation following the lesson. All pupils will receive information regarding the next steps I will be taking in the research project, including potential transcription and discussion with the other researchers previously agreed. This will be delivered verbally and with the presence with the other researchers present to ensure continuity. I will ensure that the opportunity will be provided to share the research results upon the completion of the study with participants and parents/guardians
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.
A consent form and information sheet will be given to pupils prior to the study, approximately two weeks before to gain consent from their parent/guardian. I will ensure that these are sent home with the pupils and request these are returned with the provided envelope. I will ensure that these consent forms will be kept in accordance with data protection legislation and stored in a secure location. Any pupils who do not conform to consent will not be selected to participate in this lesson study.
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 BERA's (2018) guidelines, pupils personal data will be anonymised using pseudo codes. I will ensure that anonymity and confidentiality is always maintained throughout this research activity.

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 involves 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, 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:		
Consent forms completed by the parents of participants will include names. The information collated will be secured adhering the data protection policies and will be destroyed once the research is complete. Any data collection and storage will adhere to the university's research data management policy. *(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 involves storing personal data and/or special category data on one of the following:	**YES**	**NO**
Manual files (i.e. in paper form)?	X	☐
University computers?	☐	X
Private company computers?	☐	X
Home or other personal computers?	☐	X
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	X
"Cloud" storage or websites?	☐	X
Other – specify:	☐	X

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:		
Any data I collect will be anonymised and given a pseudonym. Data will be encrypted and stored in a secure space, including passport protection. I will follow the BERA 2018 Guidelines for this research project. The data will be destroyed upon completion of this assignment. *(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?	☐	X
Sharing of data with others at the University?	☐	X
Sharing of data with other organisations?	☐	X
Export of data outside the European Union or importing of data from outside the UK?	☐	X
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	X
Publication of data that might allow identification of individuals?	☐	X
Use of data management system?	☐	X
Data archiving?	☐	X
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):		
List all who will have access to the data generated by the research activity:		
Myself, research partners.		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
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.		
Data from the research study will be kept either on a secured and encrypted memory stick. Paper forms will be locked in a safe and secure domain. The data will be stored for the duration of the study and will be destroyed in accordance with BERA guidelines on the completion of the study (21/02/2020). The data will not be require archiving as there is no raw data.		
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)*		
N/A.		
Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	**YES**	X
	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**	X
	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:	Z.Cottle	**Date:** **17.12.19**

For STUDENT Submissions:

or of Studies/Supervisor:		
ure:		

For STAFF Submissions:

of School/Assistant Dean:		
ure:		

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

X	I have read the guidance notes supplied before completing the form.
X	I have completed **ALL RELEVANT** sections of the form in full.
X	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***
X	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.
X	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.
X	I have deleted the guidance notes before submitting the PG2 for consideration

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PG2 / E1 FORM

RESEARCH STUDENTS AND STAFF ONLY
All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk , with the title 'Ethical Approval' followed by your name.
You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

This form is available electronically from the Academic Office web pages:
http://www.uwtsd.ac.uk/academic-office/