

EVALUATION PROTOCOL

**Grassroots Efficacy Trial:  
Evaluation of an anti-conflict  
intervention by cluster randomised  
controlled trial**

IOE – UCL's Faculty of Education and Society

Principal investigator: Becky Taylor

# Grassroots Efficacy Trial: Evaluation of an anti-conflict intervention by cluster randomised controlled trial



## Evaluation protocol

Evaluating institution: IOE – UCL’s Faculty of Education and Society

Principal investigator(s): Becky Taylor

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| <b>Project title</b>                   | <b>Grassroots Efficacy Trial: Evaluation of an anti-conflict intervention by cluster randomised controlled trial</b> |
| <b>Developer (Institution)</b>         | Behavioural Insights Team (BIT)  |
| <b>Evaluator (Institution)</b>         | IOE – UCL’s Faculty of Education and Society (IOE)   |
| <b>Principal investigator(s)</b>       | Becky Taylor   |
| <b>Protocol author(s)</b>              | Becky Taylor, Mark Hardman, Sal Riordan  |
| <b>Trial design</b>                    | Two-armed cluster randomised controlled trial with random allocation at the school level                             |
| <b>Trial type</b>                      | Efficacy   |
| <b>Evaluation setting</b>              | School   |
| <b>Target group</b>                    | 11-14 year olds (school years 7-9) in mainstream secondary schools in England and Wales                              |
| <b>Number of participants</b>          | 100 schools, 60 000 participants   |
| <b>Primary outcome and data source</b> | School attendance (NPD and SAIL)   |

|  |   |
|--|---|
| <b>Secondary outcome and data source</b> | <p>Strengths and Difficulties Questionnaire (self-report survey)</p> <p>Disciplinary report measures (school data)</p> <p>Bullying and Cyberbullying Scale for Adolescents (self-report survey)</p> <p>Peer Conflict Scale (self-report survey)</p> <p>Feelings of safety at school (self-report single question)</p> |
|--|---|

### Protocol version history

| Version               | Date | Reason for revision                           |
|-----------------------|------|---|
| <b>1.2 [latest]</b>   |      |   |
| <b>1.1</b>            |      |   |
| <b>1.0 [original]</b> |      | <i>[leave blank for the original version]</i> |

## Table of Contents

|   |    |
|---|----|
| Protocol version history .....                              | 2  |
| Table of Contents .....                                     | 3  |
| Study rationale and background .....                        | 4  |
| Intervention .....  | 6  |
| Impact evaluation .....                                     | 7  |
| Outcome measures .....                                      | 15 |
| Implementation and process evaluation .....                 | 17 |
| Cost data reporting and collecting .....                    | 22 |
| Diversity, equity and inclusion .....                       | 23 |
| Ethics and registration .....                               | 23 |
| Data protection .....                                       | 24 |
| Stakeholders and interests .....                            | 25 |
| Risks .....   | 27 |
| Timeline .....  | 28 |
| Appendix 1: Changes since the previous YEF evaluation ..... | 34 |

## Study rationale and background

Pupil attendance in schools is a matter of great concern in England and Wales. Recent statistics for England put the overall absence rate at 7.8% for the Autumn term 2022, an increase from a pre-pandemic rate of 4.8% (2019-20). Persistent and severe absence rates have also doubled since the COVID-19 pandemic. The most recent statistics put persistent absence (missing more than 10% of tutor sessions) at 22.3% for Autumn/Spring 2021-22 and severe absence (missing more than 50% of tutor sessions) at 1.5% for the same period, vs 10.9% and 0.8% respectively in Autumn/Spring 2018-19 (Long & Danechi, 2023).

While the reasons for school absence are complex, bullying, lack of safety at school, and school conflict are among them. A systematic review conducted by Kowalski and Limber in 2013 concluded that bullying is prospectively associated with school absenteeism, that bullying victimisation is prospectively associated with later educational achievement, and that bullying perpetration is prospectively associated with later aggression and/or violence. Adolescents are particularly influenced by peers (Brechwald & Prinstein, 2011). Indeed, the EEF's rapid evidence assessment, conducted in advance of this funding round, found that peer networks may be more powerful levers for this group than the risk of negative consequences from anti-bullying sanctions (Education Endowment Foundation, 2022).

The original Roots<sup>1</sup> intervention (Paluck et al., 2016) was implemented with typical adolescent school conflict in mind, including verbal and physical aggression, spreading rumours about peers, and social exclusion. Paluck et al. used a working definition of conflict as including 'harassment or antagonism from a high-power or high-status person aimed at a person with lower power or status (i.e., bullying), but also conflict between or among people with relatively balanced levels of social power and status' (page 567). Roots made use of Social Network Analysis (Carolan, 2013) to identify the most socially influential pupils in participating schools. By encouraging these highly-connected pupils to take a public stance against typical forms of conflict at school, behaviour change can be maximised across the pupil population. This approach has been successful in other domains, for example Campbell et al. (2008) recruited socially influential adolescents as anti-smoking campaigners and found a reduction of 22% in regular smoking among 12-13 year olds in England and Wales.

In a large RCT in the USA (Paluck et al., 2016), Roots reduced the number of school-recorded disciplinary events (i.e. instances of pupil misbehaviour) related to conflict and bullying

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<sup>1</sup> The Grassroots programme has been developed and adapted for England and Wales from the US Roots programme.

among adolescents by 25% over one year in treatment schools. This makes it one of the only evidenced anti-bullying interventions for adolescents, along with the more resource-intensive INCLUSIVE intervention (Bonell et al., 2015).

The US Roots trial also found that, on average, pupils in treatment schools reported higher levels of talking with friends about how to reduce conflict, and also wore anti-bullying wristbands more often than control schools.

Stronger effects on school-reported numbers of disciplinary incidents involving peer conflict were found in schools where seed groups had a higher proportion of 'social referents' – in the US study, the proportion of social referents in the seed group was varied randomly across schools (from 0 to 37%). The authors of the US study recommend that future interventions include as many social referents in their seed groups as possible. For the current trial, BIT will create the seed groups to be representative of each school's KS3 cohort in terms of ethnicity, as well as year group and sex, and to include some less well-connected pupils to increase the extent to which they are seen as accessible by other pupils. Therefore, BIT aims to include 75% social referents (defined at the year group level) in the seed groups.

Two recent pilots of Roots in Indonesia (Bowes et al., 2019) found mixed results, but were deemed promising enough for the programme to be rolled out nationally. In South Sulawesi, mean bullying perpetration decreased by 29% and mean victimisation by 20%. However in Central Java, bullying increased slightly from the baseline, which the researchers suggest could be due to increased awareness and reporting of bullying, or local events taking place at the same time as the intervention.. Both pilots yielded useful insights on effective implementation.

The efficacy evaluation of the Grassroots anti-conflict programme consists of a two-arm cluster randomised trial with accompanying implementation and process evaluation (IPE). Pupils are clustered within schools and randomisation is at the level of the school, stratified by recruitment region for feasibility of programme delivery. Primary outcome data will be collected through the National Pupil Database (NPD) for pupils in England and Secure Anonymised Information Linkage Databank (SAIL) for pupils in Wales and secondary outcome data through pupil surveys. The accompanying IPE will include two case studies of intervention schools per recruitment region (four in London), involving interviews with facilitators and coordinating teachers, observations of programme sessions, and focus groups with pupils. Additionally, surveys will be conducted with pupils and teachers to collect data for the IPE, to address the theory of change and dimensions of the intervention, including pupils' perceptions and awareness of the intervention activities, and the race equity of the programme.

A pilot evaluation of the Grassroots programme was carried out by UCL during Spring and Summer 2023. The pilot evaluation set out to establish the feasibility of the intervention and evaluation, evidence of promise and readiness for trial and assess the race equity. The pilot evaluation suggested some minor adaptations to intervention delivery, and supported the feasibility of the programme and evaluation, as well as refining secondary outcome measures, specifically the choice of a bullying perpetration and victimisation survey instrument and the management and analysis of disciplinary report data. School staff, participating pupils and the intervention facilitator all endorsed the promise of the intervention.

## Intervention

***Grassroots: empowering socially influential pupils to reduce conflict and bullying*** (Grassroots) is an anti-conflict programme that aims to reduce bullying and conflict in schools by empowering pupils to positively impact their fellow pupils' behaviours. It has international evidence from a large-scale RCT in the USA but has not been delivered previously in England and Wales.

Research Assistant Facilitators (facilitators) complete three days of training delivered by the project team. The project team help administer a survey ('Grassroots survey') in Autumn 2023 asking pupils to identify the other pupils with whom they have recently chosen to spend time. The project team conducts network analysis on the survey data to identify 'social referent pupils': the best-connected pupils in each school (defined as those in the top 10% in terms of indegree in their year group). Social referents are prioritised for inclusion in the school's 'seed group' alongside less well-connected pupils so that the overall group is representative of the school's demographic with reference to ethnicity and sex. Facilitators then convene each of these seed groups of approximately 30 pupils (the actual number depending on the overall number of pupils in Key Stage 3 in each school) for 10 fortnightly sessions from January 2024 and continuing over the course of the rest of the school year. Sessions will take place during lesson time in schools and last approximately 40-60 minutes depending on the length of school lessons.

In the sessions with 'seeds', facilitators will help pupils to:

- a. Identify areas for improvement in pupil interactions
- b. Generate possible solutions (for example activities they may do, what they might encourage their friends to do)
- c. Provide opportunities for action (for example weekly or fortnightly challenges)
- d. Make initiatives visible to others (for example putting up posters and handing out wristbands to peers for prosocial behaviour)

- e. Help pupils use online platforms to reach their peers with anti-conflict messages (for example videos, social media content<sup>2</sup>).

The Grassroots intervention has not been delivered previously in England and Wales and was adapted for the England/Wales context during the development phase and pilot evaluation. The England/Wales programme manual is not currently available in the public domain.<sup>3</sup>

For the efficacy evaluation, the control group will continue with business-as-usual practices. A survey conducted during the pilot evaluation suggested that schools were highly unlikely to be carrying out activities similar to the intervention. Schools in the control group will be offered a payment of £750 to compensate for costs incurred in evaluation activities. A payment of £500 will be offered to each case study school (all from the intervention group).

The logic model for the intervention is shown in Figure 1. Grassroots is hypothesised to work through pupils observing the pro-social behaviours and anti-conflict activities of the influential and highly-connected social referent pupils in the seed groups. Pupils observe the activities of the seed group and perceive the pupils to be anti-conflict and therefore perceive conflict to be more undesirable because they care about the opinions of the seed group. Pupils therefore adapt their behaviour to be more pro-social and engage less in conflict behaviour including bullying. This reduces the amount of peer-to-peer conflict in school. In turn this improves mental wellbeing and feelings of safety, with the result that school attendance improves.

Attention is given to racial and cultural sensitivity through ensuring that the seed groups are representative of the ethnic diversity within the school. Additionally, the development and pilot phase work was carried out with ethnically diverse groups of young people and their feedback was taken into account by the developers in adapting the programme for the England/Wales context.

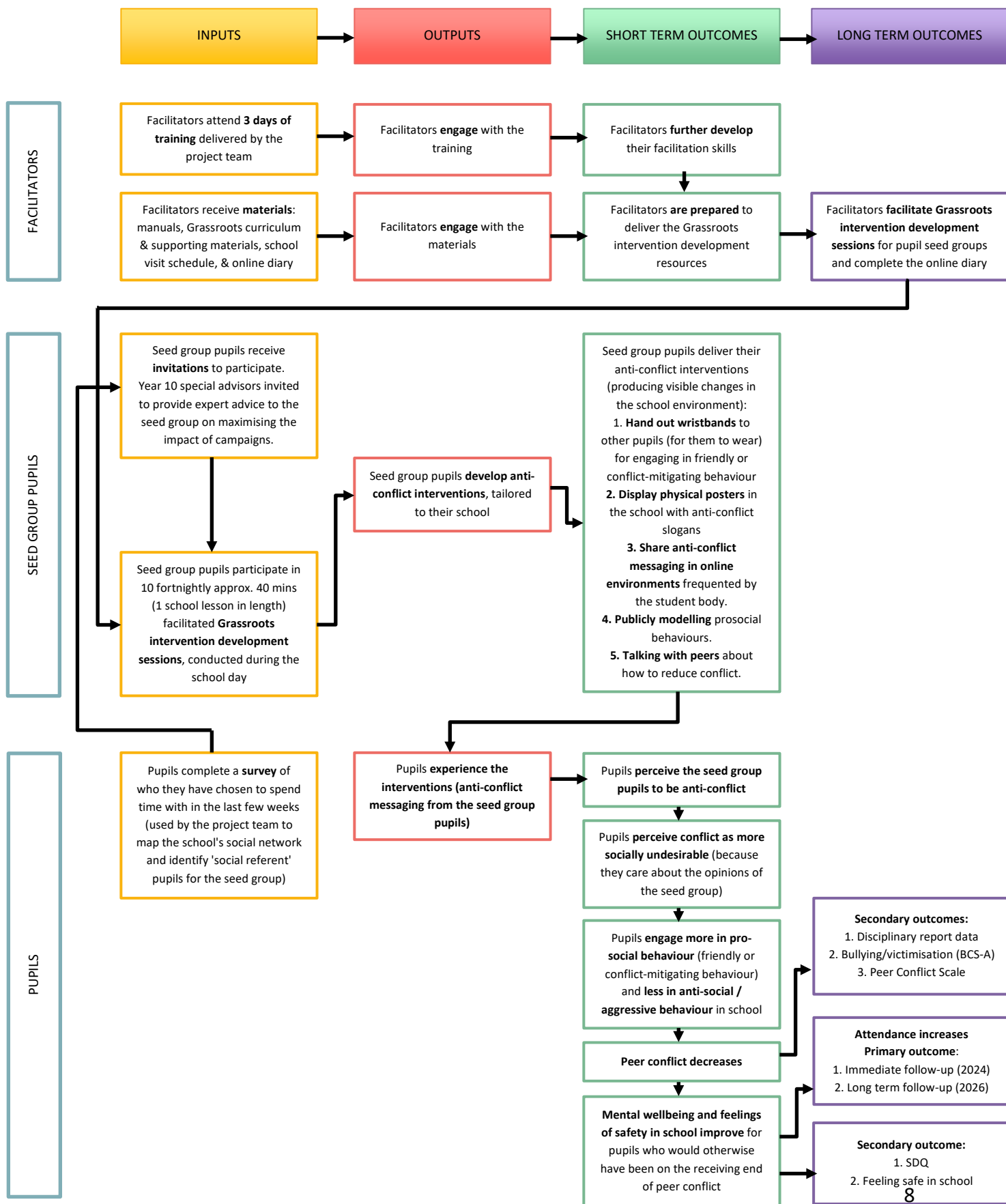
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<sup>2</sup> Social media use will be based on pupils' pre-existing social media accounts. No pupils will be encouraged to set up social media accounts for the purposes of the Grassroots programme and no pupils under 13 years old will be encouraged to use social media. Grassroots facilitators will receive online safety training and the programme has been adapted to include guidance to support safe social media usage.

<sup>3</sup> The US programme manual can be accessed from <http://www.betsylevypaluck.com/roots-curriculum>.



**Figure 1.** Theory of change logic model for Grassroots evaluation.



## Impact evaluation

### Research questions or study objectives

Primary research question:

11. Does empowering Key Stage 3 pupils in English and Welsh secondary schools to positively impact fellow pupils' social behaviours increase school attendance (a) at the end of the intervention, and (b) after 2 years, compared with Key Stage 3 pupils in schools using business-as-usual conflict/bullying reduction activities?

Secondary research questions:

12. Does empowering Key Stage 3 pupils in English and Welsh secondary schools to positively impact fellow pupils' social behaviours improve social and emotional outcomes as measured by the Strengths and Difficulties Questionnaire, compared with Key Stage 3 pupils in schools using business-as-usual conflict/bullying reduction activities?
13. Does empowering Key Stage 3 pupils in English and Welsh secondary schools to positively impact fellow pupils' social behaviours reduce conflict between pupils as measured by (a) school disciplinary reports; and (b) the Peer Conflict Survey compared with Key Stage 3 pupils in schools using business-as-usual conflict/bullying reduction activities?
14. Does empowering Key Stage 3 pupils in English and Welsh secondary schools to positively impact fellow pupils' social behaviours reduce bullying perpetration and victimisation as measured by the Bullying and Cyberbullying Scale for Adolescents compared with Key Stage 3 pupils in schools using business-as-usual conflict/bullying reduction activities?
15. Does the impact of Grassroots differ by ethnicity, free school meal (FSM) eligibility, sex, special educational needs (including pupils with an education health and care plan (EHCP))?

### Design

**Table 1: Trial design**

|   |   |
|---|---|
| <b>Trial design, including number of arms</b> | <b>Two-arm, cluster randomised efficacy trial</b> |
| <b>Unit of randomisation</b>                  | School (1:1 allocation ratio)                     |

|  |   |  |
|--|---|--|
| <b>Stratification variables</b><br>(if applicable) |   | Recruitment region   |
| <b>Primary outcome</b>                             | variable                                  | Attendance in Summer term 2023-2024<br>Follow-up: attendance in Autumn term 2025-26.   |
|  | measure (instrument, scale, source)       | % school tutor sessions attended in Summer term 2023-24, NPD (England), SAIL (Wales)<br>Follow up: % school tutor sessions attended in Autumn term 2025-26, NPD, SAIL  |
| <b>Secondary outcome(s)</b>                        | variable(s)                               | <ol style="list-style-type: none"> <li>1. SDQ</li> <li>2. Disciplinary Reports for Summer term 2023-24</li> <li>3. Bullying perpetration and victimisation</li> <li>4. Peer conflict</li> <li>5. Feeling safe in school</li> </ol>   |
|  | measure(s)<br>(instrument, scale, source) | <ol style="list-style-type: none"> <li>1. Self-report survey, June/July 2024</li> <li>2. School data</li> <li>3. Bullying and Cyberbullying Survey (BCS-A), self-report survey June/July 2024</li> <li>4. Peer Conflict Survey (short version), self-report survey June/July 2024</li> <li>5. Feeling safe in school, self-report survey June/July 2024</li> </ol> |
| <b>Baseline for primary outcome</b>                | variable                                  | Attendance in Autumn term, 2023-24   |
|  | measure (instrument, scale, source)       | % school tutor sessions attended in Autumn term 1, 2023, NPD (England), SAIL (Wales)   |
|  | variable                                  | <ol style="list-style-type: none"> <li>1. SDQ</li> </ol>   |

|                                       |                                     |   |
|---------------------------------------|-------------------------------------|---|
| <b>Baseline for secondary outcome</b> |                                     | <ol style="list-style-type: none"> <li>2. Disciplinary Reports for Autumn term 2023-24</li> <li>3. Bullying perpetration and victimisation</li> <li>4. Peer conflict</li> <li>5. 5. Feeling safe in school</li> </ol>   |
|                                       | measure (instrument, scale, source) | <ol style="list-style-type: none"> <li>1. Self-report survey, October 2023</li> <li>2. School data</li> <li>3. Bullying and Cyberbullying Survey (BCS-A), self-report survey October 2023</li> <li>4. Peer Conflict Survey (short version), self-report survey October 2023</li> <li>5. Feeling safe in school, self-report survey October 2023.</li> </ol> |

The secondary measures were selected after trialling potential measures during the pilot. On the basis of the pilot, the Bullying and Cyberbullying Scale for Adolescents (Thomas et al., 2019) was selected as the most appropriate scale to measure bullying perpetration and victimisation, as the scale performed well (Cronbach’s alpha for the subscales ranging from .83 to .90). This scale consists of 26 items and addresses online and offline bullying. The Peer Conflict Survey (Marsee, Frick, et al., 2011) also performed well in the pilot (Cronbach’s alpha .94). We propose to use a short, 20-item version of the PCS, which also achieved good reliability in the pilot (Cronbach’s alpha .90). The disciplinary report measure was shown to be promising during the pilot, but it is yet to be demonstrated that it is sufficiently robust. We are conducting further testing and development of this measure in Autumn/Winter 2023-24 (to be detailed in the SAP and the protocol updated accordingly).

The intervention will run in the Spring and Summer terms of the 2023-24 school year. We propose to compare Autumn term 2023 (baseline) with Summer term 2024 (endline) for the primary and secondary outcome measures.

### **Randomisation**

Randomisation will be carried out on a 1:1 ratio of allocation to treatment and control, at school level, stratified by recruitment region (Greater London; South Wales; West Midlands; North-West England). Stratification is to ensure the distribution of treatment schools between regions to facilitate research assistant recruitment and programme delivery by the developers.

Schools have been recruited by the developers. Randomisation will be conducted by the evaluation team in October 2023, following completion of collection of pupil data from schools. Randomisation will use a predetermined seed for replicability. Once randomisation has taken place, the evaluators will inform the developers of allocation to treatment and control and the developers will inform schools and initiate the Grassroots survey in treatment schools.

## Participants

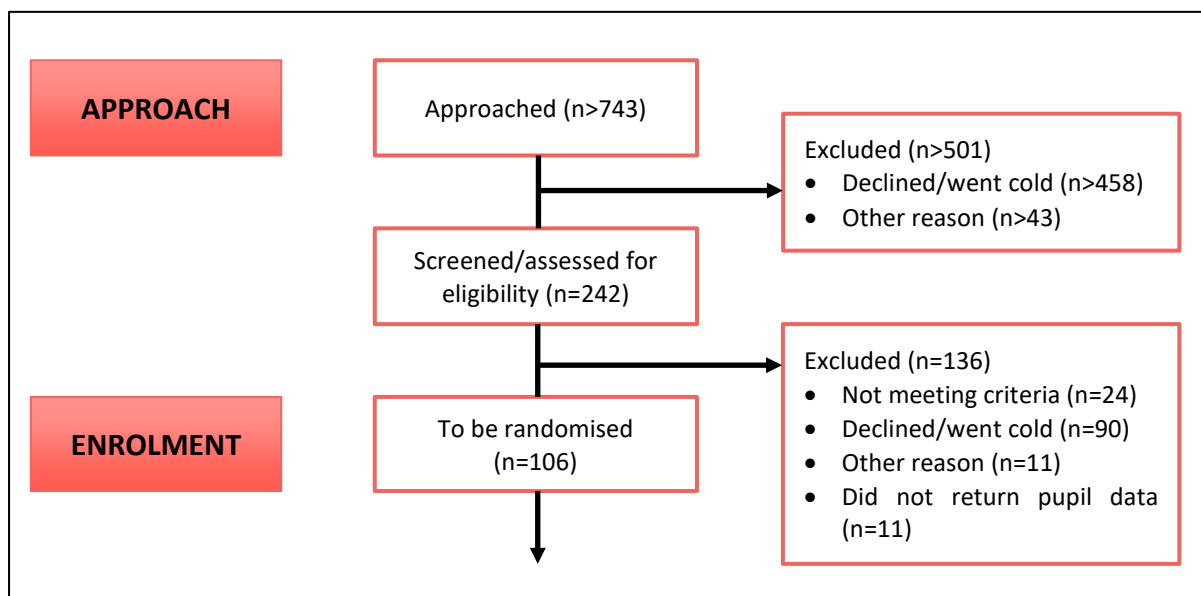
Participants are young people aged 11-14 in mainstream state-funded secondary schools within traveling distance of the designated recruitment regions (Greater London; South Wales; West Midlands; and North-West England<sup>4</sup>). During recruitment the developers checked with schools that they had compatible data privacy notices to allow data sharing with the research team and that they would be willing to share disciplinary report data. Schools that were not willing to share data were excluded from recruitment.

The developers aimed to recruit 115 schools, distributed approximately equally across the recruitment regions (with the Greater London recruitment area twice the size of the other areas). Recruitment took place between February and July 2023 and was complete by 21 July 2023. Initially schools returned a 'trial place reservation' form and later (from when it was available in June) completed a memorandum of understanding and data sharing agreement (see Appendix A). Recruitment is summarised in the participant flow diagram (Figure 2).

**Figure 2.** Participant flow diagram.

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<sup>4</sup> Full list of eligible local authority areas: Barking and Dagenham, Barnet, Barnsley, Bexley, Birmingham City Council, Blackburn with Darwen, Blaenau Gwent Council, Bolton, Bradford, Brent, Bridgend County Borough Council, Bromley, Bury, Caerphilly Council, Calderdale, Camden, Carmarthenshire Council, Ceredigion, City of Cardiff Council, City of Westminster, City of Wolverhampton, Coventry, Croydon, Doncaster, Dudley metropolitan borough, Ealing, Enfield, Greenwich, Hackney, Hammersmith and Fulham, Haringey, Harrow, Havering, Hillingdon, Hounslow, Islington, Kensington and Chelsea, Kingston, Kirklees, Knowsley, Lambeth, Leeds, Leicester, Leicestershire, Lewisham, Liverpool, Manchester, Merthyr Tydfil Council, Merton, Monmouthshire Council, Neath Port Talbot Council, Newham, Newport Council, Oldham, Pembrokeshire, Powys, Redbridge, Rhondda Cynon Taff Council, Richmond, Rochdale, Rotherham, Salford, Sandwell metropolitan borough, Sefton, Sheffield, Shropshire, Solihull metropolitan borough, Southwark, St. Helens, Staffordshire, Stockport, Stoke-on-Trent, Sutton, Swansea Council, Tameside, Torfaen Council, Tower Hamlets, Trafford, Vale of Glamorgan Council, Wakefield, Walsall Metropolitan Borough, Waltham Forest, Wandsworth, Warrington, Warwickshire, Wigan, Wirral, Worcestershire (obtained from <https://grassroots.bi.team/regions>).



## Sample size calculations

### Estimates of effect size (MDES)

Our power calculations are based on a MDES of 0.2 for the primary outcome measure (attendance), in line with standard practice for randomised controlled trials in education (Hutchison and Styles, 2010). Outcome measures for previous evaluations of the ROOTS intervention have included disciplinary reports of pupil conflict, talking to friends about how to reduce conflict, wearing anti-conflict wristbands, and social norms (Paluck et al., 2016); and measures of bullying perpetration and victimisation, social norms and school climate (Bowes et al., 2019), however it is not possible to calculate effect sizes from the information in the published articles.

### Pre-test measures

We will use attendance in the first term of the school year as a pre-test measure for the primary outcome. We will include additional covariates in the model including gender, FSM eligibility, year group to increase precision.

### Power calculations

Our power calculation suggests that we need a minimum of 91 schools for a MDES on attendance of 0.2, using standard assumptions of 0.05 of alpha and 0.8 for power. We have taken a standard value of 0.15 for the intracluster correlation (ICC) and will calculate and publish this variable at the end of the study to support future statistical modelling of evaluations. The details of this power calculation for the primary outcome measure are presented in Table 3.

We have also run calculations to ensure that the sample size is sufficiently powered to detect a MDES of 0.2 on the secondary outcome measures. We are intending to conduct a survey with all KS3 pupils, but for cost reasons will only collect SDQ data with a random sample of one third of KS3 pupils. We have therefore performed power calculations for this sample size. We have also assumed smaller pre-test/post-test correlations for the secondary measures to take a cautious approach to calculating the required sample size for all outcome measures. As a result, we have estimated that we need 97 schools to detect an MDES of 0.2 on all our measures.

**Table 2: Sample size calculations**

|                                       |                       | PARAMETER                                   |
|---------------------------------------|-----------------------|---|
| Minimum Detectable Effect Size (MDES) |                       | 0.2   |
| Pre-test/ post-test correlations      | level 1 (participant) | 0.5   |
|                                       | level 2 (cluster)     | 0.5   |
| Intracluster correlations (ICCs)      | level 1 (participant) | 0.15  |
| Alpha                                 |                       | 0.05  |
| Power                                 |                       | 0.8   |
| One-sided or two-sided?               |                       | Two-sided                                   |
| Average cluster size (if clustered)   |                       | Schools have average of 540 students in KS3 |
| Number of clusters                    | Intervention          | 50  |
|                                       | Control               | 50  |

|                        |              | PARAMETER |
|------------------------|--------------|-----------|
|                        | Total        | 100       |
| Number of participants | Intervention | 27 000    |
|                        | Control      | 27 000    |
|                        | Total        | 54 000    |

## Outcome measures

### Baseline measures

Baseline data will relate to the Autumn term 2023:

- % attendance for Autumn term 2023 (September – December 2023) will be collected from the NPD/SAIL when the primary outcome analysis is conducted in 2025.
- Survey measures (SDQ, BCS-A, PCS) will be collected in the online baseline survey completed by pupils in October-November 2024.
- Number per week of peer-to-peer conflict reports for Autumn term 2023 (September – December 2023) will be derived from disciplinary report data collected from schools in July 2024.

### Primary outcome

The primary outcome measure for the efficacy trial will be percentage attendance, measured as percentage of possible school tutor sessions attended. Data will be obtained from NPD/SAIL for the Autumn term 2024 for analysis in the summer of 2025.

### Secondary outcomes

Secondary outcome measures for the trial include the following:

1. Student disciplinary report data.
2. Strengths and Difficulties Questionnaire (SDQ, Goodman et al., 2010).
3. Bullying and Cyberbullying Scale for Adolescents (BCS-A, Thomas et al., 2018).
4. Peer Conflict Scale (short version) (PCS, Marsee et al., 2011).
5. Feeling safe in school (self-report survey).



The scale outcome measures (SDQ, BCS-A and PCS) will be collected through the online outcome pupil survey, to take place in schools in late June/early July 2024. Scales will be scored according to their standard protocols. These outcome measures will provide evidence for the logic model: BCS-A and PCS measure changes to peer conflict; SDQ measures changes to mental wellbeing and feelings of safety in school. SDQ consists of five subscales, which we will report separately.

Disciplinary report data will be collected from schools in July 2024. Drawing on the pilot evaluation, we anticipate that the form and quality of disciplinary report data will be highly variable and that we will need to work with two main forms of data: school-designated categories, and free text data. The measure is a count of teachers' reports of peer conflict and is a direct measure of peer conflict. Plans for analysis of disciplinary report data into a usable measure and quality criteria for its use as an outcome variable are still being developed and the protocol will be updated in Spring 2024.

## **Compliance**

Compliance with the intervention will be defined at the school level. The definition of compliance is:

- Delivery of a coherent Grassroots programme within the school, with a minimum of 5 sessions, including Grassroots Day<sup>5</sup>.
- Attendance at Changemakers sessions will include a minimum of 40% of seed group pupils overall and at least 33% of seed group pupils from each school year group (Year 7, Year 8 and Year 9).

Compliance data will be collected by the Grassroots facilitators and shared with the evaluation team.

## **Analysis**

All quantitative outcomes will be modelled on the basis of intention to treat (ITT) using a linear multilevel model. We propose to fit a 2-level model of pupils clustered in schools. We

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<sup>5</sup> Grassroots Day is the day the Change Makers reveal the Grassroots programme to the rest of the school. They spread the word about the day in advance (e.g. using posters and online messaging). On the day, they explain the programme to their peers, share a newspaper about the programme, and get other students involved in the movement.

will conduct robustness checks to check the assumptions of our multi-linear model, testing for interaction effects and comparing with a single-level model. Statistical uncertainty will be indicated by 95% confidence intervals.

Secondary analysis will consider the impact on the following sub-groups: ethnicity, FSM eligibility, region, and special educational needs (including EHCP). The purpose of the subgroup analysis is to investigate whether the intervention has greater impact for certain groups of pupils and to give evidence of how impact is occurring. The subgroup analysis will be conducted separately for each subgroup variable. Where significant impact is found, a Hedges' g effect size will be calculated. This will be converted to the 'number of additional school days' attendance' to convey the effect meaningfully.

### **Longitudinal follow-ups**

Follow up on the primary outcome measure (attendance) will take place after two years. The follow-up analysis will use the same statistical model detailed in the SAP for the initial analysis of the primary outcome measure, but now fitted for percentage attendance data collected two years after the study. This will be calculated using the same variables from NPD and SAIL as the primary outcome measure (number of tutor sessions attended and total number of tutor sessions available). Repeating the statistical analysis in this way will indicate the sustainability of the intervention's effects on attendance.

## **Implementation and process evaluation**

### **Research questions**

Research questions for the Implementation and Process Evaluation (IPE) are as follows:

- IPE1. Do schools support and facilitate the Grassroots programme? What processes, moderators and mediators are involved?
- IPE2. How does the intervention support all Change Maker (seed group) pupils to develop pro-social behaviours and appropriate anti-conflict interventions? What processes, moderators and mediators are involved?
- IPE3. How does the intervention influence peer conflict, mental wellbeing and feelings of safety of Key Stage 3 pupils in schools? What processes, moderators and mediators are involved?
- IPE4. How far is the intervention scalable and differentiated from existing school practices around peer conflict?

The research questions are designed to evaluate the theory of change, and dimensions of implementation. These dimensions are presented in Table 3, along with how they are to be interpreted within this evaluation. These interpretations were confirmed in conversation with the developer (July 2023). We also include examples of considerations which sit within each dimension.

**Table 3.** Implementation Dimensions and interpretation

| Dimension                 | Interpretation   | Relevant Considerations  | Research methods  |
|---------------------------|--|--|---|
| <b>Fidelity/adherence</b> | Programme of Change Maker sessions; inclusion of Grassroots day; attendance at sessions; visible signalling (e.g. wristbands) beyond seed group.           | Does training of research assistants follow the intended model?<br><br>Do research assistants follow the intended intervention in schools? | Programme data<br><br>Observations of Change Maker sessions<br><br>Pupil survey<br><br>Interviews with facilitators |
| <b>Dosage</b>             | Number of Change Maker sessions; amount of organised activity by seed group; pupil report of observed pro-social behaviours; engagement with social media. | How many training sessions do research assistants attend?<br><br>How many sessions for seed pupils are run in schools?                     | Programme data<br><br>Pupil surveys   |
| <b>Quality</b>            | Perceptions of seed group pupils; perceptions or broader KS3 cohort; perception of school staff.   | What are research assistants' perceptions of the training they receive?<br><br>What are seed pupils' perceptions of sessions?              | Interviews with facilitators<br><br>Focus groups with seed groups<br><br>Pupil surveys                              |

| Dimension                           | Interpretation   | Relevant Considerations   | Research methods   |
|-------------------------------------|--|---|--|
|                                     |  | What are teachers' perceptions of the intervention?   | Interviews and surveys with lead teachers  |
| <b>Reach</b>                        | Buy in and attendance of seed pupils at Change Maker sessions.   | How many pupils take up the invitation to become seed pupils?<br><br>How many sessions are attended by seed pupils?   | Programme data   |
| <b>Responsive-ness</b>              | Awareness of pupils beyond the seed group, including of visible signals (e.g. wristbands).   | How many antibullying activities are engaged in by seed pupils?<br><br>What are seed pupils' perceptions of the antibullying activities they engage in?<br><br>How aware are non-seed pupils of the activities led by the seed group?                                 | Pupil surveys<br><br>Focus groups with seed groups<br><br>Pupil surveys<br><br>Pupil surveys |
| <b>Intervention differentiation</b> | How the intervention differs from whole school and targeted interventions aimed at peer conflict; fit with curriculum and broader school activities. | What antibullying activities (including on social media) usually take place in intervention schools?<br><br>How do intervention activities (including on social media) differ from usual antibullying activities?   | Teacher surveys (treatment group)<br><br>Teacher surveys (control group)                     |
| <b>Adaptation</b>                   | Adaptation of Change Maker programme to school contexts.   | How do research assistants adapt the intervention for different schools?<br><br>What barriers and facilitators are there for the intervention in different schools and for different school populations? (e.g. for schools with different levels of ethnic diversity, | Facilitator interviews<br><br>Teacher interviews<br><br>Teacher surveys (treatment group)    |

| Dimension          | Interpretation   | Relevant Considerations   | Research methods   |
|--------------------|--|---|--|
|                    |  | disadvantage, absence and exclusion rate)   | Facilitator interviews   |
| <b>Race equity</b> | Any differing experiences of the programme by pupils from different backgrounds (both within and beyond the seed group). | How is the intervention experienced by young people from Black, Asian and minority ethnic backgrounds?<br><br>How are schools' antibullying, behaviour and attendance policies experienced by young people from BAME backgrounds? | Focus group with seed group pupils<br><br>Pupil surveys<br><br><br>Pupil surveys |

## Research methods

The research methods for the IPE will include case studies of two schools in each recruitment region, a survey of all lead teachers in treatment and control schools, a survey of all pupils in treatment schools and interviews with the programme facilitators. Case studies will include observations of Changemakers (seed group) sessions, focus groups with seed group pupils and an interview with the lead teacher. The contribution of each data collection method to the IPE research questions is summarised in Table 4 below.

IPE instruments were developed and validated during the pilot evaluation with pupils and teachers in the pilot schools.

Case study data will be collected by members of the research team working in pairs. For case study schools in Wales, one of the pair will be a bilingual researcher. The case study team will meet together ahead of the first case study visit to agree a shared approach in order to minimise bias.

Surveys will be administered online in school alongside the impact evaluation surveys. Schools will be provided with clear guidance on survey administration to maximise the potential for a uniform approach.

## Analysis

Qualitative data will be analysed using reflexive thematic analysis (Braun & Clarke, 2019) and a mixture of inductive codes from the data and deductive codes based on the theory of change.

Survey data will be analysed quantitatively using descriptive and inferential statistics. Survey data will be triangulated with interview and focus group data, to establish whether findings are consistent.

**Table 3.** IPE methods overview

| Research methods   | Data collection methods              | Participants/<br>data sources<br>(type, number) | Data analysis methods                  | Research questions addressed | Implementation/<br>logic model<br>relevance                         |
|--|--------------------------------------|---|--|------------------------------|---|
| Case study in 2 schools in each region, 4 in Greater London (n = 10) | Observation of Changemakers sessions | Changemakers groups, facilitators               | Reflexive thematic analysis            | IPE1, IPE2                   | Processes involving seed group delivery                             |
|  | Focus groups with seed group pupils  | Seed group pupils (n=60)                        |  | IPE3                         | Seed group delivery and Grassroots activities                       |
|  | Interview with lead teacher          | Lead teachers (n=10)                            |  | IPE1, IPE2, IPE4             | Seed group arrangements, effect on pupil behaviour                  |
| Survey of all pupils in treatment and control groups                 | Online survey                        | Pupils (n=60,000)                               | Descriptive and inferential statistics | IPE3                         | Effect of seed group pupils on all pupil behaviour                  |
| Survey of lead teachers in treatment and control groups              | Online survey                        | Lead teachers (n=50)                            | Descriptive and inferential statistics | IPE1, IPE4                   | Seed group arrangements, effect on pupil behaviour, cost evaluation |

| Research methods                         | Data collection methods                              | Participants/ data sources (type, number)            | Data analysis methods                  | Research questions addressed | Implementation/ logic model relevance  |
|--|--|--|--|------------------------------|--|
| Survey of lead teachers in control group | Online survey  | Lead teachers (n=50)                                 | Descriptive and inferential statistics | IPE4                         | Differentiation from business-as-usual |
| Interviews with Grassroots facilitators  | Interview  | Facilitators (n=5)                                   | Reflexive thematic analysis            | IPE1, IPE2, IPE4             | Seed group delivery, scalability       |
| Programme data                           | Collection of programme data by facilitators and BIT | Administrative data for all treatment schools (n=50) | Descriptive statistics                 | IPE1, IPE2                   | Compliance, programme delivery         |

### Cost data reporting and collecting

Costs of delivering the intervention will be incurred by the delivery team in carrying out the Grassroots network survey and analysis and by delivering the Grassroots programme and by the school in accommodating the programme.

Data about the cost of programme delivery will be requested from the developers. These costs include recruitment, training and salary costs for programme facilitators, the cost of researchers in developing Grassroots surveys for schools and conducting the network analysis, and costs associated with delivering the programme in schools, including travel, refreshments, programme manuals, consumable resources such as wristbands and durables including an iPad for each facilitator.

Data about the cost of accommodating the programme in school will be collected through the survey of lead teachers in all intervention schools. These costs are likely to include timetabling, additional resources and any staffing required to support delivery.

Costs will be reported in line with YEF guidance, as the average cost for a typical school receiving the intervention for one round of delivery, i.e. for a one year programme, and as

the average cost per participant (i.e. per pupil) for one round of delivery. We suggest that the cohort figure is likely to be more meaningful for this whole school intervention.

The main source of uncertainty in the cost evaluation will be the salary required to recruit suitable facilitators. We will assume that appropriately skilled and qualified individuals will be recruited at the salary level used in the trial, but this may not be the same if scaled up. There may also be regional variation.

## **Diversity, equity and inclusion**

The evaluation team have worked closely with the developers, the Young Person Advisory Group and the Race Equity Advisory during the Development and Pilot phases of the evaluation to ensure that all evaluation resources are accessible, sensitive and inclusive.

The Grassroots intervention is a whole school programme which aims to reach all pupils in Key Stage 3. Selection of the 'seed groups' is designed specifically to ensure that the group is representative of the ethnic diversity of young people in the school. In selecting the recruitment regions, the developers have sought to select areas with higher levels of ethnic diversity to ensure that it is possible to evaluate the impact of the Grassroots programme on young people from diverse ethnic backgrounds.

In order to ensure that the outcomes for and experiences of young people from diverse backgrounds are considered, subgroup analyses will be conducted for both the impact evaluation and the implementation and process evaluation. These will include analysis by ethnic group, by sex and by eligibility for free school meals (FSM).

All members of the evaluation team have completed UCL training on Equality, Diversity and Inclusion. The evaluation team have extensive experience of research with young people from diverse and disadvantaged backgrounds in schools. The Race Equity Advisor (Showunmi) has a specific role within the team in providing critical and constructive feedback on all materials, methods and analyses.

## **Ethics and registration**

The trial has been registered with reference ISRCTN16027244. The record can be viewed at <https://www.isrctn.com/ISRCTN16027244>

The evaluation will be conducted in line with the BERA (2018) Guidelines on Research Ethics and has been approved by the IOE Research Ethics Committee with reference REC1773. A number of important ethical issues are likely to be encountered during this research and we have planned for mitigation as follows:



**Bullying is a sensitive issue and therefore young people must be assured of confidentiality, anonymity and protection from harm.** We will ensure that individuals and schools cannot be identified in any reporting and ensure that data collection methods are appropriate and proportionate and unlikely to cause harm or distress. Surveys will be prefaced by an information page that makes it clear that responses are confidential and that individuals will not be identified in the analysis. Surveys will use only closed questions, which reduces the risk of disclosure of harm. Case studies will include focus groups, surveys and observations with young people and this raises the risk of disclosure of harm. We will inform young people that in case of making a disclosure we cannot keep confidentiality and will follow school safeguarding procedures.

**All participants should consent to taking part in the study.** Headteachers have been invited to sign their school up to the study through returning a completed Memorandum of Understanding and Data Sharing Agreement. In addition, we will write to all target young people and their parents/carers to inform them about the study and offer them the opportunity to opt out of the research. We will not include data from any young person for whom consent has been withdrawn. We will ensure that young people and teachers in case study schools provide active opt-in consent before collecting any data.

## Data protection

Data will be processed in line with data protection legislation (including GDPR) and in the interests of the participants. The project is registered with the UCL Data Protection Officer with reference Z6364106/2023/02/64.

Personal data will be lawfully processed using GDPR Article 6(1)(e) Public Interest. Special category personal data (ethnicity, SEND status) will be lawfully processed using Article 9(2)(j) under condition 4 (Research). UCL relies on the 'public task' grounds for processing personal data in its capacity as a public authority with research as one of its core purposes (see [UCL's Statement of Tasks in the Public Interest](#)).

We will provide an opportunity for parents/carers to discuss the research with their child and to withdraw their data from the research and any data processing. All results will be anonymised so that no schools or individual pupils or teachers will be identified in any report arising from the research. Pupils will be able to withdraw themselves from data collection activities in schools, including surveys and case studies. Data subjects are able to contact UCL at any time to exercise their rights under GDPR, by emailing the UCL Data Protection team. This right is clearly stated in data privacy notices.

We will establish data sharing agreements between schools and UCL (legal body for IOE) and between UCL and BIT. Each will act as data controllers for their own separate purposes and schools will sign the DSAs at the stage of joining the evaluation through submitting the MOU. Nesta will act as BIT's data processors for the purposes of analysing free text disciplinary report data and will have data sharing agreements in place with BIT for this purpose.

The principle of data minimisation will be practised and only essential data sharing will take place. Identifiable personal data held by UCL will be processed within the Data Safe Haven, UCL's secure data storage solution. Data will be retained at UCL for 10 years after the end of the project, in line with [UCL's Research Data Retention Schedule](#).

The MOU and Data Sharing Agreement and parent information sheet with full privacy notices can be found in Appendix X. Further information about how UCL uses participant information can be found here: <https://www.ucl.ac.uk/legal-services/privacy/ucl-general-research-participant-privacy-notice>

## Stakeholders and interests

### Developer and delivery team

**Kathryn Atherton** is a Senior Advisor at Behavioural Insights Team and is the project lead for the intervention.

**Lal Chadeesingh** is a Principal Advisor at BIT and is the school recruitment lead and project lead (maternity cover).

**Anna Bird** is a Principal Advisor at BIT with project oversight for the intervention.

**Martha Courtauld** is a Research Assistant at BIT and was the pilot programme facilitator, with additional responsibilities for programme development and school recruitment.

**Callum O'Mahony** is an Associate Advisor at BIT and is responsible for programme development, school recruitment and project management.

**Hannah Bellier** is an Associate Advisor at BIT and is responsible for programme development, school recruitment and project management.

**Priya Chahal** was a Research Assistant at BIT and supported programme development and school recruitment.

**Paige Lindsay** was a Research Assistant at BIT and supported school recruitment.

The developer team have had additional support from:

**Lucy Bowes**, Professor at the University of Oxford with expertise in bullying and experience of delivering the Roots programme in Indonesia, and she is an academic adviser to the developer and delivery team.

**Betsy Paluck**, Professor at the University of Princeton, is the lead author of the original Roots RCT in the US, and she helped us establish the principles guiding our adaptation of the programme.

**Ed Bradon**, Director at Behavioural Insights Team.

#### **Evaluation team**

**Dr Becky Taylor** is a Principal Research Fellow at UCL and is leading the evaluation, including managing the evaluation team, writing the evaluation protocol and reports, and leading on communications with YEF and the developer team.

**Dr Mark Hardman** is an Associate Professor at UCL and is a co-investigator for the evaluation, playing a leading role in the qualitative aspects of the IPE and contributing to all aspects of the evaluation including reporting.

**Dr Keri Wong** is an Associate Professor at UCL and is a co-investigator for the evaluation; she has a leading role in working with the developers on the theory of change and logic model, developing outcome measures and contribute to all aspects of the evaluation including reporting.

**Dr Nicola Abbott** is a Lecturer in Psychology at UCL and is a co-investigator for the evaluation; she has a leading role in working with the developers on the theory of change and logic model, working with the YPAG, and contributing to all aspects of the evaluation including reporting.

**Dr Sally Riordan** is a Senior Research Fellow at UCL and is a co-investigator for the evaluation; she is leading on writing the statistical analysis plan and conducting the impact analysis and contributing to reporting.

**Professor Jeremy Hodgen** is Professor of Mathematics Education at UCL and provides expert statistical support for designing the impact evaluation, including modelling and outcome variables.

**Dr Victoria Showunmi** is an Associate Professor at UCL, specialising in gender and race in educational contexts. She is race equity advisor to the evaluation team and provides critical feedback on all materials and methods.

**Claire Pillinger** is a Research Assistant at UCL and supports all areas of data collection and management for the evaluation and will conduct initial cleaning and coding of qualitative data for the IPE.

An **administrator** supports all areas of the project, including liaising with schools to secure a high level of retention, overseeing the transfer of data from schools to UCL, arranging fieldwork visits and survey administration plus any other necessary tasks to support the project.

We are grateful for the support of the Young People Advisory Group, pilot school project leads, pilot school pupils and Welsh focus group school members during the pilot evaluation, and for advice from Professor Vini Lander.

No other individual, or funding or support beyond that from the Youth Endowment Fund has contributed to this project.

## Risks

| Risk                                     | Likelihood | Impact | Action  |
|--|------------|--------|---|
| <b>Failure to recruit</b>                | Low        | High   | <ul style="list-style-type: none"> <li>Establish timeline for recruitment involving a variety of methods</li> <li>Regular developer and evaluator team contact</li> </ul>   |
| <b>Failure to gain data from schools</b> | Low        | High   | <ul style="list-style-type: none"> <li>Addressing data protection and data sharing concerns during recruitment</li> <li>Clear and simple data collection procedures (including explanations of GDPR conditions)</li> <li>Include data sharing agreement in MOU</li> <li>Ensure correct data (including UPNs and matching variables) as a pre-condition for randomisation</li> </ul> |

|                                      |                |                 |  |
|--------------------------------------|----------------|-----------------|--|
|                                      |                |                 | <ul style="list-style-type: none"> <li>Allocate staff time to school liaison at key data collection points</li> </ul>  |
| <b>Attrition of schools</b>          | Low            | Moderate / High | <ul style="list-style-type: none"> <li>Regular contact with participating schools with a particular focus on the control group</li> <li>Regular developer and evaluator team contact</li> <li>Control group schools will receive a financial incentive</li> </ul>  |
| <b>Loss of staff</b>                 | Low / Moderate | Low             | <ul style="list-style-type: none"> <li>IOE has a large staff team and would reallocate staff</li> </ul>  |
| <b>Poor response rate to surveys</b> | Low            | Moderate        | <ul style="list-style-type: none"> <li>Coordinate with developers to arrange specific windows for survey completion.</li> <li>Monitor through regular contact with schools.</li> <li>Regular developer and evaluator team contact.</li> <li>Clear and simple collection methods.</li> <li>Clear timetable for data collection shared with schools and with early reminders for outcome data collection.</li> </ul> |

## Timeline

| Start date      | Dates (deadlines) | Activity  | Staff responsible/ leading |
|-----------------|-------------------|---|----------------------------|
| <b>Feb 2023</b> | 24/07/23          | Recruitment complete  | BIT                        |
| 04/08/23        | 08/09/23          | Parent information sheets distributed to parents of KS3 pupils                      | BIT                        |
| <b>04/08/23</b> | 08/09/23          | Schools given instructions and template to prepare data upload for sharing with UCL | BT, admin                  |

| Start date | Dates (deadlines) | Activity  | Staff responsible/ leading       |
|------------|-------------------|---|----------------------------------|
| 18/08/23   | 22/09/23          | Schools share pupil data including historical disciplinary report data with UCL   | BT, admin                        |
| 25/09/23   | 06/10/23          | Pupil data chased and complete  | BT, admin, with support from BIT |
| N/A        | 30/09/23          | Statistical Analysis Plan draft submitted to YEF.   | SR                               |
| N/A        | 09/10/23          | UCL share school-level codes for surveys with BIT   | SR                               |
| 09/10/23   | 12/10/23          | Randomisation, balance checks, confirmation to developers of treatment/control group membership<br><br>UCL shares pupil data with BIT: Year 7-9 from all schools: first name, surname, preferred name, year group, tutor group, sex, ethnicity. | SR                               |
| 13/10/23   | 20/10/23          | BIT produces Grassroots surveys from the data from UCL.<br><br>Combined survey instructions for the Grassroots survey and baseline evaluation surveys shared with all schools   | BIT                              |
| TBC        | TBC               | A sample of historical disciplinary report data is anonymised and shared with BIT.  | SR                               |
| N/A        | 15/11/23          | Statistical Analysis Plan final version submitted to YEF  | SR                               |
| 23/10/23   | 17/11/23          | Grassroots survey and baseline evaluation survey administered in all schools  | BT, admin, BIT                   |
| N/A        | TBC               | Results of randomisation shared with BIT  | SR                               |

| Start date | Dates (deadlines) | Activity  | Staff responsible/ leading |
|------------|-------------------|---|----------------------------|
| 20/10/23   | 01/12/23          | Network analysis and identification of seed group pupils                            | BIT                        |
| N/A        | 01/12/23          | Results of randomisation and seed group membership communicated to schools          | BIT                        |
| 04/12/23   | 22/12/23          | Schools share seed group invitations and consent forms and chase responses          | BIT                        |
| N/A        | 08/01/24          | Fortnightly facilitated seed group intervention sessions begin in treatment schools | BIT                        |
| N/A        | 08/01/24          | Case study data collection begins   | MH                         |
| N/A        | 23/02/24          | Change Maker selection data shared with UCL.  | BIT                        |
| N/A        | 14/06/24          | Fortnightly facilitated seed group intervention sessions completed                  | BIT                        |
| N/A        | 30/06/24          | Case study data collection complete   | MH                         |
| 17/06/24   | 21/07/24          | Outcome and final IPE surveys administered  | BT, KW, admin              |
| 01/07/24   | 15/07/24          | Collection of school disciplinary data  | SR, admin                  |
| 16/07/24   | 21/07/24          | School disciplinary data chased and complete  | SR, admin                  |
| TBC        | TBC               | UCL shares disciplinary report data with BIT  | SR                         |
| TBC        | TBC               | Nesta completes free text analysis and returns output to UCL                        | Nesta (BIT)                |
| 01/07/24   | 21/07/24          | Collection of cost evaluation data  | BT, MH                     |

| Start date | Dates (deadlines) | Activity   | Staff responsible/ leading |
|------------|-------------------|--|----------------------------|
| N/A        | 21/07/24          | Completion of all data collection including secondary outcome data                 | BT                         |
| N/A        | 30/08/24          | BIT share programme data with UCL  | BIT                        |
| TBC        | 08/12/24          | Access NPD and SAIL and conduct primary outcome analysis (subject to availability) | SR                         |
| 01/07/24   | 08/12/24          | YPAG review findings   | BT                         |
| N/A        | 15/12/24          | Submission of draft final evaluation report  | BT                         |
| N/A        | 31/01/25          | Submission of final, peer reviewed evaluation report                               | BT                         |
| N/A        | 31/01/25          | Impact evaluation data archived  | SR                         |
| 01/09/25   | 31/10/25          | Two year follow up school attendance interventions survey                          | BT, MH                     |
| N/A        | 31/01/26          | Two year follow up attendance data analysis – access NPD and SAIL                  | SR                         |
| N/A        | 30/04/26          | Submission of draft final follow up evaluation report                              | BT                         |
| N/A        | 30/06/26          | Submission of final, peer reviewed follow up evaluation report                     | BT                         |
| N/A        | 31/08/26          | Follow up dataset archived   | SR                         |



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## Appendix A: Evaluation documents

In this section:

1. Trial space reservation form
2. Memorandum of Understanding and Data Sharing Agreement
3. Parent general information sheet

### Trial Space Reservation Agreement

(pending Memorandum of Understanding)



#### A proven anti-conflict programme for schools

*This project is a collaboration between the Youth Endowment Fund (YEF), the Education Endowment Foundation (EEF), the Behavioural Insights Team (BIT) and IOE, UCL's Faculty of Education and Society*

**To reserve your place in the trial, please read the information below and confirm by email that you (and your headteacher, if you are not the head) are happy with the contents.** To confirm your place in the trial, you will need to sign the full Memorandum of Understanding which the project team will share with you in due course.

If you are not a member of SLT, we request that you ask a member of SLT to confirm in the email thread that they are happy for the school to participate.

#### Grassroots Trial: summary

- You are invited to take part in an exciting new trial of the Grassroots programme: a programme that aims to reduce bullying and conflict in schools by empowering a group of approximately 30 pupils to positively impact their peers. The trial will begin in September 2023.
- Half of schools will be randomly allocated to receive the Grassroots programme (*intervention group*) and half will be randomly allocated to not receive the programme (*control group*).

- **Control schools will get access to the Grassroots curriculum at the end of the trial**
  - Both groups of schools will participate in the evaluation activities (surveys and data transfers)
  - Schools in the **control group will receive £750** for completing these evaluation activities.
  - In intervention schools in autumn 2023, all pupils in participating year groups complete the Grassroots survey, which is used to help identify a group of around 30 students who, between them, are able to represent the whole student body. These pupils form the 'seed group' and attend 10 fortnightly sessions during the spring & summer terms of 2024, facilitated by a DBS-checked Grassroots Research Assistant, to create bespoke activities to reduce conflict at school.
  - As part of their positive behaviour campaign, seed group pupils will hand out wearable tokens (wristbands) to their peers for friendly or conflict-mitigating behaviour. Schools that sign up to the trial need to be willing for their pupils to wear these.
- Participation is free. All costs will be covered by the YEF and EEF.
- Schools will need to:
    - Share an information sheet and withdrawal form with all parents of participating year groups
    - Upload pupil data to the evaluators
    - Enable all pupils in participating year groups to complete an online survey in the '23 autumn term and '24 summer term
    - Intervention schools only: collect consent forms from 'seed group' pupils' parents & help organise the 10 fortnightly sessions: book a room and support seed group pupils to attend
  - Surveys and school data on pupil conflict and behaviour will be used to measure the impact of the intervention. The evaluators will use routinely gathered attendance data to explore whether the intervention improves pupil attendance.
  - Participating schools will be required to provide pupil data (including pupil name, date of birth, unique pupil number (or postcode for schools in Wales), tutor group, year group, free school meal eligibility, sex, ethnicity and disciplinary reports) in order to facilitate the evaluation and enable linkage to the National Pupil Database (or Welsh equivalent). All personal data collected as part of the study will be treated with the strictest confidence by the project team and processed only in accordance with the requirements of the GDPR and the Data Protection Act 2018.
    - Consent will not be the legal basis for data sharing and processing in this project. We will be relying on alternative lawful bases under GDPR. More information will be provided in the project privacy notices.
    - We will send you some information about checking that your school's data sharing policy is compatible with this, and updating it and informing parents if not.
  - Data that IOE collects as part of this study will be deposited by them, in a pseudonymised form, in the YEF archives. Please find additional information at <https://youthendowmentfund.org.uk/evaluation-data-archive/>

## Grassroots Evaluation

### MEMORANDUM OF UNDERSTANDING

#### Aims of the study

The Behavioural Insights Team (BIT) is leading Grassroots, a pupil-led programme designed to build positive social relations in school. IOE, UCL's Faculty of Education and Society (IOE), is evaluating this programme, which is being jointly funded by the Youth Endowment Fund (YEF) and Education Endowment Foundation (EEF).

The aim of the evaluation is to find out the impact of Grassroots on pupil attendance, behaviour and conflict, and under what conditions the programme works.

#### The project

Grassroots aims to reduce bullying and conflict in schools and improve pupil attendance by empowering a 'seed group' of pupils to positively impact their peers. The evaluation will include all pupils in Key Stage 3 in the school year 2023-24 from around 100 schools. Year 10 will also be involved, in a reduced capacity (details below).

This memorandum of understanding (MoU) explains what your school's participation in the study will entail. If you agree to take part and accept the terms and conditions outlined, please add your signature at the end of this MOU.

## *Structure of the study*

IOE is evaluating Grassroots using a randomised controlled trial. Schools that agree to take part will be randomly assigned to either the intervention group or the control group. Schools cannot choose which group they are in.

- **Intervention group** – Schools in this group will receive the Grassroots intervention. In autumn 2023, each school will be asked to carry out a short survey of pupils in years 7, 8 and 9 and 10 which has been prepared by BIT. This survey, in conjunction with data on pupils' year group, sex and ethnicity, will be used to identify a group of around 30 students across years 7-9 who, between them, can represent the whole student body. These pupils will form the 'seed group' and will be invited to attend ten fortnightly workshops over the course of the school year 2023/24. A small number of Year 10 pupils will also be selected to occasionally support the seed group in an advisory capacity. The seed group workshops will be led by a member of BIT's project team who has been trained to deliver the Grassroots programme. The seed groups will be encouraged to create activities which they think might improve the way pupils interact within their school, such as modelling prosocial behaviours, sharing positive messages using posters and social media, and sharing wristbands with students for friendly or conflict-mitigating behaviour.
- **Control group** – Schools in this group will not receive the Grassroots programme, but will receive £750 instead, providing they complete the evaluation activities. They will carry on with their usual practices (business-as-usual). Once the evaluation has finished, these

schools will be given access to the Grassroots curriculum for their own staff to deliver should they wish.

- **Both groups of schools** – The evaluation team (IOE) will use school and pupil information provided by schools, surveys of pupils and teachers, and information from the National Pupil Database (and Welsh equivalent) to assess the impact of the Grassroots programme. More information about the specific data collected is set out below.

## Use of Data by IOE and BIT

IOE will ask all schools to share the names, dates of birth, year and tutor group, sex, free school meal status and ethnicity of their year 7-9 and 10 pupils. At the end of the intervention period, IOE will ask all schools to share data about school disciplinary incidents of year 7-9 pupils, to see if the intervention has reduced the number of incidents of conflict between pupils in school. IOE will also ask schools to share year 7-9 pupils' UPNs (Unique Pupil Numbers) (and pupil postcodes in the case of schools in Wales) to allow us to link the data provided by schools with administrative data held by the Department for Education in England (in the National Pupil Database, NPD) and by Welsh Government in Wales (in the SAIL databank). IOE will share pupil data with the DFE/Welsh Government in order to access pupils' school attendance data for the school years 2023-24 and 2025-26 and SEND status from the NPD or SAIL. IOE will analyse data in a pseudonymised form so pupils cannot be identified by researchers during analysis. For the purposes of research, pupil data will be shared with the Department for Education, the YEF's archive manager and with the Office for National Statistics for archiving. Further matching of pseudonymized data to the National Pupil Database and other administrative data may take place during subsequent research. All information which would identify individual pupils within the data will be removed by IOE and replaced with a unique pupil matching reference number ('pseudonymised') before it is archived.

IOE will share some pupil data (name, tutor/year group, sex, date of birth, ethnicity) with BIT so that they can create their pupil survey and put together the seed groups in those schools which are receiving the Grassroots programme. IOE will also share the pupil disciplinary incident data with BIT for categorisation and the analysis of trends: these data will be pseudonymised where feasible. BIT may share the data it collects with researchers at its parent company, Nesta, to assist BIT in its work. BIT will collect data from pupils via the Grassroots survey, which will focus on which other pupils they have chosen to spend time with in the last few weeks. BIT will share these survey data, and the process by which seed group pupils have been selected, with IOE for the purposes of the evaluation.

We have prepared a letter setting out further details of the Grassroots trial, which we will ask participating schools to send to parents / carers of Key Stage 3 and year 10 pupils at the start of the autumn term of the 2023/24 school year. This letter will also allow parents / carers to withdraw their children from data sharing should they so wish.

The organisations involved in this project intend to publish reports on the project once it has been completed to enable key stakeholders to understand how effective the Grassroots programme is and how it could be improved. Any results of the project contained in these reports or otherwise made public will be anonymised so that no individual schools, teachers or pupils can be identified from it.

Data protection privacy notices can be found at the end of this document.

The study has been approved by UCL Data Protection team, reference Z6364106/2023/02/64 social research.

## Ethical approval

The evaluation has been granted full ethical approval by IOE Research Ethics Committee, reference REC 1773. If this study has harmed you in any way or if you wish to make a complaint about the conduct of the study you can contact Dr Nicole Brown, Chair of the IOE Research Ethics Committee, using this email address: [IOE.researchethics@ucl.ac.uk](mailto:IOE.researchethics@ucl.ac.uk)

The intervention has been reviewed and approved by BIT ethics board. If you have any concerns about the intervention or if you wish to make a complaint about the conduct of the intervention, you can contact [ethics@bi.team](mailto:ethics@bi.team).

## Requirements of participating schools

**We have set out below the expectations of your school should you choose to participate in the project. All schools will be asked to do the following:**

- Share letters with parents/carers (giving them information about the study and an opportunity to discuss the research with their child and withdraw them from the study). Schools will retain a list of pupils who have been withdrawn from the study and will ensure their data is not shared with the delivery or evaluation teams.
- Provide IOE with pupil data for all Year 7, 8, and 9 pupils (whose parents have not withdrawn from data sharing) in autumn 2023: pupil first and surnames, date of birth, Unique Pupil Number (UPN, and pupil postcode in the case of schools in Wales), pupils' tutor group, year group, free school meal status, sex, ethnicity. And for Year 10 pupils (whose parents have not withdrawn from data sharing): first and surnames, tutor group, year group, sex and ethnicity only.
- In summer 2024, share data about school disciplinary incidents occurring, for pupils in years 7-9, since the beginning of January 2024, with IOE.
- Provide IOE with contact details for a relevant contact who can manage the sharing of data to IOE during the project.
- Sign a data-sharing agreement with UCL (appended to this Memorandum of Understanding) to establish the terms and conditions for sharing of personal data.
- Agree to IOE obtaining participating pupils' attendance data from the National Pupil Database or SAIL.
- Follow IOE guidance on the secure transfer of data.
- Facilitate a short online survey (approximately half an hour) for all participating cohorts in particular windows in Autumn 2023 and Summer 2024.
- Have the Senior Leadership Team or other relevant members of school staff complete a short online questionnaire during the project.
- Co-operate with IOE and BIT as necessary to ensure that the project runs smoothly.
- **If the school has to withdraw from the project for operational or other unavoidable reasons, it will notify BIT on [grassroots@bi.team](mailto:grassroots@bi.team) straight away and wherever possible still provide data for the evaluation.**

**Additionally, schools receiving the Grassroots programme will be asked to do the following:**

- Arrange for all pupils in years 7-9 and 10 to complete the short online Grassroots survey (identifying which of their peers they chose to spend time with in the last few weeks), at the same time as the other autumn 2023 surveys (in the case of years 7-9).
- Share a letter with seed group invitees' parents, and chase them to return the permission slip if they are happy for their child to take part.
- Provide a room within the school for the 'seed' group to meet for 10 sessions (which will be run by a trained member of BIT's project team) every two weeks from January 2024 and arrange for the seed pupils to be able to attend.
- Support the seed group pupils to implement their anti-conflict initiatives (this will include allowing pupils in the school to wear wristbands (and stickers / badges, if provided) that the seed group award for pro-social behaviour, allowing the seed group to put up posters in prominent places, and supporting the seed group to raise awareness of their anti-conflict work amongst their peers in a school "Grassroots Day").

Some intervention schools will be invited by IOE to become case study schools during the course of the project, although agreeing to do so is not a requirement of the study. Case study schools will allow the IOE research team access to collect additional data (for example through observations of seed group meetings and interviews with students and staff). A payment of £500 is available to schools which agree to become case study schools.

### **Responsibilities of the project team**

During the project, BIT's research team will:

- Act as the first point of contact for schools for any questions about the delivery of Grassroots
- Produce the Grassroots survey using pupil names, tutor/year groups and dates of birth (for intervention schools to complete in Autumn 2023)
- Use pupil Grassroots survey responses and other data (year group, sex and ethnicity) to identify pupils to be invited to be part of the seed group sessions
- Work with the school to invite the specified pupils to the seed group, and provide all necessary information sheets, privacy notices and participation forms for parents/guardians of seed group pupils and year 10 special advisors to the seed group
- Arrange for trained members of the research team to hold seed group sessions at intervention schools once every fortnight.

### **Responsibilities of the evaluation team**

During the project, IOE's research team will:

- Act as the first point of contact for any questions about the evaluation
- Provide all necessary information sheets and withdrawal forms for the parents/carers of all of Years 7-9 and 10
- Provide guidance to schools on how to collect and return data safely and securely
- Collect pupil level data as described above.



- Collect disciplinary report data
- Organise the evaluation's online surveys for Key Stage 3 pupils in Autumn 2023 and Summer 2024
- Conduct surveys with at least one member of the Senior Leadership Team or other member of staff as described above
- Contact schools asking them to be involved as a case study school
- Request NPD data, and data from the Welsh equivalent, using pupil details
- Analyse the data from the project
- Disseminate the research findings to key stakeholders

### **Data Protection Privacy Notice**

The data controllers for their respective parts of this project will be University College London (UCL) and Behavioural Insights Ltd (BIT). UCL intends to share some or all of the Personal Data which it receives from the School with BIT. BIT may act as separate or joint controllers, or as UCL's processor, in respect of such data, as circumstances might require. BIT may share some of the data it collects with researchers at its parent company, Nesta, to assist BIT in its work. Nesta will act as BIT's processor for such activities.

Consent will not be the legal basis for data sharing and processing in this project. Both UCL and BIT will be relying on alternative lawful bases under GDPR, as set out in our privacy notices (see links below). We will send you some information about checking that your school's data sharing policy is compatible with this, and updating it and informing parents if not.

BIT's Data Protection Officer can be contacted at [dpo@bi.team](mailto:dpo@bi.team).

Further information on how BIT will use pupil data can be found at <https://grassroots.bi.team/privacy-notice-for-pilot-parents>

Further information on how BIT will use school staff information can be found at <https://grassroots.bi.team/privacy-notice-for-pilot-staff>

The UCL Data Protection Office provides oversight of UCL activities involving the processing of personal data, and UCL's Data Protection Officer can be contacted at [data-protection@ucl.ac.uk](mailto:data-protection@ucl.ac.uk).

Further information on how UCL uses participant information can be found here: <https://www.ucl.ac.uk/legal-services/privacy/ucl-general-research-participant-privacy-notice> The legal basis that UCL would use to process personal data (name, date of birth, sex, free school meal status, school year and tutor group, attendance data, disciplinary report data and survey responses) will be performance of a task in the public interest. The legal basis UCL will use to process special category personal data (ethnicity) will be for scientific and historical research or statistical purposes.

Personal data will be processed by UCL so long as it is required for the research project. If UCL are able to anonymise or pseudonymise the personal data you provide they will undertake this, and will try to minimise the processing of personal data wherever possible.

If you are concerned about how personal data is being processed as part of the evaluation, or if you would like to contact UCL about your rights, please contact UCL in the first instance at [data-protection@ucl.ac.uk](mailto:data-protection@ucl.ac.uk).

At the end of the project the dataset will be archived in YEF's data archive. The YEF will keep information in the YEF archive for as long as it is needed for research purposes. Data protection laws permit personal information to be kept for longer periods of time where it is necessary for research and archiving in the public interest, and for statistical purposes. The YEF will carry out a review every five years to assess whether there is a continued benefit to storing the information in the archive, based on its potential use in future research.

The YEF have put in place strong measures to protect the information in their archive. As well as the pseudonymisation process, the YEF archive is protected by the Office for National Statistics' 'Five Safes' framework. The information can only be accessed by

approved researchers in secure settings and there are strict restrictions about how the information can be used. All proposals must be approved by an ethics panel. Information in the YEF archive cannot be used by law enforcement bodies or by the Home Office for immigration enforcement purposes.

You can find more information about the YEF archive and the Five Safes on the YEF's website [<https://youthendowmentfund.org.uk/evaluation-data-archive/>]. We encourage all parents and guardians to read the YEF's guidance for participants before deciding to take part in this study. <https://youthendowmentfund.org.uk/wp-content/uploads/2021/07/YEF-Data-Guidance-Participants.pdf>

If you want to exercise any of these rights after the study has finished (i.e. after the point when information has been shared with DfE), please contact the YEF. Further information and their contact details are available in YEF's guidance for participants at the link above.

We at YEF always encourage you to speak to us first, but if you remain unsatisfied you also have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues: <https://ico.org.uk/make-a-complaint/>.

If you would like to participate in the Grassroots evaluation, please complete the form below [DocuSign].

### Head Teacher agreement

I agree for my school to take part in the Grassroots evaluation and I accept the eligibility terms and conditions listed in the MOU.

|  |  |      |              |
|--|--|------|--------------|
| School Name                                  |  |      |              |
| Head Teacher Name                            |  |      |              |
| Head Teacher Signature                       |  | Date | __ / __ / __ |
| Head Teacher Email Address                   |  |      |              |
| School Grassroots project lead               |  |      |              |
| School Grassroots project lead Email Address |  |      |              |
| School Telephone Number                      |  |      |              |
| Data Manager Name                            |  |      |              |
| Data Manager Email Address                   |  |      |              |

**Please answer the following questions about your school.**

|   |  |
|---|--|
| LA area and County  |  |
| School LA Establishment/DFE Number (a seven digit number) |  |
| School admin email  |  |

**This MOU constitutes the school's agreement with The Behavioural Insights Team and IOE, UCL's Faculty of Education and Society to participate in the Grassroots Evaluation.**

**Thank you for agreeing to take part in this research.**



# DATA SHARING AGREEMENT

BETWEEN

UNIVERSITY COLLEGE LONDON

AND

**[SCHOOL NAME]**

Date this Agreement comes into force:

2023

## 1. Parties to this Agreement

- (a) **UNIVERSITY COLLEGE LONDON** a body corporate established by Royal Charter with company number RC000631 of Gower Street, London, WC1E 6BT (**UCL**); and
- (b) **[SCHOOL NAME] [DESCRIPTION, COMPANY NUMBER AND REGISTERED ADDRESS] ([X])**.

### Purpose

- (a) This Agreement establishes the terms and conditions under which the parties will share personal data in connection with the Grassroots evaluation ("Project"). The aim of this Project is to evaluate Grassroots, an anti-conflict intervention. Personal data (names, dates of birth, UPN, sex, year group, postcode, free school meal status and disciplinary report data) will be processed as per condition 6(1)e of the UK GDPR under public interest purposes, because the research is considered to be a "task carried out in the public interest". Special category personal data (ethnicity) will be processed as per condition 9 (2) (j) of the UK GDPR. UK GDPR is the UK General Data Protection Regulations as incorporated into UK law through European Union (Withdrawal Act) 2018, the Data Protection Act 2018 and any relevant replacement/subsequent European and/or UK laws and regulations relating to the processing of personal data and privacy which apply to a Party (together referred to as "Data Protection Legislation")
- (b) A version of the dataset collected pursuant to this Project will be archived at the end of the Project in the Office for National Statistics secure research service
- (c) The parties shall share the personal data described in 2(a) above only in accordance with the terms of this Agreement.

## 2. Term and termination

- (a) This Agreement shall commence on the date set out at the beginning of it and shall continue until 31<sup>st</sup> December 2024 unless terminated earlier in accordance with its terms.
- (b) Any party may terminate this Agreement with immediate effect by giving written notice to the other party if that other party commits a material breach of any term of this Agreement which breach is irremediable or (if such breach is remediable) fails to remedy that breach within a period of 30 days after being notified in writing to do so;
- (c) Clause 3 (Term and termination) and Clause 4 (Data protection) shall survive the termination or expiry of this Agreement, as shall any other Clause which, by its nature, is intended to survive termination or expiry.

- (d) Termination or expiry of this Agreement shall not affect any rights, remedies, obligations or liabilities of the parties that have accrued up to the date of termination or expiry, including the right to claim damages in respect of any breach of the Agreement which existed at or before the date of termination or expiry.

### 3. Data protection

- (a) In this Clause, the following terms have the following meanings:
- (i) **Controller** means a person which, alone or jointly with others, determines the purposes and means of the Processing of Personal Data;
  - (ii) **Data Protection Legislation** means all applicable statutes and regulations in any jurisdiction pertaining to the processing of Personal Data, including but not limited to the privacy and security of Personal Data as defined above in Clause 2 (b) above;
  - (iii) **Data Subject** means the individual to whom the Personal Data relates;
  - (iv) **Personal Data** means any information relating to an identified or identifiable living individual;
  - (v) **Processing** means any operation or set of operations which is performed on Personal Data or on sets of Personal Data, whether or not by automated means, and Process, Processes and Processed shall be construed accordingly; and
  - (vi) **Personal Data Breach** means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, Personal Data transmitted, stored or otherwise processed.
- (b) The Parties acknowledge and agree that in respect of the Personal Data disclosed by one Party to the other in connection with this Agreement:
- i. the UCL is a Controller in respect of the Personal Data it Processes;
  - ii. **the [NAME OF OTHER DATA CONTROLLER]** is a Controller in respect of the Personal Data it Processes;
  - iii. the Parties are not joint Controllers; and
  - iv. no Party Processes any Personal Data on behalf of the other Party as a Processor.
- (c) In respect of the Personal Data a party Processes under or in connection with this Agreement, the party shall:
- (i) comply at all times with its obligations under the Data Protection Legislation;
  - (ii) notify the other party without undue delay after becoming aware of a Personal Data Breach; and
  - (iii) assist and co-operate fully with the other party to enable the other party to comply with their obligations under Data Protection Law, including but not limited to in respect of keeping Personal Data secure, dealing with Personal Data Breaches, complying with the rights of Data Subjects and carrying out data protection impact assessments.
- (d) The parties shall work together to ensure that each of them is able to Process the Personal Data it Processes under or in connection with this Agreement for the purposes contemplated by this Agreement lawfully, fairly and in a transparent manner and in compliance with the Data Protection Legislation. This shall include but not be limited to entering into such other written agreements as may be required from time to time to enable each party to comply with the Data Protection Legislation.

### 4. Miscellaneous

- (a) No variation of this Agreement shall be effective unless it is in writing and signed by the parties (or their authorised representatives).

- (b) A failure or delay by a party to exercise any right or remedy provided under this Agreement or by law shall not constitute a waiver of that or any other right or remedy, nor shall it prevent or restrict any further exercise of that or any other right or remedy. No single or partial exercise of any right or remedy provided under this agreement or by law shall prevent or restrict the further exercise of that or any other right or remedy.
- (c) If any provision or part-provision of this Agreement is or becomes invalid, illegal or unenforceable, it shall be deemed modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision under this Clause shall not affect the validity and enforceability of the rest of this Agreement.
- (d) This Agreement constitutes the entire agreement between the parties and supersedes and extinguishes all previous agreements, promises, assurances, warranties, representations and understandings between them, whether written or oral, relating to its subject matter.
- (e) Each party agrees that it shall have no remedies in respect of any statement, representation, assurance or warranty (whether made innocently or negligently) that is not set out in this Agreement.
- (f) Nothing in this Agreement is intended to, or shall be deemed to, establish any partnership or joint venture between any of the parties, constitute any party the agent of another party, or authorise any party to make or enter into any commitments for or on behalf of any other party.
- (g) This Agreement does not give rise to any rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Agreement.
- (h) This Agreement may be executed in any number of counterparts, each of which when executed shall constitute a duplicate original, but all the counterparts shall together constitute the one Agreement.
- (i) This Agreement and any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with English law.
- (j) Each party irrevocably agrees that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with this Agreement or its subject matter or formation.

Signed for and on behalf of **University College London**

Name (print):

Job title:

Date:

Signed for and on behalf of **[INSERT NAME OF  
OTHER DATA CONTROLLER]**

Name (print):

Job title:

Date:



## ***Grassroots trial: evaluation of an anti-conflict intervention***

### **Information for Parents/Carers**

Lead for the evaluation team: Dr Becky Taylor [IOE.grassroots@ucl.ac.uk](mailto:IOE.grassroots@ucl.ac.uk)

Lead for the project team: Dr Kathryn Atherton [grassroots@bi.team](mailto:grassroots@bi.team)

#### **What is this about?**

The Behavioural Insights Team (BIT) is leading Grassroots, a pupil-led programme designed to build positive social relations in school. In a trial in the USA, the intervention reduced the number of pupil conflict-related disciplinary events in schools by up to 60%. A team from IOE, UCL's Faculty of Education and Society, (IOE), is evaluating a version of this programme in England and Wales, and this is being jointly funded by the Youth Endowment Fund (YEF) and Education Endowment Foundation (EEF). The project aims to reduce bullying and conflict in schools and improve pupil attendance through empowering a group of young people to make positive social change in their school. The evaluation has been reviewed and approved by the IOE Research Ethics Committee. The Grassroots intervention has been reviewed and approved by the BIT Research Ethics Committee. The headteacher of your child's school has agreed that the school will take part in the evaluation.

#### **What will the project look like?**

The project is investigating the impact (effects) of the Grassroots programme on bullying, conflict and attendance in schools. The evaluation is a type of study called a randomised controlled trial. This means that some schools taking part will receive the Grassroots programme and others will not. The decision about whether a school receives the programme is made at random. Researchers will compare outcomes including bullying, conflict and attendance for pupils in schools that receive the intervention and those that do not. That will help those researchers understand whether Grassroots works or not.

The project will involve Year 7-9 and 10 pupils in around 100 schools, starting in September 2023 and continuing until Summer 2024.

If your child's school is selected to receive the intervention:

1. A group of approximately thirty pupils in years 7-9 will work together (facilitated by a trained, DBS-checked member of BIT), to identify any problems they see with how pupils interact at their school, and to devise and

implement solutions. This group is referred to as the 'seed group'. A small number of Year 10 pupils will occasionally join the seed group to support in an advisory capacity.

2. Years 7-9 and 10 will first complete the Grassroots survey, in order to help select pupils to invite to this seed group. In this survey, the pupils indicate which other pupils they have chosen to spend time with in the last few weeks: the survey responses, along with demographic information, is used to select a group of pupils who will, between them, be able to represent the whole student body.
3. If your child is selected to be invited to the seed group, BIT will write to you again to explain what participating would entail and to confirm that you are happy for your child to be involved.

If your child's school does not receive the Grassroots programme, then it will continue with its usual activities.

### **What does this mean for me as a parent/carer?**

As part of measuring the impact of Grassroots, pupils in years 7-9 will be asked to complete a short survey in autumn 2023, and another survey in summer 2024. The surveys will ask pupils about their behaviour and that of their peers at school (including bullying), and each will take about 30 minutes to complete. IOE is collecting this information for the purposes of the research project, and the surveys will take place whether your child's school receives the Grassroots programme or not. If your child's school is selected to receive Grassroots, pupils in years 7-9 will also be invited to complete the short online Grassroots survey (described above) at the same time as the evaluation survey in autumn 2023. Pupils in Year 10 in schools selected to receive Grassroots will also be invited to complete the Grassroots survey.

Some schools that receive the Grassroots intervention will be invited to be case study schools. Researchers will visit case study schools to talk to participating pupils and adults and find out more about how the Grassroots intervention is working. If your child's school is a case study school we will write to you again with more information before any visit takes place.

IOE will ask all schools to share the names, dates of birth, year and tutor group, sex, free school meal status and ethnicity of their year 7-9 pupils, and the names, year and tutor group, sex and ethnicity of their year 10 pupils. At the end of the intervention period, IOE will ask all schools to share data about Key Stage 3 disciplinary incidents, to see if the intervention has reduced the number of incidents of conflict between pupils. IOE will also ask schools to share year 7-9 pupils' UPNs (Unique Pupil Numbers) (and pupil postcodes in the case of schools in Wales) to allow us to link the data provided by schools with administrative data held by the Department for Education in England (in the National Pupil Database, NPD) and by Welsh Government in Wales (in the SAIL databank). If your child is in years 7-9, IOE will share your child's data with the DFE/Welsh Government in order to access your child's school attendance data for the school years 2023-24 and 2025-26 and their SEND status from the NPD or SAIL. IOE will analyse data in a pseudonymised form so your child cannot be identified by researchers during analysis. For the purposes of research, the data of pupils in years 7-9 will be shared with the Department for Education, the YEF's archive manager and with the Office for National Statistics for archiving. Further matching of pseudonymized data to the National Pupil Database and other administrative data may take place during subsequent research. All information which would identify individual pupils within the data will be removed by IOE and replaced with a unique pupil matching reference number ('pseudonymised') before it is archived.

If your child's school is assigned to receive the Grassroots programme, IOE will share your child's name, year and tutor group, sex, date of birth and ethnicity with BIT so that they can administer the Grassroots survey, and so they can ensure the seed group invitees are representative of your child's school. IOE will share the pupil disciplinary incident data from all schools (in pseudonymised form, wherever feasible) with BIT for categorisation and the analysis of trends. BIT may share

the data it collects with researchers at its parent company, Nesta, to assist BIT in its work. BIT will share the data from the Grassroots survey (which pupils your child has chosen to spend time with over the past few weeks), and the process by which seed group pupils have been selected, with IOE for the purposes of the evaluation.

No information that can identify individual children will be made available to anyone outside the delivery team from BIT and its parent company, Nesta, the evaluation team from IOE, the Department for Education/Welsh Government and your child's school. Your child's data will be treated with the strictest confidence and will be kept behind secure firewalls. Neither your child's name nor the name of the school will be used in any report arising from the research, and no information that could otherwise identify your child will be made public.

Because we (YEF, EEF, IOE and BIT) are doing this research to improve understanding about what works in promoting positive social relations in schools, **if you are happy for information about your child to be used in this research project you do not need to do anything.** Thank you for your help with this research, your support is much appreciated.

This is an important project that we think will help improve young people's experience of school. We expect that your child will enjoy their involvement in the project and they will be free to withdraw at any time. If you would prefer that your child **NOT** be involved in any evaluation surveys, or their data not to be processed as above, please complete the enclosed form and return it to your child's school by **DATE**.

If you have any questions you would like to ask about data processing or the evaluation, please contact Becky Taylor at IOE by email at [IOE.grassroots@ucl.ac.uk](mailto:IOE.grassroots@ucl.ac.uk). If you have any questions about the Grassroots intervention, please contact [grassroots@bi.team](mailto:grassroots@bi.team).

**This research has been fully approved by IOE Research Ethics Committee and by UCL Data Protection.**

**Research Ethics Committee Approval Number: REC 1773**

**Data Protection reference: Z6364106/2023/02/64 social research**

## Data Protection Privacy Notice

The data controllers for their respective parts of this project will be University College London (UCL) and the Behavioural Insights Team (BIT). UCL intends to share some or all of the Personal Data which it receives from the School with Behavioural Insights Ltd (BIT), and BIT may act as a separate or joint controller, or as UCL's processor, in respect of such data, as circumstances might require. BIT may share some of the data it collects with researchers at its parent company, Nesta, to assist BIT in its work (as outlined above). Nesta will act as BIT's processor for such activities.

BIT's Data Protection Officer can be contacted at [dpo@bi.team](mailto:dpo@bi.team).

Further information on how BIT will use your child's data can be found here: <https://grassroots.bi.team/privacy-notice-for-pilot-parents>

The UCL Data Protection Office provides oversight of UCL activities involving the processing of personal data, and UCL's Data Protection Officer can be contacted at [data-protection@ucl.ac.uk](mailto:data-protection@ucl.ac.uk).

Further information on how UCL uses participant information can be found here: <https://www.ucl.ac.uk/legal-services/privacy/ucl-general-research-participant-privacy-notice> The legal basis that UCL would use to process your child's personal data (name, date of birth, sex, free school meal status, school year and tutor group, attendance data, disciplinary report data and survey responses) will be performance of a task in the public interest. The legal basis UCL will use to process special category personal data (ethnicity) will be for scientific and historical research or statistical purposes.

Your child's personal data will be processed by UCL so long as it is required for the research project. If UCL are able to anonymise or pseudonymise the personal data you provide they will undertake this, and will try to minimise the processing of personal data wherever possible.

If you are concerned about how your child's personal data is being processed as part of the evaluation, or if you would like to contact UCL about your rights, please contact UCL in the first instance at [data-protection@ucl.ac.uk](mailto:data-protection@ucl.ac.uk).

At the end of the project the dataset will be archived in YEF's data archive. The YEF will keep information in the YEF archive for as long as it is needed for research purposes. Data protection laws permit personal information to be kept for longer periods of time where it is necessary for research and archiving in the public interest, and for statistical purposes. The YEF will carry out a review every five years to assess whether there is a continued benefit to storing the information in the archive, based on its potential use in future research.

The YEF have put in place strong measures to protect the information in their archive. As well as the pseudonymisation process, the YEF archive is protected by the Office for National Statistics' 'Five Safes' framework. The information can only be accessed by approved researchers in secure settings and there are strict restrictions about how the information can be

used. All proposals must be approved by an ethics panel. Information in the YEF archive cannot be used by law enforcement bodies or by the Home Office for immigration enforcement purposes.

You can find more information about the YEF archive and the Five Safes on the YEF's website [<https://youthendowmentfund.org.uk/evaluation-data-archive/>]. We encourage all parents and guardians to read the YEF's guidance for participants before deciding to take part in this study. <https://youthendowmentfund.org.uk/wp-content/uploads/2021/07/YEF-Data-Guidance-Participants.pdf>

If you want to exercise any of these rights after the study has finished (i.e. after the point when information has been shared with DfE), please contact the YEF. Further information and their contact details are available in YEF's guidance for participants at the link above.

We at YEF always encourage you to speak to us first, but if you remain unsatisfied you also have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues: <https://ico.org.uk/make-a-complaint/>.

## Grassroots Evaluation

(If you are happy for your child's data to be processed as part of the Grassroots Evaluation, you DO NOT need to return this form).

I **DO NOT** wish for data about my child to be collected as part of this research.

|                        |  |
|------------------------|--|
| Child's name           |  |
| Date of birth          |  |
| Child's tutor          |  |
| School                 |  |
| Parent/carer name      |  |
| Parent/carer signature |  |
| Date                   |  |

(Please detach and return the completed form to your child's tutor by **DATE**).

## Appendix B: Progress Criteria

### Project implementation

| Area                                 | Question  | Assessment method   | Progression criteria                                   | Red Amber Green  |
|--------------------------------------|---|---|--|--|
| Fidelity                             | Is the Grassroots survey completed by a sufficient number of pupils in each school? | Calculate the response rate to the Grassroots survey.   | Response rate to the Grassroots survey in each school. | >= 75% pupils complete Grassroots survey<br>50-75% pupils complete Grassroots survey<br><50% pupils complete Grassroots survey                                 |
| Fidelity                             | Are enough Change Makers sessions delivered in schools?                             | Calculate the percentage of schools that host a 'complete' programme as described in compliance criteria. | % schools hosting a complete Grassroots programme      | >= 75% schools host a complete programme<br>50-75% schools host a complete programme<br><50% schools host a complete programme                                 |
| Dosage                               | Do seed pupils attend the Change Makers sessions?                                   | Calculate the mean percentage attendance at Change Makers sessions.                                       | % attendance at Change Makers sessions                 | >= 75% attendance at Change Makers sessions<br>50-75% attendance at Change Makers sessions<br><50% attendance at Change Makers sessions                        |
| Facilitator recruitment and training | Can facilitators be recruited and trained to deliver the Grassroots programme?      | Report on recruitment and training of facilitators  | Report from developers                                 | A facilitator is in post in each of the delivery areas<br>There is not a facilitator in post in each delivery area but alternative arrangements have been made |

|  |  |  |  |  |
|--|--|--|--|--|
|  |  |  |  | A facilitator is not in post in one or more recruitment areas with no alternative available. |
|--|--|--|--|--|

## Evaluation measurement

| Area                             | Question  | Assessment method  | Progression criteria                            | Red Amber Green  |
|----------------------------------|---|--|---|--|
| Overall recruitment to the study | Have enough schools been recruited?<br><br>Is the project on track to meet recruitment needed for the efficacy study? | Comparison of actual vs required recruitment.  | Number of schools recruited to the trial        | Recruitment target met ahead of planned randomisation date |
|                                  |   |  |   | Recruitment <10% below target by randomisation date        |
|                                  |   |  |   | Recruitment >10% below target by randomisation date        |
| Attrition from the programme     | Have enough schools that started the Grassroots programme completed it?   | Calculate the percentage of schools that host a complete programme, based on facilitator report of how many sessions have taken place. | % of treatment schools completing the programme | >=90% of schools complete the programme                    |
|                                  |   |  |   | 70-90% of schools complete the programme                   |
|                                  |   |  |   | <70% of schools complete the programme                     |
| Attrition from the evaluation    | Have enough schools been retained to the end of the evaluation?   | Calculate the percentage of schools supporting the endpoint survey.  | % of schools completing the endpoint survey     | >=90% of schools complete the endpoint survey              |
|                                  |   |  |   | 70-90% of schools complete the endpoint survey             |
|                                  |   |  |   | <70% of schools complete the endpoint survey               |



## Measurement and findings

| Area              | Question  | Assessment method   | Progression criteria                   | Red Amber Green                                |
|-------------------|---|---|--|--|
| Data quality      | Have schools provided data for enough pupils?                                 | Calculate percentage of pupils for whom schools supply data.              | % pupils for whom data is supplied.    | >=75% pupil data supplied                      |
|                   |   |   |  | 50-75% pupil data supplied                     |
|                   |   |   |  | <50% pupil data supplied                       |
| Data quality      | Have enough pupils completed the baseline survey?                             | Calculate percentage of pupils who complete the baseline survey.          | % pupils who complete baseline survey. | >=75% pupils complete baseline survey          |
|                   |   |   |  | 50-75% pupils complete baseline survey         |
|                   |   |   |  | <50% pupils complete baseline survey           |
| Data quality      | Have enough pupils completed the outcome survey?                              | Calculate percentage of pupils who complete the outcome survey.           | % pupils who complete outcome survey.  | >=75% pupils complete outcome survey           |
|                   |   |   |  | 50-75% pupils complete outcome survey          |
|                   |   |   |  | <50% pupils complete outcome survey            |
| Use of admin data | Can attendance data be accessed from NPD and SAIL and matched to survey data? | Calculate percentage of pupils for whom data can be accessed and matched. | % pupils with matched attendance data. | Data accessed and matched for >=75% of pupils  |
|                   |   |   |  | Data accessed and matched for 50-75% of pupils |
|                   |   |   |  | Data accessed and matched for <50% of pupils   |



[youthendowmentfund.org.uk](https://youthendowmentfund.org.uk)



[hello@youthendowmentfund.org.uk](mailto:hello@youthendowmentfund.org.uk)



[@YouthEndowFund](https://twitter.com/YouthEndowFund)

The Youth Endowment Fund Charitable Trust

Registered Charity Number: 1185413

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