

Appendices for 1800146 Essay.

Appendix 1: Observation form

Appendix 2: Interview Questionnaire

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Appendix 6: Observation Form – Lesson 1

Appendix 7: Interview Questionnaire – Lesson 1

Appendix 8: Observation Form – Lesson 2

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Appendix 10: Reflective Forms

**NOTE: Handwritten versions submitted to show authenticity of results and that no
results have been adapted.**

Appendix 1 – Observation Form

	1) Extremely low	2) Low	3) Moderate	4) High	5) Extremely high	Other comments
Child 1						
Child 2						
Child 3						

- 1) Extremely low
Activity is simple, repetitive and passive. The child seems absent and displays no energy. They may stare into space or look around to see what others are doing.
- 2) Low
Frequently interrupted activity. The child will be engaged in the activity for some of the time they are observed, but there will be moments of non-activity when they will stare into space, or be distracted by what is going on around.
- 3) Moderate
Mainly continuous activity. The child is busy with the activity but at a fairly routine level and there are few signs of real involvement. They make some progress with what they are doing but don't show much energy and concentration and can be easily distracted.
- 4) High
Continuous activity with intense moments. The child's activity has intense moments and at all times they seem involved. They are not easily distracted.
- 5) Extremely high
The child shows continuous and intense activity revealing the greatest involvement. They are concentrated, creative, energetic and persistent throughout nearly all the observed period.

Appendix 2: Interview Questionnaire

Interview Questions:

This is going to be a focus group with 3 children and shall follow a semi-structured approach with a moment for students to discuss:

We would like to sit with you three to have a reflection and discussion on the lesson you have just been in, would this be okay? We want you to know that there are no right or wrong answers; we want to hear what your thoughts and ideas, as this will help with our future studies.

Reflective Group task: (UNCRC – Article 12 – children express opinions and thoughts)

Firstly, you three can chat to one another and think back to the lesson, think about the “Heads down, thumbs up game” and what impact that this had on the lesson. We’ll give you a few minutes.

Child 1	Child 2	Child 3

First Question:

What did you think of the “Heads down, Thumbs up” game?

Child 1	Child 2	Child 3

Second Question:

How did you feel the teacher responded to the classes response?

Child 1	Child 2	Child 3

Third Question:

Do you think a teacher should do it more often or less?

Why?

Child 1	Child 2	Child 3

Fourth Question:

What do you like best about using this strategy?

Child 1	Child 2	Child 3

Fifth Question:

Do you feel that this strategy helps your teacher understand how you are feeling in the lesson?

If so, why?

Child 1	Child 2	Child 3

Thank you so much for helping us today, do you have any questions for us?

(The Ladder of Citizen Participation – Arnstein 1969)

Children need to be on level 8 – participation.

Appendix 3 – Reflection Model

Reflective Model for Lesson Study:

Brookfield's Model of Reflection:	
Self-Review: <i>What worked well?</i> <i>Do You feel the students engaged?</i> <i>Was the critical incident of the thumb game resolved?</i>	
Student's Review: <i>What worked well?</i> <i>Do you feel the teacher resolved any issues?</i>	
Peer Review: <i>What opinions, or alternative ideas does the colleague have?</i>	
Scholar Review: <i>What does the literature say or give advice on the critical incident?</i>	



Reflection in relation to the Gibbs Model:

Appendix 4: Ethics Form

APPLICATION FOR ETHICAL APPROVAL

In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.

The University follows the OECD Frascati manual definition of **research activity**: "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications". As such this covers activities undertaken by members of staff, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the "principal researcher".

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

Please read the notes for guidance before completing ALL sections of the form.

This form must be completed and approved prior to undertaking any research activity.
Please see Checklist for details of process for different categories of application.

SECTION A: About You (Principal Researcher)

Full Name:	Michael Shaun Hayward				
Tick all boxes which apply:					
Member of staff:	☐	Student:	☒	Honorary research fellow:	☐

Faculty/School/Centre:	Yr Athrofa
Campus:	Swansea SA1
E-mail address:	1800146@student.uwtsd.ac.uk

Contact Telephone Number:	07845597132		
For students:			
Student Number:	1800146	Undergraduate	☐
Programme of Study:	PGCE Primary	Taught Postgraduate	☒
Director of Studies/Supervisor:	Catherine Morgan	Research	☐

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☐	NO	☐
				Date
If Yes, please indicate source of approval (and date where known):	Research Degrees Committee	☐		
	Faculty Research Committee	☐		
	Other (write in) Catherine Morgan	☒	18/01/19	

Approval in principle **must** be obtained from the relevant source prior to seeking ethical approval.

SECTION C: External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
BERA (2018) Ethical Guidelines for Educational Research	☐
UWTSD Research Ethics & Integrity Code of Practice	☐
EWC Ethical Practice Guidelines	☐

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?	YES	☐	NO	☒
If Yes, please provide the name of the external organisation and name and contact details for the main contact person:				
Institution				
Contact person name				
Contact person e-mail address				

Where research activity is carried out in collaboration with an external organisation

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

SECTION E: Details of Research Activity

Indicative title:	how can we use a self-assessment signalled response to measure pupil engagement within a lesson?		
Proposed start date:	February 2019	Proposed end date:	March 2019
Purpose of research activity (including aims and objectives) Outline the purpose, aims and objectives of the research activity, including key research questions. Show briefly how existing research has informed the proposed activity and explain what the research activity will add and how it addresses an area of importance. (Maximum 300 words) This research aims to determine the benefits of self-assessment signalled response regarding learner engagement. The research is important because within previous practice it has been noted that during self-assessment activities the pupil's answers may be influenced by other pupils' responses due to peer pressure. A blind (explain) self-assessment technique will be used to ensure children are not embarrassed to answer truthfully when asked whether they understand. This research definition of a signalled response shall be the simple use of thumbs up/down/middle whilst their heads are resting on the table. This research question was founded on the notion of Article13 within the United Nations Convention on the Rights of the Child (2015), where it states that every child must have the ability to freely express their feelings. Therefore, this shall underpin this research as we wish to gage how repetitive use of a self-assessment tool can improve student engagement as the teacher can see who is either struggling or thriving at a glance. Reiger, ed, 2012 cited in Shatri & Zabeli (2018) states self-assessment can improve planning and instructions in future practice. This research shall aim to understand if repetitive use of a self-assessment technique has a significant impact of pupil engagement and teacher understanding during a lesson. The aim is to find out whether the self-assessment technique has and impact on their well-being and explore the students opinion on the use of this technique. (this box should expand as you type)			
Proposed methods Provide a brief summary of all the methods that may be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this			

section are deemed appropriate later, additional ethical approval for those methods will be needed. (Maximum 600 words)

This study uses a Lesson study approach. Lesson study is a teaching approach which is very popular in Japan and is now widely used around the world Murphy et al (2017). It is a collaborative research-based investigation used to help teachers understand student learning and how new theories and models can improve their practice. This research aims to allow the use of lesson study techniques to be used on a small-scale project and to allow collaboration between two students on the PGCE Primary course at UWTSD. The lesson study used within this research will provide results on how self-assessment affects pupil engagement within a lesson.

The research tools that will be used in this project are:

Observational research:

Observations of three children that will be representatives of the whole class. To obtain these observations within the lesson, Leuven's Scale of Involvement has been adapted, so that their engagement and response to the work that has been provided can be measured and quantified. We will be using a non-participant observation technique (Sharpe, 2012). Wragg (1994) states that observation is a form of a qualitative data collection method due to the data not having an easily measurable format.

Interviews:

The interviews technique used will be a group interview. It will be used to collect additional data on how they felt the self-assessment method used helped them during the lesson. This interview will also be used to allow out research to have an element of pupil voice within their education. Welsh government (2011) found that some children in schools feel they do not have their opinions heard. However, the schools believe that the school councils do have an impact and think they can make a difference.

Teacher Reflection:

This research shall include a teacher reflection, where myself as the researcher, shall reflect on how the lesson went. Ofsted (2004) states that effective practice of teachers is where a teacher is reflective. Consequently, the research and information observed shall be reflected upon during and after the research task has taken place. This shall enable careful reflection of the question that has been posed, and whether self-assessment enables successful pupil engagement and teacher understanding. To do this within the research, the reflective model created by Brookfield (1998) and by Gibbs (1988) shall be observed. Brookfield (1998) model of reflection is based on four lenses of reflection. They are: self-reflection, student reflection, peer reflection and scholarship. Peer reflection allows the teachers colleagues to provide them with feedback as another professional as to how they feel the lesson went. Scholarship is the basis of individual research into the feedback provided by the other three lenses to allow improvement in future research.

The self-reflection used within Brookfield (1998) allows for any reflective technique to be used. We have decided to use Gibbs (1988) model for self-reflection. Gibbs (1988) model for self-reflection relies on 6 paragraphs Paragraph 1: describe what happened, paragraph 2: describe your feelings and emotions, paragraph 3: strengths and weaknesses of your response, paragraph 4 use literature to make sense of the situation, paragraph 5: general and specific conclusions and paragraph 6

: what would you do differently next time.

This will enable reflection in relation to the research question that has been undertaken.

Quantitative data:

Wragg (1994) suggests that qualitative methods for data collection focusses on easily measurable information such as numerical data. This research will use Leuven's scale as a quantifiable measurement of engagement during the lesson.

Location of research activity

Identify all locations where research activity will take place.

Both schools in which the research shall take place are in partnership with UWTSD. The first school is a faith school based within the local Swansea area, with an approximate intake of 514 pupils. The second school in which the research shall take place in, is a faith school based within the Neath and Port Talbot area – with an approximate intake of 432 pupils.

Research activity outside of the UK

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

N/A

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☐	☒

Use of interviews?	☒	☐
Use of diaries?	☐	☒
Participant observation with their knowledge?	☒	☐
Participant observation without their knowledge?	☐	☒
Use of video or audio recording?	☒	☐
Access to personal or confidential information without the participants' specific consent?	☐	☒
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
Investigation of participants involved in illegal activities?	☐	☒
Use of procedures that involve deception?	☐	☒
Administration of any substance, agent or placebo?	☐	☒
Working with live vertebrate animals?	☐	☒
Other primary data collection methods, please explain in this box Personal reflection	☒	☐

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☐	☒
Vulnerable adults?	☐	☒
Children under 18?	☒	☐
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒

Others (please identify):	☐	☒
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Participant numbers and source

Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?

This research will involve two whole class lessons where the average class size in both schools is 25 and 29. There shall be a specific focus on the observation of 3 pupils in each lesson. The learners being observed will be identified in relation to their attainment levels – high, middle and low attainment. Prior discussion with the class teacher is required to deem which students will be appropriate within these required levels. These three pupils will be interviewed in a semi-structured interview following the lesson. Consent and assent procedures will be followed prior to observation and to interview (see section I).

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

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	☒	☐
Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐

Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
If YES to any question, please provide full details			
(this box should expand as you type)			

SECTION H: Anticipated Risks

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.	
If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.	
Full risk assessment completed and appended?	
Yes	☐
No	☒
Risks to participants	
For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information	
As part of the research process, the risk to participants and ethical queries in relation to this has been taken into consideration. As the research involves working with young children, by singling out three children, this may cause emotional distress or some degree of social pressure to take part within the process. Thus, this will be mitigated by explaining to the students that any time during the research activity they can withdraw their consent, and as a researcher, their assent shall be gaged throughout the process to ensure that they do not become distressed. Furthermore, ethical considerations have been made in relation to BERA (2018) and UWTSD Research Ethics & Integrity Code of Practice to ensure that students remain anonymous within and after the process. Furthermore, some children may feel upset that they have or have not been chosen to take part. This will be mitigated by explaining to the students that there has been in-depth discussion with their class teacher about who has been chosen – thus having the desire to not offend students who have not been chosen. Although these will be research lessons. They shall be conducted in the form of a typical lesson and all children will be participating in the lesson. The three students that are taking part in the interview, we will ensure that they will not miss out on play or any other activity that is taking place at that time. Moreover, the safeguarding policies of UWTSD and the respective schools shall be followed, if any disclosure is made appropriate action shall be taken in accordance with the school's respective policy.	

If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities
N/A (this box should expand as you type)
Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest As part of the research process, the risks to the investigator shall be discussed and understood before any research is undertaken. Prior to this, we shall have been working within the school for four weeks. In terms of personal safety, both researchers will endeavour to stay with one another during the research days and ensure that one another is safe. Research lesson will take part in line with normal school practice and within the normal day to day school routine. The class teacher shall be notified of when the research lesson is to be undertaken and that both researchers will always be present. All safeguarding procedures shall be adhered to, and the researchers will take every step to safeguard themselves. Thus, when the interviews are being conducted, the door shall be left open and both researchers shall be present at all times, furthermore, the class teacher shall be informed of where and when the interviews are taking place. Any information taken from the research day shall be stored on an encrypted memory storage device and in compliance with BERA (2018) and UWTSD Research Ethics & Integrity Code of Practice (2017) all names and information shall be anonymised to ensure there can be not data breach or if there is a loss of the device no one can access it and understand the information. As student teachers with an existing relationship with the school, we shall ensure school and pupil well-being are paramount, to avoid being accused of a conflict of interest.
University/institutional risks For example: adverse publicity, financial loss, data protection The research will be taking place within partnership schools of the university; therefore, the researchers shall uphold the good name of the university by acting professionally and adhering to BERA/EWC guidelines. There shall be no financial loss or risk for the university as there are not financial risks involved. Furthermore, if there is any information collected, it shall be stored on a password encrypted memory device and all data shall be anonymised in compliance with BERA (2018). Thus, if this device is misplaced, no one will be able to access or understand the information on the device, therefore allowing no shame or humiliation to come to the university institution.

Adverse outcomes List measures put in place to limit any adverse effects or outcomes of research activity where appropriate. Include any emergency protocols.
As part of the research process, adverse outcomes and measures shall be understood and listed. If one of the three learners are absent on the day of the Lesson Study and research, it would have been previously stated that a student can stand in for them if all consent has been given. This information will have been relayed to the class before the research day. Moreover, the safeguarding policies of UWTSD and the respective schools shall be followed, if any disclosure is made, appropriate action shall be taken in accordance with the school's respective policy. Furthermore, the well-being of the learners shall be at the forefront of the research. If at any moment student's well-being is being impacted, they will be allowed to withdraw their consent from the research and us as researchers shall understand this fully. The procedures of the school shall be followed too, to ensure that the well-being of students is kept paramount, for example; if there was a fire alarm the research shall be interrupted, and school procedure shall be followed. At all times, BERA (2018), the UWTSD Research Ethics & Integrity Code of Practice and the EWC Ethical Practice Guidelines shall be adhered to.

Disclosure and Barring Service			
If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.			
	YES	NO	N/A
Has a DBS certificate been obtained?	☒	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback What feedback will be provided to participants, how will this be done and when? Feedback will be given to participants and/or school headteachers on request.
Informed consent Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded. BERA (2018) states that it is expected for all participants of research to give informed consent obtained before the research. UWTSD Research Ethics & Integrity Code of Practice (2017) states that children under the age 16 must have consent from the parents or those in loco parentis however it is encouraged that the children should play a part in the consent process so that they also have a say in whether their data can be used within this research. Ongoing informed consent will be gained from the school and the parents of all children in the class. If parents do not provide their consent for their children, then these children will not be used to gather data that will be used for the research. The researches will seek ongoing assent by learners through by providing the information on the research and how and what we will use the data collected for in a way the learners will understand (BERA, 2018). The children will be able to withdraw their assent at any point during the research and analysis of the data collected from them. We shall be mindful of their body language and we shall gage their assent during the process, if distress becomes evident, we shall cease to record anymore data.
Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case. Anonymity is concealing the identities of anyone involved in the research UWTSD Research Ethics & Integrity Code of Practice (2017) the research will retain anonymity by referring to the children under pseudonyms to ensure that their real name is not used at any time. The school will also remain un named throughout the research. Confidentiality is described as who has the right to access data obtained from any source UWTSD Research Ethics & Integrity Code of Practice (2017). The researcher will retain all data on an encrypted computer folder, and they will retain the data collected only from their respective schools.

ECCP7001

Student Number: 1800146

Appendix List

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SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (<http://uwtsd.ac.uk/library/research-data-management/>).

	YES	NO
Does the research activity involve personal data (as defined by the Data Protection Act)? "personal data" means data which relate to a living individual who can be identified— (a) from those data, or (b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected: (this box should expand as you type)		
Does it involve sensitive personal data (as defined by the Data Protection Act)? "Sensitive personal data" means personal data consisting of information as to – (a) the racial or ethnic origin of the data subject, (b) his political opinions, (c) his religious beliefs or other beliefs of a similar nature, (d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) his physical or mental health or condition, (f) his sexual life, (g) the commission or alleged commission by him of any offence, or (h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings.	☐	☒
If YES, provide a description of the data and explain why this data needs to be collected: (this box should expand as you type)		

	YES	NO
Will the research activity involve storing personal data on one of the following:		
Manual files (i.e. in paper form)?	☐	☐
University computers?	☐	☐
Private company computers?	☐	☐
Home or other personal computers?	☐	☐
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☐
"Cloud" storage or websites?	☐	☐
Other – specify:	☐	☐
For all stored data, explain the measures in place to ensure data confidentiality, including details of password protection, encryption and anonymisation:		

Whilst I will not be collecting any personal data, the data I do collect which will be anonymised observation notes and interview answers, will be protected within an encrypted computer folder on the university OneDrive.		
Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☒
Sharing of data with others at the University?	☒	☐
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☒	☐
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the Data Protection Act (and/or any international equivalent):		
Data will be shared with research partner in order to discuss and analyse results. However, the data shared will ensure participants are not identifiable and that it is stored on a password encrypted device. Data will be stored securely by the research partner within the school that they are working, and this will be stored on a password protected device. It will be kept until the completion of the P-PGCE programme. (this box should expand as you type)		

List all who will have access to the data generated by the research activity:
Michael Shaun Hayward (myself) Ricky Antony Nicholas (research Partner) (this box should expand as you type)
List who will have control of, and act as custodian(s) for, data generated by the research activity:
Each partner will take responsibility for data collected within his/her school.
Give details of data storage arrangements, including where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.
Data shall be stored on password encrypted devices and shall not be shared. The storage of information shall be kept until the end of the P-PGCE programme in July 2019.

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's [Research Ethics and Integrity Code of Practice](#)

Signature of applicant:

Date:

For students:

Director of Studies/Supervisor:	
Signature:	
Date:	

For staff:

Head of School/Assistant Dean:	
Signature:	
Date:	

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

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate)
☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.

☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Head of School.
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RESEARCH STUDENTS AND STAFF ONLY

All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk, with the title 'Ethical Approval' followed by your name.

You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

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

This form is available electronically from the Academic Office web pages:

<http://www.uwtsd.ac.uk/academic-office/>

Application Process

All staff research projects and all research students must submit the Ethical Approval Form to the **University Ethics Committee** via the Academic Office (pgresearch@uwtsd.ac.uk). Staff research directly in relation to personal study for taught undergraduate or Masters programmes should be submitted via the Faculty procedures explained below.

Taught masters and taught undergraduate research Ethical Approval Forms are considered **within Faculties**. Faculties will provide details of the specific processes for this. Where the Ethical issues within any single ethical application are of particular concern the Faculty will refer these to the University Ethics Committee. Any student activity that involves the collection of primary data needs to undergo Ethical approval, this includes assignment work as well as dissertations.

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

Research proposals must be approved in principle before applying for Ethical Approval. The proposal approval only becomes final when the ethical approval is received.

The process for proposal approval varies according the individual and programme of study:

- Research students, by application on form PG1 to the Research Degrees Committee
- Taught students by review of research proposal within Faculties (Faculties provide specific details of these processes)
- Staff, by agreement by the Head of School/Assistant Dean

Section C: External Ethical Guidance materials

Many discipline areas are required to operate with the discipline specific codes of research ethics (for example health, psychology, education etc.), any such codes must be listed and you must tick to confirm that you have consulted with these.

Section D: External Collaborative Research Activity

Provide details of the external collaborative partners, where appropriate you might want to submit a copy of the external collaboration agreement with the Ethical Approval Form. If the partner requires the research to be subject to its own internal Ethical approval process then please provide details of that process and a copy of any final (or interim) approvals received from the organisation.

Section E: Details of Research Activity

Remember that the individuals reviewing this Ethical Approval Form may not have seen your research proposal, and also may not be experts in the specific area of your research. The information provided should therefore be jargon free and clearly stated.

Indicative Title: please use the same title as used on the research proposal.

Purpose: the Ethical approval process will want to ensure that the methods you propose are adequate and appropriate to address the research aims and objectives. Excessive additional data collection can be seen as unethical.

Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. Please be specific.

Location: this needs to mention geographical location and also local situation (for example, within Local Authority Offices in Cardiff, using a private room but close to other individuals). If you are collecting data within an organisational setting then you need to explain the permissions that you have obtained to do this.

Research Activity outside of the UK: please complete this section in detail, and note any guidance you have received. Also describe your own familiarity (or not) with the location that you will be utilising.

Section F: Scope of Research Activity

Please tick ALL of the research activities that might be undertaken. If any additional types of activity are intended then please add an extra box and describe these.

If you have answered no to all questions in F then sections G and J do not need to be completed. Section H should be considered, and may be completed. Signatures are still required in section K.

Section G: Intended Participants

Please tick all categories that might apply.

Numbers & Source: if you are using a series of different methods or research activities please list numbers for each stage/phase. Be clear about how you will find respondents. Will you use intermediaries, and if so how? How will you ensure compliance with your sampling strategy?

Information for participants: all participants should be appropriately informed about the research, what is expected of them and what will happen to the information that they provide. The Ethical review process does not ask to see this documentation, but requires this to be reviewed and approved by the Director of Studies in the case of research students, the supervisor/module tutor in relation to students on taught programmes and the Head of School/Assistant Dean in relation to staff research.

Section H: Anticipate Risks

All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.

Risk to participants Think very carefully about how your actions/questions/discussions might affect the people you are involving as participants. You might identify the risk as small but it would still be a risk. Many types of question have the potential to make respondents less content with their life / job; you need to recognise and try to ameliorate any such effects. If these are business owners, time with you may reduce profit.

In some locations physical risk is very real to both participants and yourself, please consider this.

Risk to you, the researcher Think about where you will meet people, if there are any dangers involved in the location. If you are meeting people as individuals think about using a public place. In general do not visit people in their own homes or remote locations. If you are talking to individuals about certain issues think about how their responses might affect you emotionally. What about the risk of collecting insufficient data?

Risk to the University When undertaking your research, you are acting as a member of the University (student or staff). Professionalism is important, so it is important to be well organised and well prepared. Punctuality, clarity etc. are all part of this. What will you do to ensure this? You must ensure you do not harm the good name of the University in any way and do nothing to undermine the reputation of the research it conducts and sponsors. Upholding high standards of conduct and integrity are vital in this regard. You must also conduct the research in such a way to minimise the potential for claims of negligence made against the University, its researchers and any collaborating individual or organisation. In this respect you should always comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, as well as the university's Research Integrity and Ethics Code of Practice. Research misconduct in this respect can take many forms, including:

- fabrication: making up results or other outputs (eg, artefacts) and presenting them as if they were real
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations: for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or material
- improper dealing with allegations of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

Adverse Outcomes. Think carefully about the possibilities, and cover here

Section I: Feedback, Consent and Confidentiality

Feedback to participants: outline your approach. Will interview transcripts be shared with respondents to check accuracy? Will summaries of questionnaire analysis be made available to respondents in some way? Will an overview report be provided? How and when?

Informed consent: Draft letter / e-mail / or heading (or footer) section of questionnaire must be approved by DoS/supervisor (if research student), supervisor/module tutor if taught student, or Head of School / Assistant Dean if a member of staff.

Confidentiality/Anonymity. Explain clearly how you will ensure confidentiality and anonymity.

Section J: Data Protection and Storage

Before completing this section it is necessary to read the University's Research Data Management information. The questions that follow are designed to ensure compliance with the Data Protection Act as well as established research protocols.

Many research activities will involve electronic transfer of data and use of data management systems in the summarisation and analysis of data. You will need to explain these in relation to compliance with the Data Protection Act.

Think carefully about who will have access to your data, this will include supervisors and examiners. Also that a thesis will be made available via the University library and the British Library system. If you are seeking an access bar for a period of time after completion then mention it here. If you will provide a copy of your findings, or intend to give a presentation, to a facilitating/ supporting/accessing organisation then explain that in this section. But also think about the general principle of data sharing, as explained in the Research Data Management information.

In terms of storage of data please ensure security, and also mitigate against loss of data.

Section K: Declaration

Ensure the appropriate countersignatures have been provided

Look carefully at the checklist and ensure that you comply with and tick all that are relevant to your research.

Appendix 5: Lesson Plan

Canolfan Addysg Athrawon De-Orllewin Cymru  The South West Wales Centre of Teacher Education		1B	
Session Plan – Key Stage 2			
Name of trainee:		Session ref:	
Personal target(s) in relation to QTS:			
Year group: Year 5	No. of learners: 33	ALN:	Differentiation: higher, middle and lower.
Additional Adults:	0		
Learning objective(s): To create short stories on an image provided.		Success criteria: Use descriptive writing skills. Try and include metaphors, similes and personification.	
Links to previous learning: N/A			
Curriculum coverage (range, skills)			
<i>Literacy(LNF)</i> <i>Speaking: explain information and ideas, exploring and using ways to be convincing, e.g. use of vocabulary, gesture, visual aids.</i> <i>Collaboration: build on and develop the ideas of others in group discussions, e.g. by asking questions to explore further, offering more ideas.</i> <i>Grammar: use different sentence structures, including complex sentences showing relationships of time, or cause, e.g. before you start ... , if you do this then ...</i> <i>Writing: write with a clear purpose, showing consideration for the reader, e.g. by choosing appropriate vocabulary and presentational devices.</i> <i>Revise and improve writing, explaining why they have made changes.</i>		<i>Numeracy (LNF)</i> N/A	
<i>DCF</i> Interaction with PowerPoint and with images on an interactive surface.	<i>Thinking</i> Talk about what they have learned and discuss with others.	<i>ESDGC</i>	<i>YCC</i> Linguistic – using the Welsh Language incidentally.
Key vocabulary(English/Welsh)			
Time	Session activities, organisation and management		Key questions & Assessment for Learning opportunities
10 mins	Introduction Baseline RAG AfL Explain that images are a good starting points to begin a story to get your imagination working and using your sight is a really important sense when writing stories. Show an image on the board (PowerPoint). Think of any words that come to mind about this image (beach). Think of any words that come to mind for this image (cave). Final image a desolate house. Discuss what the success criteria is and talk about the use of descriptive language and the use of all of the sentences. Explain that they have 10 minutes to write their short story. RAG - end of intro.		Thumbs up thumbs down Rag technique used throughout lesson. Heads down thumbs up how well do you understand story settings?

40 mins	Main activities 10 mins of activity: Place the first image on the PowerPoint and ask the students to write down a short story about this image. Remind the students as the ten minutes go on that they are to use a lot of descriptive skills, such as: metaphors, personification...etc. RAG – after 10 minutes, they are to finish story and then put their heads down and rate with their thumbs. 10 mins of activity: Provide the second image on the PowerPoint and ask the students to write down a short story about this image. Now ask the students to think about what literary techniques they did not use in their last story and now challenge them to use them in this one. Try to challenge them to develop this story further. RAG - after 10 minutes, they are to finish story and then put their heads down and rate with their thumbs. 10 mins of activity: Provide the final image on the PowerPoint or as a handout, and now explain to the children that it is now mandatory for them to use at least one metaphor, use personification and to try and include advanced punctuation. This is to see if they can advance their stories and see the differences. RAG - after 10 minutes, they are to finish story and then put their heads down and rate with their thumbs.	<i>As you are writing, what techniques could you use?</i> <i>Could you try and use a metaphor?</i> <i>Could you use a simile?</i> <i>Can you try and use personification too?</i> <i>Do you feel that you can now develop your story further?</i> <i>What could be happening here?</i> <i>Who could be in this story? Think about all the sense, which ones could work well in your story here?</i> <i>Thumbs up thumbs down Rag technique used throughout lesson.</i> <i>Heads down thumbs up how well do you understand story settings?</i>
10 mins	Plenary: To ask the students how they felt as they tried to develop their story making skills each time. Now ask if any of the students are willing to come up to the front of the class and share one of their stories with the class. Finally, the children will be asked to think about the success criteria, and if they have managed to match that success criteria. RAG – they are now to write using heads down, thumbs up on how they felt with their work in this lesson and how they feel now at the end of the lesson.	<i>Was it easy developing your stories each time?</i> <i>Did it get easier to write as you went along?</i> <i>Does anyone feel comfortable coming up and sharing their story?</i> <i>Did you meet the success criteria?</i> <i>Thumbs up thumbs down Rag technique used throughout lesson.</i> <i>Heads down thumbs up how well do you understand story settings?</i>

Appendix 6: Observation Form – Lesson 1

School One.

	1) Extremely low	2) Low	3) Moderate	4) High	5) Extremely high	Other comments	
Child 1							
Intro				✓		Engagement: - playing with hair a lot.	Intro x2
				✓		- excited to answer questions.	
Lesson			✓			- quick to start too.	x1
						• engaged and focused ↳ intense activity	x1
			✓			• very engaged with the task, however rates themselves moderate. Very intense activity.	
				✓		Engaged in plenary	
Child 2							
Intro		✓				- excited to answer questions.	Intro x2
		✓		✓		- quick to start, very engaged.	
Lesson						- continued engagement. ↳ however rates only moderate.	x1
			✓			Shows good engagement and intense activity. - looks a little anxious.	x1
				✓		- good engagement again, beginning to recognise their matching success criteria.	
			✓			- now chatting and looking engaged in plenary.	
Child 3							
Intro		✓				• willing to provide answers.	Intro x2
				✓		• Unsure to start ↳ talking to others a lot.	x1
Lesson				✓		• engaged, however, fails to stick around a lot.	x1
				✓		• distract others.	
				✓		• talking to others, but becomes engaged.	
				✓		• Became initially engaged, lost focus near end.	
						Half engaged in the plenary.	
(Plenary) Final Rating: Child 1 = <u>Extremely High</u> Child 2 = <u>High</u> Child 3 = <u>High</u>							

Appendix 7: Interview Questionnaire – Lesson 1

Interview Questions:

This is going to be a focus group with 3 children and shall follow a semi-structured approach with a moment for students to discuss:

We would like to sit with you three to have a reflection and discussion on the lesson you have just been in, would this be okay? We want you to know that there are no right or wrong answers; we want to hear what your thoughts and ideas, as this will help with our future studies.

Reflective Group task: (UNCRC – Article 12 – children express opinions and thoughts)

Firstly, you three can chat to one another and think back to the lesson, think about the "Heads down, thumbs up game" and what impact that this had on the lesson. We'll give you a few minutes.

Child 1	Child 2	Child 3
No-one can see your answer.	Gives you more confidence.	You can be more honest.

First Question:

What did you think of the "Heads down, Thumbs up" game?

Child 1	Child 2	Child 3
Liked it - teacher can work with us, and people won't know why.	Liked it - no-one can see, you can be honest.	Liked it - tells teacher if you're stuck, and help them.

Second Question:

How did you feel the teacher responded to the classes response?

Child 1	Child 2	Child 3
The teacher can act quick to help you out.	People don't know you're helping because they're stuck.	The teacher keeps it anonymous.

Third Question:

Do you think a teacher should do it more often or less?

Why?

Child 1	Child 2	Child 3
More often, it reminds me to stay focused on the lesson.	More, gives you more confidence, you're not scared to say you're wrong in class.	It reminds that the success criteria is there. felt confident to put my thumbs down.

Fourth Question:

What do you like best about using this strategy?

Child 1	Child 2	Child 3
Easier for teacher to see how everyone is doing	No-one else can tell that you're wrong you can express your feelings	Tells the teacher if you're not understanding it. It's fun to use.

Fifth Question:

Do you feel that this strategy helps your teacher understand how you are feeling in the lesson?

If so, why?

Child 1	Child 2	Child 3
Teacher can spend more time with you and other won't realise why.	Yes, because then teacher can see how you're doing and be helped. - Makes teacher act quickly.	If my thumbs are down, the teacher can see you're stuck on something. They can see if you're confident too. - Makes teacher act quickly.

Thank you so much for helping us today, do you have any questions for us?

(The Ladder of Citizen Participation – Arnstein 1969)

Children need to be on level 8 – participation.

Other teachers should use it, as we can say how we are feeling.

Appendix 8: Observation Form – Lesson 2

	1) Extremely low	2) Low	3) Moderate	4) High	5) Extremely high	Other comments
Child 1				✓		children chat but about the work.
				✓		all engaged throughout
				✓		Very eager to share
				✓		slow to start, was distracted
				✓		They are short stories
				✓		straight in with writing. S3
Child 2			✓			finished all on time
				✓	✓	eager to share story
				✓		discussed story not SC
				✓		starting straight away
				✓		still writing during RAG
				✓		to say through he started at the image then into space for minutes or so.
Child 3				✓	✓	slow to start S3
				✓		finished S3 on time
			✓			eager to share story
				✓		not very engaged at the start.
				✓		engaged for SC discussion
				✓		slow writing story
Child 3				✓		needs a lot of thinking time (once started a lot written)
				✓		what's a metaphor?
				✓		straight in writing S3
				✓		what's a noun?

C1: H C2: EH C3: H

Appendix 9: Interview Questionnaire – Lesson 2

Interview Questions:

This is going to be a focus group with 3 children and shall follow a semi-structured approach with a moment for students to discuss:

We would like to sit with you three to have a reflection and discussion on the lesson you have just been in, would this be okay? We want you to know that there are no right or wrong answers; we want to hear what your thoughts and ideas, as this will help with our future studies.

Reflective Group task: (UNCRC – Article 12 – children express opinions and thoughts)

Firstly, you three can chat to one another and think back to the lesson, think about the "Heads down, thumbs up game" and what impact that this had on the lesson. We'll give you a few minutes.

Child 1	Child 2	Child 3
calm you down. not distracted by others	gives hand a break. lesson more fun. less pressure for time	express your feeling strongly relaxed

First Question:

What did you think of the "Heads down, Thumbs up" game?

Child # 3	Child 2	Child # 1
good, you don't need to speak.	made lesson more fun. made everyone happy. produced good standards.	good game no one could see your feelings, could express your opinions.

Second Question:

How did you feel the teacher responded to the classes response?

Child # 3	Child 2	Child # 1
tried to encourage everyone.	responded good. you could see the changes between each story. different feeling in class	teacher didn't say anything. teacher can improve if someone didn't understand

Third Question:

Do you think a teacher should do it more often or less?

Why?

Child # 3	Child 2	Child # 1
Good game but sneaky children could cheat. Express feelings.	altered a little, be harsh if a child really can't not be noticed that someone will see	once a week, only use it once in case someone feels, may get in trouble if they reached.

Fourth Question:

What do you like best about using this strategy?

Child # 3	Child 2	Child # 1
it's a good game so you don't need to go up to the teacher, personal	Express your own feelings Share with just the teacher, let them see so they can help them, allow teacher to help sooner	trust the class so you can express your feelings. Heads down is the best.

Fifth Question:

Do you feel that this strategy helps your teacher understand how you are feeling in the lesson?

If so, why?

Child # 3	Child 2	Child # 1
It helps our teacher. If someone doesn't understand the teacher can help someone who is struggling. Confident.	It does help teacher understand bc you can see individuals who are stuck, know who may need a boost in confidence.	Really help feelings, won't be shushed at.

Thank you so much for helping us today, do you have any questions for us?

(The Ladder of Citizen Participation – Arnstein 1969)

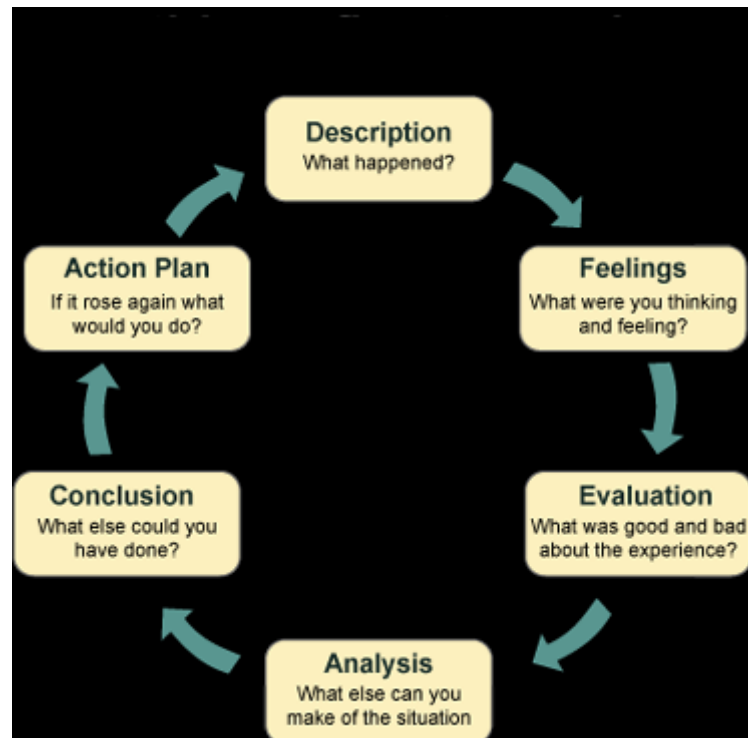
Children need to be on level 8 – participation.

- C1 more activities
- C2 use in other schools.

Appendix 10: Reflective Forms (Two Forms – Lesson 1, then Lesson 2).

Reflective Model for Lesson Study:

Brookfield's Model of Reflection:	
Self-Review: <i>What worked well?</i> <i>Do You feel the students engaged?</i> <i>Was the critical incident of the thumb game resolved?</i>	- During the lesson the technique worked well and provided positive results - The students were engaged throughout the lesson and were more than happy to provide answers and met the success criteria - The teacher was able to target children who rated thumbs down first then could spend the time with the other children.
Student's Review: <i>What worked well?</i> <i>Do you feel the teacher resolved any issues?</i>	- The students liked the fact that the technique was used too much in one lesson and could be used less in the future. - They felt confident that they could be honest about their feelings. - They would like the technique to be used more in school but not as often as it was in the lesson study. - They felt the teacher acted well on any low ratings and they felt engaged.
Peer Review: <i>What opinions, or alternative ideas does the colleague have?</i>	- Not to use the technique as often as we did during the lesson, however a continuation of use throughout future practice would be beneficial. - The children were successful in rated themselves to the same level that the researcher's determined them to be at - Ensure that honesty is maintained in the game, but avoid neglecting those who rated positively.
Scholar Review: <i>What does the literature say or give advice on the critical incident?</i>	- When using a self-assessment technique, the children must have clear instructions on what they need to do to help the teacher to help them. - The teacher must try to remember that the children are making these decisions in a moments notice and this does mean they can be misinformed themselves.

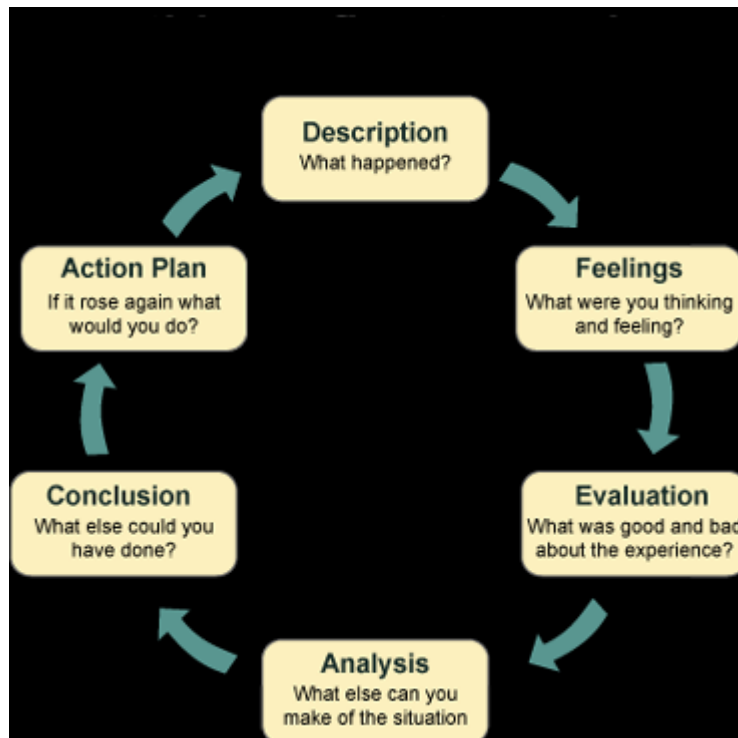


Reflection in relation to the Gibbs Model:

- The children were engaged and they showed signs of understanding within the lesson. they understood the RAG technique and it was apparent that they could reflect accurately on their understanding of the lesson.
- I was confident that the children could use the technique as I had shown them prior to the lesson in other lessons. It helped me to relax and prioritise who I needed to see first.
- It was useful to see who needed help without having to ask every single child one at a time or table by table. However if many pupils rated thumbs down then would I be able to remember them all.
- The main issue that I realised is that there is no way to track the pupils ratings as once they go back to their work the visual clue to the teacher is gone
- Explain the benefits of the technique to the children and ensure that they are able to self reflect at a deeper level within their work as well as using the RAG technique used in the lesson study.

Reflective Model for Lesson Study:

Brookfield's Model of Reflection:	
Self-Review: <i>What worked well?</i> <i>Do You feel the students engaged?</i> <i>Was the critical incident of the thumb game resolved?</i>	- The technique worked very well during the lesson and the students were successful in knowing how to rate themselves. - The students were very engaged, and all participated in giving their ratings. - The incident was resolved, as the teacher, was able to respond to those who rated themselves low and help them succeed in the task at hand and engage with the lesson.
Student's Review: <i>What worked well?</i> <i>Do you feel the teacher resolved any issues?</i>	- The students liked the fact that the technique was used a lot within the lesson. - They felt confident in telling the teacher at regular intervals about how they felt. - Were a little worried that others could take a peak at what they had been rated. - They felt the teacher acted well on any low ratings and they felt engaged.
Peer Review: <i>What opinions, or alternative ideas does the colleague have?</i>	- Not to use the technique as often as we did during the lesson, but to continue to use it throughout our further teaching practice. - The children responded well to the activity and successfully rated their engagement/understanding. - Ensure that honesty is maintained in the game, but don't neglect who rated positively.
Scholar Review: <i>What does the literature say or give advice on the critical incident?</i>	- When using a self-assessment technique, it must be explained thoroughly, and explained clearly, so that the students are clear on what they are rating and how they will rate. - Make sure that the teacher wants these ratings, and there will be no trouble over ratings.



Reflection in relation to the Gibbs Model:

- The students had to rate their engagement and understanding with either, thumbs up, in the middle or down. The students were able to successfully rate their engagement and understanding. It was made clear throughout the lesson why they were rating themselves and why they needed to be honest about their rating.
- I felt quite confident with the use of the technique and was happy that the students were engaged with its use. I could actively see who was not understanding the lesson and the children felt comfortable showing their rating.
- It was good as the students could quickly show me their engagement and understanding within the lesson. One downfall is, that once their ratings were gone, you had to remember how every student had rated- could this be changed? The students also commented on how they were worried that other students may have been able to see how they rated.
- If there was more time within this lesson study, there could be some sort of computer software created for students to rate themselves throughout the lesson, then the teacher has some sort of record of all the ratings.
- If I was to use this technique again, I would ensure that the students understand the benefit for themselves, and how it is helping them improve their own understanding of their learning.

ECCP7001

Student Number: 1800146

Appendix List

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ECCP7001
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