

ECAD5010C Ymchwilio i'r Dysgu: beth, sut a pham ydw i'n addysgu?

ECAD5010 Researching the learning: what, how and why am I teaching?



The Ethics Form

Session 10



Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David

Yr Athrofa
Centre for Education
Addysg i Gymru | Education for Wales

www.athrofa.cymru

Yn y sesiwn yma byddwn yn edrych ar: In this session we will look at:



Bod yn rhan o broffesiwn ymchwiliol trwy fod yn foesebol
Being part of an inquiring profession by being ethical



Proses moeseg ymchwil y Brifysgol
The University's ethics process



Cyflwyno Ffurflen Foesebol y Brifysgol
Introduce the University's Ethics

ECAD5010 – Module OUTCOMES

Upon the successful completion of this module, the student-teacher should be able to demonstrate the ability to:

Develop increasing knowledge and skill in selecting and using a range of research tools to generate data and evidence which can inform personal practice

Justify the application of research tools in the classroom to gain insight into an aspect of teaching and learning

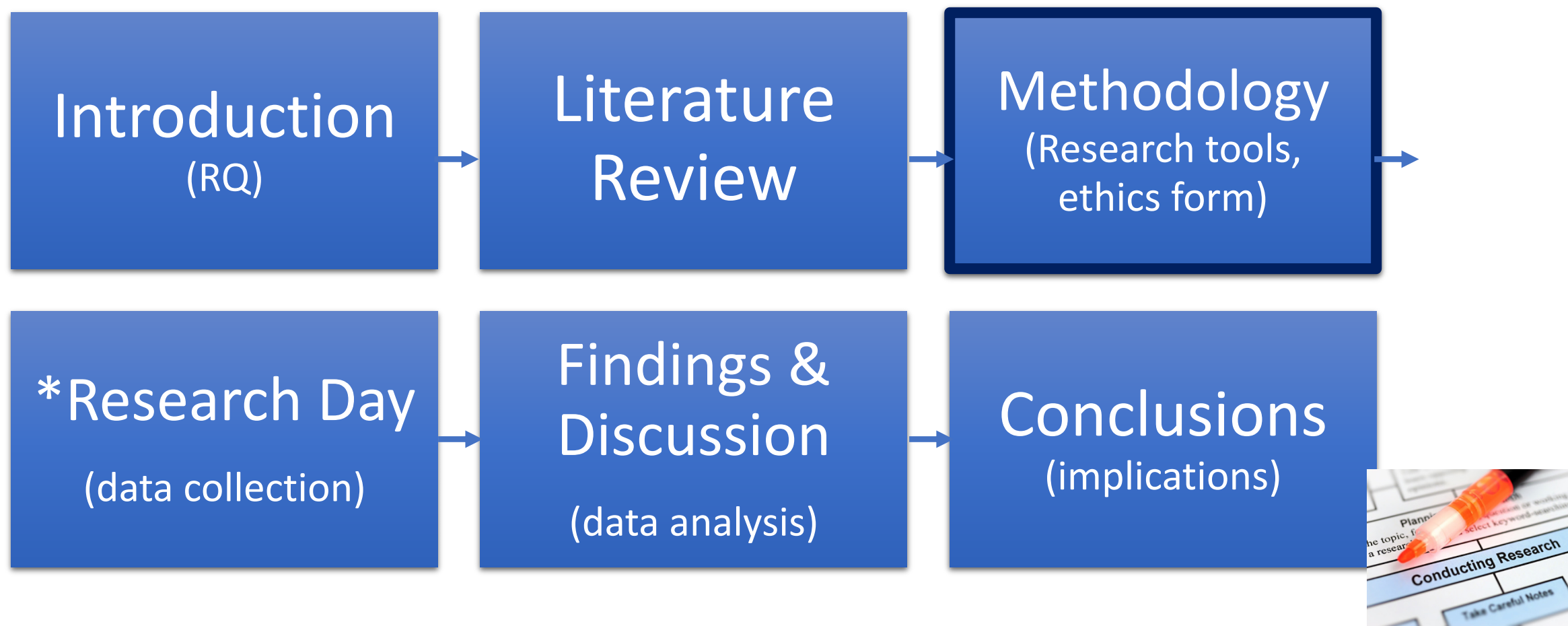
Develop the disposition of being a skilled researcher through careful analysis and evaluation of data and relate this to personal practice

Show an increased understanding that education is a contested terrain and that different perspectives can co-exist in research

Secure the dispositions of being an ethical researcher by identifying ethical practice in the complex learning environment of the classroom.



Design & Conduct a Small-Scale Research Study...



Moeseg ag Ymchwil Addysgol

Ethics & Educational Research

- Caniatâd/Cydsyniad
- Cyfrinachedd
- Rheoli data
- Canllawiau BERA
- Consent/Assent
- Confidentiality
- Data management
- BERA Guidelines

https://www.youtube.com/watch?v=WIV_aR4995I



<https://www.bera.ac.uk/resources/all-publications/resources-for-researchers>

Ymddygiad moesegol ac athrawon

Ethical behaviour and teachers

Cod Ymddygiad ac
Ymarfer Proffesiynol ar
gyfer Cofrestreion gyda
Chyngor y Gweithlu
Addysg (CGA)



EWC Code of
Professional Conduct
and Practice for
Registrants with the
Education Workforce
Council

<https://www.ewc.wales/site/index.php/cy/documents-cym/fitness-to-practice-1/3524-cod-ymddygiad-ac-ymarfer-proffesiynol-2022/file.html>

<https://www.youtube.com/watch?v=M9VUlo2VOuY>

Caniatâd gwirfoddol, gwybodus

Voluntary, informed consent

Mae hyn yn un o
egwyddorion sylfaenol
ymddygiad moesegol
mewn ymchwil.

This is a fundamental
tenet of ethical
behaviour in research.

'It is normally expected that participants' voluntary informed consent to be involved in a study will be obtained at the start of the study, and that the researchers will remain sensitive and open to the possibility that participants may wish, for any reason and at any time, to withdraw their consent' (BERA, 2018, p.9).

Cyflwyniad i'r Ffurflen Foeseg PCYDDS

Introduction to the UWTSD Ethics Form

- Cwestiwn Ymchwil
- Nod ac Amcanion
- Dulliau ymchwil
- Cyfranogwyr
- Caniatâd/Cysyniad
- Cyfrinachedd
- Risgiau
- Rheoli data

ECAD5010C – TEMPLD Ffurflen Foeseg
ECAD5010 – Ethics Form Template
MOODLE – Sesiwn - Session 10

- The research question
- Aim and Objectives
- Research methods
- Participants
- Consent/Assent
- Confidentiality
- Risks
- Data management

Section A

SECTION A: About You (Principal Researcher)

1	Full Name:					
2	Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
3	Undergraduate Student	☐	Taught Postgraduate Student	☐	Postgraduate Research Student	☐
4	Institute/Academic Discipline/Centre:		Yr Athrofa			
5	Campus:		Carmarthen			
6	E-mail address:		University email address			
7	Contact Telephone Number:					
For students:						
8	Student Number:					
9	Programme of Study:		BA Primary Education with QTS			
10	Director of Studies/Supervisor:		Module tutor			

Section B

SECTION B: Approval for Research Activity

1	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
2	If Yes, please indicate source of approval (and date where known):	Research Degrees Committee	☐		
3	<i>Approval in principle must be obtained from the appropriate committee prior to seeking funding</i>	Institute Research Committee	☐		
4		Other (write in)	☐		

Include Name of Staff Member and their Designated Role, i.e. ECAD5010 Module Tutor

Put in Date – 25.04.23

Section C

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.	
1	UWTSD Research Ethics & Integrity Code of Practice	☐
2	UWTSD Research Data Management Policy	☐
3		☐

Add Discipline-Specific Codes of Ethical research,
i.e. BERA (2018) (include full title of publication)
You could also add EWC Code of Conduct here



Section D

You should leave everything blank except for questions 1 and 11.

No!

SECTION D: External Collaborative Research Activity

1	Does the research activity involve collaborators outside of the University?		YES	☐	NO	☐
2	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.					
3	Institution					
4	Contact person name					
5	Contact person e-mail address					
6	Has this individual consented to sharing their details on this form?		YES	☐	NO	☐
7	Are you in receipt of a KESS scholarship?		YES	☐	NO	☐
8	Is your research externally funded		YES	☐	NO	☐
9	Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☐
10		Employed	YES	☐	NO	☐
11	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	☐
12	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

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

Section E

Title of study, i.e. research question

SECTION E: Details of Research Activity

Proposed Start –
Research Day
Proposed end-date
–Assignment
Submission date

1	Indicative title:		
2	Proposed start date:		Proposed end date:
3	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.		
4	Purpose of Research Activity (this box should expand as you type)		
5	Research Question (this box should expand as you type)		
6	Aims of Research Activity (this box should expand as you type)		
7	Objectives of Research Activity		



SECTION E: Details of Research Activity

1	Indicative title:			
2	Proposed start date:		Proposed end date:	
3	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: • <i>Purpose of Research Activity</i> • <i>Proposed Research Question</i> • <i>Aims of Research Activity</i> • <i>Objectives of Research Activity</i> Demonstrate, briefly, how <u>Existing Research</u> has informed the proposed activity and explain • <i>What the research activity will add to the body of knowledge</i> • <i>How it addresses an area of importance.</i>			
4	Purpose of Research Activity (this box should expand as you type)			
5	Research Question (this box should expand as you type)			
6	Aims of Research Activity (this box should expand as you type)			
7	Objectives of Research Activity			

8	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.
9	 (this box should expand as you type)

You should refer to:

- The Mosaic Approach
- Semi-Structured Interview
- Questionnaire



Section F

Any boxes ticked **YES** should be commented upon in the Methods (Section E)

SECTION F: Scope of Research Activity

1	Will the research activity include:	YES	NO
2	Use of a questionnaire or similar research instrument?	☐	☐
3	Use of interviews?	☐	☐
4	Use of diaries?	☐	☐
5	Participant observation with their knowledge?	☐	☐
6	Participant observation without their knowledge?	☐	☐
7	Use of video or audio recording?	☐	☐
8	Access to personal or confidential information without the participants' specific consent?	☐	☐
9	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
10	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
11	Investigation of participants involved in illegal activities?	☐	☐
12	Use of procedures that involve deception?	☐	☐
13	Administration of any substance, agent or placebo?	☐	☐
14	Working with live vertebrate animals?	☐	☐
15	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.	☐	☐
16	Details of any other primary data collection method: (this box should expand as you type)		



Section G

SECTION G: Intended Participants

1	Who are the intended participants:	YES	NO
2	Students or staff at the University?	☐	☐
3	Adults (over the age of 18 and competent to give consent)?	☒	☐
4	Vulnerable adults?	☐	☐
5	Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☒	☐
6	Prisoners?	☐	☐
7	Young offenders?	☐	☐
8	Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☐
9	People engaged in illegal activities?	☐	☐
10	Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.	☐	☐
11	Other – please indicate here:		
	(this box should expand as you type)		

Description of school(s), but do not name, e.g. school size (large/small), type (rural/city).

10	Location of research activity Identify all locations where research activity will take place.
11	(this box should expand as you type)
12	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.
13	(this box should expand as you type)

14	Use of documentation not in the public domain: Are any documents <u>NOT</u> publicly available?	NO	☒
		YES	☐
15	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)		



12	Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
13	How many participants are expected?	<i>(this box should expand as you type)</i>
14	Who will the participants be?	<i>(this box should expand as you type)</i>
15	How will you identify the participants?	<i>(this box should expand as you type)</i>

Give an explanation as to how you will choose them? If choosing a representative sample, what are your criteria for this choice?



Please tick relevant boxes

16	Information for participants:	YES	NO	N/A
17	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☐	☐	☐
18	Will you tell participants that their participation is voluntary?	☐	☐	☐
19	Will you obtain written consent for participation?	☐	☐	☐
20	Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☐
21	If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☐
22	Will you tell participants that they may withdraw from the research at any time and for any reason?	☐	☐	☐
23	With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	☐
24	Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☐	☐	☐
25	Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☐	☐	☐
26	If NO to any of above questions, please give an explanation			
27	<i>(this box should expand as you type)</i>			



28	Information for participants:	YES	NO	N/A
29	Will participants be paid?	☐	☐	☐
30	Is specialist electrical or other equipment to be used with participants?	☐	☐	☐
31	Are there any financial or other interests to the investigator or University arising from this study?	☐	☐	☐
32	Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☐	☐
33	If YES to any question, please provide full details			
34	<i>(this box should expand as you type)</i>			

Section H

All research carries risk. You must ensure that possible risks are identified.

Do not put 'Not applicable'. (See next slide for more information).

Any Risk identified in the left-hand box needs mitigation explained here

SECTION H: Anticipated Risks

1	Outline any anticipated risks to participants, researchers and/or the University. (Select any of the participants that will be taken to address the risks identified.) If you have completed a full risk assessment (for example as required by a laboratory research collaborator) you must append that to this form.	
2	Full risk assessment completed and appended?	Yes ☐ No ☐
3	Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information	
4	Risk to Participant <i>(this box should expand as you type)</i>	How will you mitigate the Risk to Participant <i>(this box should expand as you type)</i>
5	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	
6	Risks to investigator <i>(this box should expand as you type)</i>	



Risks to Participants

You may include:

- Effect pupils' self-esteem by not being chosen as a participant in the research
- Pupils may feel under pressure to give a 'correct' answer to the questions
- Safeguarding issues
- Anonymity.



Ideas to include in the 'Risks to Participants' section (slide 1)

- *I will ensure that no child will be treated differently if they want to withdraw or not participate in the first place and that they will be made aware of this too. I am aware that, if the observation or group interview causes any emotional distress, pupils need to know they may leave at any point. The pupils will not be under any circumstances different to normal school situations where they may be put under the risk of physical harm.
- *I will obtain assent from the children involved and adult consent from their parents/legal guardians.
- *Myself and my colleague observing will comply with legal requirements in relation to working with children, including the guidelines set out in the school's safeguarding policy which we have both read.
- *The group interviews will be conducted in the school library which has windows to other rooms/corridor on 2 sides with 2 unlocked doors and a CCTV camera.



Ideas to include in the 'Risks to Participants' section (slide 2)

*I will endeavour to reduce any sense of intrusion to the norm and put pupils at ease. I have chosen research methods that are fit for purpose to achieve qualitative data. These methods are regularly carried out as normal practice in our school, therefore helping to reduce the impact of intrusion and distress on the participants.

*No incentives will be offered to pupils to reduce the impact of bias on the data and to ensure the pupils do not feel pressured into taking part.

*I will comply with the legal requirements of storage and use of data. All data will be saved in a password protected online account held within the university systems and will be made confidential with all names removed.

*I will pose questions that do not make the pupils feel discontented with their learning and will word my questions in a way that does not risk changing their viewpoints in a negative way or showing my bias towards any particular answer. Hence, the questions will not be leading and will be open and allow pupils to answer honestly.

	(this box should expand as you type)			
6	Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest			
	Risk to Investigator: See next slide for ideas	How will you mitigate the Risk to Investigator: See next slide for ideas		
	(this box should expand as you type)	(this box should expand as you type)		
7	University/institutional risks For example: adverse publicity, financial loss, data protection			
	Risk to University: See slide for ideas	How will you mitigate the Risk to University: See slide for ideas		
	(this box should expand as you type)	(this box should expand as you type)		
8	Disclosure and Barring Service			
9	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
10	Does your research require you to hold a current DBS Certificate?	☒	☐	☐



Risks to Investigator

You may include:

- claims from pupils in the classroom when completing the research
- possibility of being accused of favoritism by pupils who are not part of the focus group
- accusation of fabrication or falsification of data
- possible conflict, possible bias when recording data due to the teacher's relationship with the pupils.



Ideas to include in the 'Risks to Investigator' section

- *I will conduct the group interview in an open area; the school library which has windows to other rooms/corridor on 2 sides with 2 unlocked doors and a CCTV camera.
- *I will treat all pupils equally in accordance with the school safeguarding policy and show no pupil any preferential treatment.
- *All of this will be conducted with another adult present. I have a personal relationship with these children which could be considered as a relationship of power. I have, therefore, considered that the pupils may feel they have to take part as an authority figure in the school is asking them to do so. I will consequently offer no incentives which might be construed as pressurising the pupils and will make it very clear to them and to their guardians that they can refuse to take part and that if they do so there will be no consequence because of this choice.

Risks to University

You could include:

- the need to maintain the reputation of the university
- not to falsify any data that could affect the representation and standards of the university
- not to behave in a way that could affect the relationship between the school and the university.



Ideas to include in the 'Risks to University' section

- *I am aware, as a student of the University, that I need to uphold the good name of the establishment by conducting myself and my research in a professional, ethical and appropriate manner.
- *I will not fabricate or falsify any results or manipulate the research.
- *I will not plagiarise other people's work,
- *I will submit my work punctually and in the appropriate format.
- *I will ensure that any possible data breaches are minimised by storing the data in an appropriate manner.



Section I

Feedback/de-brief could be via a copy of the final report for participants/the headteacher or could be a summary of the discussion at the end of an interview.

SECTION I: Feedback, Consent and Confidentiality

1	Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
	<i>(this box should expand as you type)</i>
2	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.
	<i>(this box should expand as you type)</i>
3	Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be achieved. If anonymity is not being offered, explain why this is the case.
	<i>(this box should expand as you type)</i>

Make explicit reference to **HOW** confidentiality and/or anonymity will be achieved

Make explicit reference to **HOW** informed consent (and assent if involving children) will be achieved. How will participants withdraw from the study if they choose to do so?



No need to complete this section

Section J

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/>).

1	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>	☐	☐
2	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>		
3	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,</i>	☐	☐



Section K

SECTION K: Declaration

31	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 which is published on the website: https://www.uwtsd.ac.uk/research/research-ethics/		
	Signature of applicant:	Please add your signature here	Date:

For STUDENT Submissions:

32	Director of Studies/Supervisor:		Date:
33	Signature:		

For STAFF Submissions:

34	Academic Director/ Assistant Dean:		Date:
35	Signature:		

Checklist

Read these statements carefully so that you don't cross the wrong boxes!

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 <u>DoS</u> /Supervisor, module tutor or Academic Director.
☐	I have deleted the guidance notes before submitting the PG2 for consideration

Complete & Submit Ethics Form

- Please complete and submit ethics form to module lead by 5pm today.
- s.v.hughes@uwtsd.ac.uk
- Thank You!



Cyfeirnodau - References

- British Educational Research Guidelines (BERA, 2018)
<https://www.bera.ac.uk/publication/ethical-guidelines-for-educational-research-2018>

