

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:		Emma Treharne			
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's			
Campus:		Swansea SA1			
E-mail address:		1806185@student.uwtsd.ac.uk			
Contact Telephone Number:		07791030226			
For students:					
Student Number:		1806185			
Programme of Study:		PGCE Primary			
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) Gail Bishop – School Senior Mentor		☒	Friday 13th December	

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:	Increasing confidence and engagement in questioning during lessons.		
Proposed start date:	7 th January, 2020	Proposed end date:	21 st February, 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 Using assessment for learning strategy 'Think, Pair, Share' to investigate if it increases student's confidence in participating in questioning during lessons.			
Research Question Investigating the effect of assessment for learning strategy 'Think, Pair, Share' on student's participation and confidence within a lesson through observing subsequent hands up behaviours.			
Aims of Research Activity The aim of the research is to engage in reflective teaching practices to increase pupil engagement and critically evaluate classroom interventions.			
Objectives of Research Activity Develop teaching methods that increase pupil thinking and engagement effectively to cultivate improved educational practices for future professional development.			
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 researchers are undertaking a Lesson Study model of teacher-led research. The research idea has been identified by the student teachers together to target an identified area for development in their students' learning. The student teachers are planning collaborative research and teach a series of lessons that will be observed, reflected and refined. Cheung and Wong (2014) has found that			

Lesson Study model of continued professional development can be an effective technique to help teachers evaluate and develop their practices and enhance student learning. The researchers will be taking observation data on hands up frequency data prior to intervention being implemented. This will be filled in on a qualitative observation form (See Appendix A). The datasheet will help to confirm if the students identified by the teacher are accurately selected as having lower engagement in classroom questioning, namely low frequency of hands up behaviours. The intervention observation will contain an observational datasheet that contains data on participation during the 'pair' aspect of 'Think, Pair Share' and whether the pupils put their hands up during the 'share' aspect. Data will be collected on each question asked by the researchers and the data will be recorded for each of the three case participants across the three observed classes. The observers will also have the option of filling in descriptive notes during the observation.

Data collated will be used to compare if case participants have increased the frequency of hands up behaviours during the intervention 'Think, Pair, Share' and establish the level of engagement in the pair aspect by evaluating their level on the Leuven scale (See Appendix B). A post intervention interview with each participant in a group interview will add to data collection to evaluate the social validity of the intervention (See Appendix C). The descriptive semi-structured interview will establish participants confidence in questioning and feedback of intervention methods.

Location of research activity

Identify all locations where research activity will take place.

The research in question will take place in a community school in the Local Authority of the Rhondda Cynon Taff. There are 424 pupils on roll between the ages of 3 and 11. This includes 27 part-time pupils and 23 full-time pupils who attend the school's nursery. The number on roll has risen steadily since the last inspection in 2011. The school is currently organised into 13 single-age classes and one mixed-age class.

There will be three lessons conducted during the research period within three different classes; a Year One Class with approximately 29 pupils, a Year Four class with approximately 31 pupils, and a Year Five class with approximately 26 pupils.

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.

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: Observer qualitative datasheet – Hand rising data & Leuven Scale. Observer descriptive written observation 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?	There will be three student teachers undertaking this study. There will be three case pupils for each of the three classes. There will be nine participants in total.
Who will the participants be?	Students chosen by the regular classroom teacher identified as having low levels of engagement in class questioning, e.g. does not put hands up regularly during questioning in lessons.
How will you identify the participants?	Selected by regular classroom teacher.

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:

Observation/ Interview effects

- Pupils may feel under pressure to give correct answers to questions.
- Pupils may not feel comfortable being observed.

Safeguarding: confidentiality / anonymity

How will you mitigate the Risk to Participant

- It will be explained to the pupils that they can withdraw from the lesson at any time if they do not feel comfortable. Pupils will have red and green cards to show if they are happy to carry on participating in the lesson or not.
- Student teacher will not choose pupils that are not actively participating in the lesson, if the pupils do not want to answer the question, then they will not be chosen to answer any questions.
- Student teachers will be conducting non-participant observations to minimise impact on the pupils.
- Student teachers will ensure that no names are used throughout the research, the participants names will be coded to ensure 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

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:

- Allegations from Pupils during research
- Accusations of favouritism by pupils who are not part of the focus group
- Conflict of interest

How will you mitigate the Risk to Investigator:

- Researchers will not be alone with the pupils during the research.
- Researchers to remain impartial throughout the study.
- The research has been confirmed to the appropriate class teacher, senior mentor to ensure it is appropriate.

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University:	<i>How will you mitigate the Risk to University:</i>
Adverse effects of misconduct: • Unprofessional conduct of researchers and falsifying data. • Impacting the relationship between school and university. Data protection • Sharing data for the purpose of assignment. (	• Researchers have signed up to the Universities code of conduct and will take all appropriate measures to uphold high standards of professional practice. • Data will be recorded by two observers so will have comparable data to obtain inter-observer agreement, limiting risks of falsifying data. • Data protection Guidelines will be adhered to. Participants will be anonymised; this data will be held securely using password protected online data storage.

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?
Pupils will receive neutral praise for participating. No formal feedback will be given but can be accessed up on request. Pupils will only be given feedback on themselves and participants.
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.
• Pupils will be given a written information sheet which contains the details of the study and what is required (see appendix D) • Parents/guardians will have an information sheet which contains the details of the study and what is required (see appendix D) • Written parental/guardian consent will be required
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.
• Pupil names will not be used in the study • Information that will be saved will be done so through password protected devices • Any sensitive data will be deleted/ destroyed after the study

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:		
A Consent Form will be issued to the parents that will contain names and signatures; this information is needed to gain the relevant consent for data taken. The consent forms will be destroyed appropriately once the assignment has been marked and results given.		
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:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☐ 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

Data recorded will be anonymised and saved on online storage that is password protected.		
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?	☐	☒
Raw data will be destroyed at first opportunity after transcription. Data will be anonymised and securely saved and password protected. Any raw data remaining will be destroyed after submission and retrieval of results.		
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:	ETreharne	Date: 16.12.19
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For STUDENT Submissions:

Director of Studies/Supervisor:	Catherine Morgan	Date: 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.

Appendix A

Observational Datasheet – Preintervention.

Participant 1	Question	Question asked	Participated – Hand up (Yes/No)	Comments/notes
	1			
	2			
	3			
	4			
	5			
Participant 2	Question	Question asked	Participated – Hand up (Yes/No)	Comments/notes
	1			
	2			
	3			
	4			
	5			
Participant 3	Question	Question asked	Participated – Hand up (Yes/No)	Comments/notes
	1			
	2			
	3			
	4			
	5			
Participant 4	Question	Question asked	Participated – Hand up (Yes/No)	Comments/notes
	1			
	2			
	3			
	4			
	5			
Participant 5	Question	Question asked	Participated – Hand up (Yes/No)	Comments/notes
	1			
	2			
	3			
	4			
	5			

Appendix B

Observation Form

Student 1:				
Question Number	Question asked	Share with partner	Hand up (Yes/No)	Comments/notes
1		Engagement 1 2 3 4 5		
2		Engagement 1 2 3 4 5		
3		Engagement 1 2 3 4 5		
4		Engagement		

		1 2 3 4 5		
5		Engagement 1 2 3 4 5		

Student 2:				
Question Number	Question asked	Share with partner	Hand up (Yes/No)	Comments/notes
1		Engagement 1 2 3 4 5		
2		Engagement 1 2 3 4 5		
3		Engagement 1 2 3 4 5		
4		Engagement 1 2 3 4 5		
5		Engagement 1 2 3 4 5		

Student 3:				
Question Number	Question asked	Share with partner	Hand up (Yes/No)	Comments/notes
1		Engagement 1 2 3 4 5		
2		Engagement 1 2 3 4 5		
3		Engagement 1 2 3 4 5		
4		Engagement 1 2 3 4 5		
5		Engagement 1 2 3 4 5		

Observation Notes. Take descriptive data on: - Who is talking the most in pairs? - Where the children are sitting in the class. - What ability pairings are they? Same / mixed – what mix? - Where is the teacher standing? - How long is the teaching waiting in-between think and pair time?

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

Appendix C

Post Intervention Interview

Group Interview Questions:

1. Did you enjoy talking to your partner about questions? Yes / No
Why/ Explain.

2. Did you both have a turn to speak when talking in partner? If no, explain why?

3. Do you think having time to think before talking to your partner helps and why?

4. Do you think you put your hand up more when you have had time to think and discuss it with your partner? Explain.

5. Do you feel more comfortable answering questions when you have discussed with your partner? Explain.

6. Is there anything that we could do to make the questions better or how we can improve on the way we ask questions?

7. Would you like to use Think, pair share again in the class? Yes/No. Why?

Appendix D – Information Letter

Dear parents or guardian,

In the next term you will have a student teacher in your child's class. As part of a university assignment they will be introducing an assessment for learning strategy called 'think, pair, share'. 'Think, pair, share' is a collaborative learning strategy that allows students to communicate and work together to answer a question. First students think to themselves, then they share their ideas with a partner or small group, and the last step is to share with everyone. As part of this, the student teachers and class will be observed to see if the strategy is effective in increasing participation within the lesson. Pupils will be asked to give feedback to the student teachers regarding the chosen strategy 'think, pair, share' through an interview.

The data collected will then be used and analysed to form a research project. All participants of the study will remain anonymous in accordance with BERA (2019). Pupils will also be able to withdraw from the study on request. The findings of the study will be made available to read on request.

Please see the attached form and sign if you are happy for your child to be interviewed by the student teachers.

Can you please return this form by the 23rd January 2020?

Diolch.