

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:		Thomas Ashton			
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☒	Postgraduate Research Student	☐
Faculty/School/Centre:		Yr Athrofa			
Campus:		SA1 Waterfront, SWANSEA			
E-mail address:		1900199@student.uwtsd.ac.uk			
Contact Telephone Number:		07495988223			
For students:					
Student Number:		1900199			
Programme of Study:		Primary PGCE			
Director of Studies/Supervisor:		Catherine Morgan (Module Lead)			

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☒	NO	☐
			Date	
If Yes, please indicate source of approval (and date where known): Approval in principle must be obtained from the relevant source prior to seeking ethical approval	Research Degrees Committee	☐		
	Faculty Research Committee	☐		
	Other (write in) Catherine Morgan	☒	17/12/2019	

SECTION C: Internal and External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice	☒
UWTSD Research Data Management Policy	☒
BERA Ethical 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 can the use of the outdoor environment contribute to pupils engagement in KS2?		
Proposed start date:	03/02/2020	Proposed end date:	21/02/2020
Introduction to the Research (maximum 300 words) Ensure that you write for a Non-Specialist Audience 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 Existing Research 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 discover if the engagement of pupils in relation to learning, is enhanced through taking a classroom based lesson into the outdoor environment. The research will be looking at the pupils understanding of the lesson through being able to recall lesson aims, and also by observing behaviour and involvement throughout the task. Bilton (2002), goes on to state that movement and freedom that is achieved through the use of outdoor environment, is one of the most powerful modes of learning for young people. Ref: - Bilton, H. 2002. <i>Outdoor play in the early years</i>, London: David Fulton.			
Research Question How can the use of the outdoor environment contribute to pupils engagement in KS2?			
Aims of Research Activity ● To explore if outdoor environment can enhance pupil engagement ● Gather pupils feelings towards outdoor learning ● To see if body language and facial expressions resemble pupils engagement within the outdoor environment.			
Objectives of Research Activity ● Through the use of observations, focussed around the Leuven Scales format, facial expressions, body language, and behaviour will be assessed in relation to pupils engagement. ● Once the observations have been completed, semi structured interviews will take place with 3 pupils in order to understand what their opinions are regarding learning in the outdoor environment . ● Throughout the whole lesson study activity, we will be making a judgement on whether the outdoor setting improves engagement .			

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 Studies were introduced to the UK, to progress professional learning within schools in 2003-2005. A lesson study is a programme which is designed for professional development, which involves teachers working together in either pairs or triads to plan lessons that highlight a common learning target for pupils. The lessons are then delivered while the other people within the group observe and refine the lessons plans based on feedback and review (Dudley, 2014).
Lesson Studies allow teachers to see pupil learning occur in a more enhanced and specific detail than is usually possible. Allowing opportunity to adapt teaching to be able to advance support within learning. Wragg et al., (1996) discovered that teachers who remain in teaching after three years and become "good" teachers, do so because they have discovered new ways to manage teaching situations that has presented a challenge to them.
The lesson study will take place over a period of two days, with three scheduled lessons. The research will be focussed around three specific participants within each lesson.
- Interviews will be used within the data collection of the research. The interviews will take place through a focus group approach, this approach enables pupils to be more open within their responses (Vaughn et al., 1996). The interview will have a semi-structured approach, which will allow pre prepared questions to be made, and let the interview have a focus. As a result of the interview being semi-structured, permits the pupils to elaborate and deviate from questions. It also allows me to add in question that are thought of as a result of answers, and allow you to add questions if responses are inconsistent. The interview will progress in terms of questioning, with the first questions being easier to answer, progressing on to more challenging/sensitive questions. This will hopefully allow the pupil to gain more confidence with the interviewees, allowing richer data to be collected (Gill et al., 2008).
Using interviews allows us to get information from the pupils point of view and therefore increases the validity of the collected data. The interviews will be recorded and then a transcript will be made on the basis of the results, allowing an in-depth analysis of the respondents answers. Using transcripts will allow us to identify common themes between the 3 interviewees.
- Observations will be used to collect the data for this research project, as they allow researchers to look and analyse immediately what is taking place in the specific situation, emphasising on the validity and authenticity of the approach and collected data (Cohen et al., 2007). The observations will happen over a series of two days, and will consist of three separate lessons due to there being three people leading the research. Observation schedules have been designed in order to evaluate levels of engagement of selected pupils, and as result allowing comparisons and contrast to be easily identified. These schedules have been constructed through the Lueven Scale design.
The observation will be structured, as we have a specific focus to observe. The observation will also be non-participant as observers will not actively get involved with the learning.
Observations allow researchers to gain a deeper and truer understanding of what goes on in a specific environment, than they can ever discover simply by asking question (Birmingham & Wilkinson, 2003).
- Reflections will be used within the research project, with a strong focus on Brookfield's reflective practise. Brookfield creates emphasis on reflecting through four lenses. Therefore the reflection of our findings and research will firstly be reviewed in relation to our past experiences, and how we interpret the results. Learners reflection will also be incorporated, along with colleagues reflections, with their past experiences allowing them to potentially incorporate the lesson through a different perspective. Lastly the lens of theoretical literature will be reflected upon (Brookfield, 1998).

Location of research activity

Identify all locations where research activity will take place.

School X - A small primary school in a rural town of South Wales.

School Y - A large primary school in a deprived area in South Wales.

Research activity outside of the UK

If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants.

N/A

Use of documentation not in the public domain: Are any documents NOT publicly available?	NO	☒
	YES	☐
If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with prevailing data protection law of the country in question and England and Wales. <i>(this box should expand as you type)</i>		

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: The interview will be with a focus group. Lesson Study		

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:		

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?	Six Pupils School X Three Pupils School Y
Who will the participants be?	School X Year 3/4 Pupils - Selected pupils by class teacher based on usual engagement. 1 Highly engaged 1 engaged 1 disengaged Year 5/6 Pupils - Selected pupils by class teacher based on usual engagement. 1 Highly engaged 1 engaged 1 disengaged School Y Year 3/4 Pupils - Selected pupils by class teacher based on usual engagement. 1 Highly engaged 1 engaged 1 disengaged
How will you identify the participants?	Through selection by class teacher based on prior engagement.

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. Self esteem, through not being selected as participant in research.
2. Pressure of answering questions
3. Safeguarding Issue
4. Anonymity

How will you mitigate the Risk to Participant

1. All participants will be given consent forms to be involved within research study. Pupils will be told that selection will be randomised. All pupils will be involved within the lesson
2. Participants will be told that they do not have to answer if they don't want to, and in doing so have no consequence. Answers given will not affect them or any other individual.
3. Any safeguarding issue that arise, safeguarding office in the school will be informed immediately
4. All data will be kept anonymised through using the BERA guidelines. Pupils will be referred to as Pupil A etc. School will also be referred to as School X/Y.

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

N/A

Risks to investigator

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

Risk to Investigator:

1. Allegations from pupils whilst completing the research
2. Possibility being accused of favouritism by the pupils, who are not part of the research
3. Accusation of fabrication or falsification
4. A power imbalance with myself as a student teacher and researcher.

How will you mitigate the Risk to Investigator:

1. The majority of research is during a normal classroom activity and then when they are being interviewed another colleague will be present.
2. All participants will be given consent forms to be involved within research study. Pupils will be told that selection will be randomised. All pupils will be involved within the lesson
3. I will follow the UWTSD and BERA ethical guidelines when conducting this research.
4. Pupils will be made aware that participation will be voluntary, consent and assent will be obtained, and also the right to withdraw without consequences.

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University:

- The need to uphold the good name of the university.
- Not falsifying any data which could impact the representation and standards of the university
- Not behaving in a way that could impact the relationship between university and school.

How will you mitigate the Risk to University:

I will follow the UWTSD and BERA ethical guidelines when conducting this research, and behave accordingly.

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?

Normal class teacher feedback will be provided to all pupils after the lesson as appropriate. 9 participants can have access to the research on request.

[Access to summary of research](#)

Informed consent

Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.

Written consent from parents/guardians/carers will be needed, alongside schools consent, through the use of consent forms. Consent from will be returned if they agree with pupils to participant in the research. Language will be jargon free, with contact details to allow parents/guardians/cares and school to ask further questions.

I will obtain written assent at the beginning of the research as participants are under the age of 18. Pupils will be clearly informed of purpose of research, language will be jargon free, and age appropriate. Pupils will have opportunity to ask questions.

Ongoing assent will be obtained through verbal check ins, throughout research.

BERA ethical guidelines and the UNCRC will be followed.

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.

All data including school and pupils names will be anonymised (School X, Pupil A). All data will be held confidentially and no pupils will be identifiable from data collection.

BERA ethical guidelines will be followed.

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>	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected:		
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>	☐	☒
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 pseudonymous:		
Encrypted USB device		

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):		
Access to summary of research will be available to the university module lead, and external examiner on request. All data will be stored until the relevant research assignment goes through the university exam board, and then after this point all research data will be destroyed. All data will be archived on the university OneDrive and password protected in line with the UWTSD data management guidelines. Data will be stored on an encrypted USB device		
List all who will have access to the data generated by the research activity:		
Researcher - Myself Research Partners Module Lead		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Me as Researcher.		
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.		
Any electronic data will be held on a password protected USB, only I will have access to the USB stick. Any hard copies of pupil work or data will be stored in a locked cupboard, only I have access to the key. All data will be stored until the relevant research assignment goes through the university exam board, and then after this point all research data will be destroyed. All data will be archived on the university OneDrive and password protected in line with the UWTSD data management guidelines.		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtسد.ac.uk/). If so please explain. (<i>Most relevant to academic staff</i>)		
No.		
Confirm that you have read the UWTSD guidance on data management (see https://www.uwtسد.ac.uk/library/research-data-management/)	YES	☒
	NO	☐
Confirm that you are aware that you need to keep all data until after your	YES	☒



research has completed or the end of your funding	NO	☐
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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:	<i>T. Ashton</i>	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

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.